

Executive

Wednesday 8 March 2017

A meeting of the Executive will be held at the Town Hall, Royal Leamington Spa on Wednesday 8 March 2017 at 6.00pm.

Membership:

Councillor A Mobbs (Chairman)
Councillor N Butler Councillor P Phillips
Councillor M Coker Councillor D Shilton
Councillor S Cross Councillor P Whiting
Councillor M-A Grainger

Also attending (but not members of the Executive):

Chair of the Finance & Audit Scrutiny Committee Councillor Quinney
Chair of the Overview & Scrutiny Committee and Liberal Democrat Group Observer Councillor Boad
Labour Group Observer Councillor Barrott
Whitnash Residents' Association (Independent) Group Observer Councillor Mrs Falp

Emergency Procedure

At the commencement of the meeting, the Chairman will announce the emergency procedure for the Town Hall.

Agenda

1. **Declarations of Interest**

Members to declare the existence and nature of interests in items on the agenda in accordance with the adopted Code of Conduct.

Declarations should be entered on the form to be circulated with the attendance sheet and declared during this item. However, the existence and nature of any interest that subsequently becomes apparent during the course of the meeting must be disclosed immediately. If the interest is not registered, Members must notify the Monitoring Officer of the interest within 28 days.

Members are also reminded of the need to declare predetermination on any matter. If Members are unsure about whether or not they have an interest, or about its nature, they are strongly advised to seek advice from officers prior to the meeting.

2. **Minutes**

To confirm the minutes of the meeting held on 8 February 2017

(Pages 1 to 50)

Part 1

(Items upon which a decision by Council is required)

3. **Housing and Homelessness Strategy 2017 -2020**
To consider a report from Housing and Property Services **(Pages 1 to 35)**
4. **Domestic Violence & Abuse Policy**
To consider a report from Housing and Property Services **(Pages 1 to 9)**
5. **Anti-Social Behaviour Policy (Housing)**
To consider a report from Housing and Property Services **(Pages 1 to 11)**
6. **Revised Call-In Procedure for Warwick District Council**
To consider a report from Democratic Services **(Pages 1 to 9)**

Part 2

(Items upon which the approval of the Council is not required)

7. **Bereavement Services – enhanced service provision**
To consider a report from Neighbourhood Services **(Pages 1 to 5)**
8. **Community Forums and Voluntary and Community Sector Spending Review**
To consider a report from the Community Partnership Team **(Pages 1 to 16)**
9. **2017/18 ICT Services Digital Work Programme**
To consider a report from IT **(Pages 1 to 11 + Appendices 2 & 3)**
10. **Review of Approach to Unauthorised Encampments**
To consider a report from the Chief Executive **(Pages 1 to 18)**
11. **St Mary’s Lands Delivery Plan for 2017/18**
To consider a report from the Chief Executive **(Pages 1 to 8)**
12. **Request for Funding for a Community Hub in Norton Lindsey**
To consider a report from the Chief Executive
(Pages 1 to 4 + Appendices 1 to 4)
13. **General Reports**
 - (A) **Procurement Exemptions – CIL Viability and Retail Planning**
(Pages 1 to 4)
 - (B) **Rural and Urban Capital Improvement Scheme (RUCIS) Application**
(Pages 1 to 23)

14. **Notice of Motion**

To consider a notice of Motion from Councillor Parkins, referred to the Executive by Council on 22 February 2017.

In January 2017, Warwickshire County Council approved the setting up of a 'White Label' not-for-profit energy supply service, known as the Warwickshire Energy Plan, in partnership with a fully licensed energy supplier subject to concluding agreements with the relevant District and Borough councils and registered social landlords in relation to housing stock (particularly voids) which is necessary for this to be a viable proposition. I therefore propose that:

"Warwick District Council support the Warwickshire Energy Plan in the first instance through the establishment of a municipal not-for-profit energy supply service; to work urgently to conclude agreements with Warwickshire County Council so that supply contracts are put in place in relation to housing stock (particularly voids) and registered social landlords to ensure the success of this important initiative and the benefits it will bring to consumers in Warwick District through market-leading tariffs, support for customers switching from costly pre-payment meters to smart pay-as-you-go meters and provision of consistent high quality customer service."

15. **Public and Press**

To consider resolving that under Section 100A of the Local Government Act 1972 that the public and press be excluded from the meeting for the following item by reason of the likely disclosure of exempt information within the paragraphs of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006, as set out below.

Item Nos.	Para Nos.	Reason
16	1	Information relating to an Individual
16	2	Information which is likely to reveal the identity of an individual
16	3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)

16. **Confidential Minutes**

To confirm the minutes of the meeting held on 8 February 2017 **(Pages 1 to 3)**
(Not for publication)

Agenda published Monday 27 February 2017

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Telephone: 01926 456114
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For enquiries about specific reports, please contact the officers named in the reports
You can e-mail the members of the Executive at executive@warwickdc.gov.uk

Details of all the Council's committees, Councillors and agenda papers are available
via our website www.warwickdc.gov.uk/committees

Please note that the majority of the meetings are held on the first floor at the Town Hall. If you feel that this may restrict you attending this meeting, please call (01926) 456114 prior to this meeting, so that we can assist you and make any necessary arrangements to help you attend the meeting.

The agenda is also available in large print, on request, prior to the meeting by calling 01926 456114.

Executive

Minutes of the meeting held on Wednesday 8 February 2017 at the Town Hall, Royal Leamington Spa, at 6.00 pm.

Present: Councillor Mobbs (Leader); Councillors Butler, Coker, Cross, Grainger, Phillips, Shilton and Whiting.

Also present: Councillors; Boad - Chair of Overview & Scrutiny Committee and Liberal Democrat Observer, Mrs Falp - Whitnash Residents Association (Independent) Observer and Quinney - Chair of Finance & Audit Scrutiny Committee.

Apologies for absence were received from Councillor Barrott.

84. **Declarations of Interest**

Minute number 93 – Recommendations from One Stop Shop Review

Councillor Boad declared an interest because Crown Routes, of which he was a member, were mentioned within the report.

85. **Minutes**

The minutes of the meetings held on 30 November 2016 and 5 January 2017 were taken as read and signed by the Leader as a correct record.

Part 1

(Items on which a decision by Council is required)

86. **Election of Chairman and Vice-Chairman of the Council for 2017/18**

Recommended that

- (1) Councillor Boad be appointed as Chairman of the Council for 2017/18; and
- (2) Councillor Cross be appointed as Vice-Chairman of the Council for 2017/18.

(This is a recommendation to Council on 10 May 2016)

87. **Budget 2017/18 and Council Tax – General Fund Revenue and Capital**

The Executive considered a report from Finance which updated them on the Council's financial position, bringing together the latest and original Budgets for 2016/17 and 2017/18, plus the Medium Term Forecasts until 2021/22. In doing so, it advised upon the net deficit from 2021/22 and the savings required to balance future years' Budgets.

The report sought Members approval of the following-

- Latest Budget 2016/17
- Original 2017/18 Budget
- This Council's Band D Council Tax charge for 2017/18
- 5 Year Capital Programme
- Prudential Indicators for 2017/18.
- To note the latest Reserves and Schedules, approving the relevant transfers.
- Financial Strategy
- Equipment Renewal Reserve and ICT Replacement Schedules
- Ear Marked Reserve Requests for slippage to 2017/18 Budgets

Despite significant cuts in Government Funding, this Council had been able to set a balanced Budget for 2017/18 without having to reduce the services it provided. This had been the case for many years as a result of the Fit for the Future Programme it had adopted. It had not had to rely on New Homes Bonus to support core revenue spending and had been able to allocate this funding to project work, replenish reserves and make a contribution to provide a 2017/18 Contingency Budget. Alongside this, the Council had achieved a modest surplus on its 2016/17 Budget.

However, the Council's financial projections showed that further savings needed to be secured from 2018/19 onwards.

By law, the Council must set a balanced budget before the beginning of the financial year. It must levy a council tax from its local tax payers to meet the gap between expenditure and resources available.

It was prudent to consider the medium term rather than just the next financial year, taking into account the longer term implications of decisions in respect of 2017/18. It was for this reason a five year Financial Strategy, Capital Programme and Reserves Schedule had been included within the report.

The Local Government Act 2004, Section 3, stated that the Council must set an authorised borrowing limit. The CIPFA Code for Capital Finance in Local Authorities stated that the Council should annually approve Prudential Indicators.

The Chief Financial Officer was required to report on the robustness of the estimates made and the adequacy of the proposed financial reserves. This statement was set out Appendix 12 to the report.

Appendix 1 to the report summarised the latest 2016/17 Budgets. These were reported to the Executive in November 2016 showing net expenditure of £11.8m and a surplus of £169,300.

The following changes had been proposed to the 2016/17 Budget:-

	2016/17
	£
Surplus per November Report	-169,300
Additional Legal Costs	49,000
Additional Housing Benefits costs	47,000
Social Mobility grant slippage	20,400
Reduced rental income	14,200
Diverted Footpath contribution	-22,500
Increased Better Care Funding Grant (DFG)	-311,000
Refuse Bins delivery costs declassified capital	40,000
Other small changes	-4,100
Change in Service Expenditure / Income	-167,000
Reduced Interest Payments / Receipts	25,800
Footpath contribution to reserves	22,500
Change in Reserves Contributions	-30,500
Better Care Funding Grant (DFG) RCCO	311,000
Declassified Refuse container delivery costs	-40,000
Change in Financing and Reserves	288,800
Additional Grants	-3,000
Latest position 2016/17	-50,500

It was originally anticipated that the PA system in the Council Chamber would last until the head office relocation, when this facility would be incorporated into the new offices. However, this was no longer the case. It urgently needed replacing and it was now proposed to purchase a new system at a cost of £45,000 from the 2016/17 Contingency Budget. This would leave £8,600 in the Contingency Budget.

Following on from the above proposal the 2016/17 Budget also included the following unallocated contingency budgets totalling £45,700:

- General Contingency Budget £8,600 (after allocating £45,000 for the new PA system)
- Office Cleaning Contract £12,600
- Price Inflation £24,500;

These budgets were not likely to be used within 2016/17 and so would increase the surplus for the year by a further £45,700.

In reviewing the 2016/17 budgets, revenue "slippage" had been identified on projects originally scheduled for 2016/17. A list of Earmarked Reserve requests for approval was attached at Appendix 10 to the report. Due to the early closure of the 2016/17 Accounts, the Head of Finance in conjunction with the Finance Portfolio Holder had been given delegated authority to consider any further earmarked reserve requests that were apparent when the Accounts were closed, with these being reported retrospectively to the Executive.

After the approval of the 2017/18 Base Budgets in November, further changes had been identified. Inclusion in next year's Budgets at this point ensured both the 2017/18 Budget and Financial Projections would contain the most realistic figures as currently available. These changes were:

	2017/18
	£
Surplus per November Report	-97,196
Contingency Budget 2017/18	96,200
Additional staffing	48,500
Additional Housing Benefits costs	72,400
Private Sector Housing surveys	15,000
Pension Fund contributions	-18,000
Increased rental income	-19,600
Other small changes	-8,300
Change in Service Expenditure / Income	186,200
Change in Reserves Contributions	-240,904
Contribution from Leisure Options Reserve	-300,000
Interest Paid & MRP - Leisure Centres	499,400
Collection Fund Deficit	20,000
Investment Interest	-67,500
Change in Financing and Reserves	-89,004
Latest position 2017/18	0
New Homes Bonus Allocation 2017/18	-1,938,358
<u>Allocated to Services:</u>	
Waterloo Housing Association	178,525
Contingency Budget 2017/18	104,500
Kenilworth (Leisure Ph2)	100,000
Digital Transformation	200,000
OSS Digital Investment	50,000
Linen Street re-provision	250,000
Private Sector Housing Resources	37,500
Allocated to Services	920,525
<u>Allocated to Reserves:</u>	
Early Retirement Reserve	150,000
Community Projects Reserve	867,833
Allocated to Reserves	1,017,833
TOTAL NEW HOMES BONUS ALLOCATED	1,938,358

Additional staffing included:

- £32,000 for an additional Revenues Officer in response to the continued growth in new properties in the District and resultant Council Tax correspondence to be processed.
- Arts Programme Support Officer £10,600.

The proposed 2017/18 Budget allowed for the creation of a Contingency Budget to the total of £200,700. In recent years the use of a Contingency Budget had been invaluable to allow the Council to deal with un-budgeted demands. These demands were agreed by Executive or delegations as allowed for within the Code of Financial Practice. Full details of the use of the Contingency were reported to Executive.

The projected Collection Fund Balance as at 31 March 2017 had been calculated to be a deficit of £182,801. Warwickshire County Council and the Warwickshire Police and Crime Commissioner were duly notified of their shares on the 15 January 2017. This Council's share was £20,000. This had been factored into the 2017/18 Budget.

The Base Budget for 2017/18 included an estimated £300,000 (part year) concession payment from the new operator being procured to run the Council's leisure centres from the planned date of 1 June 2017. Within the Medium Term Financial Strategy this figure increased to £600,000 per annum from 2018/19. In discussions with tenderers they had emphasised how they would incur substantial losses in the early years of the contract. This reflected the upfront capital investment required from the operator to fit out the facilities, the only partial completion of Newbold Comyn and St Nicholas Park Leisure Centres from the start of the contract to late 2017, and the time taken to build up the customer base. Consequently, they did not favour the "flat line" concession fee being sought in the original tender documents. If there were to be no concession payable in the early years, the operators suggested that they would be able to present far more favourable bids.

By agreeing to a "concession holiday" in the early years of the contract, it resulted in an increased concession in subsequent years which would present the following advantages to the Council:-

- This would assist the Council's Medium Term Financial Strategy as discussed in paragraph 3.9.5 of the report where savings of £0.83m were still to be sought.
- The contract was for ten years, at the end of which it was possible to negotiate to extend the contract for a further five years, or to re-procure. Having a higher concession price in these later years should present a better negotiating stance for considering an extension of the contract.

The disadvantage of a concession holiday was the impact that this had on the proposed 2017/18 Budget and the early years of the Medium Term Financial Strategy. This would leave a funding gap which had to be closed.

The new operator would need to make significant upfront investment in the leisure centres. This would notably include the gym equipment and general equipment, and in total was likely to be in excess of £1m. The operators were likely to look to lease much of this equipment Gym equipment. Consideration had been given to the Council arranging the leases for this equipment on the basis that it could secure more favourable leasing rates than the operators would be able to. The

Council did hold significant balances, which, with current investment rates, investment returns were not great (averaging around 0.57% assumed for 2017/18). Consequently, consideration was being given to the Council advancing a sum of up to £1m to the operators on the basis that this would result in significantly favourable concession payments in subsequent years.

To close the funding gap referred to in paragraph 3.3.6 of the report, the following changes had been made to the financial arrangements that supported the proposed Budget:-

- The funding of the Capital Programme from the Capital Investment Reserve was reduced by £1.9m.
- £1.9m Right to Buy Capital Receipts were utilised to replace the Capital Investment Reserve funding. As discussed in paragraph 3.11.11 of the report, the Council legally had the ability to use these receipts for any capital funding.
- The Capital Investment Reserve made an appropriation of £1.9m to the Leisure Options Reserve profiled £1.5m in 2016/17 and £400k in 2017/18.
- The Leisure Options Reserve releases £300k to the General Fund Budget in 2017/18 and £600k 2018/19 to make up for the concession holiday. The balance on this reserve was proposed to be available to advance to the selected operator for upfront costs, assuming that this presented a sound investment decision and good value for money for the Council in respect of the future concessions payable. It was proposed that the use of this funding would be agreed by the Heads of Finance and Cultural Services in consultation with the respective Portfolio Holders. The use of this reserve would be subsequently reported to members.

On the basis of the fore-going, as part of the negotiation stage for the operation of the leisure centres, tenderers were being asked to submit updated bids based on a re-profiled concession payment, with the option of no payment for 2017/18 and 2018/19, and bids if the Council was prepared to advance them with upfront funding.

As part of the 2016/17 Provisional Funding Settlement in December 2015, the Government proposed a four year settlement for the period 2016/17 to 2019/20. The future years' settlement figures, alongside the Revenue Support Grant (RSG) for recent years were:

	£000
2013/14	4,552
2014/15	3,515
2015/16	2,500
2016/17	1,587
2017/18	794
2018/19	307
2019/20	0

As part of the 2016/17 Settlement, the Government proposed that if authorities were to submit an Efficiency Statement and so accept the proposed figures, it would agree not to subsequently alter these figures except in certain extreme circumstances. In common with the vast majority of local authorities, the Council submitted its efficiency statement which had been subsequently accepted by the Government.

As anticipated, the RSG within the 2017/18 provisional settlement was unchanged for each year. It was worth noting that the figures for those few authorities not submitting an efficiency statement had not been changed.

In presenting the RSG figures, the Government made the following assumptions which all served to mitigate the overall reduction in Core Spending Power.

- The Government projections assumed local authorities would increase council tax by the referendum limit (£5 for Warwick District Council). It would be noted that this was a major departure from previous Government policy whereby local authorities were under pressure to freeze the Council Tax.
- Assumptions of growth in the Council Tax base to continue at current levels
- The Government made assumptions of future New Homes Bonus payments to local authorities. It was noted that there was uncertainty over New Homes Bonus (as indicated in the reductions seen in the sums awarded for 2017/18), the Council's policy had been to exclude this from core funding and this continued to be reflected in the projections within the Council's Medium Term Financial Strategy where future NHB payments were excluded.

Taking the above assumptions into account, the Government's figures suggested that over the period 2015/16 to 2019/20, the Council's overall Core Spending Power would have reduced by £0.9m or 6.3%. However, Members would note, that with the reductions in Revenue Support Grant in recent years, the Council's reduction in spending power since 2013/14 would be far greater.

Within the December 2015/16 Provisional Settlement the Government included "Tariff Adjustments" to the Business Rate figures in future years following on from where the RSG had reduced to zero. These adjustments were widely recognised as being negative RSG. In the Final 2016/17 Settlement, these adjustments had been removed partly on the basis that by 2019/20 the figures would all change due to the introduction of 100% Business Rate Retention. However, within the 2017/18 Provisional Settlement, Tariff Adjustments had been re-introduced. For Warwick this amounted to £240,000 from 2019/20. As Members would appreciate, there was continued substantial lobbying against this from local government. As yet, this Tariff Adjustment had not been factored in to the Council's Medium Term Financial Strategy.

The final Grant Settlement was expected in early February and updated figures would be provided when available. Any change in the Revenue Support Grant was proposed to be compensated by the use of the Service Transformation Reserve.

Projecting the Council's element of Business Rate Retention continued to present difficulties because of a number of factors

There were many appeals awaiting determination by the Valuation Office. An assessment of the success of these needed to be made and suitable provision had been allowed for within the estimated figures. Whilst it was hoped that this figure was suitably prudent, given the size and nature of some of the appeals, there remained a risk.

All businesses had had their rateable valuation reassessed for April 2017. This would result in new appeals being submitted against the new valuations. There was to be in place a new "Check, Challenge, Appeal" regime seeking to expedite appeals and deter speculative appeals. However, appeal process was still expected to be protracted, meaning that it could be some years until the success of future appeals were lodged and settled. However, it was necessary for an estimate of these future appeals to be allowed for in the 2017/18 Estimates.

Tariff/Top-Up Adjustments existed in the system so as to redistribute business rates income between local authorities. With the revaluations, it was necessary for each local authority's tariff or top-up to be re-based. The re-basing was intended to protect any growth that had accrued in the local business rates bases since the commencements of business rates revaluation in April 2013. The Government had made an assessment of the adjustments necessary for the 2017/18 figures. However, this would be reviewed following the closure of the 2017/18 accounts, meaning that further adjustments (positive or negative) were likely into 2018/19 or possibly beyond.

It was expected that 100% Business Rates Retention would come in from 2020/21. There were significant uncertainties how this would work in practice, with functions having to transfer from central to local government.

Largely due to the regulations governing the accounting arrangements for business rates retention, there could be substantial volatility between years in the amount of retained business rates credited to the General Fund. Consequently it was necessary to maintain a Volatility Reserve to "smooth" the year on year sums received.

The NNDR1 form which estimated the business rates for 2017/18 was being finalised as this report was being written ahead of its deadline of 31 January 2017. This would produce some of the final figures that would feed into the Business Rates Retention for the Council for the year. It was not expected that there would be much variation in the NNDR1 and what had been allowed in the proposed Budget. However, should there be any variation, this would be accommodated within the Business Rate Volatility Reserve.

The Business Rates retention within the Medium Term Financial Strategy were believed to be reasonably prudent taking into account all the above factors. These figures would continue to be reviewed and changes would be reported as the Medium Term Financial Strategy was presented in future reports.

As announced within the Provisional Local Government Finance Settlement, District Councils could increase their share of the Council Tax by the greater of up to 2% or £5 without triggering a referendum. For 2017/18 there were no restrictions on Town and Parish Councils, however, the Government would continue to closely monitor increases by the larger town and parish councils. In light of this, the previous decisions to reduce the Concurrent and Council Tax Support funding to parish and town councils was on hold.

Warwick District's Council Tax Charge for 2016/17 was £151.86. This was well below the national average. Excluding Parish Precepts, this Council was in the second lowest quartile and when Town and Parish Precepts were included it fell within the lowest quartile. It remained the lowest of the five Warwickshire District and Borough Councils, when Parish Precepts were included. The average Band D council tax, excluding parish/town council in 2016/17, was £174.99 and £211.70 when they were included.

The Council Tax Base was calculated in November of last year, with the Council's preceptors being notified accordingly. The Tax Base for 2017/18 was 52,710 Band D Equivalents. This was an increase of 310 Band D Equivalents above that projected in the Strategy when 2016/17 Budgets were set in February 2016. With the increased tax base, the £5 proposed increase in council tax would generate an additional £390,000 per annum in 2017/18.

The Council's element of the Council Tax was calculated by taking its total budget requirement, subtracting the total funding from Central Government in respect of Revenue Support Grant (RSG) and Retained Business Rates and the addition of the collection fund balance of £20,000 deficit. This figure was divided by the 2017/18 tax base to derive the District Council Band D Council Tax Charge.

The recommendations within this report produced a Band D Council Tax for Warwick District (excluding parish/town council precepts) for 2017/18 of £156.86, this being a £5 increase on that of 2016/17. Based on this increase, the Council Tax levels for each of the respective bands were:

Band	£ Charge
Band A	104.57
Band B	122.00
Band C	139.43

Band D	156.86
Band E	191.72
Band F	226.58
Band G	261.43
Band H	313.72

Parish and town councils throughout the District were asked to submit their precepts for 2017/18 when informed of their Tax Bases. At the time of writing this report, not all precepts had been confirmed. It was estimated that the precepts would total around £1,300,000 based on prior years. This figure did not take into account the grants that this Council would continue to award in respect of the Council Tax Support adjustments to the Tax Base and concurrent services, which the Council had agreed to phase out.

At the time of writing the report, neither the County Council nor the Police and Crime Commissioner had set their 2017/18 budgets or element of the Council Tax. The meeting of the County Council was scheduled for the 2 February 2017 and the Police & Crime Commissioner was due to seek approval from their Panel on the morning of 3 February 2017.

The Council Tax was set by aggregating the Council Tax levels calculated by the major precepting authorities (the County Council and the Police and Crime Commissioner) and the parish/town councils for their purposes with those for this Council. The report to the Council Meeting on the 22 February, 2017 would provide all the required details. This would be distributed to Council as soon as possible following the Police and Crime Commissioner Meeting on the 3 February. The Council would then be in a position to:

- (a) consider the recommendations from the Executive as to the Council Tax for District purposes; and
- (b) formally to set the amount of the council tax for each Parish/Town, and within those areas for each tax band, under Section 30 of the 1992 Local Government Finance Act.

Councillors had a fiduciary duty to the Council Taxpayers of Warwick District Council. Councillors had a duty to seek to ensure that the Council acted lawfully. They were under an obligation to produce a balanced budget and must not knowingly budget for a deficit. Councillors must not come to a decision that no reasonable authority could come to, balancing the nature, quality and level of services that they considered should be provided, against the costs of providing such services.

Any additions or reductions to the budget, on which no information was given in the report, the Councillor must present sufficient information on the justification for and consequences of their proposals to enable the Executive (or the Council) to arrive at a reasonable decision. This

report set out relevant considerations for deliberations, including the statement at Appendix 10 to the report from the Chief Financial Officer.

Section 106 of the Local Government Finance Act 1992, stated that any Councillor who had not paid their Council Tax or any instalment for at least two months after it became due and which remained unpaid at the time of the meeting, must declare that at the meeting and not vote on any matter relating to setting the budget or making of the Council Tax and related calculations.

This Council's New Homes Bonus (NHB) for 2017/18 was £1,938,358. This was a reduction from the £2,257,564 awarded for 2016/17. There was a consultation about the New Homes Bonus allocations in December 2015. Following consultation, the Government had made the following changes to the New Homes Bonus:-

- Funding had been reduced from the previous six year's retrospective years to five years for 2017/18. Had the six years been maintained, this would have presented the Council with an additional £500,000 New Homes Bonus in 2017/18.
- From 2018/19 allocations would be on the basis of only four years.
- A introduction of a baseline of 0.4% had been included from 2017/18. New Homes Bonus was only awarded on growth above this level. For Warwick District Council, for 2017/18 the 0.4% baseline represents 247 dwellings. With the total growth of 622 Band D properties, the 2017/18 allocation was based on 375 properties. The new baseline was reducing the New Homes Bonus by £300,000 compared to the previous regime.
- The proposals to withhold payments for areas without a local plan were not being implemented for 2017/18, but would be revisited for 2018/19.
- The Government was still to consider withholding payments for homes that were built following an appeal in the future. This was due to be subject to further consultation. At this stage it was not at all clear how this proposal would work in practice.

The December 2015 Consultation was issued because the original scheme was not affordable within the Government's projections. This was widely acknowledged, and hence there had always been caution in relying on future years' allocations. With these reductions to the overall sums being awarded, the scheme should now be more affordable for the Government and present local authorities with more certainty over the future allocations.

Further work was on-going looking at housing building projections used in the Council's Local Plan to see how these would impact upon future New Homes Bonus (NHB) allocations.

Taking into account the fore-going, future years allocations were likely to be in the £1.5m-£2.0m range.

To date this Council had used the money to fund various schemes and initiatives and replenish some of its Reserves, and unlike many local

authorities, had not used NHB to support core services. It continued to be the Council's policy to exclude new Homes Bonus in projecting future funding.

As in previous years, Waterloo Housing would receive part of this allocation from their agreement with the Council to deliver affordable Housing in the District. £178,525 was due to be paid to Waterloo in 2017/18. Section 3.13 detailed how it was proposed to allocate the Residual Balance for 2017/18.

The Council paid all its employees the Living Wage as determined by the Living Wage Foundation (LWF). This was agreed for 2016/17 at £8.25 and was due to increase for 2017 to £8.45. This was more than the Living Wage as set by the Government, this being currently £7.20, increasing to £7.50 from April 2017. With the increase in the LWF rate, this would continue to apply to employees up to Spinal Column 12 and so should be able to be accommodated within the proposed Budget. The Council should continue to review its commitment to paying the LWF rate annually.

The Medium Term Financial Strategy presented reported in February 2016, when the 2016/17 Budgets were approved, forecast that there would be a £240,000 deficit by 2020/21 unless ongoing savings were identified and delivered within the same period.

	2017/18 £'000	2018/19 £'000	2019/20 £'000	2020/21 £'000
Cumulative Deficit-Savings Required(+)/Surplus(-) future years	75	103	253	240
Change of Previous Year	75	28	150	-13

When setting the base budget in November 2016, there was a forecast deficit of £132,000 by 2021/22 unless savings to the same magnitude could be identified and delivered. Since then, there had been further changes.

The impact of the Major Contract Renewal in 2021/22, was most notable. RPI was now increasing at a higher rate than that built into the Financial Strategy. By 2021/22 it was expected to be 3.2%, 1.2% more than in the Strategy. The RPI factor in the next four years had also been updated. When the current contract was re-let, recycling income tonnage prices had been much higher than they were now. Now that the contractor retained all of this income, it was anticipated that this shortfall would be built into the tender prices. Alongside that, a provision had been made for the National Living Wage. There was now a further increase of some £550,000 above the £600,000 originally forecast when the Strategy was updated to reflect 2021/22 (as reported in the June 2016 Fit for the Future Report).

The full estimated financial implications from the decision in November to invest in the two leisure centres had been factored into the Medium

Term Financial Strategy. These included the cost of borrowing, all direct costs of operating the centres removed, inclusion of the estimated concession, and anticipated savings in support costs of the service. These changes were in addition to the savings that had been made to the leisure centre budgets in recent years.

Various smaller changes had also occurred, the most significant being costs of Benefits E Forms on the CIVICA system £52,000.

Investment Interest forecasts had been updated to reflect the Council's Treasury Management Consultant's latest interest rate forecasts and also the revised forecast balances. The November Base Budget Report reflected a reduction in income of some £345,000. However, this had now improved by some £121,000. An overall change of a £224,000 shortfall on the assumptions in February 2016.

Office Relocation and Town Hall Transfer had both been re-profiled to April 2019/20. This did not impact on the overall savings requirement in the Medium Term Financial Strategy, but did increase the savings to be found for 2018/19.

Extending the £5 increase to Council Tax into future annual increases up to 2020/21 and 2021/22 would yield additional recurrent income of some £180,000.

Taking all of these changes and those reported previously in June and November 2016, plus many minor ones into account, the Medium Term Financial Strategy now indicated that £830,000 of recurrent savings needed to be found outside of those already built into the Strategy. This was replicated in the table below:

	£'000
February 2016 Executive	240
Roll Forward 2021/22	49
Major Contracts	1,151
Fit for the Future Programme as amended	-684
Council Tax Increases of £5 up to and including 2021/22	-507
Fees and Charges including Planning and Car Parking income	-316
Electricity costs	335
Pension changes	230
Increased Tax Base (reported November 2017)	-48
CIVICA Costs	72
HEART	50
Business Rates Retention	-210
Investment Interest	224

Other Changes (less than £50,000)	244
February 2017 Executive	830

The Table below illustrated savings into each financial year:

	2017/18 £'000	2018/19 £'000	2019/20 £'000	2020/21 £'000	2021/22 £'000
Deficit-Savings Required(+)/Surplus(-) future years		412	201	-202	830
Change on previous year		412	-211	-403	1,032

Appendix 2 to the report outlined the Medium Term Financial Strategy in more detail. It should be noted, that despite the significant potential savings considered and included within the Medium Term Financial Strategy, further savings were needed to enable the Council to continue to set a balanced budget within the projected level of financial resources.

Of particular note was the shortfall of £412k for 2018/19. Additional savings of this magnitude had to be found before this time next year to ensure that a balanced budget could be set for 2018/19. Further proposals were due to be presented to Members in June 2017 as part of the forthcoming Fit For the Future report.

Within the Medium Term Financial Strategy savings from several significant projects had been included. If these savings were not made, the Council would need to agree on how other savings may be made. The projects savings currently included in the Medium Term Financial Strategy would be found from:-

- Office relocation
- Town Hall Transfer
- Changes to Members Allowances
- Senior Management Review
- Further reductions in Discretionary Spend
- A review of Community Partnership spending
- Increased recycling credits

Officers continued to monitor and update the five year forecast during 2017/18, with reports to Executive as part of the Budget Review process.

Council had agreed that £1.5m should be the minimum level for the core General Fund Balance. This Reserve supported the Council for future unforeseen demands upon its resources. In order to consider a reasonable level of general reserves, a risk assessment had been done and this was contained at Appendix 11 to the report. This showed the requirement for the General Fund balance of over £1.5 million against the risks identified above. It had been agreed that £1.5m should be the minimum level for the core General Fund Balance.

The General Fund had many specific Earmarked Reserves. These were attached at Appendix 3 to the report, showing the actual and projected

balances from April 2016, along with the purposes for which each reserve was held. Finance and Audit Scrutiny Committee was especially asked to scrutinise this element and pass comment to Executive. Those reserves which showed a significant change in the overall balance in the period 1 April 2016 to 31 March 2021 were detailed in Appendix 3, but covered the; Capital Investment Reserve, ICT Replacement Reserve, Gym Equipment Reserve, General Fund Early Retirements Reserve, Equipment Renewal Reserve, Service Transformation Reserve, Public Open Spaces Planning Gain Reserve, Public Amenity Reserve, Corporate Assets Reserve, Community Forums Reserve, Business Rates Retention Volatility Reserve, Leisure Options Reserve and the Community Projects Reserve.

Officers undertook an Options Appraisal when procuring items from the Equipment Renewal Reserve. It was recommended this practice continued and was used for any purchase from a Reserve where this exercise could be appropriate and offered an alternative cost effective means of purchase, e.g. ICT Reserve and Capital Investment Reserve.

In accordance with the Council's Code of Financial Practice, all new and future capital schemes, had to be in line with the Council's corporate priorities and a full business case would be required as part of the Report to the Executive for approval. This case would identify the means of funding and, where appropriate, an options appraisal exercise would be carried out. Should there be any additional revenue costs arising from the project, the proposed means of financing such must also be included in the Report and Business Plan.

It was proposed to add the following into the current five year General Fund capital programme :-

Scheme	Year	Amount	Financed From
Colour Copier – replacement for current obsolete machine	2016/17	£74,200	Finance Lease
Replacement Printers and PC's – extension of current programme	2020/21	£27,000	ICT Replacement Reserve
Infrastructure Replacement	2020/21	£35,000	ICT Replacement Reserve
Infrastructure General	2020/21	£13,500	ICT Replacement Reserve
VOIP Telephone System	2020/21	£75,000	ICT Replacement Reserve
Rural & Urban Initiatives Grants – extension of current programme	2020/21	£150,000	Capital Investment Reserve

Scheme	Year	Amount	Financed From
Recycling & Refuse Containers – extension of current programme	2020/21	£125,000	Capital Investment Reserve

In addition to the new projects incorporated above, the following capital projects were expected to come forward over the next year:-

- Investment in replacement multi storey car parks
- Office relocation
- Europa Way

Slippage to 2017/18 in the General Fund Programme had been incorporated into the proposed Capital Programme in respect of two Play Area Improvement Schemes totalling £109,500.

In addition, the following table showed changes to current schemes that were required to be reported on:

Scheme	Year	Amount	Comments
Leisure Options	2016/17	-£26,000	Transfer to revenue to part fund Programme Managers salary
Green Farm Play Area	2016/17	-£26,800	S106 contribution funding this scheme returned to Developer as Developer now providing play area
Rural & Urban Initiatives Grants	2016/17	-£60,000	2016/17 Underspend
Cublington Flood Alleviation Scheme	2016/17	-£17,200	Transferred to revenue to meet ongoing maintenance costs
Royal Spa Centre Operational Works	2016/17	-£48,000	Scheme completed under budget
Recycling and Refuse Containers	2016/17 – 2019/20	-£40,000 per year	Transferred to revenue to fund bin delivery costs

Part 5 of Appendix 6 to the report showed the General Fund unallocated capital resources which totalled £2.866m. The Capital Investment Reserve represented the largest share of this at £1.392m, for which the Council had agreed the minimum balance should be £1m. Whilst the Council held other reserves to fund capital projects, it should be noted

that these were limited and had been reserved for specific purposes. The Capital Receipts shown related to the funding originally allocated to Kenilworth Public Service Centre. With this scheme no longer within the Capital Programme, this funding should now be available to fund other capital projects that may come forward.

The latest Housing Investment Programme (HIP) was shown at Part 2 of Appendix 6 to the report.

Slippage to 2017/18 in the Housing Investment Programme since last reported to was as follows:

Scheme	Amount
Environmental Works - General	£87,000
Electrical Fitments/Rewiring	£500,000

In addition, the following tables showed new schemes and changes to current schemes:-

New schemes:-

Scheme	Year	Amount	Financed from
Cloister Way House Purchases	2017/18	£825,300	1 for 1 capital receipts

Changes to current schemes:-

Scheme	Year	Amount	Comments
Improved Ventilation	2016/17	£5,000	Saving
Environmental Works – Tenant Participation Projects	2016/17	£46,000	Saving
Mandatory Disabled Facilities Grants	2016/17	£132,100	Saving

Part 4 of Appendix 6 to the report showed the funding of the Housing Investment Programme and the funding available. The total funding accruing over the period to 2020/21 that had not currently been allocated to funding the HIP was as follows:-

	£000
Capital Receipts	9,614
Capital Receipts: One for One replacement	8,375
HRA Capital Investment Reserve	38,315
Major Repairs Reserve	13,848
S 106	1,002
Decent Homes Grant	138
Total	71,292

The Capital Receipts primarily related to Right to Buy Sales. The Council did have freedom over how these were utilised, being able to fund General Fund or Housing capital schemes. The Council's policy had been for these to be retained for housing purposes, and currently primarily

assisting to fund the Disabled Facilities Grants. As the Council did legally have scope to use these receipts for any capital funding, it had been proposed to use £1.5m in 2016/17, £323,000 in 2017/18 and £77k in 2018/19 to fund the General Fund Capital Programme, as outlined in paragraph 3.3.7 of the report. In addition, given the Council's current financial position the Council should review its policy for the future use of this funding. It was proposed that this should be further considered as part of the forth-coming Fit For the Future report in June.

The Capital Receipts One to One were an element of the receipts from Right to Buy Sales that would otherwise be paid to Central Government. The Council needed to use this funding towards new additional dwellings. If this funding was not used within a three year period from the date of receipt, this funding would be repayable to the Government, along with interest.

The HRA Capital Investment Reserve was funded by the surpluses generated on the Housing Revenue Account. The HRA Business Plan assumed that this funding would primarily be used for the provision of new HRA stock. However, with details of the high value voids levy proposed by the Government still awaited, the funding might not be available to invest in new dwellings and might be needed to fund housing association Right to Buy.

The Major Repairs Reserve was used to fund capital repairs of the HRA stock. The contributions to this reserve were based on depreciation calculations.

The Section 106 payments were received from developers in lieu of them providing new on site affordable homes, enabling the Council to increase the HRA stock or assisting housing associations to provide new dwellings. These S106 payments usually had a time limit attached to them by which time they need to be utilised or they might be needed to be repaid to the developers.

It should be noted that the Council was predicted to accrue substantial resources in future years to fund the Housing Investment Programme.

The Council was required to determine an authorised borrowing limit in accordance with The Local Government Act 2004, Section 3, and to agree prudential indicators in accordance with the CIPFA Code for Capital Finance in Local Authorities. The Indicators were shown at Appendix 8 to the report. Further indicators were included within the Treasury Management Strategy Report.

Based on the details presented in this report, the Council had the following one off funding and balances over which it had discretion over its utilisation:

- New Homes bonus (£1,759,833 net of payment to Waterloo Housing Association)

- 2016/17 Surpluses, totalling £96,200.

The following demands on this funding were proposed to be specifically resourced:-

- The Early Retirement Reserve had a forecast balance of £143,000 at 31 March 2017. There were various initiatives and staffing reviews underway and to be undertaken during 2017/18. It was therefore considered prudent to maintain a healthy balance in this reserve.
- In previous years, the Council had a Contingency Budget (approx. £200,000) to allow for unforeseen events which could not be met from other funding sources. Where these were unavoidable, the Contingency Budget had been utilised.
- Future reports would consider funding requests in respect of Digital Transformation and One Stop Shop Digital Investment.
- Newbold Comyn and St Nicholas Park Leisure Centres were undergoing refurbishment ahead of the Centres being outsourced. Phase 2 of the refurbishments at Kenilworth had still to be done. A report would be forthcoming ahead of feasibility work for this project commencing.
- Linen Street Car Park was in need of refurbishment or demolition and rebuilding. Monies were needed to undertake feasibility works prior a business case being brought to forward with proposals for a way forward. A more detailed report would be presented outlining the business case for parking in Warwick.
- Public Sector Housing. As a result of a peak of additional work for the private sector housing team, with 164 HMO licenses due for renewal in September as part of the 5 year licensing cycle, and an estimated 200 new properties likely to be licensable under the new regulations that it was anticipated would be introduced by Government in October, additional staffing resource was required. Budget provision had been made available to recruit 1x F grade officer and 1x H grade admin assistant from the start of the second quarter. The need for any additional resource would be considered 'in-year' when the date of implementation of the new licensing regime is confirmed and addressed through the contingency budget if appropriate.

Alongside the projects detailed in 13.3.2, there would be other projects which would benefit the community in Warwick District. It was therefore proposed that after allocating monies to the Contingency Budget, Early Retirement Reserve and projects above, the residual £867,833 be allocated to a new Community Projects Reserve. When monies were ready to be spent on one of these projects a separate Report would be brought to the Executive prior to it being drawn down.

Some of the projects for which funding was likely to be sought included the following:-

- Executive and Council had already received Reports on St Mary's Lands. The last one being in November 2016. The Executive had agreed a Delivery plan of proposals amounting to £256,000 over 2 years (£196,000 and £60,000 respectively) be considered as part of the budget process for 2017/18 and 2018/19. It was now proposed that the sum was re scheduled to £86,000 and £170,000 respectively to allow for the proper planning of the car parking element (£110,000).
- A report was due to come to the Council which considered the purchase of land off Europa Way to facilitate the relocation of Leamington Football Club and in turn for its current site to be used as a Gypsy and Traveller site. It was proposed that the land purchase and associated costs be funded by borrowing, incurring approximately £325,000 debt servicing costs per annum, the first four years of which would be proposed to be funded from the Community Fund Reserve, so giving time to provide for its ongoing funding to be sourced within the General Fund. The scheme as a whole would allow for the construction costs of a stadium to be sourced from commercial and other enabling development. To facilitate the first stage of that process £100,000 was proposed to be used to undertake a detailed development appraisal and to cover project management costs. This was also proposed to be funded from the Community Fund Reserve.
- Funding was needed to undertake preliminary investigation and consultation to enable an evidence-based assessment of the likelihood of achieving Parks for People funding for Abbey Fields from the Heritage Lottery Fund.
- Funding was needed to improve and repair a major footpath running through Abbey Fields.

Further funding requests were possible including:

- a small amount of funding, possibly 'match-funding', would be required during the financial year to enhance the external communal areas, street scene, car parking area and signposting within the Spencer Yard complex to complement the development of the Creative Quarter initiative.
- a small amount of funding would be required during the financial year to develop a partnership project to investigate the deployment of digital screens at selected Council buildings to promote the town centre and Council activities and to allow the commercial potential of the project to be investigated.
- The Leamington Town Centre Vision would be presented to Council for its endorsement during the financial year, in addition to it being presented to the other organisations represented in the partnership developing the Vision for their endorsement, and that

some 'seed-funding' would be required for initial priority work, for example, improvements to the routes from the station to the town centre, to deliver the Vision.

- This approach also gave the Council the opportunity to consider during the year community based schemes that may not otherwise qualify for the Council's RUCIS scheme.

The following uses of these balances/funding was now proposed:-

	2017/18 New Homes Bonus	2016/17 Surplus	Unspent Contingency Budgets 2016/17	Total
	£	£	£	£
Waterloo Housing Association	178,525			178,525
Early Retirement Reserve	150,000			150,000
Contingency Budget 2017/18	104,500	50,500	45,700	200,700
Kenilworth (Leisure Ph2)	100,000			100,000
Digital Transformation	200,000			200,000
	2017/18	2016/17 Surplus	Unspent Contingency Budgets 2016/17	Total
OSS Digital Investment	50,000			50,000
Linen Street re-provision	250,000			250,000
Private Sector Housing Resources	37,500			37,500
Community Projects Reserve	867,833			867,833
Total	1,938,358	50,500	45,700	2,034,558

In the December Autumn Statement, the Government announced a package of business rates measures including the Government doubling rural rate relief to 100% from 01 April 2017.

The Government intended to amend the relevant primary legislation to require local authorities to grant 100% mandatory rural rate relief. However, before legislation was amended the Government expected local authorities to use their local powers (under section 47 of the Local Government Finance Act 1988) to grant 100% rural rate relief to eligible ratepayers from 01 April 2017.

It was for individual local authorities to decide to award relief but if the local authority chose to support the Autumn Statement initiative, then Central Government would fully reimburse the cost of the local share of awarding the relief by means of a section 31 Grant. Consequently, the Council would be no worse off under the business rates retention scheme if they adopted the scheme.

The Council did not have an alternative to setting a Budget for the forthcoming year. Members could, however, decide to amend the way in which the budget was broken down or not to revise the current year's

Budget. However, the proposed latest 2015/16 and 2016/17 were based upon the most up to date information.

The Finance & Audit Scrutiny Committee raised concerns that the Right To Buy Capital Receipts were being utilised for functions unrelated to the supply of housing but noted that the Council was not restricted in its right to do so.

Concerns were also raised about the management fee likely to be offered to the successful Leisure Centre operators in recognition of the large upfront investments required including in gym equipment. However, the Committee noted the officers' assurances that this should result in significantly favourable concession payments in subsequent years, that risks would be adequately controlled and that information would be shared with Members once negotiations were concluded.

Whilst reviewing the Medium Term Financial Strategy, concerns were raised about increased spending on ICT equipment and software and some other specific large outlays. Conversely, it was noted that the projected income from Leisure Centres did not yet reflect the expected favourable outcome expected.

Overall, therefore, the Finance and Audit Scrutiny Committee supported the recommendations in the report.

The Executive recognised the significant reduction in the net expenditure of the authority which over recent years had been reduced from over £18 million to under £12 million. They thanked all officers for their work in achieving this and for continuing to deliver services at the same standard. They recognised that it was getting harder to achieve the savings required.

They recognised the improvements in forecasting by officers that removed would remove some of the surprises that had previously occurred and recognised the need to balance this with being prudent.

They highlighted that while the Council was maintaining a balanced General Fund budget, there was still a need to plan for long term sustainable maintenance of Council assets and the removal of depreciation out of the Council tax calculation by the Labour Government had impacted on this.

The Portfolio Holder for Finance reminded Members that the Leisure contract was an innovation that needed to be taken and officers were to be congratulated for their work on delivering this project in tough circumstances. The decision to provide discretion to potential management companies for the leisure centre would provide a greater return to the Council over the full length of the contract therefore delivering improved value for the Council. Councillor Whiting continued that for this reason it was disappointing to see the statements from the Labour Group in the media. He accepted that there was a risk if the contractor went into administration but this had not occurred to date in

any similar scheme and in return the Council should receive a guaranteed indexed link return.

Finally, he stated that the main reason for the Council not investing in housing at the present time was because of the uncertainty in this area for all of local government and it would be folly to embark on such projects at this time. Therefore, at this time the money would be better used for the community and did not impact on the ability to deliver social housing when the uncertainty had been removed.

Recommended that Council:

- (1) approves the proposed changes to 2016/17 Budgets detailed in paragraph 3.2 of the report;
- (2) approves the Revised 2016/17 Budget of Net Expenditure of £11,969,306 (Appendix 1 to the report) after allocating a surplus of £96,200 (paragraphs 3.2.2 and 3.2.4 of the report);
- (3) approves the proposed changes to 2017/18 Base Budgets detailed in paragraph 3.3 of the report.
- (4) approves the proposed Budget for 2017/18 with Net Expenditure of £14,858,673 taking into account the changes detailed in paragraph 3.3 and summarised in Appendix 1 of the report;
- (5) approves the use of the Leisure Options Reserve by the Heads of Finance and Cultural Services in consultation with the respective Portfolio Holders towards the upfront investment costs that will be incurred by the new leisure centre operator as set out in paragraph 3.3.8 of the report;
- (6) notes the Grant Settlement for 2017/18 as discussed in paragraph 3.4.1 of the report; and approves that should there be any changes between the indicative Revenue Support Grant and the final amount, the changes will be managed through the Service Transformation Reserve (para 3.4.6), and any change in the Business Rate Retention figures is reflected in the use of the Business Rate Retention Volatility Reserve (paragraph 3.5.7 of the report);

- (7) approves the Council Tax of a Band D property for Warwick District Council for 2017/18 before the addition of parish/town council, Warwickshire County Council and Warwickshire Police and Crime Commissioner precepts is agreed at £156.86 representing a £5 increase on 2016/17.(paragraph 3.6.7 of the report);
- (8) subject to approval of the above Budget 2017/18, the Council Tax charges for Warwick District Council for 2017/18 before the addition of Parish/Town Councils, Warwickshire County Council and Warwickshire Police and Crime Commissioner precepts, for each band be agreed as follows:

Band	£ Charge
Band A	104.57
Band B	122.00
Band C	139.43
Band D	156.86
Band E	191.72
Band F	226.58
Band G	261.43
Band H	313.72

- (9) continues to pay the National Living Wage to its employees, with the rate increased to £8.45 (as determined by the Living Wage Foundation) from April 2017 (paragraph of the report 3.8.1);
- (10) notes the Medium Term financial projections as shown in the Strategy at Appendices 2; along with the underlying deficit of some £830,000 unless this can be addressed by savings of the same magnitude delivered by 2021/22 (paragraph 3.9.5 of the report); and that there would be a further update in June 2017, including details of how this may be resolved in a Fit for the Future Report;
- (11) notes the Reserves Schedule as at 1st April 2017 and projected balances at Appendix 3;
- (12) approves the establishment of a new Community Projects Reserve, with the Executive to agree allocations from this

reserve. (paragraphs 3.10.3.xiii and 3.13.3 of the report);

- (13) approves that the Equipment Renewal Schedule (Appendix 4 to the report) and ICT Schedule (Appendix 5 to the report) will be financed by the respective reserves and notes that neither reserve is fully funded in the long term unless further sources of finance in addition to the recurrent allocations as approved in the September 2015 Fit for the Future Report (paragraphs 3.10.3 v and ii of the report) can be found;
- (14) notes the funding shortfall for future Pre-Planned Maintenance work, and this will be considered further within the forth-coming March Executive Report on the Corporate Property Planned Preventative Maintenance Programme (paragraph 3.10.3 ix of the report);
- (15) approves the General Fund Capital and Housing Investment Programmes as detailed in Parts 1 and 2 of Appendices 6 of the report, together with the funding of both programmes as detailed in Parts 3 and 4 Appendices 6 to the report and the changes described in the tables in paragraph 3.11 and Appendix 7 to the report;
- (16) recognises that it is not restricted in the use of Right to Buy Capital Receipts for the Housing Investment Programme, agrees that £1.9m of these be utilised to part fund the 2016/17, 2017/18 and 2018/19 General Fund Capital Programmes, and that this policy will be subject to further consideration within the June Fit For the Future Executive report (paragraph 3.11.11 of the report);
- (17) approves the Prudential indicators (paragraph 3.12 and Appendix 8 to the report);
- (18) approves the Financial Strategy (paragraph 4.2 and Appendix 9 to the report);
- (19) notes the 2017/18 proposed New Homes Bonus of £1,938,358 and approves the allocation of this as follows, as detailed in paragraph 3.13.6 of the report:

New Homes Bonus - 2017/18 Allocation	1,938,358
Waterloo	-178,525
Early Retirement Reserve	-150,000
Contingency	-104,500
Kenilworth (Leisure Ph2)	-100,000
Digital Transformation	-200,000
OSS Digital Investment	-50,000
Linen Street re-provision	-250,000
Private Sector Housing Resources	-37,500
Community Projects Reserve	-867,833
Total Allocated	-1,938,358

- (20) notes that the 2016/17 General Fund budgeted surplus of £50,500 will be incorporated into a 2017/18 Contingency Budget. In total the 2017/18 contingency budget would be £200,700 when some of the New Homes Bonus (£104,500) and balances on various Contingencies Budgets from 2016/17 (£45,700) are also included. (paragraph 3.13.6 of the report);
- (21) notes the mitigations and controls in place to alleviate the financial risks as detailed in Section 6 of the report;
- (22) approves the requests for revenue slippage to 2017/18, where it is not possible to complete projects by 2016/17 as set out at Appendix 10 to the report; and
- (23) adopts the discretionary measure of doubling rural rate relief to 100% from 01 April 2017, funded by Government Grant following the announcement in the December Autumn Statement (paragraph 3.14) .

(The Portfolio Holder for this item was Councillor Whiting)
Forward Plan reference number 807

88. Housing Revenue Account (HRA) Budget 2017/18 – Council Tenants

The Executive considered a report from Finance that presented the latest Housing Revenue Account (HRA) budgets in respect of 2016/17 and 2017/18.

The information contained within the report supported the recommendations to Council in respect of setting next year's budgets, the proposed changes to council tenant housing rents, garage rents and other charges for 2017/18.

In July 2015 the Government announced that with effect from April 2016, the rents charged for existing tenants by local authority housing landlords should be reduced by 1% per year, for four years.

In March 2016, a one year deferral was introduced for supported housing from the reduction of social rents in England of 1%, allowing the Council to continue to apply a CPI (at September) + 1% rent increase in 2016/17.

As planned, the rent reduction would apply to supporting housing, with rents in these properties decreasing by 1% a year for three years, up to and including 2019/20.

The existing exemption for specialised supporting housing would remain in place and be extended over the remaining three years of the policy for mutual / co-operatives, alms houses and Community Land Trusts and refuges. However, this Council did not currently have any housing which would meet these criteria.

For void properties, the Council was able to set the base rent as the Target Social Rent (also known as Formula Rent). This represented a small increase over the social rent charged by the Council to tenanted properties and would increase projected rental income by around £5,000 in 2017/18. However, this rent had to be subsequently reduced by 1% at the next annual rent review when the property was re-let to comply with the July 2015 policy announcement included in Welfare Reform and Work Bill 2015/16.

The only exception would be in respect of properties at Sayer Court, Leamington where the Council had previously decided that tenancies within the new development would be let at Warwick Affordable Rent Levels. Whilst the 1% rent decrease would apply to existing tenants, new tenancies established during 2017/18 would be charged at the current full level of rent.

Details of the current rents and those proposed as a result of this recommendation were set out at Appendix 1 to the report. A comparison of the Council's social rents with affordable and market rents was set out at Appendix 2 to the report.

The report recommended compliance with national policy and guidance on the setting of rents for General Needs and Supported Housing properties.

The shared ownership properties rent increases were not governed by the national Policy. Schedule 4 of the lease agreement allowed the

Council to increase rents for shared ownership properties by RPI + 0.5% in April 2017.

Garage rent increases were not governed by national guidance. Any increase that reflected costs of the service, demand, market conditions and the potential for income generation could be considered. The HRA Business Plan base assumption was that garage rents would increase in line with inflation. However, the Council did not have in place a formal policy for the setting of rents for garages.

There were waiting lists for a number of garage sites, whilst other sites had far lower demand; where appropriate, these sites were being considered for future redevelopment as part of the overall garage strategy for the future. To date 88 garages had been demolished or disposed of to provide land for new affordable housing.

Market Research showed that in the private sector, garages were being marketed for around £80 per month (as at January 2016). The average monthly rent for a Council garage rent was currently £26.

With regard to these factors, an average increase of £4 per month had been recommended as the most appropriate increase. The additional income generated for the service would help to alleviate the loss of rental income from dwellings and ensure funding was available for responsive repairs and modernisation of the whole HRA stock.

This increased projected income for 2017/18 by £100,000 compared to 2016/17.

For tenants, most garage rents would increase by 77p per week, from £6.11 to £6.88. Non-tenants also pay VAT on the charge, so it would increase by £1.14 per week, from £7.33 to £8.47.

During 2015, the Council took ownership of 15 shared ownership dwellings at Great Field Drive in southwest Warwick.

Shared owners were required to pay rent on the proportion of their home which they did not own.

The Council adopted the Homes and Communities Agency (HCA) template lease agreement which included a schedule on rent review. The lease determined that the rent would be reviewed in April 2017 and would be increased by RPI + 0.5%.

The Council was required to set a budget for the HRA each year, approving the level of rents and other charges that were levied. The Executive made recommendations to Council that took into account the base budgets for the HRA and current Government guidance on national rent policy.

In addition to the changes identified in the report, the HRA would be budgeting to provide an additional £545,900 to fund Housing Related

Support Services in 2017/18, pending a review of service (as outlined in the HRS Committee Report – February 2017). Any surplus would be returned to the Capital Investment Reserve following the review, due in July.

The dwelling rents had been adjusted to take account of the loss of rent resulting from actual and anticipated changes in property numbers for 2016/17 and 2017/18. This included additional rental income from the 81 new build properties at Sayer Court which were completed Q3 2016 and were in the process of being let to tenants.

The garages rental income had been increased to take into account the £4 per month average increase in charges for 2017/18.

The bad debt provision had been reduced by £56,800 to 1.5% of gross rents (down from 1.71%) for 2017/18. This was to reflect a reduction in the value of rent arrears over the past two years. The introduction of Universal credit was expected to result in an increase in the levels of rent arrears. However, this was not expected to be fully implemented until summer 2018.

Full details of the Budget would be included within the Budget Book which would be available to Members ahead of Budget/Rents Setting by Council although a summary was provided in Appendix 3 to the report.

The Housing Investment Programme was presented as part of the separate February 2017 report 'General Fund Budget'.

The recommendations would enable the proposed latest Housing Investment Programme to be carried out and contribute available resources to the HRA Capital Investment Reserve for future development whilst maintaining a minimum working balance on the HRA of at least £1.4m in line with Council policy.

The Council had discretion over the setting of Garage rents and, as an alternative, it was possible for each 1% change in garage rents results in an increase or decrease of potential income of around £5,200 per year. It would be possible to set Garage rents higher than those proposed to maximise income; however, significantly higher rents could make Garages harder to let and so reduce income. Similarly, rents could also be reduced but this would reduce income to the HRA Budget when it is needed. The review of the HRA Business Plan during 2017/18 would consider options for increasing the financial viability of providing garages.

The Council had the discretion to decrease rents for existing tenants by more than the 1% prescribed.

An addendum was circulated at the meeting which advised that for tenants most garage rents would increase by 95p per week, from £6.11 to £7.06. Non-tenants also paid VAT on the charge, so it would increase by £1.14 per week, from £7.33 to £8.47.

The values for tenants in the report previously were based on an average of all garages, whereas the VAT values were based on a Mode average. They were now both based on the Mode Average so that the data was consistent. None of the changes had a financial impact upon the HRA.

The Finance & Audit Scrutiny Committee raised concerns relating to the increase in garage rents and hoped that this would go towards funding the repair and maintenance of the garages. Members noted, however, that the strategy relating to garages had been delayed until a new Head of Housing was in post.

The Finance and Audit Scrutiny Committee supported the recommendations in the report.

The Executive thanked the Scrutiny Committee for their comments and reemphasised the main reason for not building houses at present was because of the uncertainty from central government.

Recommended to Council that

- (1) housing dwelling rents for 2017/18 be reduced by 1% for existing HRA dwelling tenants;
- (2) the rents for Designated, Sheltered and Very Sheltered dwellings for 2017/18 is reduced by 1%;
- (3) HRA dwelling rents for 2017/18 onwards for new tenancies are set at Target Social Rent, except for Sayer Court, which are to be set at Warwick Affordable Rent levels;
- (4) shared ownership properties rents will increase by RPI + 0.5% in accordance with the terms of the lease;
- (5) garage rents for 2017/18 be increased by an average of £4 per month (excluding VAT where applicable);
- (6) the latest 2016/17 and 2017/18 Housing Revenue Account (HRA) budgets be agreed as set out at Appendix 3 to the report; and
- (7) the 2017/18 Budget to incorporate an additional £545,900 to fund Housing Related Support Services in 2017/18, pending a review of service (as outlined in the HRS Committee Report – February 2017).

(The Portfolio Holder for this item was Councillor Phillips)
Forward Plan reference 808

89. Heating Lighting and Water Charges 2017/18 – Council Tenants

The Executive considered a report from Housing & Property Services which set out the proposed recharges to Council housing tenants for the provision of communal heating, lighting and water supply during 2017/18.

Recharges were levied to recover costs of electricity, gas and water supply usage to individual properties within one of the sheltered and the five very sheltered housing schemes, which were provided as part of communal heating and water supplies. The costs of maintaining communal laundry facilities were also recharged at those sites benefitting from these facilities under the heading of miscellaneous charges.

The charges necessary to fully recover costs were calculated annually from average consumption over the past three years, updated for current costs and adjusted for one third of any over-recovery or under-recovery in previous years. The charges for 2017/18 were calculated on the basis of average consumption for 2013/14, 2014/15 and 2015/16. The use of an average ensured that seasonal and yearly variations were reflected in the calculation.

For reference, in February 2013 the increase required to meet projected Heating & Lighting costs was deemed unaffordable for tenants, so it was agreed to implement a lower increase and aimed to fully recover costs within a five year period. In 2015/2016 it was recommended that where the increase to fully recover costs was higher than 95p per week, the increases should be constrained to 95p to ensure it was affordable for tenants and continued to move towards full recovery over future years.

From 2016/17, the Council moved towards a policy of full recovery of costs and to achieve this it adopted a policy whereby the charges were increased by the lower of the full amount, to achieve full cost recovery or an amount equal to 1% of the rent due for the property. This approach enabled full cost recovery to be phased in gradually and ensured that no excessive increases to the charges were made in one year.

The proposed increase in weekly charges was equivalent to the 1% decrease in average rent to tenants. This was a fair approach as it facilitated the council implementation of full costs recovery and it did not make tenants worse off, as detailed at Appendix 1 to the report.

The Gas and Electricity contracts for the authority had been renegotiated in 2016/17, with savings achieved on the gas contract and an increase agreed on the electricity contract. Any savings / increases would be passed on to tenants in future years.

If any proposed charges were thought to be unaffordable for tenants, charges could be set at any level between no increase and the proposed charges, with the understanding that this meant that the shortfall would either be funded from the rents of all tenants, the majority of whom would also be paying their own electricity and gas costs directly, or recovered from charges in future years when some flats could be occupied by new tenants who had not benefited from the reduced charges.

For those Heating/Lighting charges which had been set below the level necessary to recover the full cost, a higher charge could be set to better reflect the costs. This would mean a number of tenants would be paying an increase in charges of up to £3.40 per week (£176.8 per year), while other tenants would see a reduction in the charges they paid by up to 80p per week (£41 per Year).

Charges could be set above the real costs of recovery. This would mean tenants of these schemes would have no choice but to pay above the real cost of these utilities, as the communal nature of these services meant they could not choose their own energy suppliers. This would not be fair.

Recommended that Council approves the revised recharges for Council tenants relating to heating, lighting, water and miscellaneous charges for the rent year commencing 4 April 2017, as set out in Appendix 1 & Appendix 2 to the report.

(The Portfolio Holder for this item was Councillor Phillips)
Forward Plan Reference 809

90. **Treasury Management Strategy Plan for 2017/18**

The Executive considered a report from Finance that detailed the strategy for 2017/18 that the Council would follow in carrying out its Treasury Management activities including the Annual Investment Strategy and Minimum Revenue Provision (MRP) Policy Statement.

The Council was required to have an approved Treasury Management Strategy, including an Annual Investment Strategy and Minimum Revenue Provision Policy within which its Treasury Management operations could be carried out. The Council would be investing approximately £18.86 million in new capital schemes in 2017/18 and would have average investments of £75 million (2016/17 latest £72m). The Council was running out of suitable counterparties with which to invest thus requiring changes to counterparty limits in 2017/18 in order to create headroom to absorb the predicted increase in investment balances from 2017/18 onwards. The level of cash available to invest arose from the Council's reserves and provisions, the General Fund (GF) and Housing Revenue Account (HRA) balances, and accumulated capital receipts as well as working capital cashflow.

The Council's treasury management operations were also governed by various Treasury Management Practices (TMP's), the production of which was a requirement of the CIPFA code and which must be explicitly followed by officers engaged in treasury management. These had previously been reported to the Executive. There had been the following changes to various Treasury Management Practices (TMP's) and these changes were summarised within the report.

The Council had regard to the Governments Guidance on Local Government Investments and CIPFA's updated Treasury Management in Public Services Code of Practice. The guidance stated that an Annual Investment Strategy must be produced in advance of the year to which it related and must be approved by Council. The Strategy could be amended at any time and it must be made available to the public. The Annual Investment Strategy for 2017/18 was contained within Appendix B to the report and its Annex.

The Council had to make provision for the repayment of its outstanding long term debt and other forms of long term borrowing such as Finance Leases. Statutory guidance issued by CLG required that a statement on the Council's policy for its annual MRP should be submitted to the Council for approval before the start of the financial year to which it relates and this was contained in Appendix C to the report.

The Prudential Code for Capital Finance in local authorities, which was revised in 2011, introduced new requirements for the manner in which capital spending plans were to be considered and approved, and in conjunction with this, the development of an integrated treasury management strategy. The Prudential Code required the Council to set a number of Prudential Indicators and this report incorporated, within section 5 of Appendix A, the indicators to which regard should be given when determining the Council's treasury management strategy for the next three financial years.

The approval of an annual Treasury Management Strategy was a requirement of the CIPFA Treasury Management in the Public Services Code of Practice, the latest version of which was adopted by the Council in 2011/12. Therefore, an alternative to the strategy being proposed for 2017/18 would be to not alter the current counterparty limits but this would risk the Council running out of acceptably credit rated counterparties and possibly having to lower its minimum credit ratings below that which it felt comfortable with.

Finance & Audit Scrutiny Committee fully supported the recommendations in the report along with the potential for encouraging other Financial Advisors to work with Local Authorities in the future. Members also noted that whilst the risk profile was increasing, the Council was doing all it could to mitigate this whilst strengthening Capital Security.

The Executive thanked the team for their work on this and for taking the Council into equity investments.

Resolved that the changes to the various Treasury Management Practices as detailed in paragraph 3.2 of the report be noted.

Recommended that Council approves

- (1) the Treasury Management Strategy for 2017/18 as outlined in paragraph 3.1 of the report and detailed in Appendix A to the report;
- (2) the 2017/18 Annual Investment Strategy as outlined in paragraph 3.3 and detailed in Appendix B to the report together with Annex 1 including the following changes:-
 - a) that as per the table in paragraph 2.2 of Appendix B to the report, the current counterparty limits in relation to the appropriate long term credit rating are increased to those shown in the table;
 - b) that as per paragraph 2.5 of Appendix B to the report, in relation to Corporate Equity Funds the current risk categories of low, medium and high and individual fund limits of £3m, £2m and £1m respectively are replaced by low and medium risk with fund limits of £4m and £2m respectively. In each case the limit to be subject to a 10% allowance for capital growth. These changes to take immediate effect.
 - c) that as per paragraph 2.6 of Appendix B to the report, the policy on the use of Financial Derivatives is approved;
- (3) the Minimum Revenue Provision Policy Statement as outlined in paragraph 3.4 of the report and contained in paragraphs 4.1 to 4.4 of Appendix C of the report; and
- (4) the Prudential Indicators as outlined paragraph 3.5 below and contained in paragraphs 5.1 to 5.5 of Appendix A of the report.

(The Portfolio Holder for this item was Councillor Whiting)
Forward Plan reference 810

91. Housing Related Support Services

The Executive considered a report from Housing & Property Services that made recommendations to ensure the future delivery of housing related support services to Warwick District Council tenants who lived either in our sheltered schemes or in a property designated for older people. This followed the withdrawal of funding from Supporting People grant administered by Warwickshire County Council.

The recommendations followed a commitment by Warwick District Council to continue with support services to our tenants and to continue to offer Lifeline services to the wider public. The new charges recommended offer the Council a platform for further work to review services and form part of an overall plan to continue to deliver good housing support services.

Supporting People funding of £463,700 per annum previously contributed towards the cost of the provision of services to tenants in sheltered and designated properties but this funding, paid to the Council by Warwickshire County Council, ceased on 31 July 2016.

In anticipation of this cessation of funding, the Executive agreed on 13 January 2016 to approve the utilisation of additional budget provision, held within the HRA Business Plan, to maintain existing levels of Housing Related Support to tenants of the Council's sheltered schemes and properties designated for older people. This provision was made available until July 2017, allowing services to be maintained for the remainder of the financial year 2016/17 and the start of the financial year 2017/18 while new proposals for funding the service were developed and brought forward for approval.

The recommendations set out proposals for new charges, as part of the Council's response to the loss of grant. Other proposals related to a full review of the staffing of the service and active management steps to market the services and hence increase income. These proposals would be reported to Employment Committee and a further report would come to Executive in June 2017 to show how the current funding gap, set out in section 5, would be addressed as a result.

As part of the review, extensive consultation had taken place with tenants. Informal consultation was undertaken in early 2016 and in October 2016 formal consultations started, with proposals sent out to all the 1,300 tenants affected. In addition, nine public meetings were held, having advertised them in the consultation documents. These were a useful opportunity to explain the proposals and discuss any concerns. The deadline for comments from the consultation was the 20 December 2016.

The consultations for the sheltered schemes and the designated properties were separate. The proposal put forward to sheltered residents was that:

"We will continue to provide a service similar to the one we provide now. There will be an officer on duty at each scheme Monday to Friday, and an officer to visit each scheme on Saturday and Sunday. Daily welfare checks will be made as required.

There will be a 24/7 Lifeline and emergency response service.

It will be a condition of your tenancy that you receive this service (you will not be able to opt out of this service).

You will be required to pay for this service (some of the cost may be met by housing benefit)."

Of the 186 tenants 70 forms were returned. The response to this was as follows:

	Number	Percentage
Agree with the proposal	59	84%
Do not agree with the proposal	11	16%
	70	100%

Tenants expressing views at the public meetings were generally pleased; reassurance was provided to those present that the charges associated with this proposal would be in the region of £10 to £15 per week. As some residents were paying £29.12 per week, most residents were satisfied. The Council was also able to inform tenants that the charge for the Lifeline part not be eligible for housing benefit would be under £5 per week and those attending the meetings did not express any views that indicated they thought this was unreasonable.

A typical comment recorded from the consultation *"It is very comforting to know for myself and my family that I will have the Lifeline, best thing ever. Thank you and well done!"*

The tenants of our designated properties for the over 60s, were consulted on two different proposals, reflecting the views expressed during the informal consultations already held. The two proposals were as follows:

Proposal 1: Lifeline service is a condition of your tenancy and you will be required to pay for the service.

Proposal 2: Lifeline service is not a condition of your tenancy and you will only pay for the service if you require it.

The results of the consultation were as follows:

Proposal	Number	Percentage
Option One	107	26%
Option Two	307	74%
Total	414	100%

The tenants attending meetings showed a clear preference for an opt-in service; with a number of tenants feeling they did not need this at the moment and therefore felt that they should not have to pay for this service.

The proposals set out for approval were, therefore, in line with the preferences expressed by the majority of tenants in the consultation exercise and thus could be expected to have supported from most of the residents affected.

The proposed weekly charges, as referred to in 2.2 and 2.3, were set out below:

	Existing SP charge	New charges	Of which not eligible for HB
Sheltered schemes	£29.12	£12 (£8.40 intensive housing management+ £3.60 Lifeline service) Compulsory for all customers	£3.60
Designated properties	£11.50	£7.56 (£3.96 intensive housing management + £3.60 Lifeline service) Voluntary, tenants can opt out	£3.60
Designated properties	£6.52	£7.56 (£3.96 intensive housing management + £3.60 Lifeline service) Voluntary, tenants can opt out	£3.60

Discussions had taken place with the Housing Benefits team who had confirmed that the intensive housing management charges would be eligible for Housing Benefit and that the charges for Lifeline were not eligible for Housing Benefit.

Of the 84 residents of the sheltered schemes, 39 would have to pay £3.60 per week when they were currently not having to pay for this service. 45 residents would be better off as they were currently paying the full £29.12 per week charge.

Subject to approval of recommendations 2.2 and 2.3, in the report, residents would be informed of the results of the consultation and these charges as part of the new rent notification letters to be sent out at the end of February, with the new charges being implemented on the 3 April 2017.

This review had also highlighted that some properties that were currently designated as older person properties were perhaps not best suited to this categorisation. We were finding that some properties advertised to the over 60s were on many occasions receiving no or very few bids and were having to be re-advertised, with a reduced age restriction which delayed re-letting. At the same time the Council had applicants with medical priority or other priorities that had to wait years for a reasonable offer of accommodation.

Two groups of properties had been identified for review:

- a) 42 properties in mixed blocks, so some residents in the block were of a designated age and others were not; and
- b) 200 properties in flats where access was not via a communal entrance.

If the recommendation was accepted, consultation would begin in April 2017, consideration would be made on individual locations depending on the feedback and circumstances of each location. A report of any changes recommended would come back to Executive for approval.

Removal of the designated status would open up the properties upon re-letting to the Right to Buy. The designated properties were currently excluded from the Right to Buy. However, officers did not believe the Council should keep the designated status just to preserve this restriction. It was more important that the Council were making the best use of stock given the housing demands in the District.

Alternatively, the Council could decide to no longer provide Lifeline Services or support services to older tenants. The proposed charges were considered reasonable and were part of the response to provide properly funded and effective services.

The Council could continue to impose charges on tenants of our designated properties and not allow an opt-out. This would be unpopular but would better preserve income to pay for services. It was expected that with the charges proposed, savings that could be made, and the marketing to increase take up of Lifeline services, the Council could continue to deliver effective services to older residents.

If the Council were unable to increase take up of Lifeline services within two years, a re-evaluation of the continuation of Lifeline services would take place.

Members of the Finance & Audit Scrutiny Committee raised concerns about the impact to residents of changes to some housing designations but noted Officers' assurances regarding consultation and the option of adjusting designations. They commended the significant reduction in some charges as a result of the review.

The Committee therefore supported the recommendations in the report and noted that most residents were satisfied with the services being provided.

The Executive welcomed the comments of the Scrutiny Committee and highlighted that in essence this Council was picking up the ball from Warwickshire County Council but as a result the Council would be paying less.

Recommended to Council that it

- (1) it notes the extensive consultation that has taken place with residents of sheltered schemes and tenants of designated properties for older residents;
- (2) approves a service charge from 3 April 2017 for our sheltered schemes of £8.40 per week for intensive housing management services, and a service charge of £3.60 per week for the Lifeline service. These charges replace the £29.12 per week Supporting People Charges for the tenants of the five sheltered schemes: Acorn Court, Chandos Court, James Court, Tannery Court and Yeomanry Close. These charges will be charged to all residents of the schemes as part of their tenancy agreement obligations;
- (3) approves a service charge from 3 April 2017 for our designated properties of £3.60 per week for a Lifeline alarm service, or £7.56 for Lifeline Plus services (£3.60 plus £3.96 intensive housing management charge). These charges replace the existing Supporting People charge of £11.50 or £6.52 per week;
- (4) approves the charges set out in 2.3 above will no longer be obligatory, as part of the tenancy agreement, with charges only being levied where agreed with the tenant that they require these services;
- (5) notes that proposals for new management arrangements for housing support services will be reported to the March 2017 Employment Committee and that a full redesign of the teams delivering these services will be presented for consideration at the Employment Committee in June 2017, with any cost implications, including potential redundancy costs, also reported to Executive in June 2017; and

- (6) notes the consultation with tenants on the removal/changes of age restrictions on 42 properties in mixed age blocks and a further 200 properties where there is a specific access to the property rather than a communal block entrance, with the outcomes of the consultation and any subsequent proposals on the removal or alteration of age designations being reported back to a future Executive.

(The Portfolio Holder for this item was Councillor Phillips)
Forward Plan Reference Number 777

Part 2

(Items upon which the approval of Council is not required)

92. A New Bridge over the River Avon on St Nicholas' Park, Warwick and Improvements to Myton Fields Car Park

The Executive considered a report from the Deputy Chief Executive (AJ) that sought approval for investigating the viability and costs for the introduction of a new bridge over the River Avon on St Nicholas' Park Warwick and improvements to the Myton Fields Car Park.

Warwickshire County Council (WCC) had recently undertaken a major public consultation exercise in relation to its highway proposals for Warwick town centre. The proposals supported delivery of the Warwick District Council (WDC) Publication Draft Local Plan. At the request of Historic England (HE) and others, a different approach had been applied to the highway proposals, with greater emphasis given to improving air quality, improving connectivity for pedestrians and cyclists, improving the setting of heritage assets, introducing a 20 mph speed limit and generally enhancing the visitor experience.

A new bridge over the River Avon and joining Myton Fields to St Nicholas Park could potentially help with this objective, and would create a new sustainable travel link between Warwick town centre and the schools along the Myton Road, and with the housing area (current and emerging) south of Warwick. The bridge could also provide an opportunity for fresh interpretation of Warwick Castle, St Nicholas' Park, and the River Avon.

The Chief Executives of both Warwick District Council (WDC) and Warwickshire County Council (WCC) had agreed to officers working collaboratively to better integrate town planning (the responsibility of WDC) with highway issues (the responsibility of WCC), and the idea for a new pedestrian bridge had grown from this multidisciplinary approach.

Following initial discussions between officers of the two authorities, WCC commissioned work to estimate the cost of a bridge. A 'relatively standard' pedestrian/cyclist bridge was estimated to be around £2

million, but given the fact that the bridge would effect the setting of heritage assets of the highest significance it was unlikely that such a bridge would be acceptable; instead an exemplary design would be needed which could be closer to £4 million.

A bridge was proposed over the River Avon at Stratford-upon-Avon, where the river was wider than at Warwick, and WCC advised that the cost of this bridge (not built) exceeded £3 million back in 2006. A comparable river bridge in Derby city centre built in 2007 cost £3.8 million. The cost of the bridge proposed at Tintagel Castle (although this was a very different context) was estimated to be £4 million.

Given the uncertainty at the time of writing about the design and construction of the bridge, it was difficult to provide a precise cost range, but the costs provided a feel for the scale of the project should Councillors wish to proceed.

Along with investigating the feasibility of a bridge, it was also recommended that work be undertaken to explore improvements and enhancements to the car park at Myton Fields. This area was currently used for car parking on a seasonal basis but it was highly likely that a pedestrian/cyclist bridge would generate significant new footfall with visitors wanting to start their "experience" by parking in Myton Fields and not just in the spring and summer months. An improved year-round car park had the advantage of further mitigating the potential for parking issues generated by the enhanced leisure centre in St Nicholas Park.

Investigating car park improvement options at Myton Fields was also apposite in the context of the work ongoing on developing a car parking strategy for Warwick as it would help inform that work. Indeed, officers had already started work to understand the cost of all-weather surfacing at Myton Fields to provide a functional year-round car park.

To undertake this feasibility work it was considered that the following professional services would be required:

- Architects, engineers, surveyors, landscape architects
- Competition consultants / public relations
- Project management
- Cost consultants
- Ecologists
- Arboriculturalists

It was estimated that the cost of procuring these services would be in the region of £60,000. Consultation with all interested parties would be needed including, but not limited to, Historic England, the Town Council, Chamber of Trade, Friends of St Nicholas Park, Warwick Society, Environment Agency, etc.

Heritage England had, informally, made a positive response to the idea. It had advised that the bridge would need to be of a very high quality

design given the sensitive location and it would be worthy of a design competition to attract the best possible design talent.

Heritage England had suggested the competition could be similar to the one they had run for a new bridge at Tintagel Castle, which required experienced architects and engineers to collaborate in delivering an appropriate design within a given budget. It would be possible to appoint consultants to run the competition, as with the Tintagel example.

The land either side of the River Avon between Leamington and Warwick was largely owned by WDC, interrupted by smallish parcels in private ownership. As a future consideration the Council could explore whether it would be possible to make the Council's land ownership wholly contiguous between the two towns thereby providing an attractive walk for residents and visitors alike. The bridge proposal would enhance the experience of walking between the two towns.

Doing nothing was an alternative option, but this would mean that walking and cycling were less attractive options, resulting in increased car use to the detriment of air quality, safety, and visitor's experience of historic Warwick. Walking and cycling could potentially become more dangerous for pupils attending schools off Myton Road, this was because Castle Bridge already accommodated heavy traffic and over 5000 new homes would be built to the south of Warwick, potentially increasing traffic on Castle Bridge.

The Portfolio Holders responsible for the report circulated an addendum to the report at the meeting that explained that should a new bridge prove not feasible, the case to improve the car parking area would still stand on its own terms as it could:

- Address the potential car parking shortfall at St Nicholas Park should the new leisure facilities prove even more successful than anticipated;
- Alleviate some of the early morning traffic issues associated with the schools on Myton Road;
- Provide an increase in overall car parking capacity for the town of Warwick;
- Inform the emerging car parking strategy for Warwick.

The Overview & Scrutiny Committee noted the report.

The Executive recognised that this was a sensitive and important area that needed to be considered carefully to ensure all relevant parties were consulted. They noted the importance of paragraph 3.9 of the report that stated "Consultation with all interested parties would be needed including, but not limited to, Historic England, the Town Council, Chamber of Trade, Friends of St Nicholas Park, Warwick Society, Environment Agency, etc".

The Leader explained that recommendation 2.1 should be amended to provide greater clarity on the fact that the improvements to the car

park and new bridge were, while related, separate projects to be considered.

Resolved that

- (1) officers be authorised to work with all relevant parties to establish the cost and viability of building an appropriately designed pedestrian/cyclist bridge over the River Avon and also a better landscaped and functional car park beside it at Myton Fields which addresses the less than ideal access arrangements off Myton Road;
- (2) a sum of £60,000 is released from the Community Projects Reserve (see separate agenda item) to enable officers to undertake necessary feasibility and business case work including how a competition could secure the appointment of world-class design talent for the bridge and landscaping (including the car park); and
- (3) Warwick District Council owns a large swathe of green space running along the River Avon and whilst the various land parcels are not contiguous the bridge would further enhance the links between open spaces running between Leamington and Warwick.

(The Portfolio Holders for this item were Councillors Cross and Shilton)
Forward plan reference number 835

93. **Recommendation from One Stop Show Review**

The Executive considered a report from Neighbourhood Services that sought approval for the development of a business case for the change in approach to the delivery of One Stop Shops (OSS).

Warwick District Council and Warwickshire County Council had worked in partnership to deliver a "One Stop Shop" Service across five sites in the District since 2005. The five sites were at Riverside House, Leamington Spa; Shire Hall, Warwick; Kenilworth Library; Whitnash Library and Lillington Library.

The report provided the Executive with information gathered as part of this review and supplied an overview of the current OSS service. It suggested that a Business Case be put together to implement its findings, which could potentially deliver financial savings and a smarter way of working in line with Council Strategy and improved the service provided to customers.

A final report would be produced within 12 months and as part of that there would be an evaluation of the potential IT customer service options.

The current cost for this Council of face to face enquiries at the County Council owned sites was very high compared to the recognised national average, which was set out in paragraph 8.4 and 8.7 of the report along with Appendix C to the report. This needed to be looked at critically and ways of reducing that cost considered.

There were opportunities to improve the technology available at the OSS's that would enable a better service to be provided to customers alongside bringing the service in line with WDC's ICT & Digital Strategy (See Para 4.2 & 8.14). This would provide the opportunity to a) enhance and widen the service offered to customers and b) reduce the cost per enquiry.

Consideration needed to be given to the opening hours of the OSS sites to ensure value for money against the service demand. Particular attention needed to be given to Whitnash and Lillington where this Council's face to face service was only offered 1.5 days per week as detailed at Appendix A to the report.

The majority of the present enquiries made at the OSS sites were WCC related, with the exception of Riverside House. The number of WDC enquiries taken per day at the sites was also low. Therefore, there was a need for the service to be critically reviewed to ensure that it offered value for money.

The present joint partnership with WCC needed to be formalised to ensure that the most efficient and effective employer/employee arrangements were in place. The current situation created uncertainty for members of staff and managers around which employer terms and conditions and practices should be followed.

Consideration would be given to the different options within the current existing localities of the One Stop Shops that could potentially provide opportunities for the use of a building or office space that could improve the range and quality of services provided e.g. The Chain in Lillington. Officers would also ensure that the relevant Ward Councillors were consulted.

One alternative option was to maintain the current way of working and realise the priorities of this Council's ICT & Digital Strategy. It was considered that to realise the priorities of this strategy the current way of working needed to change so they both need to be considered together.

Another option considered was for this Council to withdraw from the OSS service altogether. However, there would always be a proportion of users that would require assistance in using the digital services and those that could not or would not engage with the technology.

The Overview & Scrutiny Committee noted the report.

In response to a question from Councillor Mrs Falp, the Portfolio Holder for Neighbourhood Services explained that once this report was approved, relevant Ward Councillors would be consulted.

Resolved that

- (1) a business case for the change in approach to service delivery at the One Stop Shops is produced for consideration based on the following principles:-
 - a) that customers are encouraged to access Council services digitally wherever practicable;
 - b) that a face-to-face service is removed and replaced at One Stop Shops by digital access where the current service is not providing value for money;
 - c) that the partnership arrangement between Warwick District Council and Warwickshire County Council is reviewed to ensure an effective employer/employee relationship is in place.
- (2) Officers will consult with frontline staff and Warwickshire County Council in the production of the aforementioned business case; and
- (3) Ward Members will be consulted at appropriate points in the development of the business case.

(The Portfolio Holder for this item was Councillor Shilton)
(Forward Plan reference number 812)

94. **Rural and Urban Capital Improvement Scheme (RUCIS)**

The Executive considered a report from Finance that sought approval for Rural/Urban Capital Improvement Scheme grant applications from Sydni Centre and the Canal & River Trust.

The Council operated a scheme to award Capital Improvement Grants to organisations in rural and urban areas. The grants recommended were in accordance with the Council's agreed scheme and would provide funding to help the project progress.

Both projects contribute to the Council's Sustainable Community Strategy:

The SYDNI Centre project would provide a refurbished sports court which would also enable multi-sports use (currently it was just a basketball court) which would remove current Health & Safety concerns and increase sporting / physical activity opportunities especially as the current facility was not in a usable condition. This facility would help to bring people together using the common denominator of outdoor play and sports which could help hard pressed families to relax, help to alleviate mental health problems, improve health & wellbeing and provided younger people something to do to alleviate boredom.

The project, ergo, contributed to the Council's Sustainable Community Strategy as without the centre and the sports court there would be fewer opportunities for the community to enjoy and participate in physical, social and cultural activities which could potentially result in an increase in anti-social behaviour, an increase in obesity (including in children) and disengage and weaken the community. The centre was located in one of the four most deprived areas within Warwick District, it was an area that was known to have some community cohesion tensions, some of the poorest families in the area, a high proportion of people with mental health issues and some low level anti-social behaviour.

The Canal & River Trust project contributed to the Council's Sustainable Community Strategy as the section of towpath to be surfaced would link with sections either side that were already stone paved creating an all-year-round 3.2km paved towpath for the community and visitors to the area to utilise, this would also remove current health & safety issues caused by the existing uneven and, at times of rainfall, muddy and waterlogged path.

This project would increase opportunity for a much greater diversity of pedestrians to enjoy and participate in physical activity which would help to reduce obesity, including within children. This had the potential to attract more visitors to the area which in turn could help the local businesses and amenities such as the general store and local public houses. The Canal & River Trust also had a group of local volunteers who helped to maintain the area and there was a volunteer towpath taskforce who would be carrying out the project work, this brought together a wide range of people which helped to engage and strengthen the community.

The Council only had a specific capital budget to provide grants of this nature and therefore there were no alternative sources of funding if the Council was to provide funding for Rural/Urban Capital Improvement Schemes. However, the Executive could choose not to approve the grant funding, or to vary the amount awarded.

Resolved that

Agenda Item 2

- (1) a Rural/Urban Capital Improvement Grant from the urban cost centre budget for the SYDNI Centre of 50% of the total project costs to refurbish the outdoor sports court and adapt to multi-sports use, be approved, as detailed within paragraphs 1.1, 3.2 and 8.1 of the report, up to a maximum of £6,361 excluding VAT, as supported by Appendix 1 to the report, subject to receipt of written confirmation of planning permission for the project work; and
- (2) a Rural/Urban Capital Improvement Grant from the rural cost centre budget for the Canal & River Trust of 80% of the total project costs to lay stone surfacing on a 730 metre section of the canal towpath between Packwood Lane, Lapworth and Dicks Lane, Rowington, be approved, as detailed within paragraphs 1.1, 3.2 and 8.2, and supported by Appendix 2 and 3 of the report, be approved up to a maximum of £7,917 excluding vat.

The Portfolio Holder for this item was Councillor Whiting)

95. **Public and Press**

Resolved that under Section 100A of the Local Government Act 1972 that the public and press be excluded from the meeting for the following items by reason of the likely disclosure of exempt information within the paragraphs of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006, as set out below.

Minute.	Para Nos.	Reason
96 &97	1	Information relating to an Individual
96 & 97	2	Information which is likely to reveal the identity of an individual
97	3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)

The full minute of the following item will be detailed within the confidential minutes.

96. **Cultural Services – Potential Redundancies**

The Executive considered a report from Cultural Services that set out the staff redundancy consequences of two reviews within Cultural Services. The new structures from both reviews were approved by Employment Committee on 14 December 2016.


Resolved that the recommendations in the report be approved.

(Portfolio Holder for this item was Councillor Coker)

97. **Confidential Minutes**

The confidential minutes of the meeting held on 5 January 2017 were taken as read and signed by the Leader as a correct record.

(The meeting ended at 6.47pm)

 WARWICK DISTRICT COUNCIL	Executive	Agenda Item No.
		3
Title: Housing and Homelessness Strategy 2017 - 2020		
For further information about this report please contact	Charlotte Rowan-Lancaster 01926 456335 / charlotte.lancaster@warwickdc.gov.uk	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	None	
Background Papers	As listed on page 31 of the Strategy.	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes (842)
Equality & Sustainability Impact Assessment Undertaken	Yes
Equality Impact Assessment undertaken	1/2/17

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	14/2/17	Chris Elliott/ Bill Hunt
Heads of Service	14/2/17	Tracy Darke
CMT	14/2/17	Chris Elliott
Section 151 Officer	N/A	Mike Snow
Monitoring Officer	14/2/17	Andy Jones
Finance	N/A	Mike Snow / Andrew Rollins
Portfolio Holder(s)	14/2/17	Councillor Peter Phillips
Consultation & Community Engagement		
As set out on page 29 of the Strategy: the draft priorities chart and an invitation to the options event were sent to:		
<ul style="list-style-type: none"> • Parish, town, district and county councillors; • Warwick District Council housing staff and tenants' representatives; • The Housing Sounding Board (which includes a range of voluntary sector organisations); • Warwickshire County Council's Public Health, Supporting People and Social Care teams; • Local housing associations' development and management staff; • Warwickshire Rural Community Council; • Neighbourhood forums; • Neighbouring local authorities; • Landlord Steering Group; and 		

- The Local Enterprise Partnership.

In addition an article was placed on the council's intranet inviting views from all staff, a press release was issued, and an alert was put out on Twitter.

An online survey was also available for comment for a period of 12 weeks.

The Strategy draft was then presented to Housing Advisory Group and Health and Scrutiny Group on the 17th of January'17 prior to the construction of its Action Plan.

Final Decision?	Yes
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Suggested next steps (if not final decision please set out below)	
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1. **SUMMARY**

- 1.1 This report contains a new joint Housing and Homelessness Strategy for the District for the three years 2017 to 2020. It sits within the wider framework provided by the Council's Sustainable Community Strategy, within which Housing is a key priority.

2. **RECOMMENDATIONS**

- 2.1 That the new joint Housing and Homelessness Strategy 2017-2020 as appended to this report be adopted. Previously, Warwick District had a separate Housing Strategy 2014-2017 and a Homelessness Strategy 2015-2017; it was felt that a cohesive joint Strategy moving forward would be most effective.
- 2.2 That Warwick District Council considers developing a Student Housing Strategy to run alongside the Housing and Homelessness Strategy.

3. **REASONS FOR THE RECOMMENDATIONS**

- 3.1 The production of a Housing Strategy is a discretionary option for local authorities.
- 3.2 However, all district councils are under a legal obligation to have in place a Homelessness Strategy for their District. As with the previous Strategy we sought the help and advice of other local organisations engaged in working with the homeless: we did this through the local Housing Sounding Board.
- 3.3 It is considered advantageous to have a joint Strategy combining Homelessness and Housing; which allows reasonably short and specifically focussed Housing and Homelessness actions to be in place, set within the context of the Sustainable Community Strategy and "Fit For the Future", to guide our deliberations and work on Housing and Homelessness over the medium term.
- 3.4 The proposed Strategy provides that framework. It sets out a number of headline actions under four broad priorities:
- Providing suitable accommodation, information and advice for the homeless in an effort to prevent and reduce homelessness
 - Meeting the need for housing across the District by addressing the need for new home provision
 - Improving the management and maintenance of existing housing
 - Ensuring people are supported to sustain, manage and maintain their housing
- 3.5 The O&S Task and Finish Group on HMOs has yet to report, so any recommendations from that Group have not been reviewed or included within the strategy for 2017/18.
- 3.6 The student population, mostly within Leamington and Kenilworth, are an integral part of the local community. As a group the student population have particular requirements from, and potentially give rise to particular issues for, the local community and it is important to promote harmonious relations between all sections of the community. As such, consideration should be given to developing a policy specifically to address the particularities of student housing within the District.

4. POLICY FRAMEWORK

- 4.1 The Strategy is set within the context of the refreshed Sustainable Community Strategy, which has housing as a key thematic priority.
- 4.2 Within that wider context the council, as a stock-holding authority also has specific responsibilities towards its own tenants and assets and these are delineated in the Housing Revenue Account Business Plan which fits within the Housing and Homelessness Strategy framework.

5. BUDGETARY FRAMEWORK

- 5.1 The Strategy outlines within its action plan, existing budgets from which it will operate, these do not require the allocation of new funding but come from the existing General Fund and Housing Revenue Account.

6 RISKS

- 6.1 That the Strategy fails to be adopted.
- 6.2 That the actions within the Strategy fail to be achieved.

7. ALTERNATIVE OPTION(S) CONSIDERED

- 7.1 To continue with two separate Strategies.

8. BACKGROUND

- 8.1 In preparation for writing this Strategy and in addition to inviting consultation responses from the stakeholders listed above, there was an article placed on our website inviting views from all staff; a press release was issued and an alert was placed on Twitter.
- 8.2 We met with the Housing Sounding Board to gather feedback from a range of voluntary sectors and stake-holders. A wide range of background information was gathered to run alongside the views collated via consultation and this document was published on our website to inform the public.
- 8.3 An online survey ran for 12 weeks; to gather further responses. There were a large number of responses from both our survey and consultations; these comments were analysed to identify key themes and incorporated to form our strategic objectives.
- 8.4 In January 2017 the draft Strategy was presented at Health and Wellbeing Scrutiny Panel and to our Housing Advisory Group. Further work was then carried out to draw up a detailed action plan which is now included in this document.
- 8.5 Approval for this Strategy will be sought from the Executive and the Council in March 2017 with the action plan to be reviewed on an annual basis (2017-2020) to ensure it meets its given objectives, reflects any significant changes and to ensure its priorities remain relevant.

Foreword

FIT FOR THE FUTURE

SERVICE

PEOPLE

MONEY

I am delighted to introduce the new Housing and Homelessness Strategy for Warwick District Council (WDC); a single cohesive Strategy which has been created in line with current changes to legislation and related policy areas.

In order to ensure this strategy is effectively implemented and meets its objectives, we will review progress annually during its three year term.

As a local authority we recognise that access to safe and affordable housing has a far reaching impact not only on the individual or family unit but also on our wider communities and this ethos informs not only this Strategy, but our broader local policy.

Housing is a key priority within the *Sustainable Community Strategy* contributing to the vision of making the District a great place to *live, work and visit*. Within this Strategy we aim to promote four themes which affect housing: prosperity, health and well-being, safer communities and sustainability.

Throughout the creation of this Strategy we consulted with our partners and a wide range of stakeholders, and I would like to thank all the many contributors. The responses we received gave a diverse range of views and ideas and have helped shape the strategic objectives within this Strategy for housing:

- § **Providing suitable accommodation, information and advice for the homeless in an effort to prevent and reduce homelessness**
- § **Meeting the need for housing across the District by addressing the need for new home provision**
- § **Improving the management and maintenance of existing housing**
- § **Ensuring people are supported to sustain, manage and maintain their housing**

Warwick District Council intends to work consistently and effectively in partnership with other agencies to ensure these objectives are met and to demonstrate our commitment to building a brighter future.

Councillor Peter Phillips

Housing and Property Services Portfolio Holder

Context

Our District and its demographics

Our District covers an area of 110 square miles in the southern half of the county of Warwickshire in the West Midlands and is home to around 58,700 households (137,600 people).

This area includes the towns of Kenilworth, Royal Leamington Spa, Warwick and Whitnash, accounting for around 80% of the population. The remainder of residents live in a number of villages, many of which are green belt. The District is bordered to the south and west by Stratford-on-Avon District, to the east by Rugby Borough and to the north by Solihull and the city of Coventry.

Our District provides a central location with strategic transport links. There are major routes across the area including the M40 providing direct access to London and indirect links to the north-west via the M6 and M5 respectively. There are junctions outside of our District near Rugby, providing links to the north and east. There are rail services to the rest of the West Midlands and London and the Government's development of the high speed rail line "HS2" will run directly through the District.

Our District has the largest population in the county and the population density of 4.9 people per hectare is the second highest in Warwickshire and above national/regional averages. The population grew over the ten years from 2001 to 2011 by over 9%, a faster rate than England and Wales and the West Midlands and the second only to Rugby in the county.

Our District has the highest proportion of non "White-British" people in the county at 16.6% but this is still lower than the national and regional average. The largest ethnic groups in the District after White-British are "Asian/Asian British: Indian" (4.9%) and "Other White" (4.2%). Rugby (11.7%) and Warwick (11.6%) have the highest proportions in the county of people who have come from abroad but these percentages are still below the national average.

The average age of the District population is 39.7 and Warwick is not significantly different from the country as a whole (but it is the lowest in Warwickshire). The only noticeable variations are slightly fewer people aged 0-14 and slightly more people aged 30-44.

At 28% in 2011 Warwick has the smallest proportion of population aged 55 or more in the housing market area, and this is projected to increase by 37.6% by 2031.

Our District is among the top 10% in the country for the highest proportions of full time students; this accounts for noticeable differences with the national, regional and county

wide figures and provides an above average number of single-person households, the highest in the county.

As a consequence we have the lowest proportions in the county for each of the following categories: married/civil partnership; separated; divorced and widowed.

There have been big increases locally in both the numbers of homelessness applications received and the numbers accepted by the council. Both rose by a higher proportion than was the case nationally. The number of cases where homelessness was either prevented or reduced increased by 39% from 2010-2014; it fell significantly in 2014/15 and despite a small rise in 2015/16 it is still well below the 2014 level.

Based on a recent "Rough Sleepers" count carried out by P3 in late 2016, there were an estimated 18 individuals, identified as sleeping rough within our District as a whole at the time of the estimate.

Our local economy and its social indicators

The local economy is diverse although three sectors account for over 60% of employment: "public administration, education and health"; "wholesale and retail, including motor trades" and "financial and other business services".

Throughout the period from 2004 to present, our rate of unemployment has been considerably lower than the national and regional average, while average earnings for employees living in the District were higher at £32,582 in 2015.

The level of people owning a vehicle in the District is relatively high at 81.5%: with 44% of people travelling to work by car; higher than regional and national average but the lowest percentage in Warwickshire. Over 10% of people travel to work on foot or bicycle, the highest in Warwickshire and well above the national and regional figures.

The population of the District is relatively healthy with 84.5% of the population being in good or very good health, the highest in the county and better than the national and regional averages. This is also true of the narrower age band: those aged 16 to 64.

Across the District 14.8% of people are estimated to have a long-term health problem or disability (LTHPD) and 22% of households include someone with LTHPD. More than 90% of people do not provide unpaid care, again the highest figure in the county exceeding national and regional averages.

According to government figures the District is ranked 267th out of 326 local authority areas in England for deprivation, where 1st would be the most deprived. In creating this ranking

relatively small areas are also considered and one such area in our district, Lillington East, was ranked in the 10% most deprived areas of England.

The 2015 Department of Health profile for Warwick stated that “The health of people in Warwick is generally better than the England average. Deprivation is lower than average, however about 10.3% (2,400) children live in relative poverty. Life expectancy for both men and women is higher than the England average.” Across 30 different indicators Warwick was “significantly better than England average” on 18 indicators and not significantly different on the remaining 12. Local health priorities were identified as addressing alcohol misuse, smoking in pregnancy, and tackling obesity.

Our housing

Across the whole of Coventry and Warwickshire there is an objectively assessed need for 4,272 new homes per annum from 2011 to 2031. Of this total Warwick District’s objectively assessed housing need is 600 new homes per year.

In addition to meeting its own housing need, Warwick District’s Draft Local Plan is accommodating 332 new homes per year to address unmet need from Coventry. This means the total annual housing provision in Warwick District will be 932 homes per year.

Based upon the definition of affordable housing set out in the National Planning Policy Framework (NPPF) 2012 (i.e. not including starter homes) the annual affordable housing need is 1,462 new homes across Coventry and Warwickshire and 280 in Warwick District. As Warwick is accommodating a proportion of Coventry’s overall housing need, it follows that it should, as part of the overall need, also accommodate some of the City’s affordable need.

The Council has therefore reached an agreement with Coventry City Council to accommodate 94 affordable dwellings per annum from Coventry. This makes a total affordable housing requirement for Warwick District of 374 dwellings per annum (280 + 94), equivalent to 40% of the District’s overall housing requirement of 932 new homes per year.

Council Tax band data shows Warwick to have 61,386 properties on the Valuation List as at 2015, an increase of almost 1,000 properties (1.6%) since the census in 2011.

The census in 2011 found that there were 60,427 dwellings in the district. 18.5% of the stock is flats or maisonettes and a further 4.6% is flats in converted or shared houses, easily the highest in the county on both indicators: the overall figures for Warwickshire are 12.5% and 2.2% respectively.

Data from recent stock condition surveys shows that the housing stock is mainly post-war with 73% of private housing and 85% of council housing having been built since 1945, compared to 59% and 81% respectively nationwide. In relative terms this is quite a “young”

profile but it is worth noting that many of these post-war dwellings are now over 50 years old.

Housing standards and conditions are generally good with only just over two per cent of households in the District lacking central heating, lower than national and regional averages. Three per cent of households are overcrowded; the highest in the county but this is still well below national and regional figures.

In Warwickshire our District has: the highest proportion of one-bed properties and of two-bed properties; a significantly smaller proportion of three-bed properties and the second highest proportion of properties with more than three bedrooms: the most balanced mix of properties in the county.

When making comparisons the relatively high proportion of flats has a distorting effect. When this is removed and houses and bungalows only are considered the spread of terraced (28%), semi-detached (40%) and detached (32%) is broadly similar to the county average.

Warwick differs from the rest of the county in that it has the lowest rate of owner-occupation (67%) and the highest rate of private renting (18%), both figures being higher than the national averages. The amount of social rented housing (13%) is the second lowest in Warwickshire and around 4% below the national average.

In 2015/16 there were around 8,250 rented homes in the District owned by affordable housing providers (i.e. the Council or a housing association) and around 450 further homes owned by affordable housing providers where a share of the property had been sold to the resident (known as "shared ownership").

At any point in time the number of affordable homes empty and available for rent is much smaller than is the case in either the "for sale" or the private rented market. In the whole of the last full financial year for which data is available (2014/15) there were 667 lettings of affordable homes for rent; the estimated number of student properties was 999. This compares with well over 2,000 homes sold in the same year. Full year lettings data for the private rented sector is not available but the survey mentioned earlier found around 280 properties available at a single point in time.

As at January 2017 there were 4,843 tenants of the council or a housing association who were in receipt of Housing Benefit support towards their rent. This is around 63% of all such tenants in the District, well below the England figure of approximately 83%.

Of the rented homes 93% were in the towns and 7% were in rural areas. The overwhelming majority of the properties were let at a social rent with a little over 200 being on the new (more expensive) affordable rent tenure.

There are estimated to be around 42,500 homes in the owner-occupied sector in the district (67%) and the “for sale” market is very strong, characterised by high and rising prices for all property types. Data from Hometrack showed that the average price for a home in the district was £338,600 compared to a regional average of £205,200. Prices had risen by 12.3% over the 12 months to November 2015, properties were taking just 2.3 weeks to sell and the selling prices obtained were 99.3% of the asking price. The ratio of house prices to average earnings in the District was 9:1.

Extra Care Housing (ECH) is now available in all five Boroughs and Districts, with 9 schemes for those aged 55+ now in operation across Warwickshire, yielding a total of 631 units of which 442 are rental units. In January 2017 a scheme was delivered in Leamington Spa; providing 15 one bedroom flats for individuals with a Learning Disability. Further schemes are planned for delivery in 2017/18.

The overall objective of developing ECH in Warwickshire is to modernise housing with care and support services by offering older people a very real alternative to a residential care home – a ‘home for life’ – as well as responding to current demographic pressures and changes. (*Extra Care Housing in Warwickshire*, October 2016, Warwickshire County Council)

The policy framework

The national housing policy agenda

Since the last Housing Strategy was developed there have been substantial revisions due to new legislation in housing and related policy areas. This body of law sets the national policy framework within which local policies and strategies must operate.

The Housing and Planning Act 2016 is a major piece of legislation for the housing sector and for this Strategy as it sets the future direction for government housing policy. It contains wide-ranging changes in all housing tenures; however much of the detail is left to regulations which have not been published at the time of writing.

On owner occupation it introduces the “starter home” which is a new home available to first time buyers at a discount of at least 20% of the market value and a price (after discount) of less than £250,000 outside Greater London, with the buyer having to be between 23-39. Councils are put under a duty to promote the supply of starter homes through the planning system and will only be able to grant planning permission on most housing sites where a specified proportion of starter homes has been included.

In the Autumn statement 2015 the then Chancellor announced that Housing Benefit for council and housing association rents (both social and affordable) will be capped at the same level as applies to the private rented sector for the area, known as the Local Housing Allowance rate. In Warwick District this is £106 per week. It also includes restricting Housing Benefit for single people younger than 35 to the rate for a shared room rather than a self-contained flat.

In December 2015 the government consulted on a number of changes to the NPPF with proposals to broaden the definition of affordable housing for planning purposes so that it encompasses a wider range of low cost housing opportunities for those aspiring to own their own home, including “starter homes”.

Other proposals included: increasing the density of development around commuter hubs; supporting sustainable new settlements; development on brownfield land and small sites; delivery of housing allocated in plans, and supporting delivery of starter homes. Final decisions are still awaited.

Phillip Hammond (current Chancellor of the Exchequer) announced in the Autumn 2016 statement – “A £2.3bn housing infrastructure fund to help provide 100,000 new homes in high-demand areas with £1.4bn to deliver 40,000 extra affordable homes.”

"I can also announce a large-scale regional pilot of Right to Buy for Housing Association tenants - and continued support for homeownership through the Help to Buy: Equity Loan scheme and the Help to Buy ISA."

The Chancellor also announced a ban on upfront fees charged by letting agents in England, to be introduced "as soon as possible."

As this Strategy was being finalised, the Housing Minister launched a new Housing White Paper, entitled “Fixing our broken housing market”. Given the early stages of the consultation on the White Paper, our Strategy does not directly reflect any changes proposed by the Government. Any impact and effect will be included in the annual review of the progress of the Strategy.

Our vision

Our vision for Warwick District, as set out in the Sustainable Community Strategy, is “to make Warwick District a great place to *live, work* and *visit*”.

The Sustainable Community Strategy is a long term strategy; set out in 2010 and refreshed in 2013, it continues to lie at the heart of our plans to improve the overall quality of life in the District.

The following are our key strategic priorities:

Supporting prosperity: seeking to support the District’s economic prosperity by promoting opportunities for businesses to grow and relocate; supporting employment, vibrant town centres and a strong cultural and tourism offer.

Providing homes: Supporting housing providers in delivering the housing needed in response to the District’s changing and growing population in accordance with the Local Plan; ensuring the delivery of high quality and affordable housing that meets the needs of everyone, including those with specialist housing needs.

Supporting sustainable communities: (including health and wellbeing and community safety): to work in partnership to reduce violent crime; providing spaces and services to enable healthy and safe lifestyles. Promoting the regeneration and enhancement of existing communities and environments; ensuring the protection of the natural and built environment; minimising our use of natural resources and CO2 emissions and improve water efficiency of our buildings and operations.

Objective 1

Promoting the provision of suitable accommodation, information and advice for the homeless in an effort to prevent and reduce homelessness

Achieving this outcome, will contribute to ensuring Warwick District is a great place to live, work and visit by:

Effectively working in partnership to develop a coordinated approach; supporting all sections of the community by signposting support, including alcohol addiction and mental health resources

Improving access to accommodation which helps prevent and reduce the risk of homelessness

Enabling the housing and support needs of vulnerable people to be met

Ensuring and promoting accessible and effective advice and support services are available for homelessness and housing

Why is this important?

As a District, it is important we strive to meet the needs of all sections of our community and ensure we promote a balanced and sustainable approach.

The vast majority of people are able to locate and maintain their own home; however there are still a significant number of people who require some form of help or support to access suitable accommodation.

As a local authority we recognise the detrimental effects that homelessness can have on an individual's life; it can affect their health and well-being, their ability to find and maintain employment, to access learning and to maintain vital relationships. Given the adverse effects of homelessness, not only on the individual but their wider community, it is essential that services are provided to prevent homelessness wherever possible.

The key responses we received from our consultation, which give an insight into the perception of residents of the state of the local market, are as follows:

Leamington Spa residents are very upset by the number of homeless people sleeping in the town centre and hope that Warwick District Council achieve some very quick results in reducing this, in liaison with the police, local voluntary bodies and other relevant parties.

A further priority should be to extend the legal duty to house the homeless to all homeless including single people.

The high visibility of homeless people/rough sleepers is causing great concern, both to the retail sector and to residents. There is a need to provide somewhere for people to sleep, and associate, and have access to WC and showering facilities, which is not in residential areas and activate the objectives in your 2nd year strategy on homelessness.

Long term and effective solutions to homelessness needs to be prioritised. ANY homeless person should be able to find the resources and services to help them get them moved off the streets and the relevant support to remain in safe accommodation.

It needs a combined approach with all agencies to offer a one stop help and advice service. A review of types of accommodation available with both WCC and WDC working together to maximise resources and assets. A coordinated delivery of emergency help with the night shelter and other voluntary providers.

To provide support to not just the people who are deemed most vulnerable. To implement meaningful policies including finding accommodation for homelessness people after one night below freezing, not three.

For a full list of consultation responses, please see our supporting documents.



What have we achieved so far?

Drop in surgeries have been introduced at the *Salvation Army*

Links have been established with the emerging homeless in ethnic minorities, via the local Sikh temple and the Sydni Centre

Front line staff are now attending visits to our partner agencies as part of their induction

Partnership meetings have been set up involving Police, Way Ahead, Helping Hands, Housing, Health and Community Protection and the Night Shelter

We secured funding via central government and have introduced online housing applications from 2016/17

WDC staff took part in a "Sleep Out" which supported Helping Hands to raise vital funds for their work with homeless and vulnerable adults in the District. The main theme of the event was to raise awareness of the fact that 1 in 10 rough sleepers across the country are ex-forces, which is why the event took place on Friday 11th November on Armistice Day

We secured Warwickshire Together Homelessness Early Intervention Project funding to develop a countywide system ensuring early identification of residents at risk of homelessness and the tailoring of support services to address the issues which could result in the resident becoming homeless



Objective 1: Action Plan

1.1 Implementing the extension of our legal duties to the homeless, including single people under the Homelessness Reduction Bill.

Resources / Funding: Housing and Allocation time commitment / Existing budget within General Fund with the possibility of Central Government funding for the extension of duties within the bill

Manager: Housing Advice and Allocations Manager - Elaine Wallace

1.2 Developing a Mental Health Protocol for homeless people.

Resources / Funding: Existing staff / General Fund

Manager: Housing Advice and Allocations Manager – Elaine Wallace

1.3 A coordinated delivery of emergency help with the night shelter and other voluntary providers.

Resources / Funding: Housing Advice and Allocations staff time, as and when required / General Fund

Manager: Housing Advice and Allocations Manager – Elaine Wallace

1.4 Improving the provision of adequate transitional accommodation for the homeless in general and the vulnerable in particular.

Resources / Funding: Housing Advice and Allocations staff time commitment / General Fund

Manager: Housing Advice and Allocations Manager – Elaine Wallace

1.5 Participate in the “Warwickshire Together Homelessness Early Intervention Project” to develop a countywide system ensuring early identification of residents at risk of homelessness and tailored support services to address the issues which could result in the resident becoming homeless.

Resources / Funding: Staff time commitment / Warwickshire Together Homelessness Early Intervention Project Funding

Manager: Housing Strategy and Development Manager – Ken Bruno

1.6 We will continue to work collaboratively with other districts and agencies to explore and pursue bids for Government funding for initiatives on homelessness.

Resources / Funding: Staff time commitment / Existing budgets

Manager: Housing Strategy and Development Manager – Ken Bruno

1.7 Ensure good advice on housing options is available by the provision of staff that are well trained, supported by good publicity materials.

Resources / Funding: Homelessness and Housing Advice Officer/ Assistant time commitment / Existing budgets

Manager: Housing Advice and Allocations Manager – Elaine Wallace

1.8 Review and improve our system for tackling rough sleeping.

Resources / Funding: Existing budget and staff commitment

Manager: Housing and Allocations Manager – Elaine Wallace

1.9 To improve financial difficulty prevention work between WDC Income Team and the Housing Advice team to reduce the number of evictions and prevent homelessness.

Resources / Funding: Existing resources / General Fund

Manager: Housing Advice and Allocations Manager – Elaine Wallace

Objective 2

Helping delivery of meeting the need for housing across the District by addressing the need for new home provision

Achieving this outcome, will ensure WDC is a great place to live, work and visit by:

Promoting a range of new housing opportunities which meet the affordable housing needs of our District

Supporting the sustainability and improvement of our local communities

Managing the continued economic and population expansion of the District

Why is this important?

As a local authority we recognise that; “unaffordable housing affects household budgets, health and education and the ability to gain and sustain employment. A balanced approach to developing housing that will maximise productivity, mobility and choice involves giving attention to the contributions of both new and existing housing. Investment to upgrade unhealthy older housing will generate substantial and continuing savings in the cost of health care and contribute to better education and employment outcomes. Policy action to improve older housing will generate savings in expenditure elsewhere and contribute to wider policy effectiveness. “(The Academic-Practitioner Partnership: Good Housing: Better Health, July, 2016)

The key responses we received from our consultation, which give an insight into the perception of residents of the state of the local market, are as follows:

We are not building enough affordable housing and 40% should be the bare minimum for developers, not less.

Build more social housing, encourage developers to ensure they have meaningful affordable housing.

A good (student) Housing Strategy should have greater community cohesion at the heart of its objectives; otherwise there is little point in having such a Strategy.

Not enough social housing, and too many unregulated private stock and poorly managed properties.

For a full list of consultation responses, please see our supporting documents.





What have we achieved so far?

We have continued to build on our working relationship with the University of Warwick; in relation to student housing in the District we have attended a Student Housing Day at the University and have worked with the Students' Union housing advisor on specific cases. We have also completed joint work with the University's lettings company to try and tackle refuse problems and Houses of Multiple Occupancy (HMO) issues

Work through W2 continues and has achieved 161 new homes with a further 230 affordable homes in the pipeline

We incorporated the Joint Strategic Housing Market Assessment (JSHMA) findings into our requirements for new affordable housing schemes from 1st April 2014 and an update to the JSHMA was completed in September 2015

We have expanded our partner housing agencies to include Fortis Living, who joined the partnership on the 1st April 2015

We have assessed available data from our council tax regarding empty homes and decided that the number of properties involved did not warrant developing a revised Strategy

The new allocations policy went live in June 2016 and now gives tenants greater priority for vacancies and introduces local connection policies

We have delivered Sayer Court, a flagship development of new council apartments for the over 55s situated on Tachbrook Road. Included in the development are five purpose built bungalows, specifically designed to meet the needs of someone living with a disability or mobility issue. These high quality properties, a range of 1 and 2 bed apartments, together with 2 and 3 bed bungalows were available to rent from Autumn 2016

Objective 2: Action Plan

2.1 Ensuring that housing schemes of more than 10 dwellings include an appropriate proportion of affordable housing and a sustainable mix of property types and sizes.

Resources / Funding: Housing Strategy and Development Officer time commitment, as and when required / General Fund

Manager: Housing Strategy and Development Officer – Charlotte Rowan-Lancaster

2.2 Reviewing the W2 Partnership during 2017.

Resources / Funding: Staff time within the parameters laid down by the Joint Venture and subject to ongoing monitoring by the Project Board / General Fund

Manager: Head of Housing and Property Services

2.3 Once all government proposals around housing tenure have been confirmed considering whether we have a sufficiently wide range of options as regards social landlords to meet the identified needs of the District.

Resources / Funding: Existing resources / General Fund

Manager: Housing Strategy and Development Officer – Charlotte Rowan-Lancaster

2.4 Once all government proposals around housing tenure have been confirmed, review and update our housing market assessment.

Resources / Funding: Existing budgets / General Fund

Manager: Housing Strategy and Development Officer - Charlotte Rowan-Lancaster / Policy and Projects Manager - Dave Barber

2.5 Investigate the financial capacity of the Housing Revenue Account to support a programme of new council house ownership and/or building with or without the creation of a housing company, subject to the impact of the High Value Voids levy.

Resources / Funding: Existing resources – Housing Revenue Account

Manager: Head of Housing and Property Services

2.6 Assessing council-owned land for potential housing developments.

Resources / Funding: Housing Revenue Account - Existing budgets

Manager: Housing Strategy and Development Officer – Charlotte Rowan-Lancaster

2.7 Commissioning rural housing needs surveys at parish level to inform proposals for rural developments.

Resources / Funding: Rural community contract via existing budgets / General Fund

Manager: Housing Strategy and Development Officer – Charlotte Rowan-Lancaster

2.8 Monitoring the impact of welfare reforms on housing demand and adjusting requirements if necessary.

Resources / Funding: Existing budgets from General Fund

Manager: Housing Strategy and Development Officer – Charlotte Rowan-Lancaster

2.9 Continue to work with Warwickshire County Council to look at bringing forward an Extra Care housing scheme for Kenilworth.

Resources / Funding: Existing budgets from General Fund / Capital Programme

Manager: Housing Strategy and Development Officer - Charlotte Rowan-Lancaster

2.10 Begin strategic discussions with Coventry City Council, around housing allocations, in light of local plan land allocations, to address unmet need from the City.

Resources / Funding: Existing resources – General Fund

Manager: Housing Strategy and Development Manager / Policy and Projects Manager

2.11 Establish a housing market sounding board; meeting regularly with local developers to monitor the market condition.

Resources / Funding: Housing Strategy and Development Officer time /General Fund

Manager: Housing Strategy and Development Manager - Ken Bruno

Objective 3: Improving the management and maintenance of existing housing

Achieving this outcome, will ensure WDC is a great place to live, work and visit by:

Making best use of existing stock

Improving overall health and wellbeing

Why is this important?

As a local authority we recognise that; “while in most cases it is reasonable to expect the owners of existing housing to maintain and improve properties, it is evident that some do not do so and this generates persistent and costly hazards. There is a need to identify where policy interventions are necessary to encourage and enable owners to carry out work to mitigate hazards and to protect the residents of these properties.” (The Academic-Practitioner Partnership: Good Housing: Better Health, July, 2016

The key responses we received from our consultation state:

Spot checks by councillors of cheap rented accommodation, private or otherwise? A list of approved landlords?

Provide services that enable people to sustain their homes.

Provide debt management services, on a one to one basis.

What have we achieved so far?

Following the completion of the new stock condition survey the results are being analysed to enable the new Asset Management Strategy to be prepared during 2017

We have reviewed our management of leaseholder properties

We have set up the Warwick District Landlord’s Blog, publishing a newsletter for private landlords, with a website containing relevant information to disseminate good practice through the Landlord Steering Group and Forum

We have had several meetings since November 2015 with Community Protection, Neighbourhood Services and Warwick Accommodation regarding student refuse and HMO issues

We have set up the Task & Finish Group to investigate the issues around HMOs and to formulate proposals for dealing with them.

We have prosecuted landlords who fall below acceptable safety standards

Objective 3: Action Plan

3.1 Further develop the council's approach to regulating private sector Houses in Multiple Occupation (HMO's) in light of consideration by the Executive of the findings of the Task and Finish Group, currently investigating this subject.

Resources / Funding: Existing staffing / General Fund

Manager: Private Sector Housing Manager - Mark Lingard

3.2 If and when they are confirmed, review how to implement the Government's proposals on extending licensing of HMO's.

Resources / Funding: Existing resources potentially supplemented by fee income

Manager: Private Sector Housing Manager – Mark Lingard

3.3 We will continue to engage with the University of Warwick and residents on the issues surrounding student accommodation from a housing and planning perspective and consider the development of a Student Housing Strategy.

Resources / Funding: Existing staffing and budgets

Manager: To be confirmed

3.4 Reviewing the working of the new allocations policy in June 2017.

Resources: Existing resources

Manager: Housing and Allocations Manager – Elaine Wallace

3.5 Implement fixed term tenancies for council tenants, in line with Government legislation.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

3.6 Commission a new private sector stock condition survey to provide updated intelligence on the state of private housing in the District.

Resources / Funding: Existing resources / General Fund

Manager: Private Sector Housing Manager – Mark Lingard

3.7 Continue to work towards the regeneration of the Lillington area.

Resources / Funding: to be identified through project planning process

Manager: Business Manager – Projects – Philip Clarke

3.8 Looking at how to creatively manage our housing assets by developing a new Asset Management Strategy.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Asset Manager - Russell Marsden

3.9 To plan to get into the top half with a stretch objective of top quartile of all Local Authorities (LAs) in our Key Performance Indicators (KPIs) for empty property management, repairs satisfaction, and income management.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Housing and Property Management Team

3.10 To report on the possibilities for separating service costs and rents and the implementation of service charges.

Resources / Funding: Existing resources / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

3.11 Reviewing the approach to the management of council tenancies for people leaving and entering prison, building links with relevant persons within the criminal justice and prison systems.

Resources / Funding: Existing budget / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

Objective 4

Support people to sustain, manage and maintain their housing

Achieving this outcome, will ensure WDC is a great place to live, work and visit by:

Supporting all sections of the community, including homeless people and those with specific needs, to quickly and effectively resolve housing issues

Helping improve living conditions for residents of the District

Integrating housing into the local community to ensure a co-ordinated approach to tackle wider community issues

Improving the aesthetic appeal of the built environment

Why is this important?

We recognise that; “effective coordination between housing and other services (e.g. Citizens Advice Bureaux, local colleges, council housing services and social services) can be critical.”

(Housing providers and youth poverty, CCHPR, November 2016)



The key responses we received from our consultation state:

Provide early referrals to relevant agencies for both young people and parents.
Provide accessible and relevant information through education institutions to pupils and parents. Educate all agencies to recognise signs of family friction and rebellion.
Include links to services on WCC website for agencies such as family services and mediation and community support.

I do not think it is fair that people are allowed to run up rent arrears; at the end of the day we all have to pay our way. If people fall on bad times and need help that is fine but at some point they should pay something back to the council.

For a full list of consultation responses, please see our supporting documents.

What have we achieved so far?

We are working with Breathing Space to offer financial debt advice to all residents of the District regardless of tenure

A joint approach has been adopted with Warwickshire County Council (WCC) to address the needs of individuals with housing related support needs. WCC are now procuring providers for services it has identified as being a continued priority

A task and finish group has been set up to explore the issues surrounding HMOs

We are working with WCC to examine the setting up of a viable Credit Union in the District and we are working to develop our partnership with Citizens Advice Bureau (CA)
Provision of grants is available in special circumstances, to assist tenants to complete essential repairs or rectify dangerous conditions

We have a service level agreement with Act on Energy to give free energy-saving advice to local householders and training for staff

We are now part of a county-wide partnership funded through Public Health Warwickshire called "Warm and Well in Warwickshire"

Since Summer 2015 we are completing annual customer visits to gain a better understanding of the support needs of our tenants

We have adopted a corporate policy on enforcement across all relevant enforcement services from October 2014

We are continuing with our pilot scheme for remodelling Home Improvement Agency services across southern Warwickshire, due to be completed in March 2017

Objective 4: Action Plan

4.1 To investigate the potential to introduce/attract a sustainable credit union into the District.

Resources / Funding: Existing resources / General Fund / Housing Revenue Account

Manager: Income Recovery and Financial Inclusion Manager - John Gallagher

4.2 Introduce the Rental Exchange (RE) into Warwick District to improve the credit ratings of our tenants and their ability to access cheaper rates of interest in respect of goods and services.

Resources / Funding: ICT / Existing budgets

Manager: Income Recovery and Financial Inclusion Manager - John Gallagher

4.3 Implementing, monitoring and evaluating the new Home Environment Assessment & Response Team (HEART) which delivers aids, adaptations and Disabled Facilities Grants through a single delivery vehicle serving the whole of Warwickshire.

Resources / Funding: Existing capital and revenue resources / General Fund / Housing Revenue Account / Disabled Facilities Grant

Manager: Private Sector Housing Manager - Mark Lingard

4.4 Encourage and develop Money Advice services across the District, including our own, online services, CA and Brunswick Hub.

Resources / Funding: Existing resources

Manager: Income Recovery and Financial Inclusion Manager - John Gallagher / Brunswick Hub – Sue Howarth

4.5 Monitor government proposals for the funding of housing-related support services and work with other relevant agencies to implement the resulting legislation.

Resources / Funding: Existing resources unless government provides resources for implementation

Manager: To be confirmed

4.6 To complete a review of support to residents in WDC supported housing following the withdrawal of Supporting People funding, to maximise the use of any remaining Housing Related Support funding from WCC and make changes to staffing affecting our supported housing and our Lifeline services.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

4.7 To improve awareness of WDC Lifeline services in both the public and private sectors and their value to vulnerable people.

Resources / Funding: Existing resources / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

4.8 To work with DWP and voluntary agencies to ensure residents are aware of Welfare Reform changes, especially the introduction of Universal Credit and minimise the impact on the sustainability of tenancies.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

4.9 To develop regular meetings regarding financial inclusion in partnership with other agencies across the District.

Resources / Funding: Existing resources

Manager: Income Recovery and Financial Inclusion Manager - John Gallagher

4.10 To improve support to existing tenants by identifying those at risk of not sustaining their tenancies and having action plans and support provided to ensure tenancies do not fail.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

4.11 To ensure that we have a clear set of policies and procedures affecting the management of our housing stock.

Resources / Funding: Existing resources

Manager: Housing Property and Management Team

4.12 To ensure our estates are safe with effective liaison with the Police and other agencies and effective action taken on any reports of anti-social behaviour.

Resources / Funding: Existing resources

Manager: Sustaining Tenancies Manager - Simon Brooke

4.13 To review the cleaning of our blocks to ensure all are adequately cleaned.

Resources / Funding: Existing budgets / Housing Revenue Account

Manager: Sustaining Tenancies Manager - Simon Brooke

4.14 Take forward any housing related actions arising from the results of the Warwick District armed forces survey.

Resources / Funding: Existing resources / General Fund

Manager: Housing Advice and Allocations Manager - Elaine Wallace

The strategic process

Taking into consideration the strategic context within which we are operating we decided to develop a single overall strategy which offered a longer-term solution.

We publicised and circulated the previous key priorities from both the Homelessness and Housing Strategy to various stakeholders for comment:

- Parish, town, District and county councillors;
- Warwick District Council housing staff and tenants' representatives;
- The Housing Sounding Board (which includes a range of voluntary sector organisations);
- Warwickshire County Council's Public Health, Supporting People and Social Care teams;
- Local housing associations' development and management staff;
- Warwickshire Rural Community Council;
- Neighbourhood forums;
- Neighbouring local authorities;
- Landlord Steering Group; and
- The Local Enterprise Partnership.

In addition to this an article was placed on our website inviting views from all staff; a press release was issued inviting views from the public and an alert was placed on Twitter.

We met with the Housing Sounding Board to gather feedback from a range of voluntary sectors and stakeholders.

A wide range of background information was gathered to complement the views collated via consultation, and this document was published on our website for public review.

The online survey on our website ran for 12 weeks, so as to gather further responses.


There were a large number of responses from both our survey and consultations; these comments were analysed to identify key themes and issues and which helped develop our strategic objectives.

In January 2017 the draft Strategy was presented at the Health and Wellbeing Scrutiny Panel and at the Housing Advisory Group. Further work was then carried out to draw up the detailed action plan in this document.

Approval for this Strategy will be sought from the Executive and the Council in March 2017 with the action plan to be reviewed on an annual basis (2017-2020) to ensure it meets its given objectives, reflects any significant changes and to ensure its priorities remain relevant.

Background references and further reading:

- *Local Plan* – Warwick District Council, April 2014; as amended in 2017
- House of Commons Library Briefing Paper: Number 6080, 8th August 2016 *“Paying for Supported Housing”* by Wendy Wilson
- House of Commons Library Briefing Paper: Number 05638, 8th August 2016 *“Housing benefits and measures announced since 2010”* by Wendy Wilson, Cassie Barton and Richard Keen
- House of Commons Library Briefing Paper: Number 06416, 15th June 2016 *“Stimulating Housing Supply – Government Initiatives”* (England) by Wendy Wilson
- The Academic – Practitioner Partnership, July 2016 *“Good Housing: Better Health”*
- House of Commons, Third Report of Session 2016-17 *“Homelessness”*
- Warwickshire County Council - *“Extra Care Housing in Warwickshire”* October 2016
- Warwick District Council *“Housing and Homelessness Strategy 2017-2020 Evidence Base”*
- *“Social Housing Written Statement”* – HLWS274 – Lord Bourne of Aberystwyth, 21st November 2016
- *“Desperate to Escape: the experience of homeless families in emergency accommodation”*, Shelter, November 2016
- The role of housing and housing providers in tackling poverty experienced by young people in the UK: Summary and Conclusions; Cambridge Centre for Housing and Planning Research, November 2016
- *“The Homelessness Reduction Private Members Bill”*, Department of Communities and Local Government, 24th October 2016
- *“New measures to tackle overcrowded housing”* Department for Communities and Local Government, 18th October 2016
- Shared ownership: *Ugly sister or Cinderella?* By Anna Clarke, Andrew Heywood and Peter Williams, October 2016
- *Autumn Statement*, 23rd November, 2016

 Executive 8 March 2017		Agenda Item No. 4
Title	Domestic Violence & Abuse Policy	
For further information about this report please contact	Simon Brooke Sustaining Tenancies Manager 01926 456433 simon.brooke@warwickdc.gov.uk	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	Not applicable	
Background Papers		

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	Yes, 826
Equality Impact Assessment Undertaken	Yes

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	20.2.17	Bill Hunt
Head of Service		
CMT	20.2.17	Bill Hunt
Section 151 Officer	20.2.17	Mike Snow
Monitoring Officer	20.2.17	Andy Jones
Finance		
Legal Services	10.2.17	Lara Macnab
Portfolio Holder(s)	15.2.17	CLlr Peter Phillips
Consultation & Community Engagement		
<p>This report was discussed at Housing Advisory Group (HAG) on 16 January 2017. HAG is a representative body of councillors and tenants set up to scrutinise the work of Housing and Property Services.</p> <p>The draft Policy has been subject to wide internal consultation, as well as with the Violence Against Women and Girls Strategy Development Manager at Warwickshire County Council.</p> <p>The Policy was considered by Health Scrutiny Committee on the 17 January 2017, who welcomed the development of the Policy.</p>		
Final Decision?	No	
Suggested next steps (if not final decision please set out below)		
Full Council March 2017		

1. Summary

- 1.1 This report seeks approval of a Domestic Abuse and Violence Policy. This is a corporate policy, although mainly affecting Housing Services its scope is wider and can touch on a range of other services. The Council does not currently have a Domestic Abuse and Advice Policy.

2. Recommendation

- 2.1 That Executive welcomes the development of the Domestic Abuse and Violence Policy.
- 2.2 That Executive recommends to Council the approval of this Policy.
- 2.3 That Executive notes the plans to develop procedure and training for staff in this area.

3. Reasons for the Recommendation

- 3.1 This Policy has been developed to address gaps in our provision of Policy guidance. The Council currently does not have a Domestic Abuse and Advice Policy. It is expected that approval of the Policy will assist in framing new procedures and training for staff and help improve our services in this important area.
- 3.2 Domestic abuse is recognised to have a significant impact on the health and wellbeing on residents in the District.
- 3.2 It is expected that the development of this Policy will lead to improved coordination of our work across the Council, better liaison with other agencies and improved services in this area. Following approval of this policy, an implementation plan will be agreed including planning new procedures, training and communications.
- 3.3 Part of our work in this area is our involvement in Domestic Homicide Reviews. Recommendations from recent reviews indicated some learning for our teams and improvements required. Whilst these issues have been picked up as they have arisen, we believe that development of this Policy will assist us more generally in ensuring good services in this area.

4. Policy Framework

- 4.1 This Policy will close a gap in the Policy framework that we have. It will form a framework for the development of procedures and training in this area.
- 4.2 The **Sustainable Communities Strategy** will benefit in the following ways:
- 4.2.1 **Housing theme** has as its aim "to address the housing needs of those who wish to live and work in Warwick District". This Policy addresses the housing implications of those affected by domestic abuse. The new Policy sets a framework for our staff to give good housing advice and support those affected.
- 4.2.2 **Health and Well Being theme** has at its aim "to enable and encourage the people of Warwick District to have an equal access to a healthy life and sense of wellbeing". Ensuring good advice and support to those affected by domestic abuse is vital to residents' health and well-being.

4.2.3 **Safe Communities theme** has as its aim “to work in partnership to reduce violent crime, anti-social behaviour and reoffending”. Our work in partnership with the Police and other agencies to respond effectively to incidents of domestic abuse will be enhanced by the development of this Policy and procedures and training.

4.6 **Impact Assessments:** An Equalities assessment has been completed. This has confirmed that as there is no current policy, the development of one has a positive impact for this area of work and will particularly affect in a positive way certain groups that are particularly vulnerable.

4.7 **Fit for the Future:**

There are no implications.

5. Budgetary Framework

There are no implications.

6. Risks

6.1 The development of this Policy will help ensure that services in this area are robust and this assists in the management of risks. Our staff are dealing with some very difficult issues in this area and the risks are that we do not respond effectively, this could lead to further violence.

7. Alternative Option(s) considered

7.1 Executive could decide not to approve this Policy and decide that no Policy is required. It is believed that there are particular benefits of having a Policy covering Domestic Abuse.

8. Background

8.1 Domestic Violence is a major problem affecting our society. It has been estimated that one in four of all women have been affected by domestic violence.

635,000 incidents of domestic violence were reported to the Police nationally. Whilst it has been estimated that only 35% of incidents have been reported.

Home Office research has indicated that domestic violence has a higher rate of repeat victimisation than any other crime.

The cost to public services has been estimated in Warwickshire as £54.3m.

8.2 Warwick District Council’s staff are primarily involved with reports of domestic abuse in two areas with the Homelessness duty and in our role as landlord to 5,500 council houses.

Our staff receive reports of domestic abuse where a person can no longer live in their current home due to domestic abuse. We have duties in the Housing Act 1996 to investigate, to provide housing advice, in some cases to provide temporary accommodation and if a full duty as homeless is agreed to provide permanent housing.

With our own tenants we receive reports of domestic abuse and we would look to provide good advice and support to our customers.

- 8.3 This Policy has been developed with wide consultation internally as its impact is important in many areas of the Council's work. The Policy is in line with the Government's strategic approach as outlined in the 'Violence Against Women and Girls Strategy'.
- 8.4 We are committed to work in partnership with others and therefore have good links with the police, Warwickshire County Council, as well as a range of support services. We have committed to Warwickshire's Violence against Women and Girls Strategy 2015-18. Consultation has taken place with the Violence Against Women and Girls Strategy Development Manager at Warwickshire County Council, who has welcomed this Policy.

Domestic Violence and Abuse Policy

v.4 2017



1. OBJECTIVES

The Council sets out the following objectives in its response to Domestic Violence and Abuse:

- To understand and recognise the scale of incidents of domestic violence and abuse when determining actions in response to these issues.
- To support prevention efforts to reduce the number of incidents and the impact on victims.
- To ensure that the Council plays its part, by working in partnership with other agencies, in providing those affected by domestic violence and abuse with effective support and remedies to stop further abuse.
- To ensure that services relating to domestic violence and abuse are publicised and staff are trained to advise victims of the services that are available.

2. DEFINITION

The Government has defined domestic violence and abuse as any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse between those aged 16 or over who are or have been intimate partners or family members, regardless of gender or sexuality. The abuse can include, but is not limited to:

- Psychological;
- Physical;
- Sexual;
- Financial;
- Emotional.

Controlling behaviour is a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.

Coercive behaviour is an act/pattern of acts of assault, threats, humiliation and intimidation or other abuse used to harm, punish or frighten. This also includes so called honour based violence and forced marriage.

Domestic violence and abuse affects men and women regardless of age; race; gender; sexuality or wealth. It is a crime. Victims are understood to be vulnerable and scared, often with low self-esteem. A person suffering abuse needs a supportive environment where they can make informed decisions to secure their safety. Over half of incidents of domestic violence and abuse are not reported to the Police.

3. POLICY STANDARDS

3.1 Our approach

- Domestic violence and abuse is totally unacceptable and we will promote values that recognise that everyone has the right to live free from violence and abuse in any form.

- We will ensure we meet our statutory responsibilities in dealing with domestic violence and abuse. This includes responsibilities to investigate homelessness due to incidents of domestic violence and abuse and provide accommodation where we find a duty under the Housing Act. This also includes our duty to prevent crime and disorder.
- We will take a victim centred approach to those experiencing domestic violence and abuse. We will therefore take reports of abuse seriously, supporting victims reporting domestic violence and abuse.
- Where we are the landlord as the Housing Authority, we will take firm action against the perpetrators liaising with the victim and the Police where appropriate.
- We will provide an empathetic service and, where victims feel able to, provide time to talk in a safe and confidential setting.
- We will ensure our staff dealing with customer queries and reports of domestic violence and abuse are trained in our policy and procedures. Staff will deal with victims in a sympathetic manner and be knowledgeable about the legal framework, local support agencies and remedies and actions that can be taken.
- We are committed to working with partner agencies working within our district area to reduce incidents of domestic violence and abuse; to ensure the best outcomes for victims and to ensure effective action against perpetrators.

3.2 Support for victims

We will take a victim centred approach to those experiencing domestic violence and abuse. This means that we will take time to listen to those affected, we will take reports of violence and abuse seriously and we will consider the victim's needs and input in discussing any actions we can take or advice we can give.

We will prioritise the safety of the victim and any children involved. Where the safety of children or vulnerable adults is of concern, Warwick District Council will act in accordance with Warwickshire County Council's safeguarding arrangements including referring cases to Social Services and or the Police.

We will support victims to remain in their own home so that they are not forced to flee without support. In cases where it is not safe or appropriate for them to remain in their home we will provide support and assistance for rehousing opportunities.

We will accommodate victim's wishes where the victim would prefer to speak to an officer of the same gender, wherever possible, recognising the sensitivity of the matter.

We will advise victims on the range of actions that are available, so that they can have all information available at their disposal and contribute their views as to what might be a suitable course of action in their circumstances. This will include information on:

- Police powers and possible criminal actions
- Non molestation orders (injunctions secured in the Family Courts)
- Occupation Orders (a court order to exclude the perpetrator and allow the victim to return home)
- Tenancy transfer orders
- Rehousing options including Homelessness duties
- Sanctuary schemes (measures to improve security in the home)
- Support and further advice on specialist services

- Referral to Warwickshire's Multi Agency Safeguarding Hub or Multi Agency Risk Assessment Conference

3.3 Assessment

We will ensure that we give victims time to recount their circumstances. We recognise that reports by victims of domestic violence and abuse may not reveal the full facts and details and the abuse. Our staff will be mindful of the potential dangers that those reporting abuse will face when dealing with them. We will advise them of the confidentiality of the information they are providing.

We will use agreed assessment tools to ensure that we have established the case in detail. We will assess the risks victims are exposed to, so that we can assess any actions to be taken.

We will ensure that staff will be available to deal with any reports of domestic abuse/violence as an emergency the same day in most cases and if staff are not available, within 24 hours. We have emergency arrangements 24 hours every day where we can receive reports of homelessness and deal with those in accordance with the urgency of the situation.

3.4 Dealing with the perpetrators

We will examine all avenues to stop domestic violence and abuse occurring. This will include the use of injunctions, enforcement of tenancy conditions, liaison with the Police and other agencies where criminal proceedings are being considered and pursued.

We will send clear messages to the perpetrators that they will be accountable for their actions and that the victims are never to blame.

We will inform perpetrators of advice and support they can access to address their offending behaviours.

3.5 Working with partners

We recognise that a range of agencies are working to reduce incidents of domestic violence and abuse. We are committed to working closely with these agencies to ensure a joined up approach and to maximise our impact.

We have joined together with other agencies in the Multi Agency Risk Assessment Conference (MARAC) to report and discuss cases that have come to our attention in our capacity as a District Council to ensure each case is effectively managed and that there is a clear framework and understanding as to each agency's agreed actions to safeguard victims of domestic violence and abuse, in accordance with their powers and duties.

We will signpost victims to other agencies or to information that is available so that victims of domestic violence and abuse are aware and informed of support and services at their disposal. Where required, we will use our best endeavours to assist victims in accessing support, services and information from other agencies.

The Council supports the South Warwickshire Community Safety Partnership. This includes assisting in its statutory duties to carry out Domestic Homicide Reviews, providing information and detail where available and undertaking to learn and accord with recommendations, applicable to us, that may arise from the completion of the Domestic Homicide Review. We endeavour to do so in a timely fashion in accordance with recommended timeframes for completion.

We support a joined up approach towards addressing domestic violence and abuse across Warwickshire and in particular, act in accordance to “Warwickshire’s Violence Against Women and Girls Strategy”.

3.6 Publicity

This policy and general advice information will be published on our web site. Printed copies will be available at public access points in the District.

We will ensure that publicity around domestic abuse/violence is available to residents across Warwick District.

4. EQUALITY AND DIVERSITY

In developing this policy we have undertaken an Equality Assessment.

In operating this policy we are committed to promoting equality and recognising the diversity of our communities and will work to ensure all parts of our community are treated fairly.

5. MONITORING AND REVIEW

This policy will be reviewed every 3 years or earlier if there are significant changes required in the light of best practice and any changes to legislation and Government guidance.

We will monitor incidents of domestic abuse and report on these regularly.

6. ASSOCIATED DOCUMENTS

Housing Act 1985

Homelessness Act 2002

Housing Act 1996 Part VII

Family Law Act 1996

Protection from Harassment Act 1997

Domestic Violence, Crime & Victims Act 2004

Serious Crime Act 2015 s76


Anti-social Behaviour Crime and Policing Act 2014

Ending Violence Against Women and Girls Strategy 2016/20

Warwickshire’s Violence Against Women and Girls Strategy

Warwick District Council - Policy on Anti-Social Behaviour

Warwick District Council - Housing and Homelessness Strategies

 Executive 8 March 2017		Agenda Item No. 5
Title	Anti-Social Behaviour Policy (Housing)	
For further information about this report please contact	Sue Sweeney Tenancy Manager 01926 456434 sue.sweeney@warwickdc.gov.uk	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	Not applicable	
Background Papers		

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	Yes, 826
Equality Impact Assessment Undertaken	Yes

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	20.2.17	Bill Hunt
Head of Service		
CMT	20.2.17	Bill Hunt
Section 151 Officer	20.2.17	Mike Snow
Monitoring Officer	20.2.17	Andy Jones
Finance		
Legal Services	10.2.17	Lara Macnab
Portfolio Holder(s)	15.2.17	Cllr Peter Phillips
Consultation & Community Engagement		
<p>This report has already been discussed at Housing Advisory Group (HAG) on 16 January 2017 who were supportive of the updating of this policy. The draft Policy has been subject to wide internal consultation. The Policy was considered by Overview and Scrutiny Committee on the 7 February 2017.</p>		
Final Decision?	No	
Suggested next steps (if not final decision please set out below)		
Council March 2017		

1. Summary

- 1.1 This report seeks approval of an updated Anti-Social Behaviour Policy.
- 1.2 The policy covers the work of Housing and Property Services as it carries out its function as a landlord to tenants in the District. The current Policy is now outdated; the new policy updates and improves the current version. For example the current policy does not reflect new Powers that have come into force in the Anti-Social Behaviour and Policing Act 2014.
- 1.3 It is planned that the agreement to the updated Policy will assist in framing new procedures and training for staff and will help improve our services in this important area of business.

2. Recommendation

- 2.1 That Executive welcomes the updating of the Anti-Social Behaviour Policy.
- 2.2 That Executive recommends to Council the approval of this Policy.
- 2.3 That Executive notes the plans to develop procedures and training for staff in this area.

3. Reasons for the Recommendation

- 3.1 This Policy has been developed to replace the existing policy. The old policy requires updating and the new policy updates and improves the current version. For example the current policy does not reflect new Powers that have come into force in the Anti-Social Behaviour and Policing Act 2014.
- 3.2 Anti-social Behaviour has a detrimental effect on our residents and communities and is not acceptable. This Policy recognises the importance we place on responding to these issues and ensuring communities are safe and effective responses are in place for us to manage our council tenancies.
- 3.2 We believe that the development of this Policy will lead to improved coordination of our work, better liaison with other agencies and improved services in this area. Following approval of this Policy, an implementation plan will be agreed including new procedures, staff training and communications.
- 3.3 The Housing Department receive reports every week from residents who look to the Housing Department to take the relevant actions. We have a strong focus on sustaining tenancies and communities; the Policy therefore reflects the importance of resolving anti-social behaviour, making individuals accountable for their behaviour and working with partners reduce the impact on communities. The Policy will assist us more generally in ensuring good services in this area.

4. Policy Framework

- 4.1 This Policy will fit into the Policy framework that we have. It will form a basis for the development of procedures and training in this area.
- 4.2 The **Sustainable Communities Strategy** will benefit in the following ways:

- 4.2.1 **Housing theme** has as its aim “to address the housing needs of those who wish to live and work in Warwick District”. This Policy ensures that there are effective responses to reports of Anti-Social Behaviour and this helps to sustain tenancies and promote strong communities.
- 4.2.2 **Health and Well Being theme** has at its aim “to enable and encourage the people of Warwick District to have an equal access to a healthy life and sense of wellbeing”. Ensuring good advice and support to those affected by Anti-Social Behaviour is vital to residents’ health and well-being.
- 4.2.3 **Safe Communities theme** has its aim “to work in partnership to reduce violent crime, anti-social behaviour and reoffending”. Our work in partnership with the Police and other agencies to respond effectively will be enhanced by the development of this Policy and procedures and training.
- 4.3 **Impact Assessments:** We are undertaking an Equalities assessment. We do expect that the assessment will be positive as this renewed policy should impact positively on this area of work.

4.4 **Fit for the Future:**

There are no implications.

5. Budgetary Framework

There are no implications.

6. Risks

- 6.1 We currently have an anti-social behaviour policy, however it does not encompass further powers given to landlords to carry out our business. The updating of this Policy will help ensure that services in the area are robust and that swift enforcement actions are taken when necessary.
- 6.2 Our Officers deal with some very difficult issues and the risks are that we do not respond effectively, this could lead to having no go areas and hard to let properties. The renewed policy will help set the framework for our work in this area.

7. Alternative Option(s) considered

- 7.1 Executive could decide not to approve this Policy and decide that no Policy is required or to amend this policy. It is consider good practice to have policy guidance to our staff on important areas of our work that has the approval of the Council.

8. Background

- 8.1 Housing and property Services aim is to prevent anti-social behaviour; intervene appropriately where we can and enforce tenancy conditions relating to anti-social behaviour when required. The general terms within our tenancy conditions relating to anti-social behaviour are consistent with the definition included in the Crime and Disorder Act 1998 definition, it defines anti-social behaviour as: ‘Caused or was likely to cause harassment, alarm or distress to one or more persons not of the same household as the complainant’.

- 8.2 Warwick District Council's staff is primarily involved with reports of anti-social behaviour within our role as landlord to 5,500 council houses, and over 500 leaseholders.
- 8.3 Our staff are often the first point of contact to receive complaints of anti-social behaviour, most of these complaints can be resolved with some intervention from our Tenancy Officers. Sometimes this is not possible and despite various attempts with the individual, the case has to be referred to our Tenancy Enforcement Officers, these officers are more experienced and will also consider the use of legal interventions. We only take such action as a last result.
- 8.4 Warwick District Council are committed to work in partnership with others and therefore have good links with the police, Warwickshire County Council as well as a range of support services.

Warwick District Council

Housing and Property Services

Anti-Social Behaviour Policy

v.3 2017



1. **OBJECTIVES**

The Council acknowledges the importance that our tenants place on the ability to live peacefully in their homes. Anti-social behaviour includes a broad range of disruptive behaviour and can cause misery and distress.

The objectives of this policy are:

- To enable Council tenants and their families to live peacefully in their homes.
- To take all possible steps to prevent and tackle behaviour that causes problems for others in order to create a safer environment.
- To take prompt and effective action to investigate all allegations of anti-social behaviour. To ensure effective action is taken against the perpetrators of anti-social behaviour wherever possible. To establish clear guidelines and procedures for staff.
- To support the victims of anti-social behaviour by listening to their concerns, providing good advice and effective remedies wherever possible.
- To work closely with other agencies, to ensure the most effective actions are taken.

2. **DEFINITION**

This policy covers all forms of anti-social behaviour (ASB) within and in the locality of Council owned homes.

This policy applies to any ASB which affects Warwick District Council's services as a Registered Landlord. This includes ASB which is caused by Warwick District Council Tenants, their households or their visitors and ASB which is capable of affecting Warwick District Council tenants, members of their households or Warwick District Council staff in relation to the fulfilment of their duties.

Warwick District Council acknowledges the definition of ASB which is found in Section 2(1)(c) of the Anti-Social Behaviour, Crime and Policing Act 2014: "conduct capable of causing housing-related nuisance or annoyance to any person", as well as anti-social behaviour directed at our staff and contractors working for us.

The Anti-Social Behaviour, Crime and Policing Act 2014 was introduced to streamline the existing tools and powers available to deal with Anti-Social Behaviour, Home Office guidance states:

Anti-social behaviour is a broad term used to describe the day to day incidents of crime, nuisance and disorder; that makes many people's lives a misery. Consequently, the responsibility for dealing with anti-social

behaviour is shared between a number of agencies particularly the Police, Councils and Social Landlords.

A useful categorisation defines anti-social behaviour (ASB) in three different ways:

- **Personal** behaviour that targets a particular individual or specific group or is aimed at having an impact on a particular individual or incident rather than a community at large.
- **Nuisance** individuals or incidents that cause trouble, annoyance, inconvenient offence or suffering to people in the local community in general rather than targeted at an individual.
- **Environmental** incidents and actions which impact on the surroundings including the natural built and social environments. Anti-social behaviour may or may not amount to a criminal act; what is important is establishing the effect the behaviour has on others.

3. POLICY STANDARDS

3.1 Our approach

We will look to prevent anti-social behaviour wherever possible. We will therefore ensure that all tenants are aware that we take reports of anti-social behaviour seriously. We will ensure that our policy and procedures are clear and understood.

We will look to work with other agencies as partners to prevent and take action on reports of anti-social behaviour. It is recognised that anti-social behaviour is not just a housing management problem and that a strategic and holistic approach must be adopted. The Council will work in partnership with Police, other responsible authorities and agencies to reduce crime and disorder, anti-social behaviour and the fear of crime in Warwick District.

We have information sharing agreements and measures in place in order to work together with the Police and other partners.

The Council will adopt a victim led approach and ensure that a prompt and sympathetic manner is adopted when dealing with cases of alleged harassment, nuisance and anti-social behaviour. The council will endeavour to provide the victim(s) and or witnesses with the appropriate level of support and guidance to enable them to co-operate fully with any investigation.

All of the remedies used by the Council will be subject to human rights considerations. There will be a balancing exercise between the rights of the victim and the perpetrator as well as the community in general and an assessment of whether the remedy is proportionate to the outcome sought.

We will where possible and appropriate, encourage reporters of anti-social behaviour to approach the perpetrator of nuisance first, before we intervene. We recognise that our intervention can exacerbate low level incidents of anti-social behaviour although we recognise that in some situations our intervention is required at the outset.

Warwick District Council considers that the following are examples of activities do NOT normally constitute ASB that we can take action on:

Day to day activities within the home at reasonable times of the day, such as moving furniture, opening and closing doors, talking, smoking, footfall, babies/children crying

Use of domestic appliances at reasonable times of the day, washing machines, dish washers, boilers, flushing toilets, vacuum cleaners, using gardening equipment.

Legally parked cars, shared access ways being left open/closed, children playing in a garden or public space.

We recognise that many incidents of anti-social behaviour can involve vulnerable people. Some perpetrators and/or victims will have physical and/or mental health conditions or social care needs. We will treat all with respect and work with agencies who can assist in treating underlying problems to resolve matters in the most effective way.

Where the alleged perpetrator is a child the Council will consider any safeguarding issues and where appropriate make a referral to Social Services to ask them to make an assessment.

3.2 Witness assistance

Warwick District Council will seek to maintain the confidentiality of a complainant's identity as far as possible. We will endeavour to support victims and witnesses of ASB. Examples of support include target-hardening measures, assistance throughout a court hearing, regular contact with a named officer and referrals to appropriate agencies.

Warwick District Council will not routinely offer alternative accommodation to a victim of ASB, we will normally try to resolve the matter and moving the victim is usually avoided.

3.3 Intervention

When Warwick District Council initially receives a report of ASB it will log the incident and respond initially to the complainant within 5 working days.

Warwick District Council will give the complainant advice on how to speak to an alleged perpetrator in a constructive manner or will offer to assist

with a restorative meeting or mediation process between parties. This may not always be appropriate if either party is vulnerable or potentially aggressive.

All cases reported to us will be subject to a risk assessment. High risk cases will be reported to a Case Management Meeting involving all agencies including the Police, Social Services, Youth Offending Team, Probation etc. This will look to manage any risks in an appropriate manner.

Warwick District Council will consider the use of other non-legal interventions for example: warning letters, trespass letters, acceptable behaviour contracts, undertakings in conjunction with the police and partner agencies, mediation, providing support and advice to an alleged perpetrator.

Warwick District Council will consider the use of legal powers available to them where required, including injunctions, tenancy demotions, closure orders and possession proceedings (including mandatory possession powers). We will aim to ensure that all decisions made will be fair and proportionate based on the facts available throughout the course of legal proceedings, where these are initiated.

All open cases of anti-social behaviour will be regularly reviewed by our Officers with victims updated at each stage of the case. Before closing a case the parties to the case will be advised and the complainant sent a satisfaction form.

Each month the manager will audit all open cases to review that effective actions have been taken.

3.4 Aggravated incidents of harassment

Harassment can be extremely upsetting for anyone experiencing this behaviour and we will treat any incidents seriously.

Harassment based upon someone's race, religion, disability, sexuality will be considered as aggravated incidents that can cause further distress. We will make clear that any behaviour directed against a person because of their race, religion, disability, sexuality will not be tolerated and we will take immediate steps to support the victim and consider what actions can be taken to stop any harassment.

3.5 Working with others

Warwick District Council are committed to working with our partners to deal with anti-social behaviour. We believe that by working with others we are better able to find to resolve issues that do not just affect one agency.

We have therefore developed relationships with the Police, Social Services, Health services, other social landlords, as well as support and advice agencies.

We work within a number of multi-agency arrangements and are committed to working well within these structures. These include MARAC (multi agency risk assessment conference), monthly anti-social behaviour meetings as well as Case Management Meetings to discuss high risk cases.

3.6 Community Trigger

The Anti-social Behaviour, Crime and Policing Act 2014 introduced the Community Trigger. This is designed to give victims the ability to demand action, starting with a review of the case, where a locally set threshold is met. Warwick District Council will publicise details of this mechanism and work with other agencies where the trigger is met, to ensure agencies work together to find a solution.

3.7 Domestic Abuse/ Violence:

Effective liaison with the multi-agency risk assessment conference ensures that victims are supported in accessing appropriate remedies; measures available to deal with associated anti-social behaviour and prevent impact on the wider community are considered only after consultation with MARAC. (Please see our Domestic Abuse and Violence Policy.)

3.8 Publicity

We will promote our policy and practice widely, promoting good standards of behaviour across our estates.

This Policy and a summary of our procedures will be published on our web site. Printed copies will be available at public access points.

Successful resolution of cases will be publicised and press releases will be made in specific cases of enforcement action, where this is deemed appropriate. The identity of those individuals involved both victims (with their agreement) and perpetrators may be made public by the Council.

3.9 Protection of Staff

The Council keeps a list of potentially violent members of the public. The Council will ensure that the list, designed to make staff aware of known perpetrators of violence, is regularly updated and distributed to

appropriate members of staff likely to have contact with members of the public.

All members of staff dealing with anti-social behaviour will receive training for lone working including where lone working is not appropriate and dealing with people in stressful and difficult situations where conflict may arise.

Appropriate legal action will be taken against those individuals who threaten, abuse or harm staff or our contractors. This may include the enforcement of the Council's conditions of tenancy via possession proceedings, the seeking of injunctions to restrain individuals or supporting criminal proceedings where appropriate.

4. EQUALITY AND DIVERSITY

We work in accordance with the Equality Act 2010 to assess whether alleged perpetrators are vulnerable so that we can identify the most appropriate support to help them change and modify their behaviour.

5. MONITORING AND REVIEW

This Policy will be reviewed every 3 years or earlier if there are significant changes required in the light of best practice and any changes to legislation and Government guidance.

6. ASSOCIATED DOCUMENTS

Housing Act 1985

Housing Act 1996

Housing Act 2004

Crime and Disorder Act 1998


Anti-social Behaviour Act 2003

Anti-social Behaviour Crime and Policing Act 2014

Anti-social Behaviour Crime and Policing Act 2014 Statutory guidance for frontline professionals

Care Act 2014

Warwick District Council Housing and Homelessness Strategies

 Executive 7 March 2017		Agenda Item No. 6
Title	Revised Call-in Procedure for Warwick District Council	
For further information about this report please contact	Graham Leach, Democratic Services Manager & Deputy Monitoring Officer 01926 456114 graham.leach@warwickdc.gov.uk	
Wards of the District directly affected	None	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	Overview & scrutiny Committee 7/2/17	
Background Papers		

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	No

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	8/2/2017 20/12/2016	Chris Elliott Bill Hunt
Head of Service		
CMT		
Section 151 Officer	8/2/2017	Mike Snow
Monitoring Officer	8/2/2017	Andrew Jones
Finance		
Portfolio Holder(s)	20/12/2016	Councillor Mobbs
Consultation & Community Engagement		
Final Decision?	No	
Suggested next steps (if not final decision please set out below)		
If approved the report will be taken to Council for adoption.		

1. **Summary**

- 1.1 This report brings forward a revised proposal for the call-in procedure for Warwick District Council.

2. **Recommendations**

- 2.1 That the Executive recommends to Council the revised call-in procedure, as set out at Appendix 3 to the report.
- 2.2 The Executive approves the flow chart of the call-in procedure, set out at Appendix 4, which subject to Council, will be appended to the Constitution.

3. **Reasons for the Recommendations**

- 3.1 The Council adopted a revised call-in procedure in April 2015, as set out at Appendix 1 to the report. This procedure was not applied until December 2015 when the Leisure Development Programme was called-in. On reflection it became apparent that the procedure relied on the Monitoring Officer to determine how the decision fell within the policy framework and was therefore eligible to be called-in, a process which could be open to interpretation and challenge.
- 3.2 Consequently, Council, as part of the Annual Governance Statement, asked officers to review the current procedure and ensure that a more robust procedure is put in place.
- 3.3 As part of the review by officers it was noted that in addition to the issues identified in the Council Procedure Rules the procedure for call-in of decisions outside the budgetary framework as defined in the Budget or Policy Framework Procedure Rules, as set out at Appendix 2 to the report, should also be updated.
- 3.4 The call-in procedure has been considered by officers and it is recommended that the revised approach, set out at Appendix 3, is adopted. This is similar to the model used by Warwickshire County Council but has been revised to reflect the decision making arrangements for Warwick District Council.
- 3.5 The proposal provides a clear framework that can be followed for the call-in of decisions and removes the need for the Monitoring Officer to determine if a matter falls inside or outside of Policy or Budgetary Framework. It is considered that this aspect is not required because the Monitoring Officer is obliged under Article 12 of the Constitution to report to Council or Executive if a decision would give rise to unlawfulness or maladministration.

4. **Policy Framework**

- 4.1 **Policy Framework** –The report does not impact on the Policy Framework of the Council.
- 4.2 **Fit for the Future** – The report does not directly impact or seek to deliver in line with Fit for the Future. It does, however, contribute to ensuring that the decision making process of the Council is robust.

4.3 **Impact Assessments** – No impact assessment was undertaken because the proposals are to amend the Constitution of the Council and decision making process of the Council.

5. **Budgetary Framework**

5.1 The report does not impact on the Budgetary Framework of this Council or its budget.

6. **Risks**

6.1 The most significant risk associated with the report is for the current arrangements not to be amended. This is because it was clear from the item that was called in, that the current procedure was not sustainable and the guidance/flowcharts conflicted with the actual procedure.

7. **Alternative Option(s) considered**

7.1 The Council could retain its current procedure but seek amendments to the procedure and flow charts. However, this option was dismissed because at present the call-in procedure requires the determination of the Monitoring Officer before it can progress.

7.2 The Committee could ask officers to investigate other call-in procedures, but this was dismissed because the procedure proposed is based on the one already in place at WCC where it is regularly used to call matters in.

Warwick District Council Current Council Procedure Rule

21. Decisions of the Executive

- (a) A summary of the decisions taken at meetings of the Executive will normally be published on the next working day following the meeting.
- (b) Subject to (d) below, decisions made under delegated powers at a meeting of the Executive will become effective at 5.00 pm on the fifth clear working day after the publication of the summary of decisions of that meeting. This five clear day period is known as the Call-in period.
- (c) If the Executive decision is made by a Portfolio Holder or is a Key Decision made by an officer, a summary of the decision will be published the day following the decision being made, and will become effective at 5.00 pm on the fifth clear working day after publication. The procedure from d) onwards will then apply.
- (d) If, during the Call-in period, the Chief Executive receives from three or more non-Executive members of the Council, an objection, including reasons, to a decision, as long as it meets the criteria (as defined at Appendix ? to these procedure rules) the decision then becomes a 'called-in' decision. The notification to the Chief Executive can be in the form of a letter or an email.
- (e) Any called-in decision will not become effective, but will be referred to the next meeting of the Overview and Scrutiny Committee.
- (f) The Overview & Scrutiny Committee can decide:
- to allow the decision to be implemented without further delay;
 - to refer the decision back to the Executive (irrespective of who the original decision-taker was) together with the observations of the Overview & Scrutiny Committee. The Executive will then take the final decision, and that decision may not be called-in;
 - to request the Executive to allow further time for the Overview and Scrutiny Committee to consider the issue and make observations at a later date;
 - to seek the advice of the Monitoring Officer and/or the Chief Finance Officer as to whether the decision is contrary to, or not wholly in accordance with, the policy framework or the budget and, if applicable, to refer the matter to the Full Council for a final decision.
- (g) If the decision is referred to the Executive by the Overview and Scrutiny Committee, there will be a separate report on the agenda with the heading 'Call-In Item '.
- (h) If for any reason the Executive are unable to reach a decision on the called-in item, and it is deferred, this 'Call-in Item' heading will then appear on every Executive agenda until the decision has either been confirmed or amended.
- (i) If the original decision is confirmed by the Executive, it cannot be subject to the call-in procedure again. If the decision or wording of the decision is changed by

the Executive in any way, then it becomes a new decision and can be subject to the call-in procedure.

- (j) If a called-in decision is referred to the Executive by the Overview and Scrutiny Committee, the Overview and Scrutiny Committee cannot pass comment on it again when commenting on Executive agenda items.
- (k) If a decision is referred to the next meeting of Council by the Overview and Scrutiny Committee, or the non-Executive members who called the decision in are dissatisfied with the decision of the Overview and Scrutiny Committee, it will appear under a separate agenda item of 'Call-In Item' and the procedure as set out in Councillor Procedure Rule 13 (16) will apply. It will also be followed by details of the item with an extract from the relevant Executive minute attached.
- (l) If for any reason Council are unable to refer the called-in decision back to the Executive, and it is deferred, this 'Call-in Item' heading will then appear on every Council agenda until it has done so.
- (m) Council does not have the power to change the decision of the called-in item. The only power Council has is to debate the Executive decision either pass comments, which will be taken into account by the Executive during the re-consideration of the original decision, or to take no further action.

If there is not a meeting of the Overview and Scrutiny Committee, Executive or Council scheduled within 8 weeks of the specified timeframe, a special meeting will be convened for consideration of this item only. If the decision is of particular urgency, a special meeting will be convened anyway so the decision can be dealt with as soon as possible.

The Called-in item will also continue to appear on the Forward Plan until the decision has either been confirmed or amended by the Executive.

BUDGET OR POLICY FRAMEWORK PROCEDURE RULES

7. CALL-IN OF DECISIONS OUTSIDE THE BUDGET FRAMEWORK

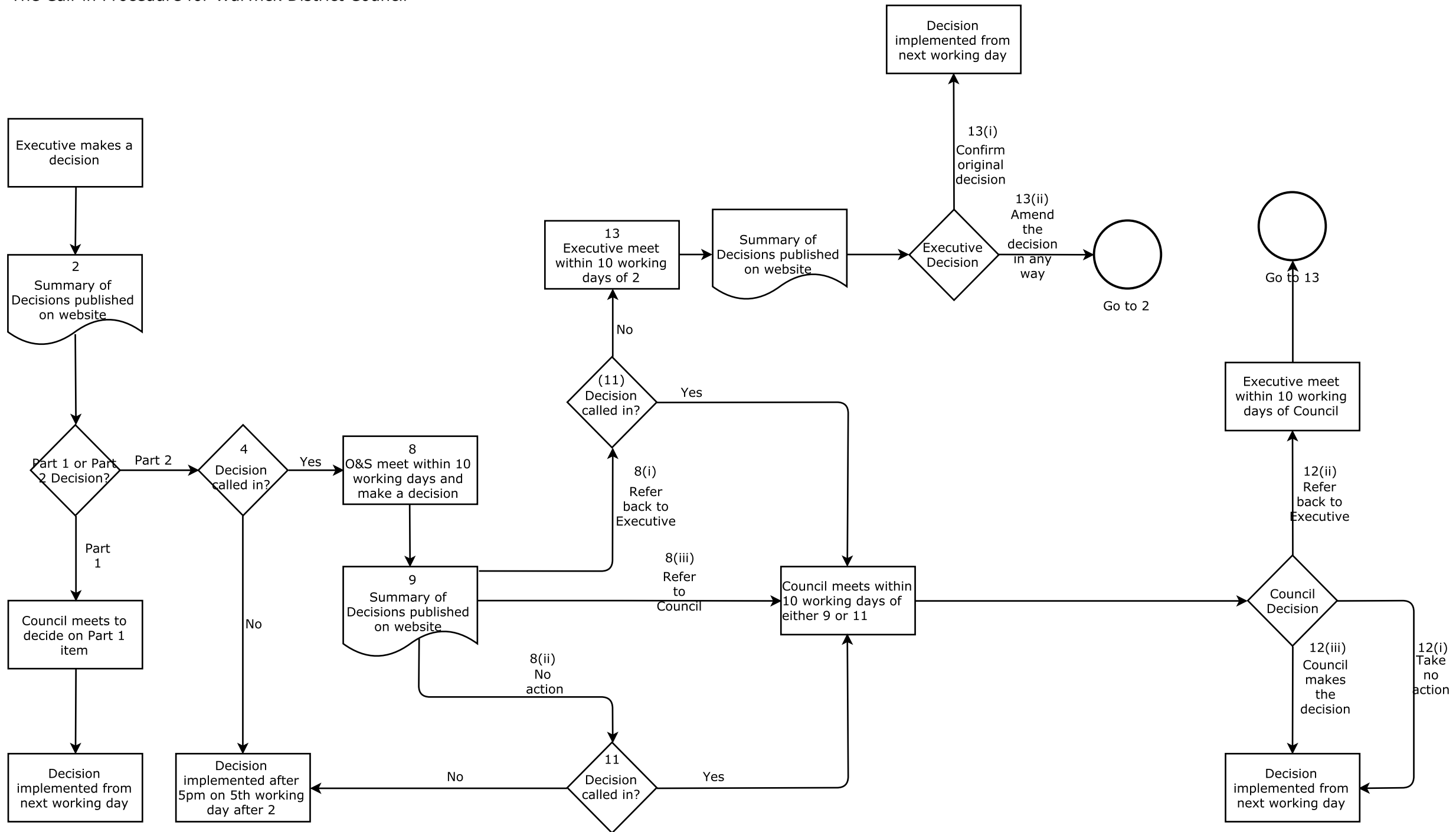
- (a) Where an Overview and Scrutiny Committee is of the opinion that an Executive decision is, or if made would be, contrary to the Council's budget, then it shall seek advice from the Monitoring Officer and Chief Finance Officer.
- (b) In respect of functions which are the responsibility of the Executive, the Monitoring Officer's and/or Chief Finance Officer's report shall be sent to the Executive with a copy to every member of the Council. Regardless of whether the decision is delegated or not, the Executive must meet to decide what action to take in respect of the report and to prepare a report to Council in the event that the Monitoring Officer and/or Chief Finance officer conclude that the decision was a departure, and to the an Overview Scrutiny Committee if the Monitoring Officer and/or the Chief Finance Officer conclude that the decision was not a departure.
- (c) If the decision has yet to be made, or has been made but not yet implemented, and the advice from the Monitoring Officer and/or the Chief Finance Officer is that the decision is contrary to the budget or policy framework, the Overview and Scrutiny Committee may refer the matter to Council. In such cases, no further action will be taken in respect of the decision or its implementation until the Council has met and considered the matter. The Council shall meet within 5 days of the request by the Overview and Scrutiny Committee. At the meeting it will receive a report of the decision or proposals and the advice of the monitoring officer and/or chief financial officer. The Council may either:
 - (i) endorse a decision or proposal of the Executive decision taker as falling within the existing budget or policy framework. In this case no further action is required, save that the decision of the Council be minuted and circulated to all councillors in the normal way;
 - Or (ii) amend the Council's budget or policy framework concerned to encompass the decision or proposal of the body or individual responsible for that Executive function and agree to the decision with immediate effect. In this case, no further action is required save that the decision of the Council be minuted and circulated to all councillors in the normal way;
 - Or (iii) where the Council accepts that the decision or proposal is contrary to the budget or policy framework, and does not amend the existing framework to accommodate it, require the Executive to reconsider the matter in accordance with the advice of the Monitoring Officer and/or Chief Finance Officer.

Proposed Call in procedure for Warwick District Council

- 1 This call-in procedure can apply to any decision taken by the Executive which is not a recommendation to Council. It will not apply to:
 - a decision which has been defined as urgent under Council Procedure Rule 26;
 - a decision that has previously been called-in or is of the same subject matter of an item that has been called-in within the previous 6 months;
 - any decision relating to a non-Executive function, whether taken by a Committee or an officer under delegated powers; and
 - a decision made by or is the responsibility of the Council.
- 2 Any decision taken by Executive shall be published on the Council's website, normally, within two working days of the decision being made. Notification of the publication of the decision will be sent to all Warwick District Councillors via email.
- 3 The decision will come into force and may then be implemented after 5.00pm on the expiry of the fifth working day after the date of electronic publication of the decision, unless the Monitoring Officer receives a written request as set out in 4 below.
- 4 If, before the expiry of the period referred to in 3 above, the Monitoring Officer receives a written request from at least three non-Executive members of the Council to call-in an Executive decision, setting out the nature of their concern and the reasons for the call-in, then the matter shall be treated as "called-in"
- 5 Any such request must provide a reason for the call-in. This should specify why the decision:
 - is considered to be contrary to the normal requirements for decision-making; or
 - is considered to be contrary to the Council's agreed policy framework and/or budget; and/or
 - what further information needs to be provided by the Executive to explain why the decision was taken.
- 6 If an item is "called-in" the Monitoring Officer will notify all Councillors, the Corporate Management Team and relevant Head of Service(s) that the decision has been called-in.
- 7 Where it is cited that the decision is contrary to the Policy or Budget Framework the Monitoring Officer will consider this under Article 12 and will advise the Overview & Scrutiny Committee in the covering report for when they consider the called in item, that either:
 - (i) the decision complies with Policy & Budgetary Framework; or
 - (ii) the decision does not comply with Policy & Budgetary Framework and therefore should be recommended to Council for consideration.
- 8 The Overview & Scrutiny Committee will meet to consider a report on the called-in item within 10 working days of the item being called-in. The Committee will decide to either:
 - (i) refer it back to the Executive for reconsideration, setting out in writing the nature of its concern; or
 - (ii) decide to take no action; or
 - (iii) refer the matter to Council for debate.

- 9 The outcome of the Overview and Scrutiny Committee consideration will normally be published electronically within two working days of the meeting and all Councillors will be notified of this.
- 10 If the Overview and Scrutiny Committee decide to take no action, the original decision shall take effect at 5.00pm on the expiry of the fifth working day from the date of publication of the outcome, unless a request has been made as set out at 11 below.
- 11 Any six non-Executive members of the Council may, by written notice to the Monitoring Officer before 5.00pm on the fifth working day after the date of publication of the outcome of the Overview and Scrutiny Committee meeting, require the decision (either refer to Executive or take no further actions) to be referred to a meeting of the Council. The Council will meet to consider the decision no later than 10 working days after the fifth working day following publication of the decision by the Overview & Scrutiny Committee. Any such request for a referral of the decision must set out the nature of the concern and the reasons for the referral.
- 12 Council will meet to consider the called-in item, that has been referred to them, within 10 working days of the item being referred to them. Council can determine:
 - (i) to take no action . (If this is the case the decision can be implemented the next working day); or
 - (ii) refer the matter to the Executive for reconsideration setting out in writing the nature of its concerns; or
 - (ii) make the decision with or without amendment, if the Monitoring Officer has determined that it falls within the Council's power to do so. (If this is the case the decision can be implemented the next working day)
- 13 When the matter is referred back to the Executive the decision will be reconsidered at a meeting of the Executive no later than 10 working days after receipt of the matter was referred to them. The Executive will:
 - (i) Confirm the original decision – it then takes effect on the day after that reconsideration and cannot be called in, or
 - (ii) amend their original decision in anyway – in which case the decision can be subject to a further call in as detailed above.

The Call-in Procedure for Warwick District Council



(4) - The decision must be called in by at least 3 councillors within 5 working days of the published decision

(11) - The decision must be called in by at least 6 councillors within 5 working days of the published decision

NB: Where it is cited that the decision is contrary to the Policy or Budget Framework, the Monitoring Officer will consider this under Article 12 and will advise the Overview & Scrutiny Committee in the covering report for when they consider the called in item, that either:

- (i) the decision complies with Policy & Budgetary Framework; or
- (ii) the decision does not comply with Policy & Budgetary Framework and therefore should be recommended to Council for consideration.

	Executive 8th March 2017	Agenda Item No. 7
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Title	
For further information about this report please contact	Bereavement Services – enhanced service provision
Wards of the District directly affected	All
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No
Date and meeting when issue was last considered and relevant minute number	NA
Background Papers	None

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	No
Not applicable	

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	15/2/2017	Bill Hunt
Head of Service	3/2/2017	Rob Hoof
CMT	9/2/2017	
Section 151 Officer	15/02/2017	Mike Snow
Monitoring Officer	9/2/2017	Andy Jones
Finance	3/2/2017	Jenny Clayton
Portfolio Holder(s)	3/2/2017	Councillor Shilton
Consultation & Community Engagement		
All staff affected have been consulted and discussion held with the Trade Union		
Final Decision?		No
Employment Committee 22nd March 2016.		

1. **Summary**

- 1.1 The Council agreed to an extensive programme of capital expenditure to improve the crematorium which was completed during 2015/16. This report sets out proposals to build on this investment by improving current service provision through a significant increase in the opening hours of the crematorium and revisions to the staffing establishment to ensure that the longer term needs of the district are catered for in regards to cemetery and crematoria capacity.

2. **Recommendations**

- 2.1 That Executive agrees to extend the operation of the crematorium from five to six days a week.
- 2.2 That, subject to agreement of recommendation 2.1 and the subsequent approval by Employment Committee on 22nd March 2017 of the revised establishment, the Executive agrees to increase the 2017/18 staffing budget by £36,321, as set out in section 5, and note that these costs will be met through the increased fee income that the enhanced service will generate.
- 2.3 That Executive notes the work required in developing a long term strategy for the provision of bereavement services.

3. **Reasons for the Recommendations**

- 3.1 To improve the flexibility of the service by increasing the number of days Oakley Wood Crematorium operates from five to six days a week. This enables the facility to better meet the demands on the service, to give customers more choice, to increase income and to remain competitive.
- 3.2 Whilst capital building works were being carried out to alleviate waiting times, occasional Saturdays were worked during peak times. It was noted that on those particular Saturdays some of the services taking place would have been booked in at another crematorium but families chose to use Oakley Wood instead because of the convenience of having a Saturday service
- 3.3 There is already an established demand for some services to be provided at weekends. Cremated remains are laid to rest at weekends, however due to the limited hours available families often have to book several weeks in advance. Special events, for example Memorial services, which are usually scheduled for weekends can only be facilitated by voluntary overtime. There is an existing service requirement for the page to be turned to "todays" date 365 days to fulfil established expectations and historical agreements with customers who have paid a premium to have their loved-ones' name entered into the book of remembrance which is displayed on the anniversary each year.
- 3.4 When the cremators were replaced in 2009, holding over services was approved. However as Saturday is not currently a normal working day, any services taking place on Friday must be cremated before staff can go home on Friday. This has led to restrictions on the number of services that can be accommodated on what is the most frequently asked for day; in addition afternoon slots are generally favoured so there is still a burden on staff having to work voluntary overtime, usually in lone working conditions, beyond their normal hours to complete the cremations

- 3.5 The nearby crematoria already offer the extra convenience of Saturday services, but are reliant upon staff goodwill and overtime to provide those services. Being conveniently near to motorway links makes Oakley Wood an ideal choice for people who have family and friends with great distances to travel
- 3.6 In order to operate over a six day week and to provide capacity to enable development work the staff resource will need to be increased.
- 3.7 The existing structure is very flat with all members of staff reporting directly to the Bereavement Services Manager. Creating an operational team leader post will give staff better support and opportunities for development. Creating a development manager post will improve resilience and business continuity and give increased scope to improve services for the bereaved families.
- 3.8 Subject to Executive approval of this report, and Employment Committee approving establishment changes on 22nd March the six day working rota will commence as soon as possible following job matching for employees in deleted posts and recruitment for newly deleted and created posts.
- 3.9 The changes will maximise the opportunity to generate additional income following the recent capital investment.
- 3.10 The new management structure will allow development of a long term strategic plan to anticipate the future needs for cemetery and crematoria capacity by projecting the impact of changing demographics in the district and surrounding areas. This will include reviewing opportunities to further enhance service provision for customers, improve efficiency and increase income generating potential.

4. **Policy Framework**

- 4.1 The provision of high quality Bereavement Services, which support the grieving process, is part of the health and wellbeing agenda and contributes to making Warwick District a great place to live, work and visit

4.2 **Fit for the Future**

- 4.2.1 The principles of Fit For the Future have been considered in the formation of the proposals and are aligned to the 3 key strands.
 - a) **Service** – The choice and level of service available to customers will be enhanced.
 - b) **People** – Staff have been fully involved and consulted about the proposed changes and new job descriptions have been subject to negotiations with staff and trade unions.
 - c) **Money** – The proposals will generate additional income to deliver key front line services to customers and additional income that will support the requirements of the Medium Term Financial Strategy.

5. **Budgetary Framework**

- 5.1 A revised staffing structure, deleting 1 full time and 2 part time posts and creating 2 full time posts, which support the new management structure and provide the additional capacity needed to operate on Saturdays, will be

presented to Employment Committee on 22nd March and that subject to approval the additional salary cost will be £36,261 for 2017/18.

- 5.2 It is anticipated that additional income in the region of £100k per annum can be generated by operating the crematorium on Saturdays, which is based on the following assumptions.
- 5.3 That at least two services that currently take place in the week will move to a Saturday, resulting in additional income of £15k per annum.
- 5.4 The ability to offer services on a Saturday is likely to result in new requests, and based on only attracting two additional services each week gives an additional income of £80k per annum.
- 5.5 In addition to the income identified in 5.3 and 5.4 it is likely that other ancillary income of £5k will be generated, from additions to the book of remembrance or from sales of garden memorials.
- 5.6 The revised staffing structure would also enable a saving on overtime payments of £2k per annum, which has been accounted for in the figure shown in 5.1.
- 5.7 There will be growth in contracted cleaning services of £2K per annum, to ensure the chapel facilities are suitably presented for services taking place on Saturdays.
- 5.8 The net additional income resulting from these proposals is, therefore, approximately £60k per annum.

6. Risks

- 6.1 Staff will be unhappy with the new working arrangements and may leave or become de-motivated. To mitigate this all staff and trade unions have been consulted to agree the best possible working conditions whilst still providing the desired service improvements. In addition enhanced service resilience is being built into job descriptions.
- 6.2 The service may not be used to the extent predicted and the projected additional income may not cover the costs of the additional post. To mitigate this realistic estimates based on proven previous experience have been used. Strict budget management processes between finance and the service area are already in place.
- 6.3 Not making these changes would dilute any opportunities for generating additional income and not provide the extra officer time required to devote to service improvements. The recommendations made in this report are offered to mitigate this.
- 6.4 Not making these changes could result in fewer families choosing to use Oakley Wood because other crematoria offer more convenience. The recommendations made in this report are offered to mitigate this.
- 6.5 The new posts of Bereavement Service Development Manager and Bereavement Operational Team Leader require a significant amount of specific technical knowledge and may be difficult to recruit to. To mitigate this job descriptions have been carefully written to provide development opportunities

for either internal or external candidates and improve prospects for career progression.

- 6.6 The deletion and creation of posts is subject to Employment Committee approval and may not be granted.

7. Alternative Option(s) considered


- 7.1 Do nothing, this option has been discounted because maintaining the status quo would not provide opportunities for improvements in service to customers, would not provide additional income for the Council and would not enable future planning to ensure burial provision is available, and would see the service being left behind by increased competition from neighbouring crematoria.
- 7.2 Operate the Saturday service by using overtime. This option has been discounted because it would rely entirely on good will and it may not be possible to consistently offer services, it would worsen the work life balance of staff by expecting extra hours to be worked on a regular basis and may cost more because enhanced overtime rates of pay would be required.
- 7.3 Not develop a long term strategy. Cemeteries are a finite resource; once all the grave spaces have been used the Council would be left with a statutory and ongoing maintenance liability and no opportunity to generate income to offset that liability. There would be no choice for residents living in the District to choose between burial and cremation of their loved ones, which may infringe upon their ability to practice their particular religious beliefs.

8. Background

- 8.1 To enhance business resilience and in line with recommendations from the industry professional bodies (Federation of Burial and Cremation Authorities, and Institute of Cemetery and Crematorium Managers) incorporating the cremator operators certificate qualifications into all jobs across the service area improves the Councils status in relation to the Charter for the Bereaved award
- 8.2 Bereavement services has two budget cost centres; cemeteries and the crematorium and delivers an income in the region of £1.5million per annum.

Anticipated service provision is:

Cremation	1800
Burial	180
Burial/scattering cremated remains	250
Cemetery memorial applications	250
Book of Remembrance entries	180
Genealogical research	200
General funeral planning advice	50
Transfer ownership of Exclusive Right of Burial	125
Other events	15

 EXECUTIVE – 8th March 2017		Agenda Item No. 8
Title: Community Forums and Voluntary & Community Sector spending Review		
For further information about this report please contact	Liz Young Interim Community Partnership Team Manager (01926) 456019 Liz.young@warwickdc.gov.uk	
Wards of the District directly affected	ALL	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	NO	
Date and meeting when issue was last considered and relevant minute number		
Background Papers	Executive 11 th June 2014: Procurement of Services from the VCS 2015 – 18	
Contrary to the policy framework:	No	
Contrary to the budgetary framework:	No	
Key Decision?	Yes	
Included within the Forward Plan? (If yes include reference number)	Yes	
Equality and Sustainability Impact Assessment Undertaken	Yes/No (If No state why below)	
To be undertaken following options assessment by external consultant.		
Officer/Councillor Approval	Date	Name
Chief Executive/Deputy Chief Executive	09/02/17	Andrew Jones
Head of Service	02/02/17	Marianne Rolfe
CMT	14/02/17	Chris Elliott Bill Hunt Andrew Jones
Section 151 Officer	09/02/17	Mike Snow
Monitoring Officer	21/02/17	Andrew Jones
Portfolio Holder	20/02/17	Councillor Mrs Grainger
Consultation & Community Engagement		
CPT Survey May 2016 – Survey results Forums & Forum Planning Groups – Appendix 5		
Final Decision?	Yes	

1. **SUMMARY**

- 1.1 To recommend a review of Warwick District Council spending on the Voluntary & Community Sector (VCS), and also changes to the community forums.
- 1.2 The rationale behind this review is the requirement of the Fit for the Future Report (June 2016) to identify savings from the Council's investment in the VCS and community engagement from 2018/19 onwards and improve the efficiency of the whole community forums process.
- 1.3 To provide the officers with expert advice in identifying best value for the Council's investment in the VCS and community support, it is recommended that consultancy services are procured.

2. **RECOMMENDATIONS**

- 2.1 To approve the proposal to reduce the frequency of community forums from three times a year to twice a year in each of the seven locality areas whilst ensuring that alternative methods of community engagement are enhanced.
- 2.2 To note that Warwick District Council (WDC) invests £398,400K annually in the Voluntary & Community Sector (VCS) and supporting other partnership and community initiatives and agrees that officers procure external support to review how the VCS contracts (2018/19-2020/21) and community support funding can be more effectively targeted.
- 2.3 Subject to agreeing recommendation 2.2, to agree that whilst the future level of grant funding for each of the community forums may change, the forums themselves will still be responsible for deciding grant applications.
- 2.4 Subject to agreeing recommendation 2.2, to agree that up to a maximum of £15k is made available from the Contingency Budget to enable the Head of Health and Community Protection to procure the aforementioned external support.
- 2.5 Subject to agreeing recommendation 2.2, to agree that the total cost of VCS and community support is reduced from its present amount to £350k annually thereby reducing the cost to the Council by £49k but noting that the level of investment has not been reduced over the last ten years.
- 2.6 To approve that the established VCS Commissioning and Grants Panel (that currently consists of 4 Members - 2 Conservative, 1 Labour and 1 Whitnash Residents Association) oversees the review and is expanded to include 3 more elected Members (1 Liberal Democrat and 2 Conservative).

3. **REASONS FOR THE RECOMMENDATIONS**

Reduce Frequency of Forums

- 3.1 The Community Partnership Team (CPT) currently organises 22 community forum meetings and double the number of planning group meetings across 7 locality areas each year.
- 3.2 Changes in the partnership arrangement with the Warwickshire County Council (WCC) has meant a fluctuating and reduced level of staff resource to facilitate the meetings; to support the planning groups; to follow up the actions generated by the forums; and to administer grant applications and process grant payments. Currently there are two

WDC full-time employees who undertake this work as part of their many other duties. There is also part time assistance from WCC employees working with the team to cover forums. WCC also provides 10 hours per week of administration support to the CPT but this is for all the team's activities.

- 3.3 Officers have reviewed the use of team's available resources to determine if there are opportunities to deliver services in a more efficient, cost effective way. Currently a disproportionate amount of resources go into organising and facilitating the 22 forum meetings per year which is not proportionate to the team's overall impact and outcomes achieved.
- 3.4 The organisation of one Forum on average is equivalent to at least 10 working days of officer time plus administrative support. Reduction of forums would enable the redirection of officer resources into the development of key Council work programmes supporting the health and wellbeing, and sustainability agendas.

External Review of V&CS and community support expenditure

- 3.5 The Council currently invests £398,400 in the V&CS and various elements of community support (including community forum grants) as detailed at (Appendix 1). Officers consider that savings in this expenditure could be achieved if the investment was looked at "in-the-round" rather than as discrete budget lines and yet still deliver, support and invest in the needs of the community.
- 3.6 In order to identify savings appropriately, and with reference to social value and the returns on investments currently demonstrated, an external resource with expertise in, and knowledge of, how other Councils have re-shaped their investments in the VCS and community support, is required to work with officers. An estimated cost for consultancy support would be up to a maximum of £15k.
- 3.7 Whilst there are concerns about the effectiveness of the community forums it is considered that providing them with grant funding to distribute via an application process is important and so the terms of reference for the consultancy support will confirm that community forum grants must continue as now although the amount of allocation will be up for consideration.

Elected Member VCS Commissioning and Grant Panel

- 3.8 The VCS Commissioning and Grants Panel will input into and influence the review process at key stages. Given the importance of the review and the need to take on board the views of as many stakeholders as possible, it is recommended that the Panel is expanded.

4 POLICY FRAMEWORK

- 4.1 The work of the Community Partnership Team directly supports the thematic and cross cutting priorities of the Sustainable Community Strategy (SCS). The team targets its work, as stipulated in the SCS, to the priority wards, supporting the most vulnerable and disadvantaged in the community.
- 4.2 In alignment with the SCS's Prosperity agenda, the CPT is re-evaluating how it performs its key functions to ensure future delivery is efficient, cost effective and sustainable. Specifically the team plays a key role in supporting growth e.g. major development of our most deprived wards in Lillington and putting in place robust procurement practices in terms of 3-year contracts with the Third Sector.

- 4.3 The team also leads on the delivery of the Council's health and wellbeing agenda and will also be taking on the sustainability agenda lead role.
- 4.4 The review of the council's investment in the V&CS specifically supports the Service and Money strands of Fit for the Future in relation to continuously reviewing and improving our services whilst ensuring resources are managed appropriately and creatively to ensure value for money and social return on investment.

5 BUDGETARY FRAMEWORK

- 5.1 A summary table of V&CS and community support expenditure can be seen at Appendix 1.
- 5.2 The Council currently invests £398,400 in the V&CS and community support. The Medium Term Financial Strategy includes a saving of £42,000 per annum from 2019/20 following on from the FFF report agreed by the Executive in June 2016. However, this report proposes that overall savings are increased to £49,000 and the task of the consultancy advice and VCS Commissioning and Grants Panel is to identify how those savings are to be made.
- 5.3 The 2017/18 Contingency Budget currently has an unallocated balance of £200,700 out of which the proposed consultancy work up to £15k can be met.
- 5.4 Members should note that WCC also invests funding in community forums, however, the respective Division Councillors make their own decisions on whether to allocate their funding to the forums or not. Some Councillors have, in effect, their own grant schemes. Whilst the various schemes are administered by the CPT, this report does not address that issue as it is a matter for WCC.

6. RISKS

Forum Reduction

- 6.1 Reducing the number of forums could possibly affect the levels of community engagement and the opportunities for people to have their say. However, disappointing attendances of actual residents has long been an issue in some locality areas and a reduction in the number of meetings is likely to have minimum impact.
- 6.2 The Locality areas all have existing fora, groups and networks in place that could provide alternative mechanisms for community engagement (and in some cases already do).
- 6.3 Officer time will be freed up to focus on the delivery of other key council priorities.

External Review of V&CS and community support expenditure

- 6.4 The CPT does not have the capacity or expertise in social value or return on investment analysis to conduct a comprehensive review of V&CS Commissioning within the procurement deadlines set for 2017. Failure to conduct an adequate review of the spending in the V&CS could have significant impacts on the community as it could lead to services being commissioned which do not meet the needs of the community or do not provide a return on investment.

6.7 Bringing in an external specialist in this field will provide the necessary objectivity and demonstrate to V&CS partners that the Council is striving to manage the balance between savings, value for money and social value.

7. ALTERNATIVE OPTIONS CONSIDERED

7.1 WDC continues to support the current number of Community Forums. However continuing to support the current number would impact upon the ability and capacity of the officers involved to deliver on other key work programmes.

7.3 Officers undertake the review of V&CS and community support spending internally and make recommendations for spending allocations within the proposed new budget. However officers do not have the capacity to deliver this review within the procurement timetable required for the commissioned services. In addition they do not have the expertise to assess social value and investment return in a manner that would provide the required understanding.

8. BACKGROUND

8.1 Reduction of Forums

8.2 The CPT supports 22 community forum meetings per annum across 7 locality areas: North and South Leamington, Whitnash, Warwick Town, Kenilworth, Warwick Rural East and Warwick Rural West and, in addition to this, administers meetings of the planning groups assigned to each forum.

8.3 Agreement was reached 2 years ago by the Chairs of the Forums to reduce from 4 to 3 meetings per year (with the exception of North Leamington who wished to retain 4) and utilise alternative methods of engagement using social media, web based communication and online voting for policing priorities.

8.4 The ways in which we engage with communities are changing with increasing use of social media and digital communication, and whilst forums, in providing face to face interaction for certain members of the community, still have a part to play, other alternative methods should be increasingly utilised to target the diverse, hard to reach groups that do not attend the forums.

8.5 A survey was conducted in May 2016 asking all stakeholders their views on the effectiveness of community forums and the quality of services delivered by the CPT. [Survey results](#)

8.6 In addition to the May survey, Forum Planning Groups and Town and Parish Councils were canvassed again in September 2016 on proposed changes to Forums and the associated grant fund. See Appendix 3 for the feedback received.

8.7 Appendix 3 includes suggestions for alternative approaches if Forums were reduced. For example:

- Merging Rural East and Rural West Forums and seeking additional support from Warwickshire Association of Local Councils (WALC) and/or from Parish Councils.
- Whitnash could follow on from Town Council meetings to encourage attendance and share support costs.
- Warwick Town Council has indicated that due to boundary changes in 2018 maintaining 3 forums would be preferable and they may be able to contribute to

the administrative costs of a third forum as well as providing the Court House for one meeting.

- 8.8 WCC is also in the process of reviewing its approach to community forums and its councillor grant scheme as part of a wider Local Governance Review. Additionally within the scope of the review is local decision making, priority setting and influencing at a local level, strengthening community involvement and engagement, informal public consultations, interface and collaboration with other public agencies and the role of social (or other forms of) media.
- 8.9 The WCC review is being led through a cross party member working group. It is anticipated that a final report on future local governance arrangements will be made to Cabinet in March 2017.
- 8.10 The CPT continues to work closely with the WCC Southern Area Team in the delivery of forums and grants, and albeit out of sync in terms of the respective reviews. It is likely that the outcome of WDC's review will have some bearing on their decision making process and impact on the WCC resources which assists WDC to deliver forums and forum related activities.
- 8.11 However, waiting for the outcome of WCC activities prevents officers from realising efficiency savings from officer time in supporting the forums and some small related financial savings. Efficiency savings made could be reinvested in delivering other key work programmes which WDC have identified as important for the community.
- 8.12 If WCC decides to cease delivering community forums then a further report will be presented to Executive recommending WDC's approach in response as there would be a significant impact on resources and staff.
- 8.13 In addition the boundary changes which come into force from 1 April 2017 affect the forum areas of Warwick Rural West and Kenilworth which will change the composition and structure of these localities.
- 8.14 V&CS and community support expenditure
- 8.15 Appendix 1 outlines how the £398,400 spending is allocated across commissioned contracts, community forums, grants, sustainability and community engagement budgets and contributions to external partnerships (JHSW).
- 8.16 Joint Healthy South Warwickshire Grant (JHSW): This Fund has been in existence for approximately 5 years. The contributors are WDC, Stratford DC, the Clinical Commissioning Group (CCG) and Public Health. WDC makes a contribution of 10K to JHSW (total grant budget of JHSW 80K). These monies are split equally to fund projects across Warwick and Stratford.
- 8.17 This collaborative approach has proved very effective in that the pooling of resources has enabled more health and wellbeing projects of a more substantial and sustainable nature to be funded and has improved communication between the partners involved thus avoiding duplication of effort and resources. It also ensures a joined up approach to meeting key local health and wellbeing performance indicators.
- 8.18 Examples of local projects benefitting from JHSW funding currently are the Social Prescribing Programme run by the Sydni Centre in partnership with the Croft Medical Centre and the Dementia Café run by the Brunswick Hub.

8.19 External support for V&CS and community support review

- 8.20 In 2010/11 the original Elected Member Grants Panel, supported by officers in the Community Partnership Team, went through a detailed options appraisal process to consider how the Council would allocate future funding to the voluntary and community sector. The decision was made to move away from the allocation of annual grants to voluntary and community sector organisations and to put in place a 3 year contract agreement whereby the sector would be invited to tender for delivery of a range services based on an agreed set of priorities.
- 8.21 The Council is now into year 2 of the second 3 year tranche of V&CS contracts. The contracts are monitored every 6 months and performance is reported to the V&CS Commissioning and Grants Panel (the old Elected Member Grants Panel), which oversees the whole VCS Commissioning process. Appendix 2 provides an outline of the services being delivered currently.
- 8.22 Orbit Heart of England has jointly invested with WDC in the Brunswick and Sydni contracts in order to benefit their tenants who live in those areas. It is hoped this productive partnership will continue into the next round of contracts particularly given the significant Orbit housing development in Sydenham.
- 8.23 In accordance with the commissioning and procurement cycle, the review process needs to begin in March/April 2017 which will entail a full review of performance against specification, consultation on new priorities for 2018-21 and production of new specifications.
- 8.24 As it proposed that the overall budget for V&CS and community support is reduced by £49K it is important to ensure that the review is completed in time for the retendering process.
- 8.25 From this external review it will be possible to identify how the £350k budget should be allocated between commissioned services, grants and partnership contributions to minimise the impact on the valuable services which WDC funds within the community yet providing the savings that have been identified in the Fit for the Future Programme.
- 8.26 The V&CS Commissioning and Grants Panel will be meeting with the CPT Manager at appropriate stages during the review and will be assessing the options put forward by the external consultant as to how spending allocations should be made across the variety of funding streams.
- 8.27 Officers, in consultation with the V&CS Commissioning and Grants Panel, will at the conclusion of the external review, bring forward a report to outline the options for future VCS spending.
- 8.28 This committee will receive a future report following the conclusion of the review process.

VCS Spend: £398,400**2017/18**

£

35,000

Community Forums**VCS contracts**

WCAVA

55,000

CAB

100,000

The Gap

35,000

The Chain

29,700

Sydni

20,000

Brunswick Healthy Living
Centre

90,000

**Community Engagement
Budget**

4,000

Small grants

11,200

**Contribution to Joint
Healthy South Warwickshire
Grant**

10,000

Sustainability Budget

8,500

VCS Commissioned Contracts 2015 – 2018: £330,000 per annum

Lots	Type of Service	Service Provider	Yearly Value of Contract
Lot 1. Third Sector Support	Ensuring that local third sector organisations get the advice, support and representation they need to improve the circumstances of the people and communities they work with	Warwickshire Community and Voluntary Action (WCAVA)	£55,000
Lot 2. Services in Targeted Geographic Areas – Brunswick	To target those people living in disadvantaged areas within Brunswick, Crown, West Warwick and Sydenham who are feeling socially excluded due to lack of resources, rights, services and the inability to participate in the normal relationships and activities available to the majority of people in a community, whether those are of an economic, social or cultural nature	Brunswick Healthy Living Centre	£50,000
Lot 3. Services in Targeted Geographic Areas – Crown		Crown Community Hub (formerly The Chain)	£30,000
Lot 4. Services in Targeted Geographic Areas – West Warwick		The Gap Warwick Percy Estate Community Projects Ltd.	£35,000
Lot 5. Services in Targeted Geographic Areas – Sydenham		Sydni Sydenham Neighbourhood Initiatives	£20,000
Lot 6. Financial Inclusion	To minimise the likelihood and impact of financial exclusion in Warwick District through the provision of advice, support and services at the	Warwick District Citizens Advice Bureau	£100,000

Lots	Type of Service	Service Provider	Yearly Value of Contract
	point of need in a coordinated and collaborative manner		
Lot 7. Delivery of Employment Clubs	To manage the three Employment Clubs currently operating from the Brunswick Healthy Living Centre, Lillington Youth Centre and The Gap Community Centre	Brunswick Healthy Living Centre	£40,000

Views on Community Forums and the Grant Fund from Planning Groups and Town & Parish Councils

A briefing note was circulated to Forum Planning Groups and to Town and Parish Councils in September giving an overview of WDC's impending review of Community Forums. The responses received are detailed as follows:

North Leamington Forum

From: heather.haslettmnwa@btinternet.com [<mailto:heather.haslettmnwa@btinternet.com>]

Sent: 17 October 2016 14:42

To: Bernadette Allen

Subject: Re: Future of Community Forums

I've thought for some time that the resources spent on Community Forum were completely out of proportion to the benefits. I think the Community Forum is a great idea, but if people don't come, it's time to give up. If Community Forums are to continue, I think there should be fewer meetings and they should cover specific issues, such as planning, as those seem to be the meetings with the best attendance.

I would favour combining the grants with the existing Small Grants fund. Otherwise, could we consider having a panel similar to the existing Community Forum planning group to decide the grants, but with a couple more non-councillor representatives? Maybe open to the public? Perhaps vote on line like we do for the police priorities? but this has the downside that no-one would have heard of it.

Police priorities - could it be done online only?

Police reports - duplicated for the people in my Neighbourhood Watch group. Are they duplicated elsewhere? If the police have to do this sort of session with the public, could it be done as a short meeting just with the Police?

Regards

Heather Haslett

Chair of Milverton Neighbourhood Watch Association

Councillor Amanda Stevens

I understand the need for savings and have some sympathy with the suggestion to reduce the number of meetings that some forums meet. But North Leamington is a diverse area and I think it would still be reasonable to have three. As for lack of public participation it is for local councillors to spread the word and try to encourage residents to go along. Could schools do more to encourage parents to attend? I would also suggest you request that town and parish clerks do more to advertise the meetings on the public notice boards.

Leamington Town Council has two annual rounds of small grant bidding that are considered by its Cultural & Community Committee (max £2000). And this works well. I was interested in the proposals for reducing the Forum's rounds of grant applications. Re the submission by local groups and charities for financial assistance it is important that their reps are always directed to the relevant ward Councillor. In fact I would make it a requirement as I believe was originally the case for applications to be supported by the councillors who represent the ward where the service or event is to operate.

Best wishes

Cllr Amanda Stevens

South Leamington Forum

Well attended

I think the number of attendees at our South Leamington community forum the other night demonstrates how important we feel these meetings are - the Sydni Forums are always well attended but this seemed the biggest turn out I've seen. I think I mentioned also that looking at the agenda of the North Leamington forum - we seem to have a lot more on our agenda in the South! (Or maybe that was just this time).

Networking and building relationships

It would be a shame for the community to see these disappear altogether. We've already reduced the forums from 4 to 3 a year. Although a lot of communication is done via email, face-to-face meetings are also important to develop relationships with the community, Councillors and other agencies. The meetings are often a good opportunity for agencies to network with each other - as well as with residents.

Yes, better publicity could be explored - perhaps attendees/cllrs have a responsibility to bring/invite new people to each meeting - as Kath Bannister did with the Shree Krishna Ladies group.

We've also talked about expanding to Westbury Centre for our next meeting and the Queensway Sikh Community Centre have now offered to host a forum meeting as well - there seems to be growing interest in our forum, not reducing!

Grants

As for the grants - this is something that community groups find very useful - but as you know, it's often the same groups applying each year. Is the aim to support a wider range of organisations? In which case again, better and wider advertising.

Whitnash Planning Group

They want to see the Forum continue but in a different guise - a new mechanism. They agree that something is needed - but not sure what.

They acknowledge that the current format is not working.

One suggestion is to have the meeting an hour before Town Council meeting.

Warwick Rural East

The Forum empowers the community to raise issues and have the opportunity to have some say on what's done locally e.g. policing priorities

The Forum provides the opportunity for residents to have regular face to face contact with police and councillors. There is no other opportunity available to residents to do this

Resourcing the Forum is minimal with administration provided by one officer per Forum

The breadth of representation of groups / opinion by attendees e.g. Parish Councillor is more relevant to the impact the Forum has than the numbers present at the meeting

Conclusion: the Forum still has a purpose. The benefits outweigh the disadvantages

On 23 September 2016 at 16:06, <Davidlawrie1@aol.com> wrote:

Para. 1.4. I have always wondered why so few members of the public attend our Rural West meetings, but the answer might lie in the fact that the public are probably not aware that they are taking place, and what their purpose is. This might be simple apathy, or it might be that the meetings are inadequately advertised; my money is on apathy, based on the sparse attendance of the public at Parish Council meetings which are well advertised in the parish.

As an older person I would personally be excluded from communication if the social media route were chosen, because I do not subscribe to social media, and have no intention of doing so. I think that social media would reach only the younger members of the community, because older members have not been indoctrinated. The effect would be to attract a completely different audience. This might be a good idea, but it would be unwise to ignore older people.

Para. 1.5. I am surprised that there are 30 meetings per annum, and can appreciate why WDC would like to reduce the cost of this.

Para. 3.2. Withdrawing Community Forum grants would certainly withdraw the teeth of the Forum, and I suggest that one might as well then wind up the system anyway.

Para. 4.1. Annual Community Conferences might work, but might not save a lot of cost, because it would still involve a lot of officers' time to implement decisions (and vet grant applications) during the year.

Regards,

David (Shrewley Parish Council)

Warwick Rural West

Forum briefly discussed this paper last night, and the key messages are:

People would like to consult parish councils on the proposals, and will get back to me by Mon 24 October with views

Some concern was expressed about a lack of formal consultation with forums on the proposals, although I stressed that this was an opportunity to do so

The boundary review changes will mean that the Forum won't exist as it stands now, and maybe the 2 rural Forums could be combined into one

It was generally felt that the opportunity for 3 tier conversations to take place was extremely valuable

There was a suggestion that the WALC Area Committee could be involved in whatever is created in the future

That's about it- I agreed to bring an update back to the last meeting of the WRW Forum, which will be 26 Jan

Lapworth Parish Council

LPC values the opportunity that the Warwick Rural West Forum offers to share concerns and views with neighbouring Parishes and authorities and would ideally chose to keep it. However it appreciates the increasing financial pressures facing local government so if the levels of communication and access to grants are kept open via alternative channels it has no objection to change.

Barford & Wasperton PC

I note with concern the proposals to review the operation of the forums.

I only have experience of Warwick Rural West Forum but hold the opinion that it provides an excellent opportunity to share views across all levels – WCC, WDC, PC/TCs, Police and other agencies, even if attendances are sometimes disappointing.

When first established as “Localities” it promised contact with officers who could get things done and be answerable to us all and to some degree that has been achieved. It is a shame that the wider public seldom gets involved unless specific interest groups wish to contact us to spread their message or perhaps to claim some of the funding available – but perhaps that is all rather inevitable as we are all so busy and often quite self-centred or focused...

If the review is really about is saving costs then in my view it would be better to maintain the current level of meetings, possibly consider some forum mergers and make savings through reducing the grant funding available – some of which frankly is not always good/best value for public money and should perhaps be funded through other routes, albeit perhaps demanding more local effort and commitment.

John Murphy

Barford PC

Kenilworth CF planning group

In some respects Forum is working well - good regular attendance & high level of on-line votes for police priorities

In other respects not so well - struggling to spend Forum funding each year & loss of interaction with residents (residents mainly being spoken to at mtgs)

Conclusion: Overall there's good support for the Forum to continue

Leamington Town Council (5 Oct)

The Council's Policy and Resources Committee considered the briefing paper on the future of Community Forums at its meeting last night.

There was no consensus among Members as to a way forward on this. The Council has therefore agreed that individual members should express their views through the Forum Planning Groups and the Forum meetings.

District & Town, Manor

From: Eagles,Angus 1284 [<mailto:angus.eagles@warwickshire.pnn.police.uk>]

Sent: 16 October 2016 13:08

To: Bernadette Allen; Groom,Peter 6179

Cc: Kitson,Christopher 1958

Subject: PS

Re the future of forums discussion from the other evening....

Pete has reported to me very limited buy-in from the public with regard to online voting. He spent the best part of a morning pushing the online vote to various channels (Twitter, mailing list, etc. etc.) which yielded a harvest of exactly... ZERO extra votes. As we discussed this is a significant draw on resources and a lot of effort is yielding very little community engagement.

Warwick Town Council

WTC can relate to the need for Warwick District Council to review the Community Forum however, to do so before Warwickshire County Council completes its review seem counterproductive.

We firmly believe the Forums do have an important role to play as they provide the only opportunity for resident to meet all levels of Councillor in one place, together with officers and the police. We also understand that we will be returning to three Warwick Council wards by 2018 so for Warwick maintaining three Forums would seem sensible. However we would be happy to offer the Court House as a central venue for one meeting and maybe able to contribute to the administrative costs of a third Forum should the decision be to reduce them to twice yearly.

We also feel that the police do not require such a large officer/PCSO attendance at each forum, a reduced number would be ample. We also feel that there is no longer a need for a

follow up meeting to agree police priorities, sign off the grants etc. as these could easily be resolved by email and discussion with the Chairman, which would reduce Officer time.

With regard to the community forum fund that Warwick District Council provides to (£5000) each Forum in Warwick this is greatly appreciated as we do not receive any WCC Cllr funding and would not like to see this fund reduced. Where WCC Cllrs do not contribute their Cllr fund to their Community Forum Fund we believe strongly that WCC should take on the full administrative cost of supporting their grants and not WDC.

Kind regards

Jayne Topham

Town Clerk

From: l.bromley@sky.com [<mailto:l.bromley@sky.com>]

Sent: 02 November 2016 11:55

To: Bernadette Allen

Subject: Community Forum

Dear Berni,

I gave my thoughts on improving the meetings to Cllr Warner but I repeat them again below, with some added suggestions.

Topics discussed are considered boring by many who attend and they don't come again.

Topics that would draw crowds are the unpalatable ones such as parking, traffic problems, public transport, road safety - traffic lights and box junctions, social services, alcohol and drug abuse, facilities/clubs/activities for the elderly and also for the young, waste collections, parks and open spaces maintenance, contacting our Councils/Councillors re our problems, crime in the area, how to object to planning applications, etc. With a little thought, I could come up with many more.

After listening to the various talks there is only 15 minutes left for round-the-table discussion. This is totally insufficient, particularly as we are told to discuss the issues raised in the talks, i.e. Community Forum format. Attendees go away disappointed that they could not raise their issues.

There should be a much longer opportunity for questions and answers, particularly to the Police (which was very helpful in the past).


There should be an opportunity for any other issue to be raised from the floor and, if the answers are not available, these should be taken back to the various cllrs/officers for response and brought up at the next Forum.

Putting the stickers on the maps takes a lot of time and is a waste of time as nothing is done about them.

There is insufficient publicity for the meetings. There was nothing on the notice boards in St. Nix and I daresay any other notice board. The press should be given more information such as the topics and there seems no reason why the meetings do not feature in the local press. Are all the newspapers contacted - including the Midweek (which many Warwick people receive)?

I asked Cllr Warner to note the following issues to be brought up at the de-brief or be taken forward by Cllrs.

Many thanks indeed.Linda

 EXECUTIVE 8th March 2017		Agenda Item No 9
Title	2017/18 ICT Services Digital Work Programme	
For further information about this report please contact	Tass Smith (01926) 456693 Tass.smith@warwickdc.gov.uk	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number		
Background Papers	Executive Report 2 nd December 2015 – Digital Transformation of Council Services	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	Yes (ref 845)
Equality Impact Assessment Undertaken	No
Not applicable.	

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	09.02.17	Andrew Jones
Head of Service	09.02.17	Andrew Jones
CMT	14.02.17	Andrew Jones
Section 151 Officer	09.02.17	Mike Snow
Monitoring Officer	09.02.17	Andrew Jones
Finance	09.02.17	Mike Snow
Portfolio Holder(s)	20.02.17	Clr Mobbs
Consultation & Community Engagement		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. Summary

1.1 This report seeks approval from the Executive for the 2017/18 ICT Digital Work Programme.

2. Recommendations

2.1 That Executive notes the progress made in 2016/17 towards the ongoing Digital Transformation programme as set out in the 2nd December 2015 Executive Report, including a number of learning points.

2.2 That Executive agrees the 2017/18 Digital Transformation Work Programme at Appendix 1 which is based on the Business Cases at Appendix 2.

2.3 That, subject to the approval of recommendation 2.2 above, the Executive notes that the 2017/18 Budget Report has made available up to £200,000 for the Programme's delivery.

2.4 That, subject to the approval of recommendation 2.3 above, the Executive notes that the release of funds for this Programme will be subject to a detailed financial review of each Business Case and will require sign off by the s151 Officer.

3. Reasons for the Recommendation

3.1 Recommendation 2.1

3.1.1 A number of projects, including those listed in the table below, have been successfully completed from the 2016/17 Digital Transformation programme:

Project	Benefits realised
Updated Jadu website Content Management System, website forms software and new website design	<ul style="list-style-type: none">• New or improved online forms• Responsive design optimised for mobile devices (50% of website traffic)• Improved prioritisation of information that customers want
Improved Capita Internet Payments	<ul style="list-style-type: none">• Responsive design optimised for mobile devices (50% of website traffic)
Various Officer mobilisation projects	<ul style="list-style-type: none">• Full Council Housing stock condition survey carried out with resulting data loaded back into our Housing System• Waste Contract Officer visit data is now digitally captured and automatically updated into the relevant back office systems.
iPad mapping application	<ul style="list-style-type: none">• Mobile solution providing secure access to geographical data sets• Enables constituents' queries to be handled more efficiently at Councillor Surgeries
Improved sort code and account checking solution	<ul style="list-style-type: none">• Annual saving of £2,016 as data no longer provided by an external

	supplier <ul style="list-style-type: none"> Allows officers to check that we hold accurate sort code and account information when setting up new Direct Debit or Bankers Automated Clearing System (BACS) payments.
Improved website access to Council Tax, Benefits and Non Domestic Rates accounts	<ul style="list-style-type: none"> User-friendly web interface Improved self-service options for customers wishing to manage their own accounts

3.1.2 The main learning points from the 2016/17 Digital Transformation programme are:

- With limited staff resources, it has been challenging for Service Areas to maintain their business as usual service while also releasing sufficient staff to design and test their transformational solutions. A further complication has been aligning resources between the ICT and Service Area teams for the duration of each project.
- When implementing our mobile working projects, Service Areas have had to make some significant back office process changes to realise the full benefits.
- Project timelines can be adversely affected by third-party software supplier availability and lead times.
- For transformational projects, which often require iterations based on feedback and learning, capturing all the functional requirements for projects upfront may not be the most efficient method to use. The project teams will experiment with using Agile methods for some of the 2017/18 programme projects.

3.2 Recommendation 2.2

3.2.1 Appendix 1 contains the 2017/18 Digital Transformation Work Programme which reflects, in the main, the Business Cases at Appendix 2.

The remaining projects have either been carried forward from the 2016/17 Work Programme as a result of supplier delays, or already form part of the Digital Transformation Business Case that was agreed on the 2nd December 2015.

The Work Programme is based on project urgency and importance, internal staff resource / third-party availability and any anticipated procurement requirements.

3.2.2 The following table summarises each Business Case and its anticipated customer and business benefits. Please refer to the individual Business Cases in Appendix 2 for the full list of identified benefits.

Business Cases 2017/18	Customer benefits	Business benefits
Neighbourhood Services data capture exercise	Open space survey data to be surfaced via the Council's website to enable customers to check areas maintained by the Council and planned maintenance activities. Additional functionality will enable customers to report issues spatially and for feedback to be given on work progression / completion.	Removes manual processes to identify land ownership. Improves contract management processes.
Self-serve Council Tax forms (OPENChannel)	Ease of reporting changes in circumstances.	Improved and largely automated processing, releasing staff resources to deal with more difficult cases and increased workload as the district expands.
Revenues visiting officer mobilisation	Home visits should take less time to complete using online application forms. Secure storage for photographic evidence supplied by the customer.	Improved accuracy of information reported to the Valuation Office. Removes time spent manually rekeying visit information and uploading photographic evidence.
Replacement crematorium system	Crematorium processing will be less distressing for bereaved families. Improved access to facilities. Potential to deliver new services to funeral directors and families.	Removes a major service risk. Reduction in manual processing.
PCI DSS Compliance centralised logging system	Achieving compliance will reassure customers that we take their card data security seriously	Removes additional bank charges.
Leisure centre contract management system	Effective contract management will allow the Council to reassure customers and Members that the contract is delivering services to the standard required by the Council. This will have a financial impact on the operator and on the Council through the "profit share" model included in the contract.	Effective management and monitoring of this contract. Ease of producing contract monitoring reports.
Self-serve car park season ticket requests	Faster application processing, including the ability to make online payments.	Improved and largely automated processing, releasing staff resources

Business Cases 2017/18	Customer benefits	Business benefits
	<p>Increased choice of start dates and locations.</p> <p>Automatic renewal notifications.</p>	<p>to deal with more difficult cases.</p> <p>Reduction in manual handling of customer cheques / cash payments.</p>
<p>Self-serve pest treatment requests and officer mobilisation</p>	<p>Provide assurance for customers with automated progress updates, preventing the need for follow up calls to check progress.</p> <p>Ability to pay by credit/debit card.</p>	<p>Removes time spent manually rekeying visit information and uploading photographic evidence.</p> <p>Reduction in manual handling of customer cheques / cash payments.</p>
<p>Improved planning committee speaker requests</p>	<p>Provide assurance for customers with automated progress updates, preventing the need for follow up calls to check progress.</p> <p>Manage customer expectations by providing automated updates of the number of other speakers attending.</p> <p>Improve access to information for the 55% of visits to the website made from mobile devices.</p>	<p>Potential reduction in printing / postage costs</p> <p>Reduction in manual rekeying of requests into back office system.</p>
<p>Barcode generation system for miscellaneous payments</p>	<p>Increased number of payment outlets as no longer need to post cheques or attend our offices to make cash payments.</p>	<p>Reduction in bank processing charges.</p> <p>Reduction in manual handling of customer cheques / cash payments.</p>
<p>Improved building control register & officer mobilisation</p>	<p>Currently 1000 interactions per month which should increase with improved functionality.</p> <p>Alleviate the need to contact the office and the costs of printing/photocopying/postage.</p> <p>Improve access to information for the 25% of visits to the website made from mobile devices.</p>	<p>Potential reduction in printing / postage costs.</p> <p>Reduction in manual administration tasks.</p>

Projects carried forward from 2016/17	Anticipated customer benefits	Business Benefits
Online card payment refunds (Capita)	Ease of refunding card payments, whether full or partial without having to make further contact with the customer.	Confidence that online Charge-back fraud is mitigated. Reduction in manual administration tasks.
Taxi inspections officer mobilisation	On completion, the Licensee can be emailed a transcript of each inspection.	Removes time spent manually rekeying visit information and uploading photographic evidence.
Online forms to replace generic service email addresses	Ability to deal with some requests at the point of demand, rather than waiting for an officer response. Consistent and seamless response to customer enquiries.	Improved routing of requests to enable responses to be given more quickly.
Mobile payments SmartPay360 (Capita)	Ability to pay for services in the comfort of the customer's own home. Convenience of no longer needing to make cash or cheque payments.	PCI DSS compliant card payments. Reduction in manual handling of customer cheques / cash payments.

3.3 Recommendation 2.4

3.3.1 The Business Cases at Appendix 2 include anticipated Capital and Revenue costs based on the information that we currently hold about each project. To protect the funds made available for this Work Programme, each Business Case will be subject to a detailed financial review to ensure all costs have been identified, before agreement to release the funds is made by the s151 Officer.

4. Policy Framework

4.1 At its meeting of the 2nd December 2015, Members agreed to approve the ICT & Digital Strategy which outlined our approach to developing and deploying digital technologies that support service delivery, ensuring that these solutions work for our customers.

The 2016/17 programme focused on implementing enabling technologies on which future digital solutions could be built; a responsive web site to work with mobile platforms, new payment solutions and technology to mobilise our workforce. The 2017/18 Digital Transformation Work Programme further enacts our ICT & Digital Strategy by utilising the above technologies.

4.2 The 2017/18 Digital Transformation Work Programme contributes to all three strands of the Fit for the Future programme. Examples include:

- Service:

The Digital Transformation projects will provide improved customer services: Customers will be able to access information and log requests via our website. Evidence to support requests may no longer need to be posted or delivered to Council offices. Automated status updates will be provided, where possible, to reassure customers that their request is being processed.

- People:

Many of the Digital Transformation projects will reduce the volume of service requests that staff currently manually re-key into their back office systems. By automating this aspect, staff will have time to deal with more complex customer service enquiries.

Mobile officers will be able to plan their working days better, avoiding unnecessary office visits and time spent manually uploading photographic evidence to their back office systems.

- Money:

The Crematorium system replacement project will save approximately 15 hours per month in staff processing time which will instead be used to extend service provision to 6 days per week.

Mobile officers would no longer need to print out case-related papers as this information will be made available on their mobile devices.

Mobile working will also contribute to the council's objective of having a more flexible workforce. This is a key requirement if the council wishes to realise the financial benefits associated with the proposed office relocation.

5. **Budgetary Framework**

5.1 The Executive should note that the 2017/18 Budget Report includes a budget of £200,000 for delivery of the 2017/18 Digital Transformation Work Programme.

5.2 The estimated upfront costs of the projects are shown in Appendix 3. These costs will be managed within the £200,000 budget, with the release of funds agreed by the s151 Officer.

6. **Risks**

The major risk to the programme continues to be resources in both ICT and service areas.

In respect of the individual projects, the table below sets out the main risks identified for each of the Business Cases at Appendix 2. Please refer to the individual Business Cases for the full list of identified risks and their likelihood, impact and mitigation.

Business Cases 2017/18	Please refer to the Business Cases at Appendix 2 for the Likelihood, Impact and Mitigation for each Identified Risk
Neighbourhood Services data capture exercise	Data capture costs are greater than anticipated. Captured data is still inaccurate or is not adequately maintained after project completion. Captured data leads to an increase in current Grounds Maintenance contract costs.
Self-serve Council Tax forms (OPENChannel)	That the expected channel shift is not realised and subsequently the processing backlogs are not reduced.
Revenues visiting officer mobilisation	The proposed solution isn't an improvement on the current one. The mobile technology fails in the field.
Replacement crematorium system	Existing Crematorium System fails before the replacement system is fully operational. Project delivery is dependent on adequate staff resource made available from proposed service restructure. Unexpected costs may arise owing to data cleansing or system interface requirements. Broadband link may not be available, restricting product choice.
PCI DSS Compliance centralised logging system	The solution isn't fit for purpose and we are not able to provide sufficient evidence to satisfy PCI DSS compliance. The solution isn't available to schedule and HSBC fines continue to be charged.
Leisure centre contract management system	Insufficient time available pre-contract for Council officers to get the system fully functioning for the start of the contract.
Self-serve car park season ticket requests	Business Service Area resource availability.
Self-serve pest treatment requests and officer mobilisation	The mobile form/payment technology fails in the field.
Improved planning committee speaker requests	The proposed solution isn't an improvement on the current one. That we are unable to integrate the solution into our Committee Management system.
Barcode generation system for miscellaneous payments	Payment reconciliation cannot be made to the customer's request for service. Business Service Area resource availability.
Improved building control register & officer mobilisation	The proposed solution isn't an improvement on the current one. Captured data is still inaccurate or is not adequately maintained after project completion.

Projects carried forward from 2016/17	Identified Risks
---------------------------------------	------------------

Online card payment refunds (Capita)	ICT and Business Service Area resource availability. Third-party project resource availability.
Taxi inspections officer mobilisation	Dependent on back office process reengineering and staff availability.
Online forms to replace generic service email addresses	Business Service Area resource availability.
Mobile payments SmartPay360 (Capita)	ICT and Business Service Area resource availability. Third-party project resource availability.

7. Alternative Option(s) considered

- 7.1 The option not to continue down the 'digital route' was discussed in the 2nd December 2015 Executive Report and it was accepted that while there will always be situations when it is entirely appropriate for a customer to transact with a member of staff, many of the Council's services do not need to be delivered in this way. Continuing with the proposed Digital Transformation Programme advocated in this report will be financially efficient and will provide an improved customer experience.

Appendix 1 - 2017/18 Digital Transformation Work Programme

ID	Task Name	2017/18 Digital Transformation Work Programme																					
		April	May	June	July	August	September	October	November	December	January	February	March	April									
		B	M	E	B	M	E	B	M	E	B	M	E	B	M	E	B	M	E	B	M	E	B
7	Business Cases	[Redacted]																					
11	Neighbourhood Services data capture exercise	[Redacted]																					
14	Self-serve Council Tax forms (OPENChannel)	[Redacted]																					
15	Revenues visiting officer mobilisation	[Redacted]																					
16	Online card payment refunds (Capita)	[Redacted]																					
17	Replacement crematorium system	[Redacted]																					
18	PCI DSS Compliance centralised logging system	[Redacted]																					
19	Leisure centre contract management system (finishing off)	[Redacted]																					
20	Taxi inspections officer mobilisation	[Redacted]																					
21	Online forms to replace generic service email addresses	[Redacted]																					
9	Self-serve car park season ticket requests	[Redacted]																					
12	Self-serve pest treatment requests and officer mobilisation	[Redacted]																					
13	Improved planning committee speaker requests	[Redacted]																					
22	Mobile payments SmartPay360 (Capita)	[Redacted]																					
8	Barcode generation system for miscellaneous payments	[Redacted]																					
10	Improved building control register & officer mobilisation	[Redacted]																					

Appendix 2 – Digital Business Cases

- **Neighbourhood Services data capture exercise**
- **Self-serve Council Tax forms (OPENChannel)**
- **Revenues visiting officer mobilisation**
- **Replacement crematorium system**
- **PCI DSS Compliance centralised logging system**
- **Leisure Centre contract management system**
- **Self-serve car park season ticket requests**
- **Self-serve pest treatment requests**
- **Improved planning committee speaker requests**
- **Barcode generation for miscellaneous payments**
- **Improved building control register and officer mobilisation**

Appendix 3 – Estimated up-front costs by Business Case

Business Case	Estimated up-front cost £
Neighbourhood Services data capture exercise	50,000
Self-serve Council Tax forms (OPENChannel)	48,380
Revenues visiting officer mobilisation	600
Replacement crematorium system	49,400
PCI DSS Compliance centralised logging system	300
Leisure Centre contract management system	300
Self-serve car park season ticket requests	0
Self-serve pest treatment requests	600
Improved planning committee speaker requests	0
Barcode generation for miscellaneous payments	2000
Improved building control register and officer mobilisation	3900
TOTAL	155,480

Warwick District Council

ICT Steering Group – Neighbourhood Services data capture exercise



Digital services so good that people prefer to use them



www.warwickdc.gov.uk

ICT Steering Group – Data Capture

Revision History

Document	ICT Steering Group – Business Case Data Capture
Author	Rob Hoof
Date Completed	19 th August 2016
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	19 th August	Rob Hoof	First Draft
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title
ICT Steering Group	Business Case Data Capture

Contents

ICT Steering Group – Data Capture	2
1 Business Problem Analysis	4
1.1 Business Problem	4
2 Preferred Solution	5
2.1 Surveying Options.....	5
2.1.1 Benefits, Goals and Measurement Criteria.....	5
2.1.2 Digital Benefits.....	6
2.1.3 Costs and Funding Plan.....	6
2.1.4 Risks.....	6
2.1.5 Issues	7
2.1.6 Assumptions	7
3 Implementation Approach	7
3.1 Outline Project Scope.....	8
3.2 Service Area Resources.....	8
3.3 ICT Services Resources.....	8

1 Business Problem Analysis

1.1 Business Problem

Provide a summary of the core business problem, including:

Neighbourhood Services is responsible for the management of the Council's parks and open spaces, woodlands, trees, car parks, wildlife areas, sports pitches etc. At present the data relating to these areas is held in a number of formats including paper, spreadsheets, and digital, all of which are inaccurate and out of date. This is a significant problem as not only is this data used on a daily basis to respond to customer enquiries, insurance claims and service requests it is also used to form the basis of contracts let and managed by the Council.

A data capture exercise was undertaken approximately 20 years ago with the information drawn on paper plans, which subsequently were transferred into a digital format by a private company over 10 years ago. The digital information contained links to a contract management system called "Confirm" which held the site detail and measurements, although these were not consistent with the information generated by the Council's GIS.

No process was put in place to update this information and therefore over time it has become less and less accurate. When the base information was collated ready for the 2013 Grounds Maintenance Contract the team had to carry out manual measurement checks and redraw the information on paper plans as there was not sufficient time to complete a data capture exercise, therefore the measurements used were of questionable accuracy.

Since the letting of the grounds maintenance contract a part re-measure has been undertaken of certain areas at the request of the Council's grounds maintenance contractor, which has identified significant errors and resulting claims for additional payments of approximately £25k per annum.

There have also been a number of instances where areas have been maintained that are not in the Council's ownership, and areas that are owned by the Council but not included within the contract. This has implications for insurance claims and resulting financial settlements should the council be found culpable in its monitoring/maintenance arrangements.

The Council is reviewing its approach to asset management to ensure it is clear on the lifetime costs of assets and likely timescale for replacement. This information lends itself to being held geographically to aid identification, reporting and instructions to contractors rather than the current spreadsheet format.

Access to information on line is becoming more important and accurate open space data could be surfaced to enable a number of general enquiries from residents to be dealt with through self-service.

Open space information relating to grave plots in the Councils cemeteries is also required; however this is seen to be a more specialist area of work that would need to be carried out by companies that provide bereavement services ICT systems.

Housing & Property Services have also identified similar gaps in some of their data including non-adopted highway, garage sites, bus shelters, street furniture, drying areas etc. It is proposed that this data would be captured at the same time although funded through the HRA.

2 Preferred Solution

2.1 Surveying Options

Date capture can be addressed in a number of ways and to varying degrees of accuracy. The cheapest method is to use in-house resources, use existing information as a base and make manual updates over a period of time. However this can become a long drawn out process depending on competing priorities, and also leaves a doubt as to the degree of accuracy that can be achieved using non specialist staff.

Soft market testing has identified a method of data collection that combines current hard copy data, OS base maps, aerial photography and Google Street View. This builds up the open space data from these various sources but also has a questionable degree of accuracy due to limited ground survey work.

The most accurate method of capturing open space data is through ground surveys using professional surveying companies, although also the most expensive method.

2.1.1 Benefits, Goals and Measurement Criteria

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> When a more accurate set of data has been established the cost of the Grounds Maintenance Contract may increase or decrease, but it will at least be accurate. More accurate data in conjunction with land ownership validation will enable insurance claims to be dealt with more effectively and help to mitigate potential claims. Will help to avoid future contractual claims resulting from inaccurate measurements. 	£Unknown at this stage Total cost to date £100k
Operational	<ul style="list-style-type: none"> Will give an accurate data set on which to manage the Grounds Maintenance Contract. Will allow speedy access to electronic information rather than having to continually search through hard copy maps. Will avoid the need to continually reproduce inaccurate paper plans. Will provide an accurate data set that can be displayed spatially to assist contract delivery. Will provide an accurate and up to date data set on which to base future grounds maintenance contracts. Gaps in current data sets can be filled as part of this process (HRA non adopted highways, drying areas, garage sites, car parks etc). 	
Customer	<ul style="list-style-type: none"> Will enable open space survey data to be surfaced via the Council's website to enable customers to check areas maintained by the Council and planned maintenance activities. Additional functionality would enable customers to report issues spatially, and enable feedback to be given on work progression / completion. 	
Staff	<ul style="list-style-type: none"> Brings this element of the service up to date and move away from hard copy maps. Makes the implementation of mobile working easier to achieve 	

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2.1.2 Digital Benefits

Description	Value
Will enable all residents to view the areas maintained by the Council and associated maintenance regimes.	
Open space survey data is used on a daily basis by most members of staff within Contract Services, and also other Service Areas including H&P and Cultural Services.	
Ability to present and manipulate data spatially.	

2.1.3 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase Data gathering New hardware Temporary additional resources 	£0 £50k £0 £0
Total	£50k
Revenue Costs	Amount
<ul style="list-style-type: none"> Software licence costs Support costs Permanent additional resources to maintain/operate system/process 	£0 £0 Use existing resources
Total	£50k

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
To be discussed	£50k	Subject to scope of the project and tender process.

2.1.4 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
The cost of the Council's Grounds Maintenance Contract could increase	2	3	Specifications could be amended to take account of some increases in measurements.
Data is still inaccurate after project has been completed.	1	5	If the correct method of date capture is used and the project managed effectively the likelihood of this occurring should be minimal.
The cost of data capture is greater than that anticipated.	2	3	The scope of the data capture needs to be clearly defined to avoid project creep, and additional requirements being added at the last minute.
Failure to maintain the data after the project has been completed.	1	5	Appropriate data management processes and resources to be identified as part of the project scope.

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.5 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	The ability of the data capture contractor to understand the extent of the area to be surveyed
2	The ability of the Council to validate the accuracy of the data captured in a reasonable time scale
3	The skills / time to enable the data that has been captured to be kept up to date
4	The additional task of checking land ownership data.

2.1.6 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1.	This project will be funded corporately as there are no budgets set aside for data capture.

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

- Carry out soft market testing with data capture companies to determine methodology and likely cost.
- Model likely data capture costs.
- Identify project resources to deliver the project.
- Produce business case and attain sign off from ICT Steering Group.
- Develop ICT technical specification to ensure the format of the data captured is compliant.
- Agree data capture needs with other Service Areas
- Develop specification which sets out the scope of the data capture required.
- Agree appropriate procurement method.
- Agree project funding.
- Let tender and award
- Contract mobilisation
- Acceptance testing of data capture
- Resolve and data capture issues
- Sign off data
- Load into GIS
- Train user/users to update
- Ongoing update of data

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Project Manager - NS Service Development Officer
- Design Team – Combination of NS officers, H&P officers and ICT
- Testing - Green Space Team
- Training – GIS Manager
- System Owner - Head of Neighbourhood Services

3.3 ICT Services Resources

- Assistance will be required to prepare tender specifications, especially in regard to the format of the data to be captured and associated attribute fields, specific ICT standards/requirements and data acceptance criteria.
- Assist in the evaluation and award of tenders.
- Assist in mobilization of data capture and testing of sample data to ensure compliance with the specification.
- To transfer data captured into the relevant GIS system, and support the training of users to check the quality and accuracy of the data captured.
- To assist in the sign off of the data captured, put in place appropriate controls and back up procedures. Assist in training the users to interrogate the data, and identify the appropriate resources to ensure the data is kept up to date.

Warwick District Council

ICT Steering Group – Self-serve Council Tax forms (OPENChannel)



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ICT Steering Group – Business Case Template

Revision History

Document	ICT Steering Group – CTAX Self-service (Civica OPENChannel)
Author	David Leech
Date Completed	25 January 2017
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	25 January 2017	David Leech	Final document
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

ICT Steering Group – Business Case Template	2
1 Business Problem Analysis	4
1.1 Business Problem	4
2 Preferred Solution	4
2.1 Implement Civica OPENChannel self-service module	5
2.1.1 Description.....	5
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	6
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	7
2.1.6 Issues	7
2.1.7 Assumptions	7
3 Implementation Approach	8
3.1 Outline Project Scope.....	8
3.2 Service Area Resources.....	8
3.3 ICT Services Resources.....	8

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

Outline the business opportunity which has been identified, including:

Administering and collecting council tax is a very high volume transaction based operation. Our customers interact with us via a number of channels – postal mail, email, website, telephone and personal visit. Whilst a good number of these interactions may only be enquiry based or require simple action and can be resolved at first point of contact, be it through phone call, at a one stop shop or through interrogation of the website, the larger majority of interactions will ultimately present themselves as work items to be actioned by the back office.

For the past number of years the number of these transactions has been steadily increasing resulting in a considerable strain upon the ability of the section to contain backlogs which have ranged from 3 weeks at best to at worst 10 weeks. The reasons for the backlog and increased workload are myriad and were detailed in the Employment Committee report of the 27th January 2015 but briefly they are as follows;

- Increasing number of properties which in turn leads to increased number of bills, queries and recovery action
- Large increase in number of rental properties leading to greater numbers moving around the area at a greater frequency
- Booming student population adds to administration difficulties in annual reviews and eligibility for exemptions
- Local council tax reduction scheme changes has meant there have been more people paying Council tax for the first time leading to increased recovery activity
- In 2009 there were 14 full time employees administering Council Tax which had reduced to 11 in 2014.

In the past 9 months we have seen a staggering increase of 30% in the amount of work coming through the various channels.

2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Implement Civica OPENChannel self-service module

2.1.1 Description

Provide a summarised description of the preferred solution. This will include the general approach to be taken and a summary of the core elements of the solution (e.g. people, process, organisation, technology).

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project's actual benefits. All quantifiable benefits listed must be supported by current performance figures.

3. Preferred Solution

To purchase from Civica a suite of on-line fully automated council tax forms for OpenRevenues (OPENChannel) which integrate into the Revenues and Benefits system to provide, where appropriate, real time updates of customers' accounts. The initial scope would be to purchase three forms for moving property (1. Moving into the District, 2. Move out of the District, 3. Move within the District) and also a single person application form.

Whilst we have good use of on-line web forms none of them are fully integrated into the back office system, each completed web form is presented to the officer as a workflow document via the Document Management system – the officer then needs to re-key the data to make changes to accounts.

The purpose of Civica's e-forms is to enable citizen self-service but more importantly to automate the update from the resultant form submission into the back office and save resource. Upon submission of the form OPENRevenues accepts the data, and immediately performs the account/s update/s with no manual intervention. This level of automation is only possible where mechanisms are in place to safeguard the integrity of the data. The module therefore has a range of high level system defined validation plus individual process validation parameters that can be set as appropriate.

Implementation of OPENChannel would help achieve the following objectives;

- channel shift to the cheapest channels,
- increase self service and
- implement fully integrated process into the back office system.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none">• Reduces the need to increase staffing resource to meet increased workloads in medium term• If take up of the service is extensive it could ultimately reduce manual processing resource• Achieves channel shift to cheapest channel	

Operational	<ul style="list-style-type: none"> Fully integrated process into the back office system Enhanced quality of service 	
Customer	<ul style="list-style-type: none"> Improved customer satisfaction through self-service and fulfilment Reduces delays for customers using the functionality which in turn will help prevent backlogs and delays for those using more traditional channels 	
Staff	<ul style="list-style-type: none"> Increased staff satisfaction Not continually working under backlog situation 	

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
How many citizens will the project benefit? <i>Potentially everybody that has a liability for Council tax although they would have to choose to use this channel ahead of other more traditional methods of interaction and have access to the internet.</i>	61,000
How many transactions does the business process deal with? <i>Generally accepted that the number of transactions averages out to 1 per Council tax property therefore 61,000.</i>	61,000
What is the average current duration of the process from service request to completion? <i>The service has suffered with backlogs for 2-3 years therefore currently most service requests can take anything from 3-10 weeks however some service requests can be actioned immediately if using the telephone or frontline services</i>	

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase 	36,050
<ul style="list-style-type: none"> HB LIAB auto processing & Webspeed licences 	7,150
<ul style="list-style-type: none"> New hardware 	
<ul style="list-style-type: none"> Temporary additional resources(Training and project management 	5,180
Total	£48,380
Revenue Costs	Amount
<ul style="list-style-type: none"> Software licence costs 	1,430
<ul style="list-style-type: none"> Support costs 	
<ul style="list-style-type: none"> Permanent additional resources to maintain/operate system/process 	7,210
Total	8,640

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
New Digital Agenda Fund subject to approval from Exec		

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
Implementation is a lengthy process and to be a success and part solution to the problem highlighted we are reliant on customers using this channel to contact us.	3	3	Will require extensive communications campaign to encourage customers to use the functionality. Customer service team have a key role in directing customers down this route
Ongoing maintenance costs of £10K will take time to be recovered if at all.	3	3	As above

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1.	Lengthy resource intensive implementation from Systems Team may not release benefits of project
2.	Buy in of staff given it could be seen as a threat to their role

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1.	That Customers will use the functionality and reduce the back office transactions
2.	Minimal ICT resource required as Systems team will be largely responsible for implementation

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

- Implementation of suite of front end e-form templates
- Extensive testing and phased implementation of the various processes enabled from the e-forms
- Training out to staff to include frontline as they will be important in enabling channel shift
- Monitoring and reporting of success of the various processes in terms of not requiring back office intervention

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Given the size of the project Civica will provide project management and training although there will be project management from the WDC side and extensive testing from the Systems team (David Leech, Steve Marshall, Roland Hopkins & Jo Wilday).
- It is expected that customer service team (Caroline Walton) will have involvement given their role in enabling channel shift through contact with the customers.
- Training will be required for all Frontline and Revenues staff.

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

- Revenues have a capable and effective systems team who will be prominent in the implementation and it is envisaged that ICT involvement will be relatively minimal especially during testing phase.

Warwick District Council

ICT Steering Group – Revenues visiting officer mobilisation



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ICT Steering Group – Revenues Visiting Officer mobilisation Business Case

Revision History

Document	ICT Steering Group – Business Case Template
Author	Andrea Wyatt
Date Completed	25 th January 2017
Reviewed Date	25 th January 2017

Version	Revision Date	Revised By	Revisions Made
0.1			
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
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Contents

ICT Steering Group – Revenues Visiting Officer mobilisation Business Case	2
1 Business Problem Analysis	4
1.1 Business Problem	4
2 Preferred Solution	5
2.1 Solution Total Mobile.....	5
2.1.1 Description	5
2.1.2 Digital Benefits	6
2.1.3 Costs and Funding Plan.....	6
2.1.4 Risks	7
2.1.5 Issues	7
2.1.6 Assumptions.....	8
3 Implementation Approach	8
3.1 Outline Project Scope	8
3.2 Service Area Resources	8
3.3 ICT Services Resources	9

1 Business Problem Analysis

1.1 Business Problem

There are currently two visiting officers employed within Benefits and Revenues who are responsible for;

Housing Benefit and Council Tax Reduction

- Assisting customers to make new claims.
- Assisting customers to report changes to their claims.

Council Tax

- Establishing whether properties are occupied.
- Establishing whether structural changes to properties have been completed.
- Inspecting properties to determine whether an exemption applies
- Visiting customers to determine whether a discount or disregard applies.

The current process is manual, before carrying out any visits, staff have to create a manual list of properties to visit. During the visits all information is handwritten and photographs taken of sometimes very sensitive information. On return to the office the information is then manually input into the Civica system and the photographs are downloaded and imported.

Initial discussions with ICT, suggest that it is not viable to have a mobile device with remote access to Civica, however it would appear that there is some merit in utilising total mobile. Visits can be downloaded from Civica to total mobile as a CSV file enabling the officer to see their visits. If the relevant forms were loaded onto the total mobile device, the officer could complete the form and take any photographs required, the form transcript and the photos would then be emailed to an unpublished mailbox which Civica email would poll, if there was no connectivity, the device would synch once this is restored. This would reduce the time taken by the VO either duplicating or scanning information on return to the office.

Provided there was sufficient connection, the VO could complete an online benefit forms using total mobile, we are investigating with our suppliers if the forms can be available offline. Any that can be completed would be emailed directly again saving the need for scanning on return to the office. Currently, any photographs are taken on a device and then downloaded on return to the office, this presents a data protection risk should the device be stole. Any photographs taken using total mobile are "sandboxed" which means they do not reside in the device's gallery and

therefore they would be safe if the device is lost or stolen. Once the visit is complete the visiting officer would not be required to carry out any follow up work on return to the office.

2 Preferred Solution

2.1 Solution Total Mobile

2.1.1 Description

Using total mobile will enable the team to complete our online new claim and change of circumstance e forms where connectivity is not a problem. More importantly it provides a secure solution to the transfer of personal data.

Council Tax visits can be imported into the total mobile solution so that details of all the days visits are on the device using a Civica produced CSV file.

Current forms used by council tax can be created in the total mobile which can then be completed by the visiting officer on site. These would be emailed back to the office in real time as work items which are then auto imported into Civica.

Benefits, Goals and Measurement Criteria

Complete the following table:

Category	Benefit	Value©
Financial	<ul style="list-style-type: none"> Reduction in costs Increased revenue 	The team are responsible for ensuring new properties and alterations to properties are reported to the valuation office in a timely manner which ensures the correct revenue is collected in business rates and council tax. Total mobile should help to make this more efficient enabling visiting officers to spend less time on office admin tasks.
Operational	<ul style="list-style-type: none"> Improved operational efficiency Enhanced quality of product / service 	The visiting officer has to note their findings during the visit and then re-key this on returning to the office. Total mobile should allow them to record this information once during the visit and then be e-mailed to the office and auto imported to the Civica system.
Customer	<ul style="list-style-type: none"> Improved customer satisfaction 	Customers would find it easier

		<p>completing an e-form than the current paper-based forms.</p> <p>Visiting officers currently take photographs using a camera of personal information which is imported when they return to the office. This is a potential data protection risk should the camera be lost or stolen.</p>
Staff	<ul style="list-style-type: none"> Increased staff satisfaction 	See above information.

2.1.2 Digital Benefits

Description	Value©
<p>How many citizens will the project benefit?</p> <p><i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i></p>	The VO role directly affects the council tax we collect ensuring that the right charge is levied and therefore all tax payers will indirectly benefit.
<p>How many transactions does the business process deal with?</p> <p><i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i></p>	A visiting officer can carry out up to 50 visits per day.
<p>What is the average current duration of the process from service request to completion?</p>	This is not quantifiable due to the nature of the visits. Success will be measure by the increase in visits carried out and VO time spent out of the office.

2.1.3 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase Data gathering New hardware Temporary additional resources 	<p>Total mobile platform already purchased</p> <p>Device costs £300.00 x 2</p>
Total	
Revenue Costs	Amount
<ul style="list-style-type: none"> Software license costs Support costs 	<p>£750.00 x 2 users. One off cost.</p> <p>£150.00 X 2 annual licence costs.</p> <p>Monthly mobile contract of approx. £10.00 each. We may e</p>

<ul style="list-style-type: none"> Permanent additional resources to maintain/operate system/process 	able to reduce these costs by re-using current devices and licenses purchased by the council which are not currently in use.
Total	

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
From within current benefits budget		

2.1.4 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Total mobile is a low cost solution which is expected to provide efficiencies and as such there is little risk.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
Total mobile does not provide efficiencies	1	2	Ensure staff have appropriate training. Clarity of specification.
Failure of technology	2	3	Revert to clerical procedures

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.5 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	Delivers efficiencies.

2.1.6 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	That the solution will provide the desired efficiencies.

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

Revenues

- Create total mobile forms to replace existing paper forms.
- Create a mechanism to push forms to the device.
- Email completed TM forms to mailbox polled by Civica.

Benefits

- Access E forms on the TM device.
- Create a generic TM form to allow evidence photographs to be taken.
- Email completed TM (photo) forms to mailbox polled by Civica decode.
- Enable e forms and photos to be linked.

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

This is a small project managed by Andrea Wyatt with support from Paul Town. Some interaction between Civica and TM will be required and as systems officers Steve Marshall and Roland Hopkins will provide this. Testing of the TM solution will be undertaken by Sue Knightley and, if in post, the senior visiting officer on the team.

No other staff will require training.

The system owner will eventually be Andrea Wyatt.

3.3 ICT Services Resources

ICT Applications Support Analyst

Business Analyst / ICT Applications Support Manager

Warwick District Council

Bereavement Services – Replacement crematorium system



Digital services so good that people prefer to use them

Revision History

Document	Bereavement Services – Business case to replace CAS
Author	Pam Chilvers
Date Completed	September 2016
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	11 th October 2016	Pam Chilvers	WORK IN PROGRESS / DRAFT
0.2	21 st October 2016	Mark Bayliss	Wording and ICT content amendments
1.0	26 th Octobe2016	Pam Chilvers	Costing estimates completed
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group
Rob Hoof – Head of Neighbourhood Services
Pam Chilvers – Bereavement Services Manager
Mark Bayliss – Application Support Analyst

Distribution

This document has been distributed to:

Name	Title

Contents

Warwick District Council	1
Bereavement Services – Business case to replace CAS	1
1 Business Problem Analysis	4
1.1 Business Problem	4
1.2 Business Opportunity	4
2 Preferred Solution	5
2.1 Options considered	5
2.1.1 Do Nothing.....	5
2.1.2 Upgrade the existing software.....	5
2.1.3 Explore developing a new module for an existing system	5
2.1.4 In-house development	6
2.2 Solution [Purchase an off the shelf configurable solution].....	6
2.2.1 Description.....	6
2.2.2 Benefits, Goals and Measurement Criteria.....	6
2.2.3 Digital Benefits.....	8
2.2.4 Costs and Funding Plan.....	8
2.2.5 Risks.....	9
2.2.6 Issues	10
2.2.7 Assumptions	10
3 Implementation Approach	11
3.1 Outline Project Scope.....	11
3.2 Service Area Resources.....	12
3.3 ICT Services Resources.....	12

1 Business Problem Analysis

Background

Bereavement Services use a semi-bespoke software system "CAS" (cemetery and crematorium administration system) to manage the daily work flow for the cemeteries and crematorium activities. The system is used to manage the diary bookings and process data for burials and cremations; it then produces daily work lists detailing the individual requirements for each funeral taking place, including music, instructions for the cremation, disposal of cremated remains and any other special requirements. It also enables instructions for grave excavations and memorial erections to be managed via contractors and 3rd party providers.

CAS was purchased by Warwick District Council c1993

CAS acts as a database for records; this database forms permanent statutory registers in compliance with The Cremation (England and Wales) regulations 2008 [regulations 32.-35.] and The Local Authorities' Cemeteries (Amendment) Order 1986 [article 2], although only for cremations and graves that have been used since 1993.

Cemetery plans for approx. 50,000 graves totaling approx 63 acres spread out over 5 sites together with burial and cremation records prior to 1993, all of which form part of the statutory registers are still stored in manual paper registers and not on CAS.

CAS provides some management statistics and financial data to aid management of the service.

1.1 Business Problem

A summary of the core business problems

- Functionality has changed very little since the original install; most updates are supplied to resolve issues or changes at the services request.
- CAS currently uses and unsupported Microsoft product and as a result is not PSN compliant.
- The system is currently supported by the original developer, who is a sole trader and wants to retire. Therefore there is very little resilience from the supplier for this crucial system.
- Automatic booking system for Funeral Directors is not compatible with current Microsoft operating systems and therefore is not PSN compliant. Mitigation for this none compliance has previously been in place. However the system is no longer used, as it has proven to be too unreliable and caused too much inconvenience and distress to bereaved families.

1.2 Business Opportunity.

The need to update the system also presents several opportunities. Bereavement services would like to improve the service it provides but this is not possible with the existing technology. These benefits included:

- Integration with finance system, so invoices can be raised automatically.
- Online booking facility for funeral directors.
- Better statistical analysis and reporting of services/income.
- Mapping / GIS functions for plot locations (following capture exercise).

-
- Potential for mobile solutions for contractors / frontline staff.
 - Efficiency improvements and self-serve opportunities will help support the provision of the proposed 6 day service provision.
 - Improved diary and fee management.

2 Preferred Solution

2.1 Options considered

2.1.1 Do Nothing

Doing nothing has been discounted.

- The limited functionality of CAS having a negative impact on the processes and management of the business.
- The potential loss of data if CAS fails would result in the Council being in violation of its statutory obligations. (NB there is already at least one aspect of the system that has failed, for which the programmer is not able to find a solution) This is reflected in the business risk register.
- CAS is not PSN compliant.

2.1.2 Upgrade the existing software

Upgrading CAS has been discounted

- Unless CAS was migrated onto another platform upgrading it would not address the existing security and compliance issues.
- Whilst no enquires have been made of the existing supplier it is known that many councils have replaced CAS and therefore with fewer users the potential for costs of development being covered by support costs is unlikely and would therefore potentially be expensive.

2.1.3 Explore developing a new module for an existing system

The council has a number of software solutions that are used across departments which are used for asset and case management e.g. Civica APP, ActiveH.

Commissioning a bereavement services module for one of these systems has been discounted.

- There is not an existing bereavement module for any of these systems that could be bolted onto the existing system.
- The way data is managed in these systems is not compatible with the way bereavement data is managed and the suppliers having no experience of our business may not envisage potential problems.
- WDC would be the sole customer for this module
 - Costs for development are likely to be prohibitively expensive or of little interest to the suppliers
 - The development of the system is likely to be static unless Bereavement Services ask for upgrades, overtime this is likely to lead us to a situation that we are currently experiencing with CAS
- If the main users of the system decide to upgrade or replace their software solutions Bereavement Services could be left being the only user of the system.

2.1.4 In-house development

Developing a system in-house has been discounted

- Not practical due to the size and scope of what is required for a complete cemetery and crematoria solution.

2.2 Solution [Purchase an off the shelf configurable solution]

This is considered to be the best solution.

The UK market for cemetery and crematoria software is relatively small with 2 main suppliers being used by the majority of both municipal and private crematoria. Either is, at this point, considered to be a viable solution.

There are a number of suppliers who provide software for cemetery management but do not have any functionality for crematoria; these have been discounted because a complete software solution is required.

There are a few established software companies, some based abroad and some who are diversifying to satisfy UK cemeteries and crematoria. These have been discounted, further details of why they were not considered suitable can be found in a preceding report Bereavement Services – potential software solutions.

It is possible that when the tender and procurement exercises are carried out further suitable solutions will be revealed.

2.2.1 Description

Based on initial market enquiries, there is currently a “short list” of 2 potential suppliers; these are the UK market leaders for cemetery and crematoria software:-

A ClearSkies software - **Burial And Cremation Administration System (BACAS)**

B Edge IT Systems Ltd – **Epitaph**

Both solutions offer similar improvements for the processing data, creating workflow, management reporting, finance integration and mapping functionality. However there are differences in the required infrastructure, how the data is accessed and stored. Along with differences in the way they are purchased, licenced and how support is funded.

Decisions around data security, infrastructure reliability or preferred purchase options may well lead to one or the other becoming the preferred solution.

2.2.2 Benefits, Goals and Measurement Criteria

Either of the preferred solutions will provide solutions to the business problems outlined in section 1.1 in addition there will be improvements for customers, stakeholders, staff and the council.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> Improved invoicing timescales. Quicker payments and more opportunity to make payments in advance Improved opportunities for ancillary sales Cost saving, fewer telephone lines required 	Approx 15 hours per month saved inputting invoicing into Total system. These hours will be used to extend service provision to 6 days.
Operational	<ul style="list-style-type: none"> Compliance with statutory instruments PSN Compliance Greater efficiency in processing income Greater efficiency in data management, all information will be accessible from one data base Enhanced resilience Better quality management information and performance management Improved ability to interrogate and cross reference data. Improved administrative efficiency (fewer keystrokes etc, no need for additional manual processes ...) Enhanced availability of service Improved information for contractors and 3rd party service providers Less double handling data Opportunities to take advantage of future advances in technology 	It is anticipated that it may take some time to encourage stakeholders to use automated systems and time saved answering the phone is difficult to accurately quantify, however over time these time savings will enable staff to dedicate time to income generating activities and extending service provision to 6 days.
Customer	<ul style="list-style-type: none"> Improved "self-serve" opportunities for customers via web ordering and bookings which will make some elements of the service available 24/7 Improved communications with customers and stakeholders Enhanced availability of officers will give greater choice for day/time of service provision 	Less distress for bereaved families
Staff	<ul style="list-style-type: none"> Increased staff satisfaction Improved communications and access to information for mobile workers Opportunities for increased mobile/agile working Fewer interruptions 	

2.2.3 Digital Benefits

Description	Value
How many citizens will the project benefit?	<i>There are currently 54 authorised funeral directors, acting as agents for bereaved families who would have access to the out of hours booking service.</i>
How many transactions does the business process deal with? <i>Cremation.</i>	1800
<i>Burial</i>	180
<i>Burial / scattering cremated remains</i>	250
<i>Cemetery memorial applications</i>	250
<i>Book of remembrance applications</i>	180
<i>Genealogical research</i>	200
<i>General funeral planning advise</i>	50
<i>Transfer ownership of exclusive right of burial</i>	125
<i>Communal memorial services and Other events...</i>	15
<i>Most of these services will involve multiple contacts with each customer, however at this time statistics for each contact are not recorded only the number of times each service is provided.</i>	
What is the average current duration of the process from service request to completion?	10 – 20 days

Costs and Funding Plan

PLEASE NOTE COSTS ARE INDICATIVE BASED ON INITIAL CONVERSATIONS WITH SUPPLIERS AND NOT BASED ON QUOTATIONS OR TENDERS

Capital Costs	Amount – BACAS	Amount - Epitaph
<ul style="list-style-type: none"> Initial software purchase 	20,400	No initial cost hence higher licensing and support costs
<ul style="list-style-type: none"> Digitization of maps 	14,000 to 28,000	14,000 to 28,000
<ul style="list-style-type: none"> Data gathering 	1,000	1,000
<ul style="list-style-type: none"> New hardware 	1,000	1,000
<ul style="list-style-type: none"> Temporary additional resources 	Cost of new server + SQL licenses or virtual server	
<ul style="list-style-type: none"> “risk” contingency 		
Total		
Revenue Costs	Amount – based on 10 year licensing and support	
<ul style="list-style-type: none"> Software license costs – main system 	23,500	48,000
<ul style="list-style-type: none"> Software license costs - mapping 	Included in main system	7,000
<ul style="list-style-type: none"> Support costs 	Included in license costs	Included in license costs
<ul style="list-style-type: none"> Permanent additional resources to maintain/operate system/process 		
Total	59,000 to 73,000	70,000 to 84,000

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
The budget book shows £656,000 in the business transformation reserve and £474,000 in the ICT replacement reserve		
A separate business case which will need approval of employment committee and will include significant operational changes designed to improve the service and generate additional income will fund the growth in the revenue budget.		

10.1.1 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
Being able to deliver this project (and other subsequent business improvements) will depend upon a service area restructure being funded by executive and approved by employment committee`	1	5	Fixed term recruitment for interim period either to manage this project or back fill operational duties ordinarily performed by Bereavement Services Manager. This will ultimately increase costs as the resource will be associated with this project rather than across the business.
Additional, unexpected costs may be required to cleanse data in existing system before migration	3	3	Investigations into data integrity to be built into project. Assessment of time/cost of cleansing data to be compared to cost of inputting data from original source documents rather than migrating. Existing system has more than one database, it may be possible to only migrate clean(ish) data and input other data from original source.
Broadband link may not be delivered as anticipated, which would restrict choice of product	1	5	Estimated completion for improved link is anticipated in advance of going to tender, this will give infrastructure team opportunity to confirm suitability or alternative requirements.
Restructure consultations may			Accept the risk – consultations are likely to

result staff changes/vacancies... This may cause delay, interruption or lack of consistency within the project			have taken place in advance of initiation of this project.
Existing plans may not measure-up to on the ground features	5	3	Contingency risk budget. Exclude one or more sites from mapping phase of project
Files being exported by new system may not integrate easily with other council products, this may cause extra work for ICT, additional costs	3	3	Initiate studies and conversations about compatibility in advance of committing to one solution or another. Contingency risk budget
CAS fails before new system is operational or has been fully tested	1	5	Existing business continuity and recovery plans (perhaps! – not sure this is fully resilient though) Data could be input from original source documents, estimates for this should be included in contingency risk budget
Unforeseen data migration issues – Eg fields not matching up properly...	3	3	Project to include discussions with colleagues who have previously migrated from CAS to chosen system
There are some decisions that have not yet been made or fully investigated; these may have a profound impact on the distribution of workload between supplier, users and ICT dept.			Agree acceptable tolerances in advance of project initiation and at each project stage.

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

10.1.2 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	Officer issue
2	Integration of other WDC systems

10.1.3 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	Broadband link
2	Restructure of service provision (will provide resource needed to free up BSM time)
3	Successful integration/ compatibility / export of data into existing council wide software solutions
4	New system will be compatible with WDC preferred platform and existing ICT expertise (eg SQL, Not

11 Implementation Approach

11.1 Outline Project Scope

The project has a number of streams, some of which will be delivered by the supplier for the new software, some will be delivered in conjunction with existing council wide software solutions and some will be delivered in-house through ICT development.

- Evaluate all the business requirements and ICT requirements of a new solution and create software specification
- Secure resources – funding & officer time
- Procurement
- Assess existing data cleanse in CAS if appropriate
- Assess existing manual records and determine most cost effective solution to having them available in new system
- Agree configuration requirements for new system
- Assess any implications for GIS, CAD or other plan / map system
- Agree method for digitizing existing plans / maps and what if any integration with existing map system is relevant/cost effective/desired/useful...
- Agree timescales for installation and testing new system
- Agree timescale to migrate data from CAS and date for CAS to pass into legacy status
- Agree protocol for publishing information and access criteria for stakeholders and public; this should include a fee charging and exemption policy.
- Agree most cost effective solution for customer on-line orders and payments (ie. Via new system or development of existing web based ordering)
- Agree interfaces with finance and payment systems along with website integration.
- Arrange staff training
- Agree hardware requirements for mobile staff
- Agree hardware requirements / negotiate purchase options with contractors
- Agree processes for notifying contractors of service requests and if possible conformation from contractors that work is complete
- Identify criteria to become an “authorised” stakeholder
- Agree processes, rollout timetables and training requirements for stakeholder interaction with new system
- Install hardware to enable customers to “self-serve” in Oakley Wood (in preference to installing PDQ machine)

Whilst proceeding through the stages of this project there may be opportunities that arise outside the initial scope of the project but could be considered for future development or improvements, many of these are as yet unknown:

- It may be possible to integrate a touch screen “Self-Serve” into off site cemetery notice boards
- Future development of a cemeteries app may be possible to navigate and assist with finding grave locations.

11.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- who will act as the project manager? Pam, Rob Mark etc...
- Design authority: Pam Chilvers (back office) Michael Branson (public facing elements)
- who will undertake testing? Staff
- Final Sign off: Pam Chilvers
- who will require training? staff
- System owner: Pam Chilvers

11.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

- Apps Support Analyst
- Business Analyst?

Warwick District Council

ICT Steering Group – PCI DSS Compliance centralised logging system



Digital services so good that people prefer to use them



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ICT Steering Group – PCI DSS Logging System Business Case

Revision History

Document	ICT Steering Group – PCI DSS Logging System Business Case
Author	Tass Smith
Date Completed	27 January 2017
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	27 January 2017	Tass Smith	Final document
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

ICT Steering Group – PCI DSS Logging System Business Case	2
1 Business Problem Analysis	4
1.1 Business Problem	4
2 Preferred Solution	5
2.1.1 PCI DSS Compliance Logging System	5
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	5
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	7
2.1.6 Issues	7
2.1.7 Assumptions	7
3 Implementation Approach	8
3.1 Outline Project Scope.....	8
3.2 Service Area Resources.....	8
3.3 ICT Services Resources.....	8

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

Warwick District Council (WDC) receives customer debit and credit card payments via “point of sale” card terminals, by phone and via online (web based) payment systems. The Payment Card Industry Security Standards Council have mandated that all card merchants, of which the Council is one, must become compliant with their Data Security Standard (PCI DSS) to continue to receive card payments.

WDC are being ‘fined’ around £10,000 per year by HSBC (one of our acquiring banks) because we are non-compliant. To achieve compliance, WDC needs to complete some Self-Assessment Questionnaires to declare that we are meeting all the relevant criteria. The latest PCI DSS standard is more stringent than previous versions and we are required to provide evidence that our card terminals are subject to regular anti-tampering checks and that all staff have received relevant and regular training, amongst other things.

We would like to create a PCI DSS Logging System to make it easier to monitor these checks / training requirements and to make ongoing compliance easier to maintain.

2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1.1 PCI DSS Compliance Logging System

A database with an internal web front-end which would hold a centralized log of:

- Card terminals
- Anti-tampering checks
- Staff Training
- Service Provider Compliance

Also, we would have a couple of TotalMobile forms to capture the initial card terminal installation and subsequent anti-tampering checks. Using TotalMobile would allow all inspection results (including photographs) to be automatically uploaded to the database.

The database would be linked to Active Directory to ensure that staff moving into / away from card processing roles would receive relevant (refresher) training in a timely manner.

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project's actual benefits. All quantifiable benefits listed must be supported by current performance figures.

Complete the following table:

Category	Benefit	Value
Financial	Cost reductions	Saving around £10,000 per year in HSBC non-compliance fines
Operational	Compliance would be easier to maintain and audit	Regular anti-tampering checks could be carried out with ease and minimal back office intervention Audit checks could be carried out easily, making ongoing annual compliance easier to evidence
Customer	Customers would be reassured that their card payments are protected by our PCI DSS Compliance	Corporate reputation would be maintained, leading to consistent or increased customer card payments.
Staff	Staff would be protected from risks associated with poor compliance regime	Staff would receive their initial and refresher training in a timely manner Staff would be able to add / remove Chip & Pin devices from the estate with relative ease.

2.1.3 Digital Benefits

Description	Value
-------------	-------

How many citizens will the project benefit? <i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i>	Potentially every citizen / business that's required to make payments to WDC
How many transactions does the business process deal with? <i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i>	??
What is the average current duration of the process from service request to completion?	Time to make card payments won't be affected. However, the time spent proving our PCI DSS Compliance will be vastly reduced.

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase – not required Data gathering – not required New hardware – propose to use hand held devices from H&PS (1 only) Temporary additional resources - not required 	N/A (we already own the TotalMobile platform) Mobile device cost around £300 each
Total	
Revenue Costs	Amount
<ul style="list-style-type: none"> TotalMobile Software license costs for 1 users (could be £0 if we are able to re-use 1 of H&PS existing licenses) TotalMobile Support costs for 1 users – reduced price if we can re-use one of H&PS licenses (could be £150 in total if we can re-use 1 of H&PS existing licenses which are based on 10% of the license price) Mobile device and data contract x 1 users 	£750 per licensed user (one off cost) £150 per license per year (20% of license price) (Devices cost £295.21 each)when connected to O2's 3g network with 3Gb data for £9.00 per month on a 24 month contract.
Total	Max £1045.21 per user one off cost £258 per user annually

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
Licence costs – Existing Corporate PCI DSS Compliance budget	£9/month	<i>Depends on which Service Area ‘owns’ PCI DSS Compliance</i>
One off costs – Existing Corporate PCI DSS Compliance budget	£1045 per user	<i>May be £0 if we can re-use existing TotalMobile devices / licences</i>

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
That the solution isn't fit for purpose and WDC is not able to easily evidence PCI DSS Compliance at its annual review	2	5	That the project requirements are correctly specified, developed and tested with reference to the current PCI DSS version. Any proposed PCI DSS version changes are monitored in case scope changes are required.
That the solution isn't ready on schedule and the HSBC fines continue to be charged	2	4	That sufficient project resource is made available to specify, develop, test and implement the solution

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1.	That sufficient resource is made available to this project and subsequent compliance process

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1.	That the proposed solution satisfies the PCI DSS Compliance requirements

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

- Create an Intranet-based web front end Logging System
- System to store:
 - all training documentation
 - lists of staff who require relevant training and to log the training they've received
 - lists of live Chip & Pin devices
 - anti-tampering checks for each device
 - third-party service provide PCI DSS Compliance certification
- System reports to enable audits of above data
- TotalMobile forms developed for the initial and subsequent anti-tampering checks
- TotalMobile integration needed to the PCI DSS Logging System
- No further integration is required to other systems

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project.

- Project manager – To be decided (depends who owns it) but Tass Smith initially
- Design authority – Graham Folkes-Skinner / David Adcock
- Testing - Graham Folkes-Skinner
- Training – Service area staff & system owner (depends who owns it)
- System owner – to be decided

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

- Apps Support Analyst with TotalMobile experience
- Apps Support Manager
- Business Analyst

Warwick District Council

ICT Steering Group – Leisure contract management



Digital services so good that people prefer to use them



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ICT Steering Group – Leisure contract management

Revision History

Document	ICT Steering Group – Business Case – Leisure contract management
Author	Rose Winship
Date Completed	17 th October 2016
Reviewed Date	17th October 2016

Version	Revision Date	Revised By	Revisions Made
0.1			
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title
ICTSG members	
Stuart Winslow	Sports and Leisure Manager
Dave Adcock	Business Analyst

Contents

ICT Steering Group – Leisure contract management	2
1 Business Problem Analysis	4
1.1 Business Problem	4
2 Preferred Solution	5
2.1 Solution – Leisure Centre Contract Management System	5
2.1.1 Description.....	5
2.1.2 Benefits, Goals and Measurement Criteria.....	6
2.1.3 Digital Benefits.....	6
2.1.4 Costs and Funding Plan.....	7
2.1.5 Risks.....	8
2.1.6 Issues	8
2.1.7 Assumptions	8
3 Implementation Approach	8
3.1 Outline Project Scope.....	9
3.2 Service Area Resources.....	9
3.3 ICT Services Resources.....	9

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

The Council is in the process of identifying an external partner to operate 6 leisure centres (4 WDC owned facilities plus 2 dual use sites at Myton School and Kenilworth School) from 2nd June 2017. The contract is based on the operator delivering services as detailed in the Service Specification. This document stipulates a series of KPIs, reporting schedules, and expectations in terms of service quality that the Council will require the operator to adhere to.

The contract has been constructed to promote a “partnership” approach with the intention that contract monitoring is not unduly complicated or time consuming for the Council’s small client team that is being recommended. The client team will comprise the Sports and Leisure Contract Manager and the Sports and Leisure Contract Officer, who, alongside other non-contract responsibilities, will be monitoring contract performance for the leisure centre contract and the golf contract.

The business case seeks approval to develop an integrated ICT solution that will provide a single depository for data from the operator in respect of KPIs, contract performance reports, other reports as required by the specification (ie H&S reports, User Satisfaction reports, QUEST reports). The ICT solution will also provide a solution to collect information from client site visits in the form of a hand held device that will automatically download information to a single point.

Whilst officers recognize that the intention is that the contract monitoring will be “light-touch”, there is also the recognition that this is a significant contract for the authority, and that robust monitoring with a clear audit trail is required in order to demonstrate to Councilors and senior management that the contract is being well managed and the requirements of the Service Specification are being adhered to.

The contract is due to commence on 2nd June 2017, but it is hoped that mobilization meetings will commence in Feb/March 2017 once the contract has been awarded.

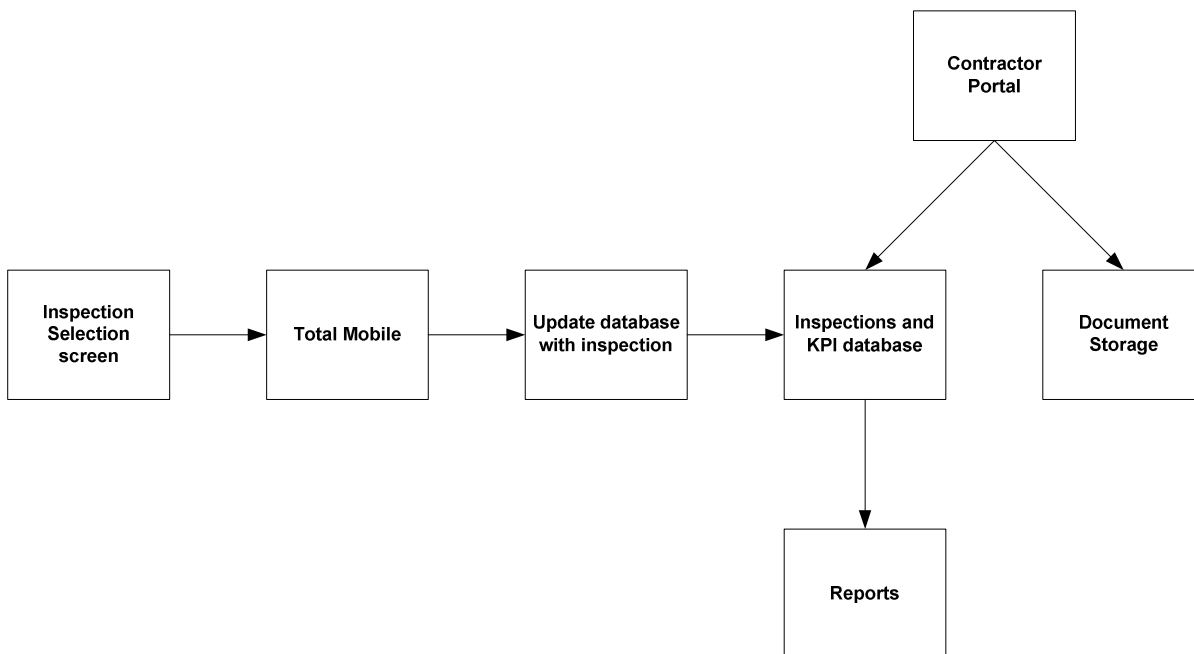
2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Solution – Leisure Centre Contract Management System

2.1.1 Description

The portal will allow the contractor to report their KPIs either as a set of numbers (total visits per month per centre) or as a set of documents (such as the annual Health & Safety assessment). The TotalMobile part of the system will allow the WDC contract monitoring team to inspect the centres and record the results.



Although new TotalMobile (TM) forms will need to be set up, other parts of the TM system will re-use software that has already been written. The Document Storage module will re-use existing software and will also store WDC authored papers such as the minutes of contract meetings. Discussions with ICT suggest that neither APP nor ActiveH are suitable for this purpose.

The Inspections and KPI database is based around a list of all the leisure centres, contracts and contractors. It will store KPIs per centre per month (such as footfall) as well as per contract (income and expenditure). The database will also index the document store.

The system design will allow other leisure facilities (managed inhouse or contracted out) to be added later.

Crystal Reports will be used for data analysis.

2.1.2 Benefits, Goals and Measurement Criteria

See the Business Problem identified above.

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> New revenue generated Reduction in costs Increased profit margin 	N/A
Operational	<ul style="list-style-type: none"> Improved operational efficiency Enhanced quality of product / service 	Not possible to identify hours saved – but is based on having a system that allows a small client team to monitor and manage the contract effectively with existing resources. A single point for all the contract documentation is seen as a more effective way forward than a series of Word documents, spreadsheets and ad hoc reports.
Customer	<ul style="list-style-type: none"> Improved customer satisfaction Increased customer retention Greater customer loyalty 	Effective contract management will allow the Council to ensure customers and Councillors that the contract is delivering services to the standard required by the Council. This will have a financial impact on the operator and on the Council through the “profit share” model included in the contract.
Staff	<ul style="list-style-type: none"> Increased staff satisfaction 	Provides the tools for the new team to undertake effective contract management.

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
<p>How many citizens will the project benefit?</p> <p><i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i></p>	<p>Attendances at leisure centres: 467,233 (2014/15)</p>
<p>How many transactions does the business process deal with?</p> <p><i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i></p>	<p>The transactions will be in terms on contract data rather than customer transactions:</p> <ul style="list-style-type: none"> 21 KPIs (reported monthly) Quarterly reports (3)

	<ul style="list-style-type: none"> • 6 monthly User Forum reports • Annual reports (3) • Annual Maintenance Plan • Annual Fees & charges proposals
What is the average current duration of the process from service request to completion?	N/A – new function

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> • Initial software purchase – not required • Data gathering – not required • New hardware – propose to use hand held device from H&PS (1 only) • Temporary additional resources - not required 	N/A (we already own the TotalMobile platform)
Total	
Revenue Costs	Amount
<ul style="list-style-type: none"> • TotalMobile Software license costs for 2 users (could be £0 if we are able to re-use 2 of H&PS existing licenses) • TotalMobile Support costs for 2 users – reduced price if we can re-use one of H&PS licenses (could be £150 in total if we can re-use 2 of H&PS existing licenses which are based on 10% of the license price) • Mobile device and data contract x 2 users 	£750 per licensed user (one off cost) £150 per license per year (20% of license price) Devices cost £295.21 each when connected to O2's 3g network with 3Gb data for £9.00 per month on a 24 month contract.
Total	£1045.21 per user one off cost £258 per user annually

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
Licence costs – new client code 4500 subjective	£9/month	Budget allowance made which will cover this cost
One off costs – fund from new client code 4500 subjective	£1045 per user	To be reflected in new budget for 2017/18 only – currently being confirmed

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
Insufficient time available to WDC officers pre-contract to get the system fully functioning for the start of the contract	2	3	Early start to discussions with ICT (Oct 2016)

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear ‘mitigating actions’ should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	Identifying time from Contract Manager and Contract Officer to test and implement for start of contract

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	Council award a contract to an external operator in early 2017
2	Employment Committee approve new Sports & Leisure structure at meeting on 14 th December 2016

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the ‘digital design

principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

- Create a database for collation of data from the sources detailed above in 3.1.1
- Implement Total Mobile for client officers
- Agree standard reports to be generated
- Understand opportunities for integration with operators ICT solutions once operator appointed
- Consider further opportunities for the system to be extended to handle monitoring of the Golf contract and other contracts across the Council where appropriate

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Project Manager (Cultural Services) – Stuart Winslow
- Design authority – Stuart Winslow (supported by ICT/Dave Adcock)
- Testing – Stuart Winslow/with Contract Officer when appointed - during mobilization phase of contract
- Training for new client team and admin staff in Culture as appropriate
- System owner – Sports & Leisure Contract Manager

3.3 ICT Services Resources

- Application Support Analyst (Developer)
- Business Analyst

Having had initial discussions with ICT (Tass Smith & Dave Adcock) the suggestion is that the solution is a relatively simple “product” which is based around a single database that is the repository for the data from a number of sources.

At the initial meeting it was proposed that the next actions were as follows:

- Total Mobile form design – SW to liaise with DA
- KPIs to be confirmed – SW to conform with DA
- Confirmation of standard reports that will be required – RW/SW to confirm

Subject to approval by ICTSG it was agreed that work could commence in the near future which would allow the solution to be designed and functional by the mobilization period with the operator (Spring 2017)

Warwick District Council

ICT Steering Group – Self-serve car park season ticket requests



Digital services so good that people prefer to use them



www.warwickdc.gov.uk

ICT Steering Group – Car Park Season Tickets

Revision History

Document	ICT Steering Group – Car Park Season Tickets
Author	Sarah James
Date Completed	26 October 2016
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	26 October 2016	Sarah James	Full draft
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

ICT Steering Group – Car Park Season Tickets	2
1 Business Problem Analysis	4
1.1 Business Problem	4
2 Preferred Solution	5
2.1 Solution – Online Car Park Season Ticket Applications & Renewals	5
2.1.1 Description.....	5
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	6
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	6
2.1.6 Issues	7
2.1.7 Assumptions	7
3 Implementation Approach	7
3.1 Outline Project Scope.....	7
3.2 Service Area Resources.....	8
3.3 ICT Services Resources.....	8

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

The current system of car park season tickets requires customers to either complete a form and post in their cheque payment for the car park of their choice or telephone through to the Neighbourhood Services Business Support team for them to complete an application and payment forms.

There are significant issues with the paper based system such as cheque payments if the car park has no availability, refunds are required which are timely/costly to WDC.

The management of the car park availability is by a spreadsheet which is updated daily to show availability in car parks, there is the general issue of multiple accesses to the spreadsheet.

The current telephone system is via the Business Support Team which deal with multiple other issues and this system takes significantly longer than the other requests they deal with adding pressure to the service.

2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Solution – Online Car Park Season Ticket Applications & Renewals

2.1.1 Description

We require a web-based self-serve solution that allows the customer to purchase their season ticket on-line at all times without the need to contact us during office hours. The web solution needs to link into the chipside system so no manual data inputting is required and also a separate system/database is needed for maintaining the correct availability in each car park. All customers would be given automatic e-mail reminder for renewing their permit near to expiry.

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project's actual benefits. All quantifiable benefits listed must be supported by current performance figures.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> • Undeterminable, the system requirement is to improve customer experience and reduce staff time on the telephone. • With a move to on-line only applications this will remove the need for cheque payments by the DMC. 	
Operational	<ul style="list-style-type: none"> • Improved operational efficiency, the current season ticket application process is by post or telephone on average 10 minutes of staff time to complete. • To remove the need of the back office updating the spreadsheet which 3 minutes per application. • Improving the whole back office function to just 5 minutes per batch print job done once a day. • This element of the service would move to on-line only applications and reduce the calls into the business support unit. Thus improving waiting times for other areas of the service. 	<ul style="list-style-type: none"> • 216 Hours of staff time saved per annum. •
Customer	<ul style="list-style-type: none"> • Reduced application time for the customer • Improved customer satisfaction as the current system requires either cheque payments or spending significant time on hold waiting to be answered by the team before spending a minimum of 10minutes making the application and payment. • 24 hour access to the service. • Automatic renewal notification. • Choice of start dates and locations. 	<ul style="list-style-type: none"> •

	<ul style="list-style-type: none"> Application turnaround time reduced. 	
Staff	<ul style="list-style-type: none"> Staff time directed to more focused areas of work. Increased staff satisfaction 	

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
The benefits are restricted to 1300 customers who purchase a car park season ticket. There is the potential of 2000 season ticket holders as we don't currently have full occupancy in each of the car parks.	£225k generated in season ticket income per annum.
How many transactions does the business process deal with? As above!	
What is the average current duration of the process from service request to completion? 15 minutes per application	

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> This would be an in-house solution with links to the Chipside system. There are no charges with Chipside for system improvements. IT need to quantify the amount 	
Total	
Revenue Costs	Amount
<ul style="list-style-type: none"> Already included in the support service recharge and support service charge to Chipside. 	
Total	

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
N/A		

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions

Staff resource to support the change	3	3	Dedicated staff resource
Link between WDC system and Chipside doesn't work?	1	5	Proven links between the 2 systems in other areas of the service.

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	Incorrect database resulting in over allocation
2	Payments not going through correctly?

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	Systems link between WDC and Chipside
2	Customer satisfaction improved

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

For example, in the case of waste container charging, the outline scope is:

- Create a web form for customers to request a season ticket
- Enable customers to pay for the service on-line
- Integrate request directly into the chipside/database systems
- This solution should be an on-line only solution but for very few exceptions we need to allow for internal staff to use the same solution by telephone?

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Sarah James is to be the project manager.
- IT to act as the design authority.
- Neighbourhood Services Business Support Team will undertake testing.
- Neighbourhood Services Business Support Team will require training.
- Sarah James will eventually become the system owner.

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

Application Support Analyst (Developer)

Warwick District Council Business Case – Self-serve pest treatment requests



Digital services so good that people prefer to use them

ICT Steering Group – Pest Treatment Requests

Revision History

Document	ICT Steering Group – Pest Treatment Requests
Author	Michael Branson
Date Completed	
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	27 January 2017	Michael Branson	Completed
0.2			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

Business Case – Pest Treatment Request	1
ICT Steering Group – Pest Treatment Requests	2
1 Business Problem Analysis	4
1.1 Business Problem	4
1.2 Business Opportunity	4
2 Preferred Solution	4
2.1 Solution [Build a new integrated form and use new mobile technologies]	5
2.1.1 Description.....	5
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	6
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	7
2.1.6 Issues	8
2.1.7 Assumptions	8
3 Implementation Approach	8
3.1 Outline Project Scope.....	8
3.2 Service Area Resources.....	9
3.3 ICT Services Resources.....	9

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

Provide a summary of the core business problem, including:

- A generic description of the core issue to hand
- The reasons why the problem exists
- The elements which create it (e.g. human, process, technology)
- The impact it is having on the business (e.g. financial, cultural, operational)
- The timeframes within which it must be resolved.

OR

1.2 Business Opportunity

Outline the business opportunity which has been identified, including:

- A summary of the generic opportunity
- Any supporting evidence to prove that the opportunity is real
- A timeframe within which the opportunity will likely exist
- The positive impact that realisation of the opportunity will have on the business.

Opportunity

- To update the process for receiving and handling pest treatment requests in order to benefit the customer and the back office
- We receive 1300 pest treatment requests per year. Each request currently involves a range of interactions – online, phone and face to face – and this process can be simplified and made quicker using new technologies – specifically Jadu XForms, Total Mobile and Capita’s Pay360 SmartPay (Chip and Pin).
- The majority of the existing requests are received via phone. By improving the online process to incorporate validation and automated customer updates we can encourage channel shift.

2 Preferred Solution

This section provides details of the Service Area’s preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Solution [Build a new integrated form and use new mobile technologies]

2.1.1 Description

ICT Services to rebuild the existing online Jadu form and integrate it with the existing back office system – Civica APP.

The enhanced form will only allow valid requests to reach the back office e.g. ensuring the property is in the district.

The request will automatically populate the Civica APP back office system. This in turn will generate a job in Total Mobile allowing the officer to schedule, carry out and complete the task remotely. Payments will be made using a Chip and Pin device once available.

The customer will be informed of progress by email throughout the process.

The customer facing form will adopt the website's new responsive design and will use the features outlined in our forms design guide.

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project's actual benefits. All quantifiable benefits listed must be supported by current performance figures.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> Reduction in costs Encourage channel shift 	<ul style="list-style-type: none"> No printing required. Currently all 1300 Requests for Service printed. By improving the online service we encourage usage of the web over the phone. Currently around 33% of requests are made online. Saved fuel and vehicle costs due to removal of need to travel back to office and better scheduling of jobs Long term - saved space cost as no need for desk space for officers (Space will still be needed for stock of chemicals in building)
Operational	<ul style="list-style-type: none"> Save staff time in the back office 	<ul style="list-style-type: none"> 1300 request per year are currently manually rekeyed into the back office system (approx. 3 mins per request). Officers must return to office to receive jobs from Civica APP and to update each individual case once in progress or complete. Travel time could be reduced significantly. With 2 officers, approx 30 mins travel time each saved per day No need to scan documents signed by customers. Online form validation ensures that all of the information needed from customer is gathered. No need to clarify with customer by phone.

		<ul style="list-style-type: none"> Easier referrals to either approved suppliers or another WDC dept e.g. Housing, should there need to be additional services like drainage works for WDC Housing properties
Customer	<ul style="list-style-type: none"> Improved customer satisfaction Improved usability, access to information and mobile access 	<ul style="list-style-type: none"> Provide assurance for customers with automated progress updates. Prevent the need for follow up calls to check progress Able to pay by credit/debit card. Improve access to info for the 55% of visits to the website that are on mobile devices
Staff	<ul style="list-style-type: none"> Increased staff satisfaction 	<ul style="list-style-type: none"> Save travel time Save scanning time No need to handle cash Save time manually rekeying information

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
How many citizens will the project benefit? <i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i>	Anyone in the district wishing to report a pest problem by phone or online.
How many transactions does the business process deal with? <i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i>	1300 per year
What is the average current duration of the process from service request to completion?	3 minutes to enter a request. Treatment time varies depending on the case

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase Data gathering Temporary additional resources 	N/A (we already own the TotalMobile platform) Mobile devices cost about £300 each
Total	0.00
Revenue Costs	Amount

<ul style="list-style-type: none"> TotalMobile Software license costs x 2 users TotalMobile Support costs x 2 user licenses Mobile device and data contract x 2 users 	<p>£750 per licensed user (one off cost)</p> <p>£150 per license per year (20% of license price)</p> <p>(Devices cost £295.21 each)when connected to O2's 3g network with 3Gb data for £9.00 per month on a 24 month contract.</p>
Total	<p>£1045.21 per user one off cost</p> <p>£258 per user annually</p>

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
The process isn't an improvement on the existing one	2	3	<ol style="list-style-type: none"> Clarity of specification Staff training Testing
Technology fails in the field	2	3	<p>Possible to write an APP report to pull out all the Pest Control cases / future scheduled action records. This obviously wouldn't work if APP itself was down though - but that is the case now.</p> <p>TM works fine offline and resyncs with APP whenever there's a data connection.</p>
Staff in the field prefer existing process	3	3	<ol style="list-style-type: none"> Training Highlight time and travel savings

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To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	Integration of multiple technologies which may become available at different times – so this may require a phased approach

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	We adhere to the design principles of the Digital Strategy
2	This may be a staged change i.e. the Jadu Form integration would be first. Integration with Total Mobile might be later. Adoption of Chip and Pin may come later still.

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

Current process

1. Customer submits request online or via phone
2. Officers manually enter request into Civica APP
3. Officer prints off RFS
4. Officer phones customer to make appointment. Records appointment in paper diary or in Outlook and schedules work based on location. The 2 pest treatment officers split the work by postcode.
5. Officer visits
 - a. Assesses pest type
 - b. Agrees cost
 - c. Treats pest or makes 2nd appointment
 - d. Gets customer signature
 - e. Officer takes payment in cash
6. Officer closes case and manually scans documents in Civica APP back in the office

-
7. Officer drops off cash

Proposed process

1. Customer submits online form which checks postcode and collects required info
2. The form automatically raises a case in Civica APP
3. This generates a job in Total Mobile (allocating work by postcode so the 2 officers receive the right jobs. This can also be reallocated via Civica APP if a pest treatment officer is off sick etc)
4. Officer makes appointment with the customer by phone
5. Officer fills in a form on Total Mobile and this updates the case in Civica APP with the appointment details
6. Customer receives email confirmation of appointment
7. Batch process runs in Civica and the officer receives a daily list of jobs on Total Mobile
8. Officer conducts site visit and treats pest or arranges 2nd visit
9. Officer updates the case status on Total Mobile, capturing necessary documentation and signature on the device i.e. case closed/other visit required etc (**NB:** Further consideration needed i.e. Referrals to other depts or contractors)
10. Payment made in cash or by Chip and Pin once available
11. All details in Total Mobile are automatically uploaded to the relevant Civica APP case
12. Customer receives email with new appointment/case closed/payment receipt

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Contact for IT during development: Jayne Bailey/Kathleen Rose (back office) and Michael Branson (public facing)
- Will conduct testing once built: Jayne Bailey/Kathleen Rose (back office) Michael Branson (public facing)
- Will send feedback to IT: Jayne Bailey/Kathleen Rose (back office) Michael Branson (public facing)
- Will re-test: Jayne Bailey/Kathleen Rose (back office) Michael Branson (public facing)
- Final sign off: Jayne Bailey/Kathleen Rose (back office) Michael Branson (public facing)

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

- Apps Support Analyst (s)
- Possibly Business Analyst

Warwick District Council

ICT Steering Group – Business Case – Speak at Planning Committee



Digital services so good that people prefer to use them



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ICT Steering Group – Speak at Planning Committee

Revision History

Document	ICT Steering Group – Speak at Planning Committee
Author	Michael Branson
Date Completed	
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	19 October 2016	Michael Branson	Final document
0.2			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

ICT Steering Group – Speak at Planning Committee	2
1 Business Problem Analysis	4
1.1 Business Problem	4
1.2 Business Opportunity	4
2 Preferred Solution	4
2.1 Solution [Build a new integrated form]	4
2.1.1 Description.....	4
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	5
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	6
2.1.6 Issues	7
2.1.7 Assumptions	7
3 Implementation Approach	7
3.1 Outline Project Scope.....	7
3.2 Service Area Resources.....	7
3.3 ICT Services Resources.....	8

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section it is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

The public can currently submit a form to request to speak at Planning Committee. There are currently issues for customers and staff with multiple mechanisms for registering being used.

- Validation on the form is insufficient so officers have to chase up members of the public for further information
- All information has to be manually rekeyed into a back office system taking up a day of officer time a month
- As the form arrives by email it is possible to miss submissions and deny the public their democratic right to speak
- Customers receive no confirmation that their request has been received/processed/accepted so often phone up to check
- Customers turn up to speak unaware that other speakers are booked in, they may have to share their time and that the process can take longer than expected

1.2 Business Opportunity

- Saving on print costs. All contact with customers could be electronic - this includes sending links to relevant reports rather than providing hard copies

2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Solution [Build a new integrated form]

2.1.1 Description

Provide a summarised description of the preferred solution. This will include the general approach to be taken and a summary of the core elements of the solution (e.g. people, process, organisation, technology).

- ICT Services to rebuild the existing online form and integrate it with the existing back office system.
- The enhanced solution will only allow valid requests to reach the back office.
- It will automatically populate the back office system.
- It will keep the customer informed of progress throughout the process.

- The solution will adopt the website’s new responsive design and will use the features outlined in our forms design guide.

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project’s actual benefits. All quantifiable benefits listed must be supported by current performance figures.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> • Reduction in costs 	<ul style="list-style-type: none"> • Potentially less printing if we send customers links to papers rather than providing hard copies.
Operational	<ul style="list-style-type: none"> • Save staff time in the back office 	<ul style="list-style-type: none"> • We receive 12 requests per month which takes 1 day per month to process in manual rekeying and telephone contacts. • Staff spend time routinely checking emails to ensure requests have not been missed.
Customer	<ul style="list-style-type: none"> • Improved customer satisfaction • Improved usability, access to information and mobile access 	<ul style="list-style-type: none"> • Provide assurance for customers with automated progress updates. • Prevent the need to phone the council • Manage customer expectations by providing automated updates of the number of other speakers attending. • Improve access to info for the 55% of visits to the website that are on mobile devices
Staff	<ul style="list-style-type: none"> • Increased staff satisfaction 	<ul style="list-style-type: none"> • See time savings and operational benefits above

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
<p>How many citizens will the project benefit? <i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i></p>	<p>Anyone with online access wishing to speak at planning committee. 86%+ of the district are online.</p>
<p>How many transactions does the business process deal with? <i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i></p>	<p>12 every four weeks</p>

What is the average current duration of the process from service request to completion?	This varies greatly depending on the source and the timing of the request. A phone request takes 10 minutes to handler and an email 5 minutes. However it is the follow up phone calls which can take up most time.
---	---

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase Data gathering Temporary additional resources 	None
Total	
Revenue Costs	Amount
<ul style="list-style-type: none"> Software licence costs Support costs Permanent additional resources to maintain/operate system/process 	None
Total	

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
The form isn't an improvement on the existing one	1	2	Clarity of specification
The automated customer updates do not work as expected	1	3	UAT

--	--	--	--

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	This may be the first Jada XForm that we integrate so there will be some discovery work involved

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	We adhere to the design principles of the Digital Strategy
2	It is possible to integrate to our Committee Management System

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

- The solution will allow the public to submit an online form requesting to speak at Planning Committee.
- The form will interrogate a back office system and inform the customer of the number of speakers already booked to speak at that session.
- The submitted data will automatically populate the existing back office system.
- The customer will receive email confirmation that the form has been received and further confirmation that they are booked to speak, including links to relevant documentation.

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

-
- Contact for IT during development: Amy Carnall
 - Will conduct testing once built: Amy Carnall (back office) Michael Branson (public facing)
 - Will send feedback to IT: Amy Carnall (back office) Michael Branson (public facing)
 - Will re-test: Amy Carnall (back office) Michael Branson (public facing)
 - Final sign off: Amy Carnall (back office) Michael Branson (public facing)

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

- Apps Support Analyst (Developer)

Warwick District Council

ICT Steering Group – Barcode generation for miscellaneous payments



Digital services so good that people prefer to use them



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ICT Steering Group – Miscellaneous Barcodes (non-fund) generation Business Case

Revision History

Document	ICT Steering Group – Miscellaneous Barcodes generation
Author	Tass Smith
Date Completed	25 January 2017
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	25 January 2017	Tass Smith	Final
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

ICT Steering Group – Miscellaneous Barcodes (non-fund) generation Business Case 2

1 Business Problem Analysis	4
1.1 Business Opportunity	4
2 Preferred Solution	4
2.1 Solution Miscellaneous Barcodes (non-fund) generation	4
2.1.1 Description.....	4
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	5
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	6
2.1.6 Issues	7
2.1.7 Assumptions	7
3 Implementation Approach	7
3.1 Outline Project Scope.....	7
3.2 Service Area Resources.....	8
3.3 ICT Services Resources.....	8

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Opportunity

The Digital Transformation group have identified that many customers make payments using cheques and cash via the WDC Frontlines / DMC / offsite. These are time consuming to process and provide poor customer service.

Currently, under the Allpay contract and using their 8 digit IIN, it is only possible to create barcodes for Fund payments (CTax, Rents, Business Rates, Benefit overpayments and WDC Invoices). Using our 6 digit Client IIN, barcodes have also been created for PCNs and Rent Statement letters.

- To generate barcodes for non-fund payments
- To allow back office staff to reconcile customer payments to the relevant service request
- To allow reconciliation through the PARIS and TOTAL systems so the monies reach the correct charge codes

2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Solution Miscellaneous Barcodes (non-fund) generation

2.1.1 Description

Provide a summarised description of the preferred solution. This will include the general approach to be taken and a summary of the core elements of the solution (e.g. people, process, organisation, technology).

- Create a barcode generation system* using our Client IIN (we have already proven that we can do this). * or we may be able to simply generate the barcode using Office 2013.
- Using a web form, back office staff to generate a barcode onto a letter that can be printed and given / sent to a customer
- PARIS system would need to be configured to recognize the new barcode and allocate the funds to the correct ledger code (via existing interface to TOTAL)

- PARIS system would also need to generate an output file to the Barcode generation system so that records could be updated with a payment received flag
- The back office staff would need to know that the customer had paid so that their service can be fulfilled. This may require integration into their own back office systems or manual intervention
- Our solution would need to be tested via the allpay network (building in a 6 week lead time)

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project's actual benefits. All quantifiable benefits listed must be supported by current performance figures.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> • A reduction in the value of cash and cheque payments processed by our Bank • Loss of PC in either CST or at Reception as currently we have two PARIS Counter Receipting stations 	<ul style="list-style-type: none"> • £450 per year in reduced bank processing charges • £480 per year in PC recharges
Operational	<ul style="list-style-type: none"> • Save staff time in the back office as CST staff would have fewer cash / cheque payments to process • Encourage channel shift - finally realise Members' decision to close our WDC cash office made over 10 years ago 	<ul style="list-style-type: none"> • Around 1110 hours per year spent on processing Misc payments. • If staff numbers were reduced then a saving of around £19,000 per year could be made
Customer	<ul style="list-style-type: none"> • More convenient for customers 	<ul style="list-style-type: none"> • Using allpay would increase the number of payment outlets
Staff	<ul style="list-style-type: none"> • Increased staff satisfaction 	<ul style="list-style-type: none"> • No need to handle cash / cheques delivered to WDC

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
<p>How many citizens will the project benefit? <i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i></p>	<p>Any citizen making a Misc payment who wishes to pay by cash / cheque – see below</p>

How many transactions does the business process deal with? <i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i>	Over 7,000 miscellaneous cash/cheque payments are made directly to WDC in 2015/16
What is the average current duration of the process from service request to completion?	Over 9 minutes per transaction to process the cash/cheque in the CST. Plus time needed to link the payment to the back office service. CST time would be the only saving.

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase PARIS system configuration changes 	<p>We already own our WDC Client IIN</p> <p>£2K?</p>
Total	£2000
Revenue Costs	Amount
<ul style="list-style-type: none"> Software licence costs Support costs Permanent additional resources to maintain/operate system/process 	I have assumed we'd need a new allpay scheme, so £75.00 per year in scheme charges
Total	£75.00

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes
Existing PARIS support budget	2000	Capital
Existing allpay scheme costs budget	75	Revenue

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
Unable to reconcile a payment with the customer's request for service	1	5	<ol style="list-style-type: none"> Clarity of specification Staff training Testing

Staff resource for testing new solution	3	3	Dedicated staff resource

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	Need Northgate to commit to resourcing the PARIS configuration changes

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	That staff processing time in the CST is reduced because we refuse to accept cash and return cheques delivered to WDC

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

1. Create a barcode generation system that uses the prescribed structure to give us a maximum of 99 internal service codes to link to individual back office service request types and their relevant Finance charge codes. For example:
01 = Green bin request
02 = Taxi driver DBS request
2. The next Reference Number would be generated by the system so that each barcode is unique to that customer's request.
3. The system would allow back office staff to complete a web form with the customer's name / address / service request type / amount.

-
4. Service request types may require specific additional instructions so standard paragraphs would be configured in the system.
 5. All this information would be merged into a word document, along with the generated barcode.
 6. The customer would then pay for the service via the Post Office / Pay Point networks.
 7. The transaction information would be made available via our current supplier's End of Day file
 8. Configure the Income Management system so that it could translate the first 8 digits (Client IIN + Internal Service Code) into the relevant Finance System Ledger code.
 - o The Income Management System would then be able to update the Finance ledger
 - o The Income Management System would also generate an output file to the barcode generation system so that records could be updated with a payment received flag.

This would include the barcode reference and amount so that it can be cross referenced with the system's database.
 9. Back office staff would need to know that the customer had paid so that their service request can be fulfilled. This may require integration into their own back office systems or manual intervention

3.2 Service Area Resources

Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Project manager – Tass Smith
- Design authority – Richard Southey / Roger Wyton
- Testing – Richard Southey, Roger Wyton, service area personnel TBC
- Training – service area personnel
- System owner – TBC (Probably Graham Folkes-Skinner as the current allpay system owner)

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

Application Support Analyst (Developer)

Warwick District Council

ICT Steering Group – Improved building control register and officer mobilisation



Digital services so good that people prefer to use them



www.warwickdc.gov.uk

ICT Steering Group – Building Control register and Officer Mobilisation

Revision History

Document	ICT Steering Group – Building Control register and Officer Mobilisation
Author	Michael Branson, Linda Conmy
Date Completed	
Reviewed Date	

Version	Revision Date	Revised By	Revisions Made
0.1	11 July 2016	Michael Branson, Linda Conmy	Final document
0.2			
1.0			
2.0			
3.0			
4.0			

Approvals

This document requires the following approvals:

Title
ICT Steering Group

Distribution

This document has been distributed to:

Name	Title

Contents

ICT Steering Group – Building Control register and Officer Mobilisation	2
1 Business Problem Analysis	4
1.1 Business Problem	4
1.2 Business Opportunity	4
2 Preferred Solution	5
2.1 Solution [Rebuild the Building Control Register]	5
2.1.1 Description.....	5
2.1.2 Benefits, Goals and Measurement Criteria.....	5
2.1.3 Digital Benefits.....	6
2.1.4 Costs and Funding Plan.....	6
2.1.5 Risks.....	7
2.1.6 Issues	7
2.1.7 Assumptions	7
3 Implementation Approach	7
3.1 Outline Project Scope.....	8
3.2 Service Area Resources.....	9
3.3 ICT Services Resources.....	9

1 Business Problem Analysis

This section seeks to describe the issue to be addressed by the project. It consists of two parts, Business Problem and Business Opportunity. When completing this section is advisable to only complete one section depending on whether you are trying to resolve an existing problem or are looking at a new opportunity. For example, a new income generation scheme would be a business opportunity rather than a business problem.

1.1 Business Problem

The public can currently search the online register of building regulations applications or use it to book inspections. There are 12,000 visits to it per year. The existing technology requires updating for the following reasons

- The underlying code is virtually unsupported by IT
- The interface needs redesigning to bring it into line with the rest of the website e.g. it needs to be mobile responsive (25% of visits to the register are on mobile devices)

1.2 Business Opportunity

The need to update the register also presents an opportunity. Building Control would like to improve the service but this is not possible with the existing technology. These improvements include

- Search demolition notices and dangerous structures to include access to specific documentation
- Expand the functionality so that remote working officers can receive updates of new inspections, view inspection notes and if possible access the inspection manager.

2 Preferred Solution

This section provides details of the Service Area's preferred solution, its benefits, costs, feasibility, risks and issues.

2.1 Solution [Rebuild the Building Control Register]

2.1.1 Description

ICT Services to rebuild and enhance the existing online building control register.

The enhanced solution will allow the public to search building regulations applications and unauthorised work / demolitions and provide links to book an inspection and pay fees online.

The solution will adopt the website's new responsive design and will use the features outlined in our forms design guide.

In the back office the inspection requests will feed into a back-office inspection manager as they do currently with some enhancements as outlined in section 4.1.

2.1.2 Benefits, Goals and Measurement Criteria

Describe the tangible and intangible benefits to the Service Area upon implementation of the solution. One of the obvious benefits described will be that the business problem / opportunity outlined above will be addressed.

NB: The benefits listed below are examples only and the boxes should be modified to describe the project's actual benefits. All quantifiable benefits listed must be supported by current performance figures.

Complete the following table:

Category	Benefit	Value
Financial	<ul style="list-style-type: none"> Reduction in costs 	<ul style="list-style-type: none"> Potentially less printing if we provide remote access to site notes. Potential saving of 10,000 sheets A4 paper per year.
Operational	<ul style="list-style-type: none"> Save staff time in the back office by reducing phone calls 	<ul style="list-style-type: none"> Each inspection request via the website saves approx. 2 minutes telephone time. Each request for copy documentation via telephone can take between 5 and 20 minutes. Each telephone booking takes about 1-2 minutes, and we receive about 50-60 inspection requests per day. Each demolition application takes approximately 30mins of admin time to process the consultations, longer if neighbour letters are required.
Customer	<ul style="list-style-type: none"> Improved customer satisfaction Reduced failure demand Improved usability, access to information and 	<ul style="list-style-type: none"> 1000 interactions per month. This should increase with improved functionality. Alleviate the need to contact the office and the costs of printing/photocopying and postage. Improve access to info for the 25% of visits (and growing)

	mobile access	that are on mobile devices
Staff	<ul style="list-style-type: none"> Increased staff satisfaction 	<ul style="list-style-type: none"> See time savings and operational benefits above

NB: The benefits listed above are examples only and the boxes should be modified to describe the projects actual benefits. All quantifiable benefits listed must be supported by current performance figures.

2.1.3 Digital Benefits

Description	Value
How many citizens will the project benefit? <i>For example, does the project only benefit council tenants, people with parking permits or users of one of our facilities? Where theoretically a service could be used by anyone in the district, actual usage figures should be used.</i>	Anyone with online access requiring access to building regulations info. 86%+ of the district are online.
How many transactions does the business process deal with? <i>For example, a particular business process may have 5,000 customers annually, but as they are required to contact the service quarterly, they therefore generate 20,000 transactions annually.</i>	12,000 – 14,000 per year
What is the average current duration of the process from service request to completion?	Varies depending on the request. See 3.1.2

2.1.4 Costs and Funding Plan

Capital Costs	Amount
<ul style="list-style-type: none"> Initial software purchase Data gathering New hardware Temporary additional resources 	None
Total	
Revenue Costs	Amount
<ul style="list-style-type: none"> Software licence costs Support costs Permanent additional resources to maintain/operate system/process 	None
Total	

For both the capital and revenue amounts identified above, please indicate how the funding will be made available.

Funding Source	Amount	Notes

2.1.5 Risks

Summarise the most apparent risks associated with the adoption of this solution.

Description	Likelihood (1 – 5)	Impact (1 – 5)	Mitigating Actions
The register isn't an improvement on the existing one	1	3	Clarity of specification
The data in the register is not maintained or accurate	1	4	Data is maintained by multiple officers as part of business as usual

To complete this section thoroughly, it may be necessary to undertake a formal Risk Assessment. To reduce the likelihood and impact of each risk occurring, clear 'mitigating actions' should be defined.

2.1.6 Issues

Summarise the highest priority issues associated with the adoption of this solution

No.	Issue - Description
1	The feasibility of requests made by the service area and the improvements that are possible

2.1.7 Assumptions

List the major assumptions associated with the adoption of this option.

No.	Assumption - Description
1	We adhere to the design principles of the Digital Strategy

3 Implementation Approach

This section not only requires the service area to understand its business objectives, but to clearly understand the scope of the activity. In doing so, consideration should be given to the 'digital design principles'. Special consideration should be given to whether all the customer transactions for a specific

process should be in scope. For example, if a process deals with 10,000 transactions annually, of which 8,000 are identified as easy to deal with, then perhaps this is sufficient for the scope of the project.

3.1 Outline Project Scope

The solution will allow the public to search building regulations applications and unauthorised work / demolitions by way of a simple and advanced search. Simple search is by patterned site address. Advanced search is by a combination of fields including location address, reference number, reception date (range), commencement date (range), completion date (range) and agent name. A check box could be selected to include / exclude CPS-suffixed notifications. The solution should provide contextual help text.

Results will display in list view with case reference, location, description, decision date, completion date. 2 tabs will be available for building regulations applications and unauthorised work/demolitions i.e. two separate results lists which you can tab between.

Clicking on a result will bring up more information and provide links to book an inspection and pay fees online. To book an inspection the form submitted will contain the same information as the current web form other than we do not require an email address (case ref, inspection type, inspection date, time slot, Requesters name, requester's phone number, and other details). Ideally the other details will be expanded to allow more characters – perhaps 100 or 150 characters if possible. This will enable better clarity for officers.

If possible the solution will include links to PDFs for demolition notices for supporting documents and a link for search companies to click against an application to request a copy document.

When the customer drills down to a specific inspection record, the data presented is dependent on the inspection reference suffix, for example:

- For the API suffix, the vetting officer field should be omitted, while the Agent's contact telephone number and email address should be displayed
- For the CPS suffix, the comments held in Acolaid's Reception screen should be displayed. These contain contact details for the relevant Agency

The solution will adopt the website's responsive design and will use the features outlined in our forms design guide.

In the back office the inspection requests will feed into a back-office inspection manager as currently. This back-office inspection manager also needs to be rewritten. We want the existing data from past inspection requests to be preserved i.e. use the same data table.

The inspection manager has several functions

1. To book inspections for properties where there is no application in the web register.
2. To view today's inspections

-
3. To view future inspections
 4. To search inspections by location address, requesters name and date range.

The results in the manager will display in a table as currently with the same headings as currently, but omitting the 'time' column. We would like to be able to filter by officer.

As currently, the inspector can be allocated. By clicking onto an entry we would like the inspection notes for that site to be displayed. In addition, the team would like the following if possible

- a link to an online map (e.g. Google map or similar) of the location.
- an option to be able to email the details of the inspection with the inspection notes to the allocated officer would be brilliant.
- a link to be able to view the plans in IDOX DMS would be a bonus.
- a date field that is a pop out calendar rather than just free text.

While there are no immediate integration requirements, Building Control may choose to integrate their management database with TotalMobile to allow officers to work more efficiently on site. The data will be held in a WDC-owned database rather than in Acolaid (for which we have no connectors).

3.2 Service Area Resources


Please use this section to describe how the service area is going to produce the necessary capacity to deliver the project. Specific consideration should be given to:

- Project manager: David Thorp/Linda Conmy
- Design authority: David Thorp/Linda Conmy (back office) Michael Branson (public facing)
- Testing: David Thorp/Linda Conmy (back office), Michael Branson (public facing)
- Final sign-off: David Thorp/Linda Conmy(back office), Michael Branson (public facing)
- Training provided – No training required. Known system
- System owner: Phil Rook

3.3 ICT Services Resources

This section should be used to describe the resource to be provided by ICT Services. To do so, the service area sponsor will need to meet with the ICT Services Applications Support Manager to agree the project scope and likely method of approach.

- Apps Support Developer – to develop both the public-facing and management solutions
- Website Manager – to design and test the public-facing website and also assist in the design of the management solution.

 Executive Wednesday 8th March, 2017		Agenda Item No. <h1 style="text-align: center;">10</h1>
Title	Review of Approach to Unauthorised Encampments	
For further information about this report please contact	Chris Elliott chris.elliott@warwickdc.gov.uk 01926 456000	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	December 11 th , 2013 Minute No. 105	
Background Papers	Review of Security of Open Spaces within Warwick District to Prevent Unauthorised Encampments, December 11 th , 2013	
Contrary to the policy framework:	No	
Contrary to the budgetary framework:	No	
Key Decision?	Yes	
Included within the Forward Plan? (If yes include reference number)	Yes Ref No:852	
Equality Impact Assessment Undertaken	No	
<p>The report recognises the impact on residents of the behaviours of some groups making unauthorised encampments and the expectation on the authority and partners to do all it reasonably can to prevent crime and disorder whilst recognising the rights of the Gypsy and Traveller Communities.</p>		
Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	08/02/17	Chris Elliott
Head of Service	08/02/17	Marianne Rolfe, Tracy Darke, Rob Hoof, Bill Hunt (acting Head of Housing)
CMT	08/02/17	Andy Jones, Bill Hunt
Section 151 Officer	08/02/17	Mike Snow
Monitoring Officer	08/02/17	Andy Jones
Finance	08/02/17	Mike Snow
Portfolio Holder(s)	08/02/17	Cllr Moira-Ann Grainger, Cllr Peter Phillips
Consultation & Community Engagement		
<p>WDC works in partnership with Warwickshire County Council, the other Warwickshire district and boroughs and Warwickshire Police in a joint approach to dealing with unauthorised encampments. WDC attended a recent county wide meeting convened by the Police & Crime Commissioner and have liaised with other authorities within and outside of Warwickshire.</p>		
Final Decision?	Not entirely	
Suggested next steps (if not final decision please set out below)		
<ul style="list-style-type: none"> Meet with County partners to confirm an updated joint protocol. 		

1. Summary

- 1.1 Following an increase in the frequency of unauthorised encampments in the District and the recent incursions over the Christmas and New Year Holidays the report reviews the current approach and sets out a new approach to help address the issues generated by unauthorised encampments.

2. Recommendation

- 2.1 That the Executive notes the trend of increasing number of unauthorised encampments in the District, both on Council owned and other land.
- 2.2 That the Executive notes the events over the recent Christmas/New Year period as set out at Appendix 1 and the learning points that arise from a review of that situation.
- 2.3 That the Executive notes the powers that are available to the Council, the County Council and the Police in relation to unauthorised encampments as set out in Appendix 2 of this report and the observation note on use of Injunctions at Appendix 3.
- 2.4 Agree to the principles of a new joint protocol with partners as set out in Appendix 4 and delegate to the Chief Executive, Head of Health and Community Protection in consultation with the Health and Community Protection Portfolio Holder to negotiate a detailed protocol and report back to the Executive for approval.
- 2.5 That the Executive delegates authority to the Chief Executive, Head of Health and Community and Head of Neighbourhood Services, in consultation with the Portfolio Holders for Health and Community Protection, Housing and Property Services and Neighbourhood Services, to agree the prioritisation of the list at Appendix 5 upon which it proposes to install preventative measures over a two year period from 1st April 2017, in order to prevent unauthorised encampments, to be funded from the Community Projects Reserve up to a maximum of £174,000 plus 5% contingency.
- 2.6 That the Executive notes the limitation on the use of powers because of the absence of a transit site within the District and asks Officers to prepare a report on site provision at the earliest opportunity.

3. Reasons for the Recommendation

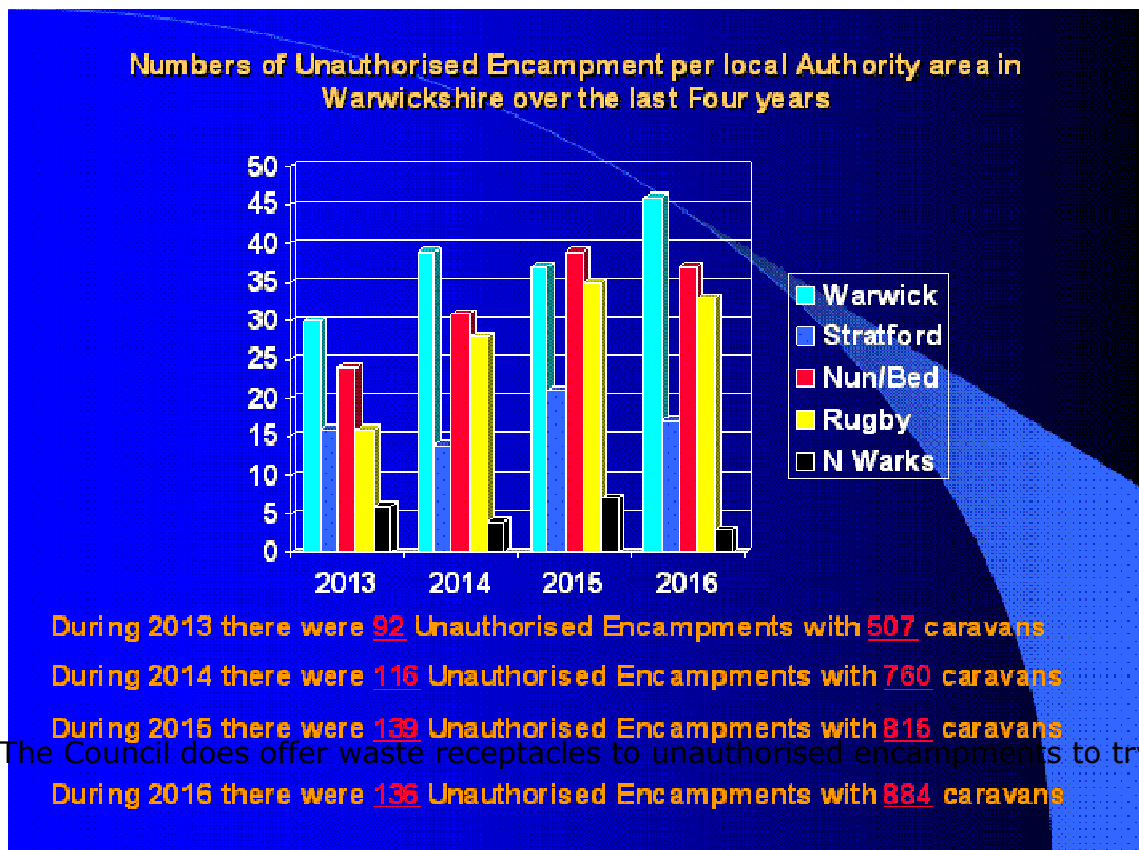
Recommendation 2.1

- 3.1 Over the past 4 years there have been 39 unauthorised encampments on 11 WDC sites, totalling 304 days, an average of 7.8 days (Calculated from the first day of arrival until vacant possession is re-obtained). The table below shows the geographical spread on unauthorised encampments on Council owned land.

	2008	2009	2010	2011	2012	2013	2014	2015	2016	Total
St Nicholas Park							1		1	2
The Holt	1					1				2

Myton Fields	2					2				4
Redland park						1	1			2
Fords Fields						1	1	1		3
Newbold Comyn			1	1			1	5	8	16
Campion Hills							1	2		3
Hampton Road	2	1	1				1	1	3	9
Twycross Walk							1			1
Edmondscote Road							1	1	1	3
Saltisford Gardens									2	2
Harbury Lane			2	2	2					6
Abbey Fields	2	1								3
Hatton Park								1		1
Total	7	2	4	3	2	5	8	11	15	

3.2 However, this is only part of the picture as the above data does not include unauthorised encampments on land in other ownerships including upon highway land. The table below shows the overall picture of unauthorised encampments across the County broken down by District/Borough over the last few years. For Warwick District there is a very clear upward trend and it is also clear that Warwick District now experiences the highest level of unauthorised encampments in the County.



3.3 The Council does offer waste receptacles to unauthorised encampments to try to minimise

Community Cleansing Teams. Section 5 gives an outline of the average annual cost to the Council of dealing with unauthorised encampments.

Recommendation 2.2

- 3.4 The situation reached something of a crescendo over the recent Christmas and the New Year break in Warwick (and is being repeated to a lesser degree this week as the report is being written). Although this is not the first time the Council has been faced with a large unauthorised encampment, the particular circumstances and timing have attracted much interest. The circumstances as they happened are summarised in Appendix 1 of this report. It is clear that whilst officers did everything that they could as quickly as they could, there were no preventative measures in place to deter the unauthorised encampments and the inability to get a court date earlier than 10th January, meant ultimately that the powers of the Police had to be relied upon. Fortunately, the good liaison between the Council and the Police meant that this was possible. However, for the local community, the perception was that both the Council and the Police were inactive and not dealing with the issue. There is therefore a need to be able to make the public and local community aware of what powers the Council and Police actually do have in such situations, so that expectations can be appropriately set. In addition, efforts are to be made to secure quicker access to the courts as a matter of routine. The above learning points will be addressed operationally by officers.

Recommendation 2.3

- 3.5 One of the issues arising from the community's perspective was a lack of understanding of the powers that are available to the Council and to the Police to dealing with such situations. Appendix 2 summarises the powers that are available and why some are preferable to others.
- 3.6 Appendix 3 contains an Observation note on the use of Injunctions which would not suggest that this "tool" offers much to the Council in helping to tackle this situations faced but recourse should be made to it as and when the circumstances dictate.

Looking Forward

- 3.7 Looking forward in terms of the Council being better able to tackle such situations, the following 3 pronged approach would seem appropriate:
1. Develop even closer working relationships with the Police, County Council and other agencies;
 2. Consider what it can do on its own land to help prevent unauthorised encampments;
 3. Resolve the situation regarding the provision of sites, permanent and transit.

This approach involving a combination of the provision of a site (permanent and transit), installing preventative measures in the most vulnerable open spaces and a clear protocol for dealing with unauthorised encampments should strike the balance between all needs of both the Gypsy/Traveller community and the local resident/business community and so serve as a disincentive to carry out unauthorised encampments in the District and therefore lower the number that occur.

Recommendation 2.4

- 3.8 On the first point in paragraph 3.7 above, in order to provide a coordinated response with key partners the Police and Crime Commissioner has proposed the development of an updated protocol, the principles of which are set out in Appendix 4. It is suggested that the Chief Executive, Head of Health and Community Protection in consultation with the Health and Community Protection Portfolio Holder are delegated authority to negotiate the detailed updated protocol and to report back to the Executive to seek approval. Such an updated protocol will help ensure that there is regular dialogue and a clear understanding about expectations with Gypsy & Traveller communities.

Recommendation 2.5

- 3.9 On the second point in paragraph 3.7 above, there are approximately 180 open spaces owned by Warwick District Council, varying in size, usage and accessibility. These areas include parks, woodlands, wildlife areas, car parks, playing fields, children's play areas, burial grounds and amenity green space. Open spaces are by their nature are designed to be as accessible as possible to the public, normally offering more than one entrance point, and in some cases allowing access to car parks on the site.

- 3.10 These sites are therefore prone to use for unauthorised encampments, even where existing restrictions such as gates and bollards are present. A desk top evaluation has been carried out of the security of all WDC sites in the district, which have been categorised as follows:-

Sites with no access/secure	56 sites
Unlikely to be used for unauthorised encampments	89 sites
Open site/possible access	35 sites

- 3.11 Officers have identified a number of Council owned locations that are vulnerable to unauthorised encampments and have estimated the costs as set out in Appendix 5. If all were protected it would cost a total of £174,000 (when rounded up) plus a contingency allowance of 5%, to rectify the position, which could be funded from the Council's newly established Community Projects Reserve. Such measures could help protect the amenity of these destination parks and car parks in line with works carried out at Harbury Lane supporting residents and local businesses. However, the Executive needs to decide if it wishes to undertake all the works in the list or only part thereof. Works to protect Newbold Comyn are already being undertaken. It is likely that if a substantial number of sites are proposed for such measures, the work would have to be undertaken over 2 years. It is proposed that the agreement to the list of sites is delegated to the Chief Executive, Head of Health and Community Protection and Head of Neighbourhood Services in consultation with the respective portfolio holders for those service areas and of Housing and Property Services.
- 3.12 It needs to be noted that it will be impossible to protect all of the Council's open land. Measures to protect certain areas may result in encampments taking up occupation elsewhere in the vicinity that have not been protected. However, there is evidence that installing measures to limit access to certain areas can work. For example, at Harbury Lane there had been a number of unauthorised encampments that had taken place over many years. After each encampment additional measures were introduced. In the autumn of 2012 an investment of £12,000 was made at Harbury Lane to prevent unauthorised encampments.

That investment included security gates, fencing, height restriction barrier and heavy duty lock. That investment has been successful in that there have been no unauthorised encampments since (5 years) though there has been an increase in the number of unauthorised encampments at other nearby sites.

Recommendation 2.6

- 3.13 One of the underlying issues is that the Council has not been successful in locating suitable land for transit sites for many years. Indeed Warwick District is the only local authority area in the County not to have any such site. Whilst it is not possible to prove a cause and effect between that fact and the high number of unauthorised encampments the District is experiencing, it is clear that the lack of available transit or emergency stopping sites does prohibit the use of some powers that the Police possess and clearly if that changed then there would be an additional "string" to the "bow" of the Police and the Council. Officers do however, suggest some caution because provision of a transit site would not necessarily forestall all unauthorised encampments.
- 3.14 Warwickshire County Council are progressing with sites for two emergency stopping places for Gypsy and Traveller communities in transit. One of these stopping places will be in the north of the County, the other in the south (in Stratford District, near Southam). Whilst these will provide important facilities to help manage Gypsy and Traveller encampments, they are insufficient to fully meet the whole of the County's and the District's need for transit pitches. The reason for this is that an emergency stopping place can only be used for 28 days whilst a transit site can be used for 3 months.
- 3.15 In the context of developing the Local Plan the Gypsy & Traveller Accommodation Assessment, commissioned in 2012, identified a need for 31 pitches over the next 15 years, 25 within five years, as well as 6-8 transit pitches. The District Council will therefore need to provide a further transit site through the Gypsy and Traveller Site Allocation Development Plan. This will need to accommodate approximately 7 pitches. At this stage, no site has been identified.
- 3.16 Once in place the Police will be able to direct Gypsies and Travellers, in accordance with their policies and procedures, onto transit or emergency stopping sites if there is space available, making unauthorised encampment in the District easier to deal with. This is particularly so when an unauthorised encampment is situated on highway land as the powers the Police currently exercise to direct trespassers to leave are only exercisable in relation to on highway land. Should they refuse to go to such sites they can then be directed out of the County by the Police.
- 3.17 Members will not need to be reminded by Officers of the difficulty of finding landowners (Councils included) to offer land for such sites or for communities to agree to them. However, in the context of recent events it is now imperative that a report be brought forward to resolve the site provision at the earliest opportunity.

4. **Policy Framework**

- 4.1 **Sustainable Community Strategy** –The Council has a vision to make Warwick District a great place to live, work and visit. Ensuring that our local communities are safe is a vital part of achieving that vision. Crime and disorder significantly impacts on the quality of life of residents, businesses and visitors.

The level of crime and disorder is cited as the top consideration when deciding on where to live. Consequently, work in tackling crime and disorder is a significant part of the Council's vision for Safer Communities:

Protecting our communities from harm with an emphasis on the prevention of incidents, whilst focusing on the most vulnerable to make them feel safer

- 4.2 Regrettably, many unauthorised encampments have often been accompanied by other criminal acts. There have also been impacts on the local environment and on health conditions, some of which impact on the Gypsy and Traveller communities as well as the resident communities.
- 4.3 **Fit for the Future (FFF)** - The issue faced impacts on the Service and Money Strands of the Council's FFF programme in that the unauthorised encampments have an impact on normal service delivery, diverting staff time and in some cases preventing Council services from being delivered and so affecting income. Clearing up after the unauthorised encampments also costs the Council money that could be better spent.
- 4.4 **Impact Assessments** – the report consider the impact on residents, officer time and budgets but recognises that a dialogue with representatives of Gypsy and Traveller communities is essential if we are to develop a clear and effective policy. The development of the County wide protocol will need to address equality impacts more definitively.
- 4.5 **Local Plan**

The draft Local Plan, which has now been through the examination, includes the following policies for Gypsy and Traveller site provision:

* Policy H7 states that a Development Plan Document (DPD) allocating sites to meet the proven need through the GTAA, will be published soon after the adoption of the Local Plan.

* Policy H8 lists the criteria that the Council will use in assessing potential sites for their suitability.

* Policy H9 relates to the potential for the Council to invoke its powers of compulsory purchase as a last resort, should no suitable sites be forthcoming.

5. **Budgetary Framework**

- 5.1 The total cost of situational measures at key sites is estimated to be in the region of £174,000 (Appendix 3). If members were mindful to undertake any of this work identified, then this would have to be met from the Community Projects Reserve which currently has £868,000 available. Other reports on the same agenda propose some use of this Reserve.
- 5.2 The Council has been experiencing costs (direct and indirect) in dealing with illegal encampments of £ 16,200 on average per annum, broken down as follows:

Legal disbursements	£5,900
Horse Fair	£800
Neighbourhood Services	£9,500* includes an allowance for staff time
Total	£16,200

However, the above does not include any staff time cost of the Private Sector Housing Team which has responsibility for serving notices etc., nor for the Council's Community Safety Team when they are involved.

6. Risks

- 6.1 The proposed joint approach looks to avoid conflict and minimise risk by producing a clear and effective policy following dialogue with representatives of the Gypsy and Travelling Communities. Inappropriate use of powers, or failing to follow due process and procedure in dealing with the Gypsy and Traveller communities could expose the Council and its partners to legal action. An agreed joint protocol will help avoid such a risk.
- 6.2 There would be legal costs and officer time for us and partners if we were to evidence gather and take to court the case for a civil injunction. The risk of legal challenge is there too and whilst the likelihood is low this would incur further costs.
- 6.3 We have evidence from the works carried out at Harbury Lane that preventative measures can prevent unauthorised encampments but we also recognise that it is not possible to defend all our sites and there will inevitably be some displacement. Preventative measures must also allow legitimate use of our amenities for larger vehicles including contractors. There is potential for loss of car parking income.
- 6.4 The continued lack of identified sites for Gypsy and Travellers both permanent and transit does expose the Council and the community to either an unwanted planning application(s) or a repeat of the Kites Nest Lane scenario. There is also the potential for challenge for failing to accord with the Local Plan. Such scenarios could cause the Council to incur costs and in the absence of providing such sites over many years may lead to success planning wise, even at appeal, for such groups.

7. Alternative Option(s) considered

- 7.1 We could develop a policy independent of neighbouring authorities but a joint approach is necessary for intelligence sharing and enforcement. A joint approach should reassure residents and businesses that we are working together and have a coordinated, prompt and effective approach to dealing with unauthorised encampments.
- 7.2 We could continue to simply 'move on' but this is not any sort of deterrent. The current approach does not address the responsibilities on this authority or key partners to do all it reasonable can to prevent crime and disorder.
- 7.3 During the recent Christmas/New Year situation calls were made by some members of the community for the Council to adopt the approach taken in Harlow. However, the case pursued by the Council was in the context of having had 107 unauthorised encampments in 18 months by the same group. It is very clear from the judgement that the circumstances were considered so extreme as to warrant the steps the Council took in that case. Those circumstances did not apply here.
- 7.4 There is some precedent in utilising preventative measures to prevent unauthorised encampments. The alternatives are to add to this list, include all WDC owned amenities, do some sites or do nothing further. The recent

incursions and increase in the number of illegal encampments suggest we need to do more though it is not feasible to so protect all of our land.

- 7.5 The Council could decide not to provide any sites, permanent or transit but the risks set out above suggest that, notwithstanding the difficulties of finding such sites, the risks set out in paragraph 6.4 above preclude Officers from recommending such a course of action.

Appendix 1 – Summary of Events Over Christmas/New Year 2016/17

1. The group that camped in the Warwick Racecourse Stables car park arrived on or around 9 December 2016. This group had moved originally from Bedworth and then from Newbold Comyn. They were served a Section 61 notice from Newbold Comyn by the Police.
2. It is the responsibility of the land owner to take the lead in evicting travellers, in this case Warwick District Council issued an order giving them 24 hours to leave threatening court proceedings if not. They did not leave so the Council made an application to the court under Part 55 of the Civil Procedure Rule. Unfortunately the County Court could not hear the case until 10 January.
3. With that delay and the fact that there were no reports of antisocial behaviour or criminality for that specific group, following a meeting between Police, WDC and Warwick Racecourse the Police considered it proportionate to let them stay on that site on the assurance they would vacate by 27th December as there was a racing event on 31st December. No Section 61 notice was given then.
4. Another group then camped on the main racecourse car park off Hampton Road. When they arrived there was a change in the criminality level from before. Police identified a link between the change in crime patterns and this particular encampment that replicated similar patterns at previous unauthorised locations. On this occasion there were also evidenced incidents of antisocial Behaviour (ASB) and violence towards racecourse staff. As a result a section 61 notice was issued by Police for that group to vacate the site.
5. They vacated the location on 23rd December but some only went as far as Tournament Fields (private property), but they were evicted from that location very quickly because a private landowner can use common law powers to regain vacant possession (i.e. within 24 hours) and others went back to Newbold Comyn but the previous S61 notice still applied and the group left within hours. They then proceeded back towards Warwick and on 24th December they set up camp by breaking into the car park of the Warwick Corps of Drums, immediately next to the first group. There were incidents of criminality, e.g. forced entry into the Corps of Drums Hall and also an attempt Burglary at the Motorcycle Training School.
6. Police issued another Section 61 order on that group. Since Police needed resources to implement the order with both groups still at their respective locations on 27th of January, a Section 61 order was issued to both groups on 28th and given three hours to leave. Both groups decided to stay in Warwick and a total 60 vehicles (caravans and lorries) were eventually parked on the car park adjacent to St Nicholas Park.
7. The Police were unable to physically block them and could have faced legal action on the basis of discrimination if they had tried. After considering all the options around managing this group and that they were determined to stay in Warwick until the New Year, at this stage the decision was made to issue Section 61 notice for the trespassers to vacate by 3rd January. By that time the majority had gone and have left the County.
8. At all locations there was a considerable amount of rubbish to clear up including human excrement.

Appendix 2

A SUMMARY OF AVAILABLE POWERS AVAILABLE TO LOCAL AUTHORITIES IN DEALING WITH UNAUTHORISED ENCAMPMENTS

The information set out below is designed to give an overview of the powers conferred on Local Authorities, in legislation, for managing and dealing with unauthorised encampments.

It is not a comprehensive account of the detail of legislation and nor does it go in to detail as to the exact procedure involved in exercising each power. However, it does provide detail as to the potential merits to each option of enforcement against trespass and seeks to explain the reasons certain powers are preferable in dealing with unauthorised encampments albeit providing an account of the limitations faced by such action.

1. Civil Orders for Possession in accordance with Part 55 of the Civil Procedure Rules (CPR 55):

As landowner Warwick District Council has the right to enjoy uninterrupted possession of that land. If trespassers encamp on the land and remain there without consent or licence, WDC as landowner has the power to apply to a County Court for an Order of Possession. This Order requires any person trespassing on land to vacate the land and deliver up vacant possession back to the landowner.

This is the power that Warwickshire County Council and Warwick District Council currently adopts to deal with an unauthorised occupation of their land. Below is an account of the procedure involved in seeking a possession order in accordance with CPR 55:

Process:

1. WDC usually receive immediate notification (from members of the public, Warwickshire Police) when a new encampment appears. Officers from the Private Sector Housing Team attend with the Police and seek to move the encampment, by request and negotiation, without the need to issue Court proceedings.
2. If that is futile, a Notice is issued requiring the trespassers to leave; Guidance suggests that a 24 hour notice period is ideal. Welfare checks **HAVE** to be carried out or any court action can fail. This requirement is even more pertinent following case law that emerged from the European Court of Human Rights from 2010 onwards. The sentiment of this case law is that an absolute right to possession is incompatible with an individual's Article 8 rights. Accordingly, a Local Authority, as part of the State and thus bound to the European Convention on Human Rights (by the domestic legislation transposing this) must consider the reasonableness of seeking possession and that includes regard for a trespasser's welfare requirements. If there are welfare issues, an application for possession may be deemed as unreasonable (and so fail) until the welfare issues have been dealt with.
3. During the Notice period, court papers are drafted (claim form, particulars of claim and witness statement) in anticipation that the encampment does not vacate land.

4. When the 24 hour period has lapsed, court papers are hand delivered to Court so that a date can be fixed for a hearing (this cannot be done until the Notice period has lapsed). The date relies on Court availability but there must be a minimum 2 clear days before trespassers are served with the Court papers and the hearing date in accordance with CPR 55.5.

The front desk at Warwick County Court (sitting at the Warwickshire Justice Centre in Leamington Spa) is only open from 10am – 2pm daily. If delivering by hand, papers have to be submitted during these hours. If, for whatever reason, the court papers are not ready to be submitted during this time span, the application can't be submitted until the following day.

It is also worth noting that District Judges for this type of application do not sit at Warwick County Court every day of the week which frustrates the time it takes for the Court to allocate a slot for the possession hearing.

5. Usually the applications are not challenged so the Court will grant an order for possession if welfare checks have been carried out, the correct Notice provisions have been complied with (the requirement to serve the issued Claim by attaching it to a stake in the ground on the land being trespassed on) and the trespassers have remained on the land.
6. WDC ensure that a possession order has more 'bite' by obtaining vehicle registration details of trespassers and including them in the possession order. As such, even though the Order is gained against 'Persons Unknown', we establish a means of identifying the trespassers. Accordingly, if the same vehicles return the Order can be re-served without the need to go through the Court application process again. The Order can only be re-served within a 3 month time frame though (Part 83.26 Civil Procedure Rules which allows an Warrant for Eviction to be applied for at any time within a 3 month period after the Order is granted). However, it does have a deterrent effect- if trespassers are aware that their vehicle registration details have been recorded in a Court Order, it deters them from returning to the land.

The advantage of this power is that the proceedings relate to the land itself. By seeking a possession order there is no need to identify the trespassers encamped on the land- the application is made against 'persons unknown'. Further, by using the County Court process the applicant Local Authority can obtain the services of a County Court bailiff if the trespassers refuse to vacate the land. The fee for this is £115 and once the application for a warrant is completed the onus for ensuring vacant possession is regained rests entirely with the County Court bailiff.

Further, Part 55 applications are presided over by a County Court Judge; accordingly you receive an allocated time slot for your application hearing. Applications that are heard by the Magistrates Courts do not have allocated time slots; parties are advised to attend Court at 10am and the matter can be called before the Court at any time between then and the end of the Court day. All non-Police related matters that go before the Magistrates Court are to be dealt with at Nuneaton County Court one day a week.

2. PART (5) CRIMINAL JUSTICE AND PUBLIC ORDER ACT 1994

Section 61 and 62 of the Criminal Justice and Public Order Act 1994

1. Where trespassers take occupation of land in six or more vehicles or where trespassers are threatening, abusive or insulting towards the occupier of the land or a member of the occupier's family/employee/agent *or* where the trespassers have caused damage to the land or property then the occupier of the land can request that a senior police officer direct that the trespassers leave land and remove any vehicles/property so deposited on the land. This can only occur if reasonable steps have been taken by the occupier of the land to request that the trespassers leave.
2. However, the power to request a senior police officer to direct trespassers to leave land can only be used in relation to land that is **not Highway land.** The Police also have their own Policies and Practices as to when this power will be deployed them meaning that it is not an option to regain vacant possession every time there is an unauthorised encampment on WDC owned land.

SECTION 62 A-E of the Criminal Justice and Public Order Act 1994:

1. This power enables an occupier of land being trespassed on to request that a senior police officer direct the trespassers to leave land they are occupying and remove any vehicles or property they have deposited on the land. A senior police officer can only direct trespassers off the land that they are unlawfully occupying if there is a suitable pitch available on a relevant caravan site by which to direct them to.

OF NOTE:

Section 225 of the Housing Act 2004 places an obligation on Housing Authorities to consider housing needs of Gypsies and Travellers resorting to their area and thus, this obligation is treated as a requirement for LHAs to consider the provision of stopping sites, transit sites and permanent sites for Gypsies and Travellers. Section 225 states:

- (1) *Every local housing authority must, when undertaking a review of housing needs in their district under [section 8](#) of the Housing Act 1985 (c 68), carry out an assessment of the accommodation needs of gypsies and travellers residing in or resorting to their district.*

Section 77 of the Criminal Justice and Public Order Act 1994

1. Section 77 of the Criminal Justice and Public Order Act 1994 enables a Local Authority to issue a direction to trespassers that they leave land that they are unlawfully occupying.
2. This section provides that, if the trespassers return to the land after being directed to leave then they can be the subject of an arrest; in order to enforce by arrest the identity of the trespasser would have to be obtained at the point that the direction is issued
3. Obtaining such detail can be time consuming and fraught with difficulties especially as there is no means of guaranteeing that any detail provided is in fact accurate.

4. Despite the Police having the power to arrest trespassers that have disregarded a direction to leave land in accordance with Section 77 of the Criminal Justice and Public Order Act 1994 it is very unlikely that those in breach of the direction to leave land will attend Court further to the arrest to answer to a criminal charge of trespassing. Compelling attendance cannot be guaranteed and so this provision can have a very little punitive impact.

Section 78 of the Criminal Justice and Public Order Act 1994

1. Section 78 of the CJPOA 1994 gives Magistrates' Courts the power to make a removal order in circumstances where it is proved that persons and vehicles in which they are residing are present on land in contravention of a removal direction issued by a local authority in accordance with Section 77. Such an order will give a local authority the power to take the necessary steps to remove vehicles and property on the land.
2. A removal direction and subsequent order will apply to people residing on the land at the time of the direction and not to anyone who arrives after the direction has been given. So where more trespassers join the encampment, as is so frequently occurs, the local authority landowner will have to serve a direction under Section 77 again and go back before the Magistrates Court for a further removal Order.

This power is not the preferred option at present because primarily it does not apply to the land. What that means is, one Order against 'Persons Unknown' will not deal with regaining possession against further trespassers who join the group after the initial direction is served. Further applications to the Magistrates courts will be required which sits once a week in Nuneaton for non police related matters.

Further, if the land is not vacated after the service of the removal direction granted by the Magistrates Court then it is for the Local Authority itself to arrange means to remove the vehicles and property on the land. This would probably mean that either WDC Officers would have to remove the vehicles or private bailiffs would have to be instructed. A private bailiff charges in the region of £500 to be instructed with an hourly rate (around £100-£200) for their attendance.

Appendix 3 - INJUNCTIONS

There have been a quick succession of a select few Local Authorities who have pursued Injunctions to tackle unauthorised encampments after Kent pioneered the application of a High Court Injunction.

The contemplated use of a High Court Injunction to tackle unauthorised encampments is not a new one; it is a measure that both WCC and WDC have taken advice on from me periodically since around 2012. In particular, this involved exploring the use of Section 222 of the Local Government Act as a general power to instigate any legal proceedings (which would include submitting that this power allowed a Local Authority to seek an Injunction) to protect the residents of Warwickshire. It has always been concluded that such an Injunction would only realistically act as a deterrent rather than a feasible tool to be able to enforce with. The reason for this is because a breach of an Injunction is done by way of an application to commit to prison. The Civil Procedure Rules require that before an application for committal can proceed, the person you are taking the action against has to have been served with the injunction personally. Where 'Persons Unknown' are concerned you would have to satisfy the court that a particular individual is one of those 'Persons Unknown' who was involved in the behaviour that led to the need to seek an injunction, that they were aware of the existence of the injunction, that they had been served with a copy of the injunction and yet despite all this had evidenced a disregard by carrying out a prohibited behaviour detailed in the Injunction. Gathering evidence to establish the above would be extremely difficult if not impossible where trespassers are concerned. It is for this reason that I imagine the Court would not readily grant an Injunction against 'Persons Unknown'

The recent spate of Authorities who have obtained Injunctions have done so, from what I recall, against a group of named individuals but have included a 'catch all' 'Persons Unknown' Defendant. I will revisit the judgment but I think the Court was critical of the 'Persons Unknown' element. The named individuals were all persistent trespassers, were well known in the Local Authority area and had continually, over a significant period of time, trespassed solely within that area. I think they also clearly expressed that they would continue to do so, knowing the limitations of possession action. Evidence of this, coupled with the fact that the trespassers were named individuals who could easily be identified for enforcement purposes, would have made the application more compelling.

Nevertheless WDC have still discussed whether there was a reasonable chance of obtaining an Injunction, despite the limitations as an enforcement option but as a deterrent measure and made a commitment to keeping this under review.

Some of the recent Injunctions granted to Local Authorities to deal with unauthorised encampments were applied for under section 222 of the Local Government Act *and* planning legislation (Town and Country Planning Act 1990). It is planning legislation which provides specifically for applying for an Injunction against 'persons unknown'.

Such an Injunction can be granted for an actual or apprehended breach of planning control where it can be established that it is expedient and necessary to prevent/curtail the breach.

I am not a specialist in planning control. However, my understanding is that the application against trespassers would be made on the submission that the land they are trespassing on is of a particular category of use (say Newbold Comyn for

recreation) and trespassers are in breach of the permitted use by using it for residential purposes. On consulting with Gary Fisher at meetings exploring whether WDC could follow suit to the spate of recent High Court Injunctions granted to a few Local Authorities, it was unanimously agreed that such an argument (regarding change of use) would unlikely to have a reasonable prospect of success. Gary indicated that to successfully levy such an argument he would expect to see an intent to breach a permitted use by some form of development to facilitate the proposed new use. So, to establish that trespassers had the intent to purposefully breach the permitted use of the land to that of residential use for caravans for the purposes of Gypsy and Traveller accommodation, he would expect to see something like concrete being placed on the land to facilitate the breach. Such development of land in breach of permitted use is rare and given the transient nature of trespassers, even if the Court was satisfied that there had been a breach of planning control, it would be unlikely that it would be satisfied of the necessity of such a measure.

Lara Macnab


Appendix 4

Joint Approach Proposal from the Police & Crime Commissioner

- Establishing a code of conduct for each encampment with the Travellers
- Improved and informed communications with the local community whenever an encampment arrived.
- Identification of specific individuals within encampments in order to modify behaviour.
- An improved sharing of intelligence between agencies.
- Engendering an ethos/practice of shared decision making between agencies on the use of powers and the approach to be taken in relation to each encampment to ensure a county-wide consistent approach
- The provision of facilities – in order to avoid clear up costs
- Exploration of responses to Highway incursions
- Effectively manage the time of each incursion Preventative measures to deter incursions on public open spaces.
- Forced entry onto sites – the monitoring and collection of evidence to deal with perpetrators wherever possible.

Appendix 5 - WDC Sites proposed for Situational Measures and costs

Site name	Cost	Comments
Victoria Park	£330	Box
Beehive Hill Playing Fields	£1,000	Gate
Parliament Piece	£1,000	New gate and lock box
Riverside House	£1,000	Lock Box x3
Priory Park	£1,000	New gate and lock box
Crabtree Meadow	£1,000	Gate
Cumberland Crescent open space	£2,000	Gate and 20m Trip rail
Sydenham Central open space	£2,500	Trip rail 50m
Warneford Green	£2,500	Trip rail 50m
Castle Farm Recreation area	£3,000	Height Restriction Barrier
Myton Fields	£3,000	Height Restriction Barrier
Leam View	£3,000	Height Restriction Barrier
Townsend Meadow	£3,000	Height Restriction Barrier
Campion Hills	£3,000	Height Restriction Barrier
Edmondscote Track	£3,000	Height Restriction Barrier
Packington Place	£3,000	Height Restriction Barrier
St Mary's Land 4	£3,000	Height Restriction Barrier
Twycross Walk/Raynsford Walk/Stanton Walk p.o.s.	£4,000	20 trees
Whitnash Brook North	£4,000	20 trees
Bath Place	£4,000	Height Restriction Barriers and bollards
Priory Road	£4,000	Height Restriction Barriers and bollards
Eglamour Way/Othello Avenue, Whitnash	£5,000	Trip rail 100m
Land adj. Tachbrook Road/Warwick Gates	£5,000	Trip rail 100m
Newbold Terrace East open space	£5,000	Trip rail 100m
The Holt	£5,000	Gate and ditch
St Nicholas Park	£5,000	Height Restriction Barrier and CCTV
Myton Fields	£5,000	Height Restriction Barrier
St Mary's Land 3	£5,000	Height Restriction Barriers and bollards
Rosefield Street	£6,000	2 Height Restriction Barriers
Court Street	£6,000	Height Restriction Barriers
St John's Playing Fields	£7,500	rail 150
Abbey Fields	£8,000	Height Restriction Barrier and 4 metal field gates
Adelaide Bridge	£9,000	3 Height Restriction Barriers
The Chantry	£10,000	rail 200m
St Mary's Land 1 & 2	£10,000	Height Restriction Barriers and bollards
Hatton Park Public Open Space	£15,000	300 m metal Trip rail
Hatton Park Estate POS	£15,000	300 m metal Trip rail
	£173,830	

 Executive Committee 8th March 2017		Agenda Item No. 11
Title	St Mary's Lands Delivery Plan for 2017/18	
For further information about this report please contact	Chris Elliott e-mail: chris.elliott@warwickdc.gov.uk Tel No 01926 456003	
Wards of the District directly affected	Aylesford, Warwick	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	Executive meeting 30 th November 2016, min 65 Executive meeting 06 th April 2016, min 132 Executive meeting 3 rd September 2015, min 34 Full Council 19 th November 2014, min 50 Executive meeting 1 st October 2014, min 56 Executive meeting 16 th April 2014, min 189 Executive meeting 11 th September 2013, min 55 Executive meeting 19 th June 2013, min 13 Executive meeting 12 th December 2012, min 107	
Background Papers	Report to Executive on 30 th November 2016	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes
Equality Impact Assessment Undertaken	N/A

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive	09/02/17	Chris Elliott
Head of Service	09/02/17	Rob Hoof, Tracy Darke, Rose Winship
CMT	09/02/17	Bill Hunt, Andy Jones
Section 151 Officer	09/02/17	Mike Snow
Monitoring Officer	09/02/17	Andy Jones
Finance	09/02/17	Mike Snow
Portfolio Holder(s)	09/02/17	Cllr Noel Butler

Consultation & Community Engagement	
Extensive public consultation was undertaken in the development of the Delivery plan as was the St Mary's Lands Working Party which has as part of it representatives from the Racecourse, Golf Course, Racing Club Warwick, Corps of Drums, Hill Close Gardens, Town, District and County Councillors and from the Friends of St Mary's Lands. This report is about the implementation of the agreed Delivery Plan and therefore uses previous consultation feedback.	
Final Decision?	Yes
Suggested next steps (if not final decision please set out below)	

1. **Summary**

- 1.1 This report seeks funding to implement the 2017/18 element of the agreed Delivery Plan for St Mary's Lands in Warwick. This is another step toward making the area a Destination Park for the town of Warwick and indeed the District.

2. **Recommendation**

- 2.1 That Executive having agreed at its meeting November 2016 to make the provisions set out below within the Delivery Plan for St Mary's Lands further agrees to fund the items listed below totalling £86,000 to be funded from the Community Projects Reserve, to be implemented in 2017/18.
 1. An allocation of £18,000 to modify the existing toilets and provide a new disabled toilet and baby change facility within the Golf Centre building in return for a management agreement to provide public access to the toilets.
 2. An allocation of £60,000 for complementing landscape and public realm improvements on public land, subject to the Jockey Club bringing forward proposals, at a cost in excess of £200,000, to replace its existing turnstile building at the entrance to St. Mary's Lands and undertaking their own programme of planting and building works.
 3. An allocation of £8,000 to Racing Club Warwick to support modifications of toilet facilities at the club to provide public facilities for users of the proposed play area.
- 2.2 That authority is delegated to the Chief Executive in consultation with the Business Portfolio Holder to enter into appropriate Legal Agreements in relation to ensuring public access to WC facilities in relation to items 1 and 3 of recommendation 2.1 above.
- 2.3 That authority is delegated to the Chief Executive in consultation with the Business Portfolio Holder to seek any statutory or other consent, including changes to leases, in order to implement the set of recommendations above.

3. **Reasons for the Recommendation**

- 3.1 At its meeting on 30th November 2016, the Executive agreed the Delivery Plan for the St Mary's Lands area of Warwick with the intention of being able to implement its vision of making it a destination park. It further agreed to fund £50,000 for 2016/17 and to consider works worth £196,000 and £60,000 in the 2017/18 and 2018/19 years as part of the respective years' budget processes.
- 3.2 For 2017/18 the specific recommendation was as follows:

That Executive notes that the following provisions within the Delivery Plan will be considered as part of the 2017/18 budget setting process and, where appropriate, recommendations will be included within the February 2017 report on the proposed 2017/18 General Fund Budget:

1. A potential match funding contribution (possibly as in kind) towards the cycleway improvements referred to in 2.7 above. The estimated costs of this project are £80,000 during 2017/18 and the allocation of funding is subject to receipt of a satisfactory safety audit by Sustran's technical engineers.

2. A potential allocation of £18,000 to modify the existing toilets and provide a new disabled toilet and baby change facility within the Golf Centre building in return for a management agreement to provide public access to the toilets.
 3. A potential allocation of £110,000 to create an additional net 20 parking spaces at the Saltisford Brook car park, subject to consultation with residents of Bread and Meat Close, a satisfactory road safety audit of the proposals and further consideration of the emerging car parking strategy for Warwick.
 4. A potential allocation of £60,000 for complementing landscape and public realm improvements, subject to the Jockey Club bringing forward proposals, at a cost in excess of £200,000, to replace its existing turnstile building at the entrance to St. Mary's Lands and undertaking their own programme of planting and building works.
 5. A potential allocation of £8,000 to Racing Club Warwick to support modifications of toilet facilities at the club to provide public facilities for users of the proposed play area and the public.
- 3.3 The 2017/18 budget decision did not specifically allocate funding for the projects above but it did set up the Community Projects Reserve and this set of works was referred to as an example on what the Reserve may be used.
- 3.4 However, on further examination, item 3 of the list in paragraph 3.2 above is not likely to be able to be implemented in the next financial year (17/18) but would, if funded, come forward in the following year. This will allow sufficient time for design and consultation on the detailed scheme and confirmation of funding. In addition, allowing more time will allow the proposal to be considered in the context of a wider car parking strategy report for Warwick. Equally item 1 refers only to a match funding opportunity in kind which as yet there are no details.
- 3.5 The Jockey Club has now brought forward its proposals for improvements to the racecourse entrance at an estimated cost of over £200,000 which is relevant to item 4 of paragraph 3.2 above. This relates to its land held under a lease. Item 4 in paragraph 3.2 above relates to complementary measures on WDC land adjoining, which together will help create a much better overall entrance to St Mary's Lands.
- 3.6 It is proposed therefore that items 2, 4 and 5 of paragraph 3.2 are funded from the Community Project Reserve at a total cost of £86,000 and that item 3 (£110,000) is now considered as part of the budget process for 2018/19 or as part of a wider car park strategy report for Warwick. This will further enable the Council to demonstrate its commitment to fulfilling the vision for St Marys Lands.
- 3.7 In respect of the proposals to facilitate improvements to locally based WC facilities at Racing Club Warwick and the Golf Centre, a legal agreement will be needed to ensure that public access is ensured in return for the capital works. It is proposed that the Chief Executive in consultation with the Business Portfolio Holder be delegated authority to agree such agreements.
- 3.8 Similarly there may be statutory and other consents (including leases) which are needed to implement this set of recommendations and the same delegation as set out in the paragraph above is proposed.

4 POLICY FRAMEWORK

4.1 Fit for the Future (FFF)

4.1.1 The FFF Programme is designed to deliver the Sustainable Community Strategy (SCS) for Warwick District and to that end amongst other things it contains a number of significant projects. St Mary's Lands is one of the Council's key projects in the FFF Programme. Therefore, this report should be seen as the way forward for implementing one of the Council's key projects.

4.1.2 The FFF Programme has 3 strands and the impact of this report's proposals in relation to each of them is as set out below:

Service

Maintain or Improve Services – the proposals may allow for the area overall to be enhanced and more specifically enabling the existing facilities and services to continue to be operated and indeed to be enhanced.

People

Engaged and Empowered Staff – the proposals will be helpful in engagement terms as they will involve a range of staff across the Council and to empowerment since they will be helping to deliver schemes of direct benefit to the local community.

Money

Achieve and Maintain a Sustainable Balanced Budget – the proposals may help the Council in addressing its financial revenue situation via making better use of its physical assets.

4.2 Sustainable Community Strategy (SCS)

4.2.1 The Council has approved a Sustainable Community Strategy for Warwick District (SCS) which has Prosperity as one of its five key themes. Under this theme priorities relevant to St Mary's Lands are:

- Ensuring effective promotion of the district to attract growth;
- Making better use of public assets to increase financial rewards;
- Incentivising growth of existing businesses and attracting inward investment.

To do this the Council has committed itself, among other things, to:

- Using public land/assets to stimulate growth;
- Ensuring a co-ordinated approach to inward investment.

4.2.2 The proposals are especially important to this theme given the significant impact it has on Warwick town's local economy by virtue of the numbers of visitors it could attract each year.

4.2.3 The proposals are also relevant to the SCS in respect of its Health and Well Being theme since many of the organisations' activities encourage people to participate in sporting and cultural activities, especially for younger and older people. Moreover, the SCS seeks to aid those areas of social and economic deprivation in the District to improve them to the level of the District overall.

The Forbes Estate is part of one such area of deprivation. This is also likely to aid the Council's Safer Communities work.

4.2.4 Part of St Mary's Lands is also designated as a Local Nature Reserve (LNR) and all of it is part of a Conservation Area. There is also a significant Listed Building (the grandstand). Hill Close Gardens immediately abut St. Mary's Lands and is a popular visitor attraction. The Gardens are Listed Grade II* on the Historic England Register of Parks and Gardens, making the gardens of more than local significance. Consequently, the area is important to the Council's SCS agenda relating to promoting Sustainability. No impacts are likely in respect of the SCS's Housing theme.

4.3 Local Plan

4.3.1 The Council has also agreed a strategy statement "The future and sustainable prosperity for Warwick District" which amongst other things seeks to:

- Support the growth of the local economy; and
- Maintain and promote thriving town centres.

4.3.2 The Council has determined that a spatial masterplan should be developed for St Mary's Lands via public consultation as it recognised that it is an essential community amenity that needs to receive the necessary investment to enable its attractions and operations to prosper.

4.3.3 The Local Plan - Publication Draft has a specific proposed policy for St Mary's Lands as follows:

"3.142 The Council will therefore work with the operators of the Racecourse to bring forward a Masterplan for the area which;

- *ensures the ongoing vitality and viability of the Racecourse;*
- *protects and enhances the significance of the Listed Building and Conservation Area and their setting;*
- *retains the land for public recreation;*
- *protects and enhances biodiversity within the Racecourse as well as links to the open countryside and other areas; and*
- *restricts uses to those associated with visitor accommodation, recreation, leisure and horse racing"*

This requirement picks up the non-Local Plan overall strategy for St Mary's Lands adopted in 1998 and the regeneration master plan agreed in 2004 which have both been reviewed as part of this work.

4.4 The Playing Pitch and Outdoor Sports Strategy

4.4.1 The Strategy highlights the need to support community football pyramid teams such as RCWFC with adjustments to facility provision where required. This is underpinned by a priority across the district to retain the number of grass pitches, improve the quality of these pitches, and provide more mini and junior pitches to meet demand now and in the future.

4.3 **Impact Assessments** – The proposals for allowing access to two sets of WC facilities in the St Mary’s Lands area will facilitate easier access by all part so the community but especially the elderly, disabled and those with young children. Likewise the improvements to the public area around the access to the racecourse will enable better physical access to all.

5. Budgetary Framework

5.1 The Community Projects Reserve currently has £868,000 available notwithstanding that a number of other reports on this agenda seek to draw from it. None of these works involve ongoing revenue costs for the Council.

6. Risks

6.1 The Delivery Plan reported in November 2016 had a summarised list of risks which were as follows:


Risks	Mitigations
1. Insufficient funding to deliver the proposals leading to a loss of momentum	1. The master plan is a 10-year strategy and can be phased over a number of years. The delivery plan identifies the most likely areas for external funding and can be expanded if any project moves forward. Mitigation is to provide business planning and funding support to under-pin the proposals to support individual organisations’ self-funding or fund raising for their element of the master plan.
2. Loss of stakeholder support leading to potential project delays, cancellations and abortive time and costs.	2. The Working Party has continued to cooperate as a group in a highly constructive manner. Opportunities for joint working and collaboration at the operational level are beginning to develop. Continuing to facilitate the group and good communication is the key mitigation proposal.
3. Loss of community support due to emphasis on the hotel development	3. The potential hotel development is the least supported element of the master plan. The mitigation proposed is to undertake a viability assessment so an informed position can be agreed before the final master plan is signed off.
4. Planning, Highways or other statutory authorities do not support the master plan recommendations	4. The Delivery Plan has outlined the consents and approvals required and will develop dialogue with these organisations if the project moves forward.
5. Environmental impact and loss of biodiversity conflicting with other	5. Requirement to consider the environmental of the scheme,

interests.	including a range of protected species surveys to inform each project where relevant.
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- 6.2 Of the above items, item 3 is not relevant. In respect of items 1 and 2 above, agreeing the funding as proposed will prove a significant mitigation as it will demonstrate continued commitment. In addition, the proposed legal agreements will secure partner support or they will not otherwise be implemented. Items 4 and 5 above will be managed as the specific works design progresses.
- 6.3 In the case of the investment in WC provision there is a risk that should either of those enterprises close, and not re open for any reason then the public access to the WC facilities could be lost. However, clearly as the freeholder of the land and property, there would be some opportunity to reopen the facilities but this would then be at the Council’s ongoing cost.

7. Alternative Option(s) considered

- 7.1 The Executive could decide not to pursue any one or all of these proposals. However, given that the Executive had agreed the overall vision and the Delivery Plan, it is considered such a step would therefore not in step with its own declared policy decisions.

 Executive Committee 8th March 2017		Agenda Item No. <h1 style="text-align: center;">12</h1>
Title	Request for Funding for a Community Hub in Norton Lindsey	
For further information about this report please contact	Chris Elliott e-mail: chris.elliott@warwickdc.gov.uk Tel No 01926 456003	
Wards of the District directly affected	Budbrooke	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	N/A	
Background Papers	None	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	No

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive	09/02/17	Chris Elliott
Head of Service	09/02/17	Mike Snow
CMT	09/02/17	Bill Hunt, Andy Jones
Section 151 Officer	09/02/17	Mike Snow
Monitoring Officer	09/02/17	Andy Jones
Finance	09/02/17	Mike Snow
Portfolio Holder(s)	09/02/17	Cllr Peter Whiting
Consultation & Community Engagement		
The local community itself has undertaken extensive engagement, consultation and participation.		
Final Decision?	No	
Suggested next steps (if not final decision please set out below)		
A number of conditions will need to be met but no further report is of itself needed to the Executive.		

1. **Summary**

- 1.1 This report seeks to consider a funding request for £38,500 from a local community group in Norton Lindsey who have raised funds to buy the vacant village pub and in part convert it into a community hub to provide a range of services and activities to the village. The scheme falls outside of the RUCIS scheme but the Council could consider the request via its recently established Community Projects Reserve.

2. **Recommendation**

- 2.1 That Executive agrees to the funding request from Norton Lindsey Community Pub Ltd (NLCP) for up to (and no more than) £38,500 excluding VAT to be funded from the Community Project Reserve subject to the following conditions being met:
1. That the works receive planning and any other statutory consent necessary before any drawdown of the funding;
 2. That a detailed project plan is submitted, and in particular confirming that the community shop has arrangements in place to operate as a shop, before any drawdown of the funding;
 3. That at least 3 quotes for any and all of the proposed works are provided to verify the amount of funding being sought, before any drawdown of the funding;
 4. That staged payments are made on production of supplier(s) invoices (that are addressed to NLCP)";
 5. That due recognition in any publicity is given to this Council's support for the proposal;
 6. That an annual report is given to the Council for the next 3 years on the performance of the business plan of the facility;
 7. That any other conditions that normally apply to RUCIS schemes also apply to this scheme.
- 2.2 That the approval of the items listed in 2.1 above is delegated to the Chief Executive and Head of Finance in consultation with the Finance portfolio holder.

3. **Reasons for the Recommendation**

- 3.1 The village pub in Norton Lindsey has struggled commercially for a number of years and more recently has become vacant with a consequent fear that it is permanently lost and is redeveloped. The local community being disturbed at the potential loss of such a facility have formed a company (the Norton Lindsey Community Pub Ltd) and have raised funds of £340,000 to buy it. The purchase is now complete. However, it is also intended to widen the remit of the building to act as much as a community hub as a village pub and so are seeking funds of £38,500 to help with its alteration to develop a community shop, in the vein of the one in nearby Barford.
- 3.2 A business plan has been prepared for the overall scheme which is attached at Appendix 1. Appendix 2 contains the share offer and Appendix 3 the governance arrangements for NLCP. Appendix 4 is more specific about the community shop element. Such a scheme as proposed would normally be one that the Council would look to fund from its RUCIS scheme. However, the scheme as proposed falls outside the remit of that fund as the Group have not existed long enough to provide the 3 years accounts normally sought and the

sum being sought is over the upper £30,000 limit and the maximum 50% contribution to the overall project costs.

- 3.3 However, the Budget report for 2017/18 established a Community Projects Reserve and it is proposed that the sum sought is funded via that source. If the Executive so agrees, then a number of conditions are proposed as set out in the recommendation. It would be managed and monitored as other RUCIS schemes normally would be.

4 POLICY FRAMEWORK

4.1 Sustainable Community Strategy (SCS)

The Rural and Urban Capital Improvement Scheme supports the Sustainable Community Strategy and the cross cutting themes which form the priorities for funding areas as follows:-

- Community Engagement & Cohesion (including Families at Risk)
- Targeting disadvantaged rural locations
- Reducing inequalities

This particular scheme will address all 3 of the above points

4.2 Fit for the Future (FFF)

The FFF Programme is designed to deliver the Sustainable Community Strategy (SCS) for Warwick District. The FFF Programme has 3 strands and the impact of this report's proposals in relation to each of them is as set out below:

Service

Maintain or Improve Services – the proposal will enable an existing community facility to be retained and also for a community service to be operated that currently does not exist at present in the village.

People

Engaged and Empowered Staff – not applicable.

Money

Achieve and Maintain a Sustainable Balanced Budget – not applicable.

5. Budgetary Framework

- 5.1 The Community projects Reserve currently has £868,000 available notwithstanding that a number of other reports on this agenda seek to draw from it. None of these works involve ongoing revenue costs for the Council.

6. Risks

- 6.1 The risks of this particular scheme are not significantly different to the risks inherent for other community groups submitting schemes for RUCIS funding. The worst that could happen is that it is not possible to set up a community shop operationally or that it subsequently fails. One of the conditions for the award should address the first aspect whilst the second is probably impossible to cover off entirely but the record of a nearby community shop at Barford,

illustrates that an energetic and committed community can support such ventures.

- 6.2 In addition, the NLCP researched as part of their business plan re: page 10, section 5 "The Market For Community Pubs" - Nationally there are approx. 70 community owned pubs and NLCP listed 4 such pubs that they looked at but in particular "The Anglers Rest" in Bamford which is successfully owned by 300 community shareholders. As well as being a pub it's the village post office and a café. It was one of the first pubs to be listed as an Asset of Community Value and NLCP is following the same proven route. The NLCP has taken advice from the team at The Anglers Rest.
- 6.2 The other conditions proposed should ensure that all reasonable steps are taken to secure further detailed matters before any money is transferred and that there is a reporting system on performance against the business plan.

7. Alternative Option(s) considered

- 7.1 The Executive could decide not to agree to the request. However, the scheme is very much in the spirit of the RUCIS scheme to which the Council is very committed, and it is therefore sensible for the Council to consider the scheme in those terms which would otherwise be very supportive.



Business Plan

for The New Inn, Norton Lindsey



Norton Lindsey Community Pub Limited



*We face a once in
a lifetime opportunity.*

**Not only to save our pub, but to make
it the community hub of the village.**

WITH YOUR SUPPORT WE CAN MAKE IT HAPPEN.

Our aim is to make The New Inn the hub of the village, a pub providing facilities and services that bring the community together. The society proposes to raise funds to acquire, carry out initial works and provide the start-up working capital to run The New Inn, Norton Lindsey.



Contents

Page no.

1. Executive Summary	4
2. Introduction	6
3. Objectives and Key Success Factors	7
4. The Steering Group	8
5. The Market for Community Pubs	10
6. The Local Market	11
7. The Property	14
8. Fundraising	16
9. Financial Summary	17
10. Operating The New Inn Pub	27
11. Pub and Restaurant	28
12. Café	29
13. Shop	30
14. Marketing	30
15. Risks	31
16. Links	32
17. Contact Details	32
18. Some Final Thoughts	33

Disclaimer

This document contains forward-looking statements, including forecasts relating to the financial position of the Society. The Management Committee believes that the forecasts reflected in these statements are reasonable but will involve unknown risks, uncertainties and other factors which may cause the actual results, financial condition, performance or achievements of the Society, to be materially different from any future results, performance or achievements expressed or implied by those forward-looking statements. Factors that might cause such a difference include, but are not limited to, those discussed in section 15 (Risks) set out in this document. Given these uncertainties, prospective investors are cautioned not to place any undue reliance on those forward-looking statements. The forward-looking statements contained in this document are made on the date of this document, and the Society and the Management Committee is not under any obligation to update those forward-looking statements in this document to reflect actual future events or developments.



1. *Executive Summary*

1.1. **Vision**

Our aim is to make The New Inn the hub of the village, a pub providing facilities and services that bring the community together. A warm and welcoming venue for Norton Lindsey and its surrounding villages. The society proposes to raise funds to acquire, carry out initial works and provide the start-up working capital to run The New Inn.

1.2. **Legal**

Norton Lindsey Community Pub Limited has been formed as a Community Benefit Society and registered with the Financial Conduct Authority. It was set up with the aim of purchasing The New Inn in Norton Lindsey and reviving it for the benefit of the community, the people that live or work in the area and visitors that pass through.

1.3. **Property**

Purchasing the freehold of The New Inn has been identified as the best option to save the pub from those who would seek to change its use and provides the platform for it to be a successful sustainable business that can serve the needs of the entire community. An independent survey of the property has highlighted some required remedial works and this has been taken into account within the negotiations with the vendors. It is proposed that once the business is trading profitably and based upon demand, further works could be carried out to provide additional space for the bar, eating and kitchen areas.

1.4. **Investment**

An initial Steering Group was formed to develop this proposal and we are now seeking investors who wish to become members of the Society to help us reach our target of raising £462,500 based on the agreed purchase price and allowing for a short term loan to cover the VAT on purchase until that can be reclaimed. The Steering Group believe that this amount will give sufficient capital to purchase the pub, carry out initial works which will allow the pub to re-open, cover set up costs, provide sufficient working capital and to establish an appropriate contingency to meet unforeseen costs.



1.5. Financial

The financial headlines of years 1-3 of the business plan are set out below:

£ GBP	Year 1	Year 2	Year 3
Sales (net of VAT)	£224,970	£252,969	£277,051
Operating Profit	£6,818	£15,449	£24,591
% of Sales	3.0%	6.1%	8.9%
Cash Generated / Used	£3,775	£3,472	£13,945
Closing Cash Position	£27,059	£30,531	£44,476
Net Assets	£347,207	£360,594	£383,623

Sales projections are based broadly on the local survey plus approx 10% in year 1 with steady growth in years 2 and 3.

1.6. The Pub as the Social Hub

In addition to its role as a village pub it is proposed that The New Inn would incorporate a café, local store (linked to a nearby village shop) and provide a number of facilities to local residents, the wider rural community, and visitors of all ages. In addition a number of other initiatives are under consideration which will be driven by the wants and needs of the local community e.g. a children's play area can be incorporated within the extensive outside space and providing the facility as a local meeting venue for a variety of local groups.



2. Introduction

The New Inn at Norton Lindsey has been the village pub since the 18th century and has had some 33 landlords since 1750. In 1987, Mitchells and Butlers carried out a major renovation of the building and the layout that was created remains the same today. It is the only pub in village with the nearest alternative located in Snitterfield approximately 2.5 miles away.

In recent years two landlords stand out as fine examples of how to run a small village pub and build up a reputation that brings people in to the pub from the village and beyond. In both of these cases they operated the pub profitably and successfully for many years.

One definition of an English village is a group of houses and facilities, the key ones being the church, the WI and other local associations, possibly a sports club, a village community centre and a village inn. So without The New Inn, Norton Lindsey will lose some of this definition. All of the components need to be maintained and cared for if the village identity is to be kept and nurtured.

The current owner Enterprise Inns have in recent times been progressively disposing of the non-core assets within their portfolio that have not performed adequately against their standard business models. Recent tenant appointments have come in with mixed experience and as a result this has not worked for them or the local community. The New Inn was put on the market in June 2016 and has been closed since the end of July 2016.

This is a once in a lifetime opportunity to secure such a key facility for both the current village residents and for future generations to come and if we fail there will never be another pub in Norton Lindsey.





3. *Objectives and Key Success Factors*

- 3.1. The aim of the project is to re-establish a viable community pub that gains a good reputation for the value and quality of its service, food, drink and other service offerings to support the local community.
- 3.2. The primary focus of The New Inn will be the creation of an entity that will flourish and invest in the well-being of its community. Its success will have its foundations based on the provision of food and drink that is reasonably priced, supported by a friendly environment and welcoming staff. The food will be good quality traditional pub grub using locally sourced ingredients to attract both local residents and as a destination from the wider populace. The drinks will include real ales sourced, where possible, from local Warwickshire breweries with an ultimate aim of The New Inn being listed in the Good Beer Guide.
- 3.3. The introduction of a cafe within the premises and a shop within the overall site will extend its appeal to a wider group providing further offerings to its patrons.
- 3.4. Other services and offerings will be continually explored driven by the consensus of the local community. These may include such things as a children's play area, micro-brewery, book exchange etc.
- 3.5. Previous experience has shown that to prosper The New Inn must get a proportion of its revenue from customers living outside the village and to achieve this it must have a reputation for good quality and value for money food and drinks, delivered with excellent service.
- 3.6. The critical roles will be that of the manager and the chef, both of which will be salaried roles. In addition to salary we are also investigating the possibility of further incentivising the key staff by way of a profit share. The bar, waiting and cleaning staff would report to the manager.



4. *The Steering Group*

The Steering Group members who have established the project come from a variety of backgrounds and have a range of relevant experience, skills and reasons for volunteering. Brief summaries of these are provided below:

ROB BROOK

Partnerships Team Leader & Steering Group Chair

My Day Job: Managing Director of VTG Rail Ltd

My reason for getting involved

We moved to the village just before last Christmas and the pub was a big factor in why we chose Norton Lindsey. I do not want to see the pub lost forever and to see houses on the historic site. We have a once in a lifetime opportunity not only to save The New Inn but to make a real community hub.

LUCY BOYES

Communications Team Leader

My Day Job: Client Services Director at Leader Communications Ltd

My reason for getting involved

I moved into the village relatively recently. Having a young family, I want to us to use the pub as a social hub for both myself and my husband to enjoy on rare date nights, along with a great place for us to come with the kids and meet new faces and friends! I also feel that The New Inn, being an Inn since 1750, provides such an important centrepiece to the village and one definitely worth saving!

GREG JUDD

Property Team Leader

My Day Job: Senior Director of GVA

My reason for getting involved

It's so important to be able to stroll to the village pub for a drink with friends and family and not have to worry about who is driving home or getting a taxi. We've just returned from a family holiday in Italy where the bar is the hub of the village for all ages throughout the day. Young mums sipping cappuccinos and enjoying cake, kids excitedly buying ice creams, village elders playing cards and workers dropping in for a glass of wine or beer at the end of the day. We can create a community hub in Norton Lindsey!



AMY BIRCH

Fundraising Team Leader

My Day Job: Manager at Langham Walsh Chartered Accountants

My reason for getting involved

Having moved to the village three years ago, I realised quickly that the pub was incredibly important to the village. The village has such a huge community spirit and I believe the pub has been integral in keeping that spirit alive. Right now the choices are ours to make, do we want a pub, a café, a shop, the possibilities are available to us now but once the pub is gone so are our choices.

ALEX MELLON

Operations Team Leader

My Day Job: Retired, formerly CEO of a Charity, Further Education College Principal

My reason for getting involved

I want to keep our village pub! The New Inn offers place to drink regularly with friends, a handy place to eat, either for lunch or dinner and has been a lively place on Friday Nights. In addition it's an ideal venue for Birthday celebrations, Quiz Nights etc. and a place to bump into people you wouldn't otherwise see very often.

ZANNA PATCHETT

Legal Team Leader

My Day Job: In-House Solicitor at REPL Group Worldwide Limited

My reason for getting involved

After moving to the village in 2008, we quickly got to know people from meeting our neighbours at The New Inn. We feel like we are part of a very special community in Norton Lindsey, the likes of which are not seen in very many places nowadays, and the pub has a big part to play in bringing the village together. We have some very special memories already of family visits to the pub, including holding our children's christening party there.

PHILIP LONDON

Business Plan Team Leader

My Day Job: Finance Director at Paintbox Group

My reason for getting involved

I moved to Norton Lindsey from Bishampton, a village where the local pub had lost its way but was saved by the local community. Under community ownership it has been transformed into a thriving model of what a village pub should be. I want to help The New Inn become the same!



5. *The Market for Community Pubs*

In recent years there has been a growth in the numbers of community owned pubs. Therefore The New Inn will not be the first, or the last, to go down this route. There are approximately 70 such pubs currently operating in the UK and each one has been set up in a manner that best suits its community and situation (to see where they are located go to CAMRA website - www.camra.org.uk). Some examples are:

- 5.1. **The Old Crown** became famous in 2003 when it became Britain's first registered co-operatively owned pub. It is owned by a collective of around 150 local, national and even international customers and supporters. It thrives and today it serves the very best of real ales, most brewed by Heskett Newmarket Brewery which stands at the rear of the pub, and a range of appetising and wholesome home-cooked meals and snacks.
- 5.2. **The Ivy House** in Nunhead was the first pub saved using the Community Right to Bid and is also London's first co-operative pub. It's a grade II listed 1930s building. The Ivy House serves good food and an excellent selection of craft beers and real ales.
- 5.3. **The Hollybush** was bought by the villagers of Seighford in 2012, to provide a community facility for those interested in good beer, delicious food and a friendly atmosphere. They now have over 70 shareholders, who have helped the project by giving their money, skills and time to the local community.
- 5.4. **The Anglers Rest** in Bamford is owned by 300 community shareholders and as well as a pub it's the village post office and café. It was one of the first pubs to be listed as an Asset of Community Value (ACV). We have taken advice from the team who saved the Anglers Rest.





6. Local Market

6.1. Local Demographics

With the town centres of Warwick 5 miles away and Stratford upon Avon 6.5 miles away, these two towns provide a healthy tourism industry in the area, with a recorded 16 million visitors in 2013. Norton Lindsey is well positioned between both towns.

In the last National Census of 2011, the following Populations were recorded in the local villages.

Village	Residents (as per 2011 census)
Norton Lindsey	326
Langley	162
Wolverton	212
Snitterfield	1,226
Claverdon	1,261
Wootten Wawen	1,318

We carried out a Community Survey, which gave the following information.

Age Groups in Norton Lindsey	% of village
0-7	12%
8-17	14%
18-25	6%
26-35	6%
36-45	13%
46-55	13%
56-65	16%
66-80	15%
81-85	3%
85+	3%



Community Survey response to anticipated usage of services within the pub.

	Daily	2-3 times week	Weekly	Every 2 Weeks	Every Month	Every 3 Months	Every 6 Months	Less Often	Never
Pub	6%	19%	30%	18%	12%	8%	3%	4%	0%
Restaurant	0%	3%	12%	25%	37%	20%	2%	1%	0%
Shop	3%	43%	35%	4%	5%	2%	2%	6%	1%
Café	2%	8%	28%	20%	13%	5%	4%	8%	12%
Parcel Drop Off/Collect	1%	5%	17%	7%	25%	13%	11%	9%	12%

Looking at the breakdown of ages (of households responding to our community survey) it is clear that we need to cater for all age groups. This means providing a warm welcome to both young families and our more senior residents. The pub needs to be socially inclusive and a great place for everyone to congregate and mix together. This is why we are looking for the pub to offer different activities during the day and evening, taking it from a café to pub to restaurant.

6.3. The local market for the Pub and Restaurant

The towns of Warwick, Stratford-upon-Avon and Henley-in-Arden provide a mix of pubs and restaurants and fine dining eateries.

The closest villages to Norton Lindsey are Langley, Wolverton, Snitterfield and Claverdon. Neither Langley nor Wolverton have a village pub. Claverdon, which is approximately 3 miles away, has two pubs; the Red Lion, providing a gastro experience and The Crown, a family friendly pub with basic pub fayre. The nearest pub to the village is the Snitterfield Arms in Snitterfield, approximately 3 miles away. This pub has recently been turned around and does provide good quality food, proving that this model can work well in the area, however it doesn't offer a full, varied and changing range of local real ales, which offers a market opportunity for The New Inn.

In summary, the local area suffers from a clear lack of rural village pubs with a warm welcome to all ages with traditional good quality, fairly priced food and ale.

It is felt that nearby residential estates such as Chase Meadows (just outside Warwick) would also look to frequent a nearby pub. The New Inn is the nearest country pub to the west of Warwick town as well as an easier solution to driving into Warwick town centre.

The nearby village of Hampton Magna with 1,863 residents (recorded in 2011 census) has a pub, however The New Inn would be an excellent alternative destination as residents would most probably be happy to travel a small distance to enjoy a local rural pub.



55% would use the pub at least once a week (this makes 126 visits) and 77% would use the restaurant at least once a month (making 175 visits). (survey response)

6.4. The Market for a Shop

A mix of value and high-end supermarkets are available in Warwick and Stratford-upon-Avon. Village shops are also available in Snitterfield and Claverdon. We therefore feel that we need to provide essential items for people (milk, bread etc.) for when people run out, saving them having to get into their cars to get these items. Snitterfield Stores are considering running a satellite store at the New Inn, dealing with all aspects of stocking and staffing. They would provide us with a small profit share to our business.

46% would use the shop at least 2 to 3 times a week, highlighting a clear need for this facility. (survey response)

6.5. The Market for a Café

The towns of Warwick, Stratford and Henley-in-Arden have coffee shops, including Costa, Starbucks etc. However, we are looking to provide a comfortable and relaxed environment for residents, allowing parents to meet in the day time after/before school drop off/pick up and retired residents a place to meet with friends without having to get in the car. The café would provide a full range of quality teas and barista coffee, with the quality demanded by today's coffee drinkers.

People also commute through Norton Lindsey to get to Longbridge Island (M40) and Warwick and therefore again the café and shop could provide a local convenience to these people.

38% would use the Café at least weekly, and a further 20% would use the Café every 2 weeks. (survey response)

6.6. The Market for Parcel drop off/collection

This facility provides convenience for residents in the village, saving them the need to get in the car.

55% would use the Parcel drop off/collection at least every month. (survey response)



7. The Property

7.1. Description

The New Inn is very much the village pub lying at the heart of Norton Lindsey. It occupies a prominent position on the corner of New Road and Main Street. It is a substantial two storey detached brick built property with a pitched roof and extensions to the rear (mostly single storey). Externally there is a tarmac car park (space for about 15 vehicles), a separate patio and a large tree lined grassed beer garden. The site area is 0.5 acre or thereabouts.

7.1.1. Ground Floor

The trading area is a large single L-shaped room served by a carved wooden bar. This is a very welcoming room with a timber boarded floor, a feature inglenook fireplace, timber beam ceiling and leaded light windows. There is space for approximately 36 covers whilst still leaving space for drinkers at the bar. The trade kitchen lies to the rear and has fully tiled walls. Ladies and gents toilets are to the side. A good sized ground floor beer store with additional storage is to the rear and there is a separate detached single storey garage.

7.1.2. First Floor Living Accommodation

The private living accommodation is on the first floor and comprises two bedrooms (one double and one single), bathroom, separate WC and a kitchen/diner (all lying off a connecting corridor). Heating and hot water is provided by a combi gas boiler served by a sunken LPG tank in the garden. Mains electricity, water and drainage are connected.

7.2. General Condition

A pre-acquisition building survey has been undertaken by Baillie Kerr Ltd (Chartered Building Surveyors). The report concludes that the premises are suitable for on-going use as a pub. The building structure and fabric is in a reasonably structurally sound condition. However, there are a number of repair works required, many of these are not urgent and can be carried out over time. A copy of the report is available upon request.

A CCTV drains survey has identified no defects with the drains. An electrician has undertaken a visual inspection and no major issues were identified with the electrical installations although full testing will be needed prior to opening.

7.3. Refurbishment

The objective is to undertake a quick and low cost minor interior refurbishment to allow the pub to reopen as soon as possible. The intention is to achieve high impact at minimal cost to provide a refreshed, warm welcoming environment for drinkers and diners.



The reopening works will comprise:

- Certain essential 'day one' repairs identified in the Building Survey
- Test electrics, heating and other services, and repair if required, plus any other works required from a health & safety and hygiene perspective
- Internal redecoration and new soft furnishings
- Deep clean and refit kitchen
- Deep clean and fit out of cellar area
- Refurbish staff accommodation
- General site clean and tidy up, including garden area

7.4. Future Development

The New Inn offers great potential for future expansion and in due course, if driven by local demand, more ambitious and aspirational ideas to modify, improve and enhance the existing property will be considered. Such plans would only be considered following a profitable and sustainable trading period and provided funding is available and the cash needs of the business allow. From a review of potential sources, it is possible that grant funding may be available from a number of bodies and charitable organisations to support such development plans e.g. Warwick District council, the Princes Countryside Fund etc.





8. Fundraising

8.1. Share Offer

The main funding is expected to be generated through the sale of shares in the Community Benefit Society – Norton Lindsey Community Pub Ltd. Individual share value will be £50 with a minimum holding of £250. Each member will have an equal vote in the Society irrespective of their shareholding, following the key Society principle of 'one Member, one Vote'. We have established that many of the villagers have links to family members and friends in other areas. We feel that the opportunity to purchase shares in a traditional English village pub with a history stretching as far back as 1750 will appeal to many people. **For full details please read the Share Offer.**

8.2. Crowd Funding

To maximise the potential to sell shares we intend to use a crowdfunding website which will enable us to push the offer out to a wider market.

8.3. Other Sources

The minimum share funding level that is required from the above sources will be £250,000. Additional funds required will be sought through grants and/or commercial or government backed loans.

8.4. Fighting Fund

A fighting fund was set up at the start of this project and to date has received a donation from the Norton Lindsey Parish Council of £500, with an additional loan facility of £2,000 should it be required. We were also awarded a full £2,500 bursary from the 'More than a Pub' programme administered by The Plunkett Foundation. We will take the opportunity to apply for further grants and bursaries for which we may be eligible and we will update the website as and when we receive news on these.

8.5. Community Grants

We have researched the numerous grants available to community projects, identifying those that can be used for the initial purchase of the property and those that are specifically for building improvements. We will be submitting applications for all those that apply and will update the website as and when we receive news on these. It should be noted however that, given our very short project timescale, it is unlikely that we would receive a grant award before our deadline to raise the required funding. Future receipt of such grant funding would therefore be used to develop our facilities or pay back loan funding as appropriate.

8.6. Supplier Support

We are in discussion with potential suppliers for the wet side sales. However, before making a commitment will need to engage with them in more detail to understand the specific terms and conditions of their offering. This will include the cost of drinks, the breadth of range they can supply, support in setup and maintenance of equipment, trade credit terms, term of initial agreement and provision of general bar consumables.



9. Financial Summary

9.1 Funding Requirements

For our initial funding requirements we aim to raise a total of £462,500 from a community share offer together with commercial and/or government backed loans.

These funds will be used to:

- Purchase the freehold of the pub with associated costs and taxes;
- Carry out minor works to get it ready to be reopened;
- Provide sufficient working capital to enable early stage cash positive trading;
- Manager recruitment, adviser costs and contingency.

The overview of these funds follows:

		£	£
Share Capital	Local	£250,000	
	National	£50,000	£300,000
Grant / Loan Capital	TBA		£100,000
			£400,000

Short Term VAT

Commercial Loan	TBA		£62,500
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9.1.1. Capital Costs

The initial purchase costs have been estimated at £398,000 and include a contingency should this be required. The costs can be summarised as follows:

	£	£
Agreed Price	£312,500	
VAT on Price	£62,500	
		£375,000
Searches	£650	
VAT on above	£120	£770
Stamp Duty Land Tax		£8,250
Property Survey	£1,350	
Other Fees	£2,630	£3,980
Contingency		£10,000
Totals		£398,000





9.1.2. Start-up Costs

It will take time to get the refurbishment, setting up and recruitment process in place and in this financial plan it is assumed The New Inn will open at the end of March 2017. However, we will be working to open the facility as soon as is possible. Up until that time, as well as the refurbishment costs of £30,000 there will be revenue costs relating to rates, insurance heat, light etc. which have been estimated at approximately £8,000. Once the pub is open, estimated working capital of £25,000 will be required to ensure positive cash flow as we begin to build the trade. Total start-up costs of £64,500 are therefore required.

	£	£
Remedial Works	£14,000	
Decoration etc.	£16,000	£30,000
Costs up to opening		
Rates, Insurance etc.		£8,000
Contingency		£1,500
Working Capital		£25,000
		£64,500

9.3. Short Term Funding

Part of the initial funding is required for a relatively short period specifically to cover the VAT payable on the acquisition and on initial refurbishment costs. The business has been registered for VAT and will make taxable supplies thus we can reclaim the VAT on the acquisition and on subsequent refurbishment and improvement works. We would propose to substantially repay this loan with the VAT reclaimed at the next appropriate VAT quarter end date. The timing of these cash flows is incorporated in our detailed financial model.

9.4.1. 12 Month Forecast – Profit & Loss

Seasonal Adjustment %	9%	9%	10%	10%	11%	11%	10%	10%	6%	6%	10%	5%	5%	8%	First Year
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Year		
Profit & Loss Statement															
Income:															
Profit Share	350	350	350	350	350	350	350	350	350	350	350	350	350	350	4,200
Wet Sales	8,500	8,585	8,671	8,758	8,845	8,934	9,023	9,113	9,204	9,296	9,389	9,483	107,801	9,483	107,801
Food Sales	9,000	9,090	9,181	9,273	9,365	9,459	9,554	9,649	9,746	9,843	9,942	10,041	114,143	10,041	114,143
Seasonal Impact	1,400	1,414	3,570	5,770	5,827	3,679	(5,201)	(5,253)	3,790	(7,656)	(7,732)	(781)	(1,174)	(781)	(1,174)
Total	19,250	19,439	21,772	24,150	24,388	22,421	13,725	13,859	23,090	11,834	11,949	19,093	224,970	19,093	224,970
Cost of Goods Sold	7,560	7,636	8,569	9,520	9,615	8,828	5,350	5,404	9,096	4,593	4,639	7,497	88,308	7,497	88,308
Gross Margin	11,690	11,803	13,203	14,630	14,773	13,593	8,375	8,455	13,994	7,240	7,309	11,596	136,662	11,596	136,662
% of Total Sales	62%	62%	62%	61%	61%	62%	63%	63%	62%	63%	63%	62%	62%	62%	62%
Salaries	5,125	5,125	5,125	5,125	5,125	5,125	5,125	5,125	5,125	5,125	5,125	5,125	61,500	5,125	61,500
Casual Labour	1,335	1,363	1,713	2,070	2,106	1,811	506	526	1,911	223	240	1,311	15,115	1,311	15,115
Operating Costs	3,750	3,758	3,765	3,773	3,780	3,788	3,795	3,803	3,810	3,818	3,826	3,833	45,498	3,833	45,498
Fixed	292	295	330	366	369	340	209	211	350	181	183	290	3,417	290	3,417
Variable	10,502	10,541	10,933	11,333	11,380	11,063	9,636	9,666	11,196	9,347	9,373	10,560	125,530	10,560	125,530
Total Operating Costs	1,188	1,262	2,270	3,297	3,393	2,530	(1,261)	(1,210)	2,798	(2,106)	(2,064)	1,036	11,132	1,036	11,132
EBITDA	6%	7%	11%	14%	14%	11%	-9%	-9%	12%	-18%	-18%	6%	5%	6%	5%
% of Total Sales	375	370	366	361	357	352	354	356	358	353	355	357	4,313	357	4,313
Depreciation	813	892	1,904	2,936	3,036	2,177	(1,615)	(1,566)	2,440	(2,460)	(2,419)	679	6,818	679	6,818
Profit Before Interest and Tax	0	0	0	0	0	0	0	(208)	(205)	(201)	(198)	(194)	(1,007)	(194)	(1,007)
Interest	813	892	1,904	2,936	3,036	2,177	(1,615)	(1,774)	2,235	(2,661)	(2,617)	485	5,811	485	5,811
Profit before Tax	813	892	1,904	2,936	3,036	2,177	(1,615)	(1,774)	2,235	(2,661)	(2,617)	485	5,811	485	5,811

9.4.2. 12 Month Forecast – Balance Sheet

Seasonal Adjustment %	The New Inn Forecast Year 1											
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
	9%	9%	10%	11%	11%	10%	6%	6%	10%	5%	5%	8%
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18
Balance Sheet												
Tangible												
Base property	335,500	335,500	335,500	335,500	335,500	335,500	335,500	335,500	335,500	335,500	335,500	335,500
Cum Capex	30,000	30,000	30,000	30,000	30,000	30,000	30,500	31,000	31,500	31,500	32,000	32,500
Accum Depreciation	0	(375)	(745)	(1,111)	(1,472)	(1,829)	(2,181)	(2,535)	(2,891)	(3,248)	(3,601)	(3,956)
Additions in Period	0	0	0	0	0	500	500	500	0	500	500	500
Depreciation in the period	(375)	(370)	(366)	(361)	(357)	(352)	(354)	(356)	(358)	(353)	(355)	(357)
Net Fixed Assets	365,125	364,755	364,389	364,028	363,671	363,819	363,965	364,109	363,752	363,899	364,044	364,187
Cash	25,788	28,440	28,759	34,780	41,290	40,362	38,992	35,135	38,251	34,521	30,136	27,059
Stocks	5,023	5,637	6,263	6,326	5,808	3,520	3,555	5,984	3,022	3,052	4,932	5,604
Total Current Assets	30,812	34,078	35,022	41,105	47,098	43,882	42,547	41,119	41,273	37,573	35,068	32,664
Trade Creditors	(1,890)	(1,909)	(2,142)	(2,380)	(2,404)	(2,207)	(1,338)	(1,351)	(2,274)	(1,148)	(1,160)	(1,874)
Vat Debtor / Creditor	(1,838)	(3,823)	(2,264)	(4,813)	(7,389)	(2,340)	(3,635)	(4,946)	(2,418)	(3,484)	(4,563)	(1,936)
Commercial Loans	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(49,167)	(48,333)	(47,500)	(46,667)	(45,833)
Total Current Liabilities	(53,728)	(55,732)	(54,406)	(57,193)	(59,793)	(54,547)	(54,973)	(55,464)	(53,025)	(52,132)	(52,390)	(49,644)
NET ASSETS	342,209	343,101	345,005	347,940	350,977	353,154	351,539	349,765	352,000	349,339	346,722	347,207

9.4.3. 12 Month Forecast – Cash Flow

Seasonal Adjustment %	9%	9%	10%	11%	11%	10%	10%	6%	6%	10%	5%	5%	8%	First Year
	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Mar-18	Year
The New Inn Forecast Year 1														
Cash Flow														
PBIT	813	892	1,904	2,936	3,036	2,177	(1,615)	(1,774)	2,235	(2,661)	(2,617)	485	485	5,811
Add Back Depreciation	375	370	366	361	357	352	354	356	358	353	355	357	357	4,313
Inc / Dec in Current Assets	(50)	(614)	(626)	(63)	518	2,288	(35)	(2,429)	2,962	(30)	(1,880)	(672)	(672)	(631)
Inc / Dec in Current Liabilities	1,366	2,004	(1,325)	2,787	2,600	(5,246)	426	491	(2,439)	(893)	257	(2,746)	(2,746)	(2,718)
Cash Flow from Operations	2,504	2,652	319	6,021	6,511	(428)	(870)	(3,357)	3,117	(3,231)	(3,885)	(2,577)	(2,577)	6,775
Less capital expenditure	0	0	0	0	0	(500)	(500)	(500)	0	(500)	(500)	(500)	(500)	(3,000)
Net Movement	2,504	2,652	319	6,021	6,511	(928)	(1,370)	(3,857)	3,117	(3,731)	(4,385)	(3,077)	(3,077)	3,775
Opening cash Position	23,284	25,788	28,440	28,759	34,780	41,290	40,362	38,992	35,135	38,251	34,521	30,136	30,136	23,284
Closing cash Position	25,788	28,440	28,759	34,780	41,290	40,362	38,992	35,135	38,251	34,521	30,136	27,059	27,059	27,059



9.5. Three Year Forecast

A summarised 3 year plan based on the same fundamental assumptions is set out below, again this comprises each of the Profit & Loss and Balance Sheet schedules.

9.5.1 Three Year Forecast – Profit & Loss Statement

		<u>4 Mths</u> <u>Pre</u> <u>Opening</u>	<u>First</u> <u>Year</u>	<u>Second</u> <u>Year</u>	<u>Third</u> <u>Year</u>
Income:					
	Profit Share		4,200	4,200	4,200
	Wet Sales Food		107,801	121,473	129,000
	Sales Seasonal		114,143	128,619	144,558
	Impact Total		(1,174)	(1,323)	(707)
			<u>224,970</u>	<u>252,969</u>	<u>277,051</u>
Cost of Goods Sold		0	88,308	99,508	109,140
Gross Margin		0	60.7%	60.7%	60.6%
Salaries	Base line	2,563	61,500	61,500	61,500
	Casual Labour	0	15,115	19,315	22,928
Op Costs	Fixed	5,000	45,498	46,602	47,733
	Variable	0	3,417	6,324	6,926
Total Operating Costs		<u>7,563</u>	<u>125,530</u>	<u>133,742</u>	<u>139,087</u>
EBITDA		(7,563)	11,132	19,719	28,823
Depreciation		0	4,313	4,270	4,232
Profit Before Interest and Tax		(7,563)	6,818	15,449	24,591
Interest		(1,042)	(1,007)	(2,063)	(1,563)
Profit before Tax		<u>(8,604)</u>	<u>5,811</u>	<u>13,387</u>	<u>23,029</u>



9.5.2 Three Year Forecast - Balance Sheet

		4 Mths Pre Opening	First Year	Second Year	Third Year
Tangible	Base property	335,500	335,500	335,500	335,500
	Cum Capex	22,500	33,000	37,000	41,000
	Accum Depreciation	0	(3,956)	(8,230)	(12,465)
	Depreciation in the period	0	(357)	(353)	(350)
	Net Fixed Assets	365,500	364,187	363,917	363,684
	Cash	23,284	27,059	30,531	44,476
	Stocks	4,974	5,604	6,303	5,874
	Trade Debtors	0	0	0	0
	Prepayments	0	0	0	0
	Total Current Assets	28,258	32,664	36,834	50,350
	Trade Creditors	(2,487)	(1,874)	(2,112)	(2,232)
	Vat Debtor / Creditor	125	(1,936)	(2,212)	(2,346)
	Commercial Loans	(50,000)	(45,833)	(35,833)	(25,833)
	Total Current Liabilities	(52,362)	(49,644)	(40,157)	(30,412)
	NET ASSETS	341,396	347,207	360,594	383,623



9.6. Operating Costs

The base level operating costs have been estimated using a combination of available information from such sources as 'Pub is the Hub' (PITH), British Beer & Pub Association (BBPA), Campaign for Real Ale (CAMRA), previous successful tenants of The New Inn, professional pub trade advisors and other local supporters that have experience within the licensed trade.

		Annual Fixed Costs
People Costs		60,000
Gardener		1,500
TOTAL BASE People Costs		61,500
Other Fixed Operating Costs		
Business Rates	Pub	8,822
	Flat	1,082
Water Rates		2,500
Utilities		10,000
General Maintenance & Repairs		2,500
Telephone		450
WI-FI		240
Marketing & Promotion		300
Bank Charges		2,000
Waste		3,500
Equipment Hire Rent		1,500
Accountant & Stock Take		3,000
Insurances		3,000
Cellar Gas		1,800
Professional Fees		250
Performing Rights License		150
General Expenses		3,906
SUB TOTAL FIXED COSTS		45,000



9.7. General Financial Assumptions

The general assumptions underpinning the plan are set out below:

1. The results of the local survey have been incorporated into the base business plan.
2. Gross margins assumed at 60% for both wet and dry sales.
3. Sales and costs in the profit statement are shown as excluding VAT.
4. A base of 7 days trade credit assumed for all trade purchases.
5. Loan interest assumed at 5%
6. The period Dec 16 through March 17 has been set aside to carry out essential maintenance, refurbishment works and for the recruitment process for the new staff.
7. Initial Wet sales: based on 35 visits per day £8,500 per month
Growth rate 1.0% per month
Capped at £10,750
8. Initial Dry sales: based upon 15 visits per day £9,000 per month
Growth rate 1.0% per month
Capped at £12,500
9. Typical pub sales are not flat so a seasonal phasing factor has been applied to try to get a more realistic profile of incomes.
10. Information relating to other pubs indicate gross margins of between 60% and 65%, for the purpose of the plan an average level of 60% has been assumed.
11. Inflation on fixed cost has been set at 2.4% per annum.
12. Café figures have also been excluded from the basic analysis other than the general assumption that they will contribute towards the sales volumes.
13. In the interest of prudence no interest payments to shareholders has been assumed at this stage.
14. No corporation tax payments have been assumed in the period of the plan.



10. Operating The New Inn

10.1. Recruitment of Key Staff

The appointment of the right individuals to manage the pub is a critical element of the business. Advice is being sought on the best ways to go about this; we have been introduced by Pub is the Hub to an experienced individual to help guide us. It is planned that the recruitment process will start as soon as is possible, so that a manager and chef can be ready to start prior to the 'grand opening'.

10.2. Getting Ready to Operate

Once purchased, a level of initial work needs to be completed before the pub is ready to operate e.g. licences, insurances, Wi-Fi installation, fire and food hygiene certificates etc.

10.3. Creating the Right Reputation

As a new community enterprise the pub will quickly attract local users from its former customer base, plus with over 100 local people likely to be members of Norton Lindsey Community Pub Ltd and shareholders in the business, they will be even more committed to using the pub themselves and to bringing their friends and family with them. Building the reputation in the area as an appealing venue for real ale, good quality food, friendly service plus entertainment will in time attract customers from further afield.

10.4. Creating a Wider Appeal

The pub will be a welcoming venue for friends, families and visitors and will appeal to villagers and a wide range of people from surrounding areas. We will seek to attract ramblers, cyclists and visitors to the area and would seek to provide the necessary facilities to do so e.g. providing a cycle rack, energy snacks etc.

10.5. Finer Details

Wi-Fi will be available. It is also proposed that take-out food and drink would also be provided where practical.

10.6. Events

The pub will provide a venue for birthday, anniversary and christening celebrations as well as for parties, receptions etc. It will continue to be a venue for well-established groups such as the local Norton Lindsey Stilton Sniffers' meetings and will support them in their charitable activities such as the Christmas Carols Evening.



11. Pub and Restaurant

11.1. Type of Pub

It is proposed that The New Inn will be a real ale pub offering a varied and changing range of ales with a strong local element. The pub will offer well cooked and presented locally sourced (where possible) and value for money pub grub. It will have an initial unique selling point of offering an interesting range of locally produced sausages. It is also proposed that there will be an artisan gin bar.

11.2. Licensing Hours

It is proposed that the initial licensing hours would be late morning to late evening Thursday to Saturday. Market experience and advice from trade professionals suggests that earlier closing Monday to Wednesday and on Sunday might be appropriate.

11.3. Menu

It is proposed that there would be a Brunch style menu on Saturdays and Roast Lunches on Sundays. Food generally would be served lunchtimes and evenings Monday to Saturday and lunchtime and afternoon on Sundays. A Sixty Plus menu to be available Monday to Friday lunchtimes.

11.4. Micro Brewery

Establishing a micro-brewery could be a medium-term project.





12. Café

12.1. Beverages

It is proposed that the café will be open Monday to Saturday providing a range of quality coffee and tea choices. A professional/commercial coffee machine will be provided and would ideally be located within the bar area. A small selection of newspapers will be available for browsing as would books from a small library/book exchange.

12.2. Light Lunches/Snacks

We expect the café to sell snacks such as cakes, scones, sandwiches and soup. As it will be located in the pub area this will allow for the flexible use of staff particularly during quieter periods.

12.3. Themed Events

We envisage having themed coffee mornings as suggested in the village survey responses. These could include: book club; gardening club; photography, art, bridge and chess clubs.

12.4. Internet Sessions

To help our older residents, and those less tech-savvy, we would seek to run computer/internet sessions in collaboration with third parties such as the Barclays Bank Digital Eagles 'Tea and Teach' scheme.

12.5. Memory Café

The local Alzheimer's Society has indicated support for a monthly 'memory' café. The café will also support Macmillan coffee mornings etc.

12.6. Survey Findings

The village survey indicated around 75 regular users a week. As its popularity rises, and with a number of special events, this should increase.



13. Shop

- 13.1.** We are in discussions with Snitterfield Stores, who are considering operating a satellite shop in one of the pub's former storage areas. They would employ the staff, provide a till and shelving and would stock the shop. The opening hours, which are still under discussion, are expected to cover a major part of the working day and 2 to 3 hours on Sundays. We anticipate that orders for items not normally held in stock could be placed for collection the following day. The shop will sell a good range of items usually required at short notice as a top-up to the 'weekly' shop.
- 13.2.** Likely additional services include parcel drop-off / collection and dry cleaning.
- 13.3.** The village survey indicated a good level of support with about 165 visits a week. This could well increase as people come to use the shop for additional purchases rather than just emergency items.

14. Marketing

- 14.1.** Publicity prior to buying the pub will focus on the campaign to raise funds to acquire the pub. This should draw public attention to the village plan to have a community pub, café and shop.
- 14.2.** We would expect to have a full page spread in the local press which would be supported by our suppliers etc. advertising and wishing the pub well at its opening.
- 14.3.** The plan is to market the pub as a traditional village pub, which fully meets the locals' and visitors' idea of a country pub. This requires good quality real ales (where possible brewed locally), guest beers, artisan gin bar, good quality pub food, log burner, a friendly and welcoming atmosphere and traditional pub entertainment when appropriate. It will be a meeting place for villagers, friends and family and will attract visitors. The combination of a shop and a café within the pub is seen as a way of increasing footfall in the pub and making locals aware of special events in the pub.
- 14.4.** Once the pub has re-opened, marketing to the village and beyond will be crucial. Regular emails / leaflet drops will advertise the pub and its programme of activities. In addition to the use of such social media routes such as Facebook and Twitter we would also look to use other local advertising channels to promote the pub.
- 14.5.** An active website would assist in promoting the New Inn as well as providing a further channel for keeping stakeholders up to date with progress and to inform patrons about planned events and activities. Of course, as ever, recommendation by word of mouth will be key.
- 14.6.** The use of Trip Advisor would be encouraged as well as seeking promotions in appropriate guides such as CAMRA's regional publications, its What Pub website and App, and its Good Beer Guide.



15. Risks

Prospective investors should read the whole text of this document and should be aware that an investment in the Society involves a degree of risk and should make the decision to invest only after careful consideration and, if appropriate, consultation with an independent financial and/or tax adviser.

15.1. Property

Professional surveys covering the building structure and drains have been carried out as part of the due diligence for the property. These surveys identify a number of relatively minor issues that it is proposed are dealt with prior to the re-opening. However to be prudent we have included a level of contingency within the plan to allow for matters that may arise.

15.2. Revenue stream

Whilst the management committee believes the basis for the financial projections contained in this document to be reasonable there is a risk that the actual revenue stream will be materially different to that projected. However, as part of building up the business plan advice has been sought from previous successful landlords and professional trade advisors. The base business case which sees the operation making a small profit is based upon revenue streams some 25% less than achieved in prior years, and that was in a period when it was a tied pub required to pay rent and buy beer at inflated prices. Surveys conducted just within the local community indicate that some 80% of revenues could come from within the village.

15.3. Insufficient monies are raised to finance the proposal

In the event that the required funds cannot be raised then we would be forced to abandon the process, meaning that the owners would be free to sell the property to whoever they wished, including property developers.

15.4. Staffing

Securing the necessary skills and personalities will be a challenging task. The importance of simple but good food is as much a driver as is keeping good ales. To minimise this risk, advice and guidance has been sought from experts within the hospitality and licensed trade, some of whom have offered to support us directly in the recruitment process.

15.5. Snitterfield Stores does not follow through with the satellite operation

We would still seek to provide a basic shop offering and would intend to expand this as we develop.



16. *Links*

Our Campaign Website	www.salvationsquad.co.uk
Pub is the Hub	www.pubisthehub.org.uk
CAMRA	www.camra.org.uk
The Plunkett Foundation	www.plunkett.co.uk
The Old Crown	www.theoldcrownpub.com
The Ivy House	www.ivyhousesunhead.com
The Hollybush	www.hollybushseighford.co.uk
The Anglers Rest	www.anglers.rest

17. *Contact Details*

- Enquiries:** enquiries@salvationsquad.co.uk
- Fundraising:** fundraising@salvationsquad.co.uk
- Communications:** communications@salvationsquad.co.uk
- Operations:** operations@salvationsquad.co.uk



18. *Some final thoughts to leave you with...*

When the members of a community come together for a common cause, without purely financial or commercial motives, when they co-operate and collaborate to save or preserve something that is important and valuable to their community, they can unlock something very powerful.

A Community Benefit Society owned pub is owned by the community, for the community. It isn't something that is imposed from outside. It has its roots within the community, and binds people together in a way that few other things are able to do. It is a way of securing and preserving something precious; a place where people can share their joys and sorrows, celebrate and commiserate, or just pass the time of day in what is truly their own pub.

In order to survive, any business, any pub, has to be commercially viable. Assessing that viability is a vital part of the process and community ownership can contribute to that viability. There are currently more than 70 community owned pubs in the UK and all are still trading today. This is despite operating in areas where private owners have failed, a powerful statistic.





EARN YOUR ANGEL WINGS

and invest with us to make



The New Inn *Est. 1750*

NORTON LINDSEY, WARWICKSHIRE



*the 1st community pub
in Warwickshire*



www.salvationsquad.co.uk



Share Offer

for The New Inn, Norton Lindsey



Norton Lindsey Community Pub Limited



*Share Offer for the
community purchase of the
New Inn, Norton Lindsey*

SHARE LAUNCH: 29th October 2016
CLOSING DATE: 30th November 2016

OUR TARGET IS £300,000

WE FACE A ONCE IN A LIFETIME OPPORTUNITY.
**Not only to save our pub, but to make it the community hub
of the village and with your support we can make it happen.**



Contents

Page no.

1. Key Points	4
2. Locality	6
3. Current Scenario	6
4. Strategic Plan and Benefits to the Community	7
5. Business Model and Finance	8
6. Share Offer	10
7. Legal Model	11
8. Steering Group	12
9. Risks	14
10. Key Points for Investment	15
11. Questions Regarding Buying Shares	17
12. Application for Investment	19



1. Key Points

Our aim is to make the New Inn the hub of the village, a pub providing facilities and services that bring the community together. The society proposes to raise funds to acquire, carry out minor works and provide the start-up working capital to run The New Inn.

You are invited to invest in a community enterprise set up to secure the long term future of the New Inn, Norton Lindsey as a pub and community hub.

- 1.1 Norton Lindsey Community Pub Limited is a Community Benefit Society and registered with the Financial Conduct Authority. It was set up with the aim of purchasing the New Inn in Norton Lindsey and reviving it for the benefit of the community, the people that live or work in the area or visitors that pass through.
- 1.2 Purchasing the freehold of the New Inn has been identified as the best option to save the pub from those who would seek to change its use and provides the platform for it to be a successful sustainable business that can serve the needs of the entire community.
- 1.3 An initial Steering Group was formed to develop the proposal and we are now seeking investors who wish to become members of the Society to help us reach our target of raising £462,500. The Steering Group believe that this amount will give sufficient capital to purchase the pub, carry out minor works which will allow the pub to re-open, cover costs to set up the pub, provide sufficient working capital to enable cash positive trading and establish a small contingency to meet unforeseen costs.
- 1.4 The minimum share funding level that is required to proceed will be £250,000, with the balance of our funding requirements of £212,500 being met by commercial or Government backed loans. Ideally we hope to meet or exceed this minimum level of share funding in order to reduce our reliance on loan funding thus reducing the interest burden on the Society.
- 1.5 To become a member of Norton Lindsey Community Pub Limited individuals are invited to invest between £250 and £60,000 each. Individual share value will be £50 with a minimum holding of £250. Each member will have an equal vote in the Society irrespective of their shareholding, following the key Society principle of 'one Member, one Vote'
- 1.6 It is the intention, subject to an appropriate surplus being available, to pay shareholders an annual interest of up to 2% above the Bank of England base rate or a maximum rate of 5%, whichever is the lower, paid gross of tax. In the first year the business needs to become established and it is unlikely that interest will be paid for that period. Any interest payable in subsequent years will be at the discretion of the Management Committee.
- 1.7 The Society has advance approval from HMRC for Enterprise Investment Scheme tax relief. The scheme provides 30% tax relief to investors. This means that 30% of the sum invested could be offset against income tax liabilities in the year the Society starts trading. To qualify, the shares must be held by an investor for a minimum of 3 years. Your investment in shares in the Society may qualify for 'business relief' under inheritance tax rules. Important: We cannot advise you on your own financial or tax position or decision on whether to invest in the Norton Lindsey Community Pub Limited. Please seek your own independent financial and/or tax advice when deciding whether to invest in this share offer.



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- 1.8** A Community Benefit Society named Norton Lindsey Community Pub Limited (Registered Number 7412) whose registered address is at Cleeve Cottage, Main Street, Norton Lindsey, Warwickshire CV35 8JA has been established to purchase and trade the New Inn.
- 1.9** The New Inn will provide a much needed service to the village and surrounding areas. As a pub it will serve good beer and locally sourced, freshly prepared food and as a café it will provide quality hot drinks and cakes, all in a friendly atmosphere that welcomes the whole community. It is our intention to make the pub the village hub by offering social and cultural activities, providing a shop selling basic everyday necessities and a parcel drop-off & pick-up service with the potential to offer other services of value to the community. Financially it will benefit the entire community by making it more desirable place to live with benefits to house prices.
- 1.10** We will look for a manager who can work closely with the aims of the Society to provide a pub and community hub that meets our requirements. The manager will be responsible for how the business is run on a day to day basis and will be financially incentivised to make the pub a success.
- 1.11** When the premises are purchased the group of people who formed the Steering Group will form the largest part of the initial Management Committee for continuity reasons, with three co-opted members making up the balance. The Management Committee will oversee the performance of the business and measure it against the targets set down in the business plan.
- 1.12** Elected members of the Management Committee will hold office for a period of three years. All of the seven members of the Steering Group will form part of the initial Management Committee and they will all retire at the first AGM in accordance with the society's Rules (but may offer themselves for re-election). Thereafter, members of the Management Committee will retire in a phased way over the following three years in accordance with the Rules of the Society. All new Management Committee members will be elected by the Society's members. Members will be entitled to attend the AGM and stand for election to the Management Committee.
- 1.13** The freehold of the New Inn was put on the market by Enterprise Inns in June 2016 and is being sold by Fleurets. It was closed in August 2016. It is registered as an Asset of Community Value (ACV) and this has enabled a moratorium to be placed on its sale to anyone but the community until December 8th 2016. After some negotiation a purchase price of £312,500 has been agreed with Enterprise Inns.
- 1.14** We firmly believe that there is a strong future for the New Inn when run by an experienced, professional and knowledgeable manager with a strong track record of success, who seeks the highest standards in quality and operates with the wellbeing and objectives of the community at the forefront of their strategy.
- 1.15** The closing date of the share offer is set at 30th November 2016 to enable us to complete the purchase of the premises before the expiry of the ACV moratorium on December 8th 2016.
- 1.16** A copy of the business plan may be downloaded from www.salvationsquad.co.uk

This is a great opportunity to be a part owner of a vital community asset that can become the hub of the community.



2. *Locality*

The New Inn, which is situated within the village of Norton Lindsey in Warwickshire, dates back to 1750 and is the only pub in the village. It is located 4 miles from the county town of Warwick and 7 miles from Shakespeare's Stratford-upon-Avon. The village takes its name from the Lindsey family who were lords of the manor in the 12th century. Part of the village is designated as a Conservation Area by Warwick District Council who quote that "the centre of the Conservation Area is the intersection of Main Street and New Road at the New Inn, a building which fits well into the village character". The 2011 census shows the village as having 139 households with a population of 326.

The parish is a vibrant community that is made up of the three villages of Norton Lindsey, Wolverton and Langley with numerous farms and approximately 300 houses. The parish has good road connections sitting just a mile away from the London to Birmingham M40 and the A46 to Coventry. With the exception of the New Inn there are no other pubs in the parish.

Norton Lindsey has a Church of England church, a village hall, a primary school, a thriving cricket club, and a small number of businesses including home run businesses. There are numerous access roads and walking and cycling routes leading to its location. This has enabled the business case to be further strengthened as a community enterprise with the significant benefits that this provides for the long term viability of the pub.

3. *Current Scenario*

Since 2012 Enterprise Inns have appointed four different tenants to the pub but, mainly for reasons of inappropriate experience, their tenancy has neither worked for them nor the local community. In August 2013 the Norton Lindsey Parish Council was successful in listing the New Inn as an Asset of Community Value (ACV) under the Localism Act 2011. In recent times Enterprise Inns have been progressively disposing of their under-performing pubs and in June 2016 the freehold of The New Inn was placed on the market with Fleurets estate agents. In early August 2016 the tenant left the property and the pub was closed and boarded up.

In July 2016, following two very well attended village meetings at which the community gave their overwhelming support to saving the pub, the Parish Council submitted their Expression of Interest to submit a bid to buy the pub, in line with the ACV regulatory procedure. This consequently triggered a 6 month moratorium period during which time Enterprise Inns are not able to sell the property to anyone other than a community group. The moratorium period expires on December 8th 2016.

A Steering Group was set up in late July to coordinate the work to save the pub and since then they have registered a Community Benefit Society (CBS) called Norton Lindsey Community Pub Limited to submit a formal bid to Enterprise Inns to buy the pub. They have also carried out a comprehensive village survey, prepared a business case and have engaged various expert advisers including property surveyors and architects. To validate our confidence in the future viability of the New Inn the business case has been prepared with assistance from a number of experienced professionals in the pub, restaurant and shop trade and with support from the Plunkett Foundation and Pub is the Hub. Of great importance to the Steering Group was to acquire the premises at an acceptable price. After some negotiation with Enterprise Inns, this was achieved with an agreed purchase price of £312,500. The next key step for the Steering Group is to raise the necessary funding to proceed with the acquisition.

It is believed that under community ownership and with the support of the community, a manager can be found who would share our aims and have a financial interest in developing the business for the long term. This would bring the New Inn back to its rightful place as a hub for the community where locals can meet, and where passing travellers, walkers and cyclists can refresh themselves, thus sustaining its future for decades to come.



4. *Strategic Plan and Benefits to the Community*

Our belief is that the pub and the site it occupies are vital amenities for Norton Lindsey and nearby villages and that the best interest of the community will be served by acquiring the pub through a limited liability Community Benefit Society (CBS). This legal structure is explained in detail later in this document.

The CBS proposes to raise funds in order to purchase the New Inn, carry out some minor works and provide initial trading working capital to reopen the pub as a 'hub' for the benefit of the community. It will recruit a professional manager who will be responsible for the day to day operation and business growth of the pub.

Our plan is to finance the acquisition and subsequent improvement projects, initially, through a community share offer and commercial loans. Our intention is to maximise the capital raised through the community share offer since this will reduce our dependence on commercial funding and the associated higher interest costs. Other sources of funding will be pursued but timescales for grant funding are notoriously uncertain, inevitably long, and have therefore been excluded from the acquisition plan for this reason. Any grants awarded post acquisition would be used to reduce the loan capital required or enhance the facilities of the premises.

Initially the pub would undergo some minor modifications and refurbishment works to provide a welcoming environment at a level dependent on the finances available. In the future, if finances allow, further enhancements to the pub and its facilities are envisaged.

To become a true hub for the village it is proposed that the New Inn would also include a café and a shop. Provision of other facilities such as parcel drop-off & pick-up will be explored dependent on their financial viability. Significant support for these additional services is available both in terms of advice and grant aid from numerous organisations such as Pub is the Hub and Plunkett Foundation.

The pub will work to build on the social cohesion of the community, minimise social isolation and help to bridge gaps between social groups and different generations. It will be a place where informal networking can take place, helping to shape the economic future of the businesses within the community, and will be a comfortable place to be for everyone. These benefits are also widely recognised within the housing market with evidence showing that having a successful pub in a village adds 5-10% to the house prices.

Importantly, by establishing a community owned pub, the New Inn would remain safe from redevelopment and further sale for as long as the community wants that to be the case and as it will be run with the needs of the local community in mind it is more likely to have local support and therefore be successful in the longer term.

This represents a fantastic opportunity for Norton Lindsey and nearby villages to continue to strengthen the vibrancy and sustainability of our community. This purchase would have many benefits, including:

- Maintaining a place to meet friends and neighbours;
- Providing a hub to strengthen the sense of community;
- Providing additional services and facilities not currently available in the village e.g.. café, shop, parcel pick up & drop off;
- Securing the future of the pub for the community;
- Allowing improvements to the premises;
- Creating opportunities for employment;
- Injecting money into the local economy;
- Providing a hospitality venue for local groups & clubs, passing trade, special events; and
- Helping to sustain our property prices.



5. *Business Model and Finance*

A detailed business plan has been produced for your information and is available for you to download from the Salvation Squad website www.salvationsquad.co.uk or a hardcopy can be obtained by emailing: enquiries@salvationsquad.co.uk. The business plan has been built using the best knowledge, information and estimates we have to date, however it will continue to evolve as we gather more information and advice from experts and advisers. It is important that you read the business plan when considering whether to invest in shares.

Key factors contributing to the success of a community run The New Inn are:

- By purchasing the freehold of the pub we will have no rent or beer ties;
- Appointing a professional and experienced manager who will become part of the community and share in the success of the pub;
- Providing appropriate facilities to offer all members of the community a reason to use the pub;
- Acquiring the freehold of the pub through Norton Lindsey Community Pub Ltd (NLCP) will ensure community buy in, and input to, the future success of the pub;
- Improving the pub in stages to provide improved facilities and increased financial returns.

Finding the right manager is key to the success of the pub. We will be looking for a manager who reflects our philosophy for the pub and who will be happy to work with members to make the New Inn a thriving community pub. It is this relationship between the community and the manager that will be key to the future of the pub. The Management Committee and members will not be involved in the day-to-day running of the business (other than as customers) however a structured business review and feedback mechanism will be established with the manager.

We aim to raise a total of £462,500 from a community share offer together with commercial and/or government backed loans. These funds will be used to:

- Purchase the freehold of the pub with associated costs and taxes;
- Carry out minor works to get it ready to be reopened;
- Provide sufficient working capital to enable early stage cash positive trading;
- Manager recruitment, adviser costs and contingency.

The detailed breakdown of these costs is included within the Business Plan.

It is proposed that this is funded as follows:

- £250,000+ from community shares
(Importantly the larger the community take up of shares the lower the dependence on commercial loan funding which will reduce our interest payments).
- £150,000 from commercial / Government backed loans. Initial discussions have taken place with Plunkett Foundation, regarding the Government's £3.6m 'More than a Pub' loan and grant funding scheme, plus two commercial lenders.
- £62,500 short term loan specifically to cover the VAT payable on the acquisition. We will register for VAT and make taxable supplies in order that we can reclaim the VAT on the acquisition and on subsequent refurbishment and improvement works. We would propose to repay this loan with the VAT reclaimed at the end of the first quarter.



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- Grants and benefactor loans and donations will be sought. However, although we are reasonably positive about getting funding from these sources, the business plan has excluded these as their success and timing cannot be guaranteed. Any such funding will lower the overall cost of finance by reducing the dependence on the commercial loans and thereby enhancing the business plan.

This funding plan is likely to evolve as we move through the share offer process, negotiate to acquire the pub, and as we achieve success with any grant applications. Subject to raising sufficient funds, exchange of contracts and completion of the acquisition would be anticipated to happen in December.

We have set a funding target of £300,000 from community shares, however we believe we need to raise a minimum of £250,000 to proceed. If the minimum target for the share offer is not met by the initial closing date then we would aim to extend it subject to Enterprise Inns agreeing that they will continue to engage with us post the 8th December moratorium date. If the minimum target of £250,000 has not been met at the point that Enterprise Inns are no longer engaging in discussions with us then the share offer will be closed and all funds received from potential investors will be returned (after payment of any outstanding costs or fees) If the share offer exceeds the target and reaches £400,000 before the deadline it will close early.

NLCP will recruit a manager who will be paid a salary with free accommodation above the pub plus a share of the business profit as an incentive. An arrangement with Snitterfield Shop is expected to be agreed where they will run the hub shop within the New Inn, effectively as a satellite of their own shop, and will pay a profit share to NLCP. They will staff and stock the hub shop, carry all the risks of failure, but will profit from its success. We believe that this unique partnership model will provide our community with a viable hub shop with little or no risk.

Any profit generated from NLCP will be used to cover the following fixed and discretionary items:

- Any corporation tax liabilities;
- Interest on loans;
- Interest on share capital;
- Maintenance of the premises;
- Enhance and develop the facilities;
- Facilitate the withdrawal of shares from time to time.

For prudence, we will aim to build a modest reserve fund to cover unexpected costs connected with the land and buildings or the trading business of the New Inn.

We believe that the business will be profitable, but if it is not, NLCP owns a valuable asset, the building and land associated with it, which could be sold in order to return funds to investors after repayment of any loans, debts or other liabilities. Your investment is in the building and land, the bricks and mortar, not just the licensed business. This is a great opportunity to invest in a worthwhile community enterprise that will provide a valuable service to its members, users and future generations.



6. Share Offer

This share offer has been designed to give you an opportunity to contribute financially, on a long-term basis, to the Norton Lindsey Community Pub Limited (Community Benefit Society Reg. No. 7412). Please see the Society's rules of incorporation at www.salvationsquad.co.uk. The rules follow the Model Rules recommended by The Plunkett Foundation and are approved by the Financial Conduct Authority (FCA).

Individuals (aged 18 years and over) and organisations can apply for membership by buying shares at a cost of £50 per share, with the minimum investment of £250 and the maximum investment of £60,000 per person or organisation.

You can choose from three options in order to apply for and pay for shares:

- Paper application form (included at the back of this offer document) and by bank transfer to the Society's solicitors 'Hill Hofstetter Limited' (details included at the back of this offer document)
- Paper application form (included at the back of this offer document) and by cheque made payable to the Society's solicitors 'Hill Hofstetter Limited'
- Online application and payment via Crowdfunder (the crowdfunding platform) at www.crowdfunder.co.uk/save-the-new-inn-norton-lindsey (this option will incur a 5% handling fee for the Society)

The maximum amount of shares that can be issued in this offer is £400,000. Once this amount has been reached the Steering Group reserve the right to close the share offer early. Unsuccessful applications will be contacted with a view to be added onto a waiting list.

Funds will only be used to pay for shares if the acquisition proceeds and it is only at this time that the share certificates will be produced. It is important that funds are not drawn down in advance as the rules of the society prevent share withdrawal during the first 3 years.

Interest may be payable on shareholdings at an interest rate proposed by the Management Committee, based on the performance of the society during the previous 12 months' trading, and put to a vote at the Annual General Meeting. In the first year the business needs to become established and it is unlikely that interest will be paid for that period. Once sufficiently profitable, the society aims to pay an annual interest of up to 2% above the Bank of England base rate or a maximum rate of 5%, whichever is the lower.

It is important to note that the value of shares will not increase. The benefits for members are the social benefit of retaining this important community facility and any interest paid annually on their shareholding.

Shares are not transferable (except on death or bankruptcy) and cannot be sold. The only way to recover the value of the shares purchased is to give three months' notice of withdrawal to the Management Committee and the shareholder will then receive the amount they paid for the shares. Shares cannot be withdrawn until at least three years have elapsed from the date of the share issue and then only at the discretion of the Management Committee, who must at all times prioritise the ongoing financial sustainability of NLCP Limited.

The amount available to be withdrawn by shareholders in any one financial year will be set by the Management Committee and limited to a maximum percentage of the total shares outstanding (as determined by the Management Committee from time to time) with withdrawals funded from trading surplus or new share capital. The Management Committee will have the authority to refuse a withdrawal request if it would endanger the business. The full details of share ownership and the terms of withdrawal can be found in our Norton Lindsey Community Pub Limited Rules which are located on our website www.salvationsquad.co.uk.

In the event that the New Inn is sold at any time post acquisition, the shareholders would be repaid their investment after repayment of any outstanding debts. Any surplus will be paid to a charitable or community body which benefits the local community.



As Norton Lindsey Community Pub Limited confers limited liability, the most you could lose due to business failure would be the price you have paid for your shares.

The Society has advance approval from HMRC for Enterprise Investment Scheme tax relief. The scheme provides 30% tax relief to investors. This means that 30% of the sum invested could be offset against income tax liabilities in the year the Society starts trading. To qualify, the shares must be held by an investor for a minimum of 3 years.

A simple Investment guide has been included at the end of this document to show a range of share investment amounts and the actual net cost to the investor after EIS tax relief.

Your investment in shares in the Society may qualify for 'business relief' under inheritance tax rules.

Important: we cannot advise you on your own financial or tax position or decision on whether to invest in the Norton Lindsey Community Pub Limited. Please seek your own independent financial and/or tax advice when deciding whether to invest in this share offer.

7. *Legal Model*

The model we have chosen for our society is a Community Benefit Society registered under The Plunkett Foundation's Model Rules. The model gives its members and directors the protection of limited liability. The model provides a guarantee that the assets of the society will be used for the benefit of the community and cannot be disposed of for private profit. Details of the Norton Lindsey Community Pub Limited Rules are located on our website www.salvationsquad.co.uk.

Shares will be valued at £50 each, with a minimum investment of £250 per member. You must be 18 years old or over to become a member of the society. Each member will receive one vote at Members' Meetings, regardless of the number of shares held by that member.

All shareholdings of £250 or more will be eligible to receive interest although it is likely that no interest will be paid during the first year of trading. Interest will be paid gross and is taxable. You will be responsible for declaring this income to HMRC. Interest will be payable at the discretion of the Management Committee.

Shares will not be transferable except on death or bankruptcy. Members may request the return of the amount invested through a withdrawal request to the Society. No withdrawal requests may be made in the first three years and thereafter, will be paid at the discretion of the Management Committee having regard to the financial requirements of the Society. The Management Committee may set a maximum percentage of share capital which may be withdrawn in any one financial year.

The value of shares cannot increase and their value may be reduced if the business fails and its liabilities exceed its assets.

The initial Management Committee will comprise the seven members of the campaign Steering Group plus three additional individuals with appropriate skills as co-opted members. None of these individuals will ever have a personal financial interest in the project above and beyond their own personal investment in community shares, declared loans which will be provided on no less favourable terms than any other private lender or charges made by their businesses which will have to be approved by the Management Committee and the individual will have to declare their interest in the business concerned prior to any approval. The Management Committee is accountable to members and will be elected by members' votes at the AGM which will occur within six months of the end of the financial year. The Management Committee will keep members updated via newsletters, the www.salvationsquad.co.uk website, Facebook, and at the AGM when members will be provided with an annual report and accounts.



8. *Steering Group*

The Steering Group members who have worked to establish this enterprise come from a variety of backgrounds and have a range of relevant experience, skills and reasons for volunteering. Brief summaries of these are provided below:

ROB BROOK

Partnerships Team Leader & Steering Group Chair

My Day Job: Managing Director of VTG Rail Ltd

My reason for getting involved

We moved to the village just before last Christmas and the pub was a big factor in why we chose Norton Lindsey. I do not want to see the pub lost forever and to see houses on the historic site. We have a once in a lifetime opportunity not only to save The New Inn but to make a real community hub.

LUCY BOYES

Communications Team Leader

My Day Job: Client Services Director at Leader Communications Ltd

My reason for getting involved

I moved into the village relatively recently. Having a young family, I want to use the pub as a social hub for both myself and my husband to enjoy on rare date nights, along with a great place for us to come with the kids and meet new faces and friends! I also feel that The New Inn, being an Inn since 1750, provides such an important centrepiece to the village and one definitely worth saving!

GREG JUDD

Property Team Leader

My Day Job: Senior Director of GVA

My reason for getting involved

It's so important to be able to stroll to the village pub for a drink with friends and family and not have to worry about who is driving home or getting a taxi. We've just returned from a family holiday in Italy where the bar is the hub of the village for all ages throughout the day. Young mums sipping cappuccinos and enjoying cake, kids excitedly buying ice creams, village elders playing cards and workers dropping in for a glass of wine or beer at the end of the day. We can create a community hub in Norton Lindsey!



AMY BIRCH

Fundraising Team Leader

My Day Job: Manager at Langham Walsh Chartered Accountants

My reason for getting involved

Having moved to the village three years ago, I realised quickly that the pub was incredibly important to the village. The village has such a huge community spirit and I believe the pub has been integral in keeping that spirit alive. Right now the choices are ours to make, do we want a pub, a café, a shop, the possibilities are available to us now but once the pub is gone so are our choices.

ALEX MELLON

Operations Team Leader

My Day Job: Retired, formerly CEO of a Charity, Further Education College Principal

My reason for getting involved

I want to keep our village pub! The New Inn offers place to drink regularly with friends, a handy place to eat, either for lunch or dinner and has been a lively place on Friday Nights. In addition it's an ideal venue for Birthday celebrations, Quiz Nights etc. and a place to bump into people you wouldn't otherwise see very often.

ZANNA PATCHETT

Legal Team Leader

My Day Job: In-House Solicitor at REPL Group Worldwide Limited

My reason for getting involved

After moving to the village in 2008, we quickly got to know people from meeting our neighbours at The New Inn. We feel like we are part of a very special community in Norton Lindsey, the likes of which are not seen in very many places nowadays, and the pub has a big part to play in bringing the village together. We have some very special memories already of family visits to the pub, including holding our children's christening party there.

PHILIP LONDON

Business Plan Team Leader

My Day Job: Finance Director at Paintbox Group

My reason for getting involved

I moved to Norton Lindsey from Bishampton, a village where the local pub had lost its way but was saved by the local community. Under community ownership it has been transformed into a thriving model of what a village pub should be. I want to help The New Inn become the same!



9. Risks

Prospective investors should read the whole text of this document and should be aware that an investment in the Society involves a degree of risk and should make the decision to invest only after careful consideration and, if appropriate, consultation with an independent financial and/or tax adviser.

Property

Professional surveys covering the building structure and drains have been carried out as part of the due diligence for the property. These surveys identify a number of relatively minor issues that it is proposed are dealt with prior to the re-opening. However to be prudent we have included a level of contingency within the plan to allow for matters that may arise.

Revenue stream

Whilst the management committee believes the basis for the financial projections contained in this document to be reasonable there is a risk that the actual revenue stream will be materially different to that projected. However, as part of building up the business plan advice has been sought from previous successful landlords and professional trade advisors. The base business case which sees the operation making a small profit is based upon revenue streams some 25% less than achieved in prior years, and that was in a period when it was a tied pub required to pay rent and buy beer at inflated prices. Surveys conducted just within the local community indicate that some 80% of revenues could come from within the village.

Insufficient monies are raised to finance the proposal

In the event that the required funds cannot be raised then we would be forced to abandon the process meaning that the owners would be free to sell the property to whoever they wished, including property developers.

Staffing

Securing the necessary skills and personalities will be a challenging task. The importance of simple but good food is as much a driver as is keeping good ales. To minimise this risk, advice and guidance has been sought from experts within the hospitality and licensed trade, some of whom have offered to support us directly in the recruitment process.

Snitterfield Stores does not follow through with the satellite operation

We would still seek to provide a basic shop offering and would intend to expand this as we develop.



10. Key points for Investment

1. This is a social investment not an investment designed to generate large profits and should be regarded as a long-term social investment in your community.
2. The return on your investment will be through a 'social dividend' i.e. the preservation of a local asset servicing the community and through modest interest on your shareholding, at the discretion of the Management Committee and voted on at AGMs.
3. All shareholdings of £250 or more will be eligible to receive interest although it is likely that no interest will be paid during the first year of trading. Interest will be paid gross and is taxable. You will be responsible for declaring this income to HMRC.
4. The Management Committee can suspend interest payments if the business performance does not justify paying interest. Therefore, you should not invest in the expectation of direct financial return, as this is not a conventional investment.
5. The minimum investment is £250 (5 shares). The maximum investment is £60,000 per person or organisation.
6. You must be aged 18 or over to become a member.
7. You cannot sell your shares, except back to the Society itself.
8. The value of shares cannot increase and their value may be reduced if the business fails and its liabilities exceed its assets.
9. The only way to recover the sum you initially invested (or any reduced value) is to give three months' notice of your investment withdrawal to the Management Committee. You cannot do so for the first three years after the date of this share issue.
10. All withdrawals will be at the discretion of the Management Committee and must be funded out of either trading surpluses or new share capital.
11. Total withdrawals in any year will be limited to a maximum percentage of the total shares outstanding (as determined by the Management Committee from time to time).
12. All funds invested in this Community Share Offer will be restricted funds held in a separate account until the purchase is completed and thereafter will be used only for the purpose of acquiring and refurbishing and owning The New Inn. In the event that the purchase does not proceed, all contributions will be repaid less any expenses that may have been incurred.
13. Any trading surplus, after payment of interest to shareholders and repayment of share capital, must be reinvested in the business or used for community purposes. The Society is registered with but not regulated by the Financial Conduct Authority (FCA, previously the Financial Services Authority), so members cannot apply to the Financial Services Compensation Scheme (FSCS) and have no right of complaint to the Financial Ombudsman. Before deciding to invest, you may want to seek independent advice.



11. Questions regarding buying Shares

How can I find out more about the project?

You can find the Rules for our Society at www.salvationsquad.co.uk. You can download a copy of the full business plan from the Salvation Squad website www.salvationsquad.co.uk or a hardcopy can be obtained from Phil London at prlondonuk@yahoo.co.uk or Rob Brook at rob@brookfamily.net. Each member of the Steering Group will also be happy to answer any questions you may have.

Why should I buy community shares?

Your investment is vital in helping us purchase the New Inn, Norton Lindsey. Without sufficient investment from the community we will be unable to purchase the freehold of the premises and establish the trading business and the more money we can raise from the community the less reliant we are on commercial loans.

Who will benefit from this project?

The residents of Norton Lindsey and the surrounding village communities will benefit directly by preserving this vital village pub. By making an investment you will be ensuring that the New Inn re-establishes itself as the hub of the village helping to provide essential services and building a vibrant community facility which can be enjoyed by both current and future generations.

Is this a good business proposition?

We expect and will require the business to be a profitable venture. We have carefully evaluated its strengths and weaknesses and our projections show we can establish it as a successful business. It is well proven that communities that work together to set up such an enterprise will support it in the future. You can download a copy of the full business plan from the Salvation Squad website www.salvationsquad.co.uk or a hardcopy can be obtained from Phil London at prlondonuk@yahoo.co.uk or Rob Brook at rob@brookfamily.net.

Will you be paying a fair price for The New Inn?

We have now secured a purchase price of £312,500 with the vendors Enterprise Inns. You can be assured that we negotiated to achieve the lowest possible price and one that meets the assumptions in our business plan.

Who are the people behind this project? Do they have a personal interest?

The Steering Group consists of a group of local residents who care passionately about saving the New Inn from residential development and ensuring its position as the community hub of Norton Lindsey. They have voluntarily contributed a large amount of time to the project. They will have no personal financial interest in the project above and beyond their own investment in community shares or charges made by their businesses which will have to be approved by the Steering Group and the individual will have to declare their interest in the business concerned prior to any approval. Their personal profiles have been outlined in this document.

What advice has the Steering Group taken on running a community pub?

The Steering Group has taken advice and received support from multiple sources including Plunkett Foundation, Pub is the Hub, professional advisers from many disciplines, other community pubs, CAMRA and of course the community itself.

Who will run the New Inn and make the day-to-day decisions about the business?

We intend to recruit a professional Manager to run the day to day business. The Management Committee will oversee the performance of the business and ensure it meets the targets set down in the business plan.



Who are the Management Committee?

Only Members (ie. shareholders in Norton Lindsey Community Pub Limited) may be elected to serve on the Management Committee. Members of the Management Committee elected by the Members shall hold office (unless vacated beforehand) until the conclusion of the third AGM after their appointment. The Management Committee is elected each year by and from the Members at the AGM. The Management Committee may co-opt other Members onto the Management Committee but these appointments are only valid until the next AGM.

The initial Management Committee will comprise the seven members of the campaign Steering Group plus three additional individuals with appropriate skills to be appointed as soon as the pub purchase has been completed. All members of the initial Management Committee will retire at the first AGM in accordance with the Society's Rules (but may offer themselves for reelection). Thereafter, members of the Management Committee will retire in a phased way over the following three years in accordance with the Rules of the Society. Further information regarding the composition of the Management Committee, the appointment of its members and the regulation of its meetings etc, is set out in the Rules which can be found on our website www.salvationsquad.co.uk.

How do I buy shares?

You can choose one of two options to purchase shares:

- Paper application form with payment by BACS or cheque
- Online via the Crowdfunder platform (this option will incur a 5% handling fee for the Society).

The share application form plus details of payment methods and the Crowdfunder website can be found on our website www.salvationsquad.co.uk or is available from Amy Birch at abirch@langhamwalsh.co.uk or Pippa Brook at pippa@brookfamily.net.

Funds will only be drawn down (or cheques banked) if the acquisition proceeds and it is only at this time that share certificates will be produced. It is important that funds are not drawn down or banked in advance as the rules of the Society prevent share withdrawal for the first 3 years. The funds will be drawn down and cheques cashed in order to pay the deposit once our bid to purchase the pub has been accepted.

What happens if I have already made a pledge to the project?

If you have already made a pledge to invest we will need to convert your pledge into community shares under the terms of this Share Offer. The application form can be found within this offer.

Why is the minimum investment £250?

A relatively low minimum investment level of £250 was set to give as many individuals as possible the opportunity to invest whilst being high enough to limit the ongoing member administration workload for the Society.

Do my shares give me voting rights?

Yes, this is a democratic structure based on one member one vote, regardless of the size of your investment

How do I get my money back?

You will not be able to withdraw your money during the first three years. After that, you will need to give at least three months' notice. You cannot sell or transfer your shares, and withdrawals must be funded from surpluses or new capital raised from members. The Management Committee may suspend withdrawals depending on the long-term interests of the Society, the need to maintain adequate reserves, and the commitment to the community.



Can I transfer my shares to someone else?

No, unless you die or become bankrupt.

Will I get my investment back if the New Inn fails?

All the business' assets, including the freehold of the building, would be sold and the proceeds of the sale (after paying any loans) divided between the shareholders up to the value of their shares. You might receive the full value of your share back or you might receive less than this.

What is my liability should I invest?

Your liability does not exceed the price of your shares.

What redress do I have if the business fails and I lose the value of my shares?

The share offer is exempt from the Financial Services and Markets Act 2000 or subsidiary regulations, which means there is no right of complaint to the Financial Ombudsman, nor can you apply to the FSCS.

Will I receive interest on my shares?

We aim to pay interest on the shares but this will be subject to the provisions and limits specified within the society's Rules and will reflect the performance of the business. However during the first year of community ownership we believe it is not prudent to commit to making an interest payment. Interest will be paid gross and it is each member's responsibility to declare such income to HMRC if appropriate.

IMPORTANT: Please consider carefully the terms above and take independent advice.

EIS Investment Guide

Comparison between gross investment cost and actual net cost to investors.

INVESTMENT	EIS TAX RELIEF @ 30%	NET COST
£250 (min)	£75	£175
£350	£105	£245
£700	£210	£490
£1,450	£435	£1,015
£2,850	£855	£1,995
£7,150	£2,145	£5,005
£14,300	£4,290	£10,010



Application to Join Norton Lindsey Community Pub Limited

To become a member of Norton Lindsey Community Pub Limited and invest in our venture, you need to complete this application form and send it to the address below, accompanied either with a cheque made payable to 'Hill Hofstetter Limited' or with payment by bank transfer to the following bank account:

Hill Hofstetter Limited Client Account

Sort Code: 20-07-71

Account Number: 13124436

Please make sure you include the reference: JWW/NortonLindsey

Please complete this form and return with your cheque (if applicable), made payable to Norton Lindsey Community Pub Ltd. to: Amy Birch (NLCP Secretary), Cleeve Cottage, Main Street, Norton Lindsey, Warwickshire CV35 8JA

Each individual must complete a separate form.

Shares are available at £50 each with a minimum of 5 shares.

Above this minimum you may buy as many as you like to a maximum of £60,000.

I am over 18 years of age

Please note: you must be 18 years of age or over to be eligible to become a member.

I wish to purchase shares (minimum 5, maximum 1,200) at £50 each to the value of £ _____

Name: _____

Address: _____

Postcode: _____

Tel No: _____

Email: _____

I request and authorise you to apply the amount paid by me in connection with this application to subscribe for shares in Norton Lindsey Community Pub Limited. I further authorise you upon the allotment of shares in Norton Lindsey Community Pub Limited to me to enter my name in the register of members and to send to me a share certificate in respect of shares issued pursuant to this application.

I confirm that I have read the Share Offer document, including the 'Key Points for Investment' on Page 15.

Signature: _____

Date: _____

I wish to apply for EIS relief (please tick).

By requesting that I become a member of Norton Lindsey Community Pub Limited, I agree to my name, address, phone number, email address and the number of shares I wish to purchase being held in a database. This information will only be used for the purpose of maintaining a register of members and for posting notices regarding the activities of Norton Lindsey Community Pub Limited. This information will not be passed to third parties.

If you would like any interest on your shares paid direct into your bank account please enter your bank details below. Please consider doing this as it will make the Society's administration considerably easier.

Bank/Building Society: _____

Sort Code: _____ Account Number: _____

If you have any questions please email: enquiries@salvationsquad.co.uk



www.salvationsquad.co.uk

Rules for

Norton Lindsey Community Pub Limited



Rules sponsored by the Plunkett Foundation

Norton Lindsey Community Pub Limited
Community Benefit Society Registration number 7412
Registered Office: Cleeve Cottage, Main Street, Norton Lindsey CV35 8JA

September 2016



Table of Contents

Clause	Contents
1	INTRODUCING THE SOCIETY AND THE RULES
2	GOVERNANCE
3	MEMBERS
4	MEMBERS' MEETINGS
5	MANAGEMENT COMMITTEE
6	REPORTING
7	CHANGE
8	SHARE CAPITAL
9	ADMINISTRATIVE
10	START-UP PROVISIONS
11	TRANSITION PROVISIONS
12	SIGNATURES
	APPENDIX



1 *Introducing the society and the rules*

Name

- 1.1 The society is called Norton Lindsey Community Pub Limited and it is called “the Society” in these Rules.

Registration

- 1.2 The Society is registered under the law as a society for the benefit of the community with the Financial Conduct Authority. Its registered office is Cleeve Cottage, Main Street, Norton Lindsey CV35 8JA.

Why the Society exists

- 1.3 The Society exists in order to carry on business for the benefit of the community. This is the Society’s Purpose.

Commitments

- 1.4 The Society is committed to:
- 1.4.1 trading for the benefit of the community, and not for anyone’s private benefit;
 - 1.4.2 retaining profits and applying profit to advance the Society’s Purpose.

Governing documents

- 1.5 These Rules set out the way in which the Society is owned, organised and governed.
- 1.6 In addition to the Rules, the Management Committee may make other provisions concerning how the Society operates, such as a code of conduct for the Management Committee. Such provisions must not be inconsistent with the Rules.
- 1.7 In the Rules
- 1.7.1 words starting with a capital letter (like Rules) refer to something specific, and the Appendix at the end of the Rules identifies the rule which makes this apparent; and
 - 1.7.2 words which are highlighted in italics (like partner) have a special meaning and the Appendix lists all of these words and explains what they mean.



2 Governance

Overview

2.1 The Society has Members, a Management Committee, and a Secretary.

Members

2.2 Membership is the means by which the Society is owned by the community. Membership provides Members with access to information, a voice in the Society, and the opportunity to be elected to a representative role in its governance.

Information

2.3 Members are entitled to receive information about the Society and its business, as provided in the Rules.

Voice

- 2.4 Members have a voice in the Society's affairs as provided in the Rules, by
- 2.4.1 attending, speaking and submitting motions to be considered at Members' Meetings;
 - 2.4.2 voting at Members' Meetings;
 - 2.4.3 electing representatives to the Management Committee.

Representation

2.5 Subject to qualification criteria, Members may stand for election to the Management Committee.

Management Committee

2.6 Subject to the Rules, the Management Committee manages the affairs of the Society and may exercise all of its powers.

- 2.7 The Management Committee is collectively responsible for everything done by or in the name of the Society, but on that basis it may
- 2.7.1 employ a manager or any other staff it considers to be necessary and appropriate;
 - 2.7.2 delegate to any employee responsibility for day-to-day management of some or all of the Society's business;
 - 2.7.3 authorise members of the Management Committee to deal with specific matters;
 - 2.7.4 make use of the services of volunteers.

2.8 The Management Committee may, with the approval of a resolution of the Members at a Members' Meeting, arrange for the management of the business of the Society to be carried out by a third party.

Secretary

2.9 The Secretary is secretary to the Society, and acts as secretary to the Management Committee.



3 *Members*

- 3.1 The Society shall encourage people to become Members, and to that end, the Management Committee shall
- 3.1.1 maintain a Membership Strategy for that purpose;
 - 3.1.2 report to the Members at the Annual Members' Meeting on the state of the Society's membership and on the Membership Strategy.
- 3.2 The Members of the Society are those whose names are listed in its Register of Members.
- 3.3 Membership is open to any person (whether an individual, a corporate body or the nominee of an unincorporated organisation) who completes an application for membership in the form required by the Management Committee and:
- 3.3.1 is over 18 years of age;
 - 3.3.2 supports the Society's Purpose;
 - 3.3.3 pays for the minimum number of shares required by the Rules;
 - 3.3.4 agrees to pay an annual subscription (if there is one); and
 - 3.3.5 whose application is accepted by the Management Committee.
- 3.4 The Management Committee may refuse any application for membership at its absolute discretion.
- 3.5 A Member which is a corporate body shall appoint a representative to attend Members' Meetings on its behalf, and otherwise to take part in the affairs of the Society. Such appointment shall be made in writing, signed on behalf of the governing body of the corporate body.
- 3.6 The Management Committee may divide Members into constituencies, based on geography, the nature of their interest in the society, or any other relevant factor. If Members are divided into constituencies:
- 3.6.1 the Members in each constituency will be able to elect at least one representative from amongst their number to the Management Committee;
 - 3.6.2 no person may be a Member within more than one constituency; and
 - 3.6.3 the Secretary shall make any final decision about the constituency which a Member belongs to.

Cessation of Membership

- 3.7 A person ceases to be a Member of the Society in the following circumstances:
- 3.7.1 they resign in writing to the Secretary;
 - 3.7.2 being an individual, they die;
 - 3.7.3 being a corporate body, they cease to exist;
 - 3.7.4 being a nominee of an unincorporated organisation, the organisation replaces them as its nominee;
 - 3.7.5 they are expelled from membership under the Rules;
 - 3.7.6 the Secretary removes them from the Register of Members, after completing procedures approved by the Management Committee on the grounds that:
 - 3.7.6.1 the Society has lost contact with the Member; or
 - 3.7.6.2 the person no longer wishes to continue to be a Member.
- 3.8 A Member may be expelled by a resolution approved by not less than two-thirds of the members of the Management Committee present and voting at a Management Committee Meeting. The following procedure is to be adopted.



- 3.8.1 Any Member may complain to the Secretary in writing that another Member has acted in a way detrimental to the interests of the Society.
 - 3.8.2 If a complaint is made, the Management Committee may itself consider the complaint having taken such steps as it considers appropriate to ensure that each Member's point of view is heard and may either:
 - 3.8.2.1 dismiss the complaint and take no further action; or
 - 3.8.2.2 for a period not exceeding twelve months suspend the rights of the Member complained of to attend Members' Meetings and vote under the Rules;
 - 3.8.2.3 arrange for a resolution to expel the Member complained of to be considered at the next Management Committee Meeting.
 - 3.8.3 If a resolution to expel a member is to be considered at a Management Committee Meeting, details of the complaint must be sent to the Member complained of not less than one calendar month before the meeting with an invitation to answer the complaint and attend the meeting.
 - 3.8.4 At the meeting the Management Committee will consider evidence in support of the complaint and such evidence as the Member complained of may wish to place before them.
 - 3.8.5 If the Member complained of fails to attend the meeting without due cause, the meeting may proceed in their absence.
 - 3.8.6 A person expelled from membership will cease to be a member upon the declaration by the Chairperson of the meeting that the resolution to expel them is carried.
- 3.9 No person who has been expelled from membership is to be re-admitted except by a resolution carried by the votes of not less than two-thirds of the members of the Management Committee present and voting at a Management Committee Meeting.



4 *Members' meetings*

- 4.1 Every year, the Society shall hold an Annual Members' Meeting, within six months of the close of the financial year.
- 4.2 Any other Members' Meetings are Special Members' Meetings.
- 4.3 The Management Committee (except where otherwise provided in the Rules) convenes Members' Meetings, and decides the date, time and place of any Members' Meeting and of any adjourned meeting.

Annual Members' Meeting

- 4.4 The functions of the Annual Members' Meeting shall include:
 - 4.4.1 receiving from the Management Committee the Annual Accounts for the previous financial year; a report on the Society's performance in the previous year, and plans for the current year and the next year;
 - 4.4.2 receiving from the Management Committee a report on the state of the membership and the Membership Strategy;
 - 4.4.3 appointing any financial Auditors, and external Auditors of any other aspect of the performance of the Society;
 - 4.4.4 declaring the results of elections of those who are to serve on the Management Committee;
 - 4.4.5 Any other business included in the notice convening the meeting.

Special Members' Meetings

- 4.5 Special meetings are to be convened by the Secretary either by order of the Management Committee, or if a written requisition signed by not less than 12 Members or 10% of all Members (whichever is less) is delivered, addressed to the Secretary, at the Society's registered office.
- 4.6 Any requisition must state the purpose for which the meeting is to be convened. If the Secretary is not within the United Kingdom or is unwilling to convene a special meeting, any member of the Management Committee may convene a Members' meeting.
- 4.7 A special meeting called in response to a Members' requisition must be held within 28 days of the date on which the requisition is delivered to the registered office. The meeting is not to transact any business other than that set out in the requisition and the notice convening the meeting.

Notice of Members' Meetings

- 4.8 Notice of a Members' Meeting is to be given at least 14 clear days before the date of the meeting, by notice prominently displayed at the registered office, all of the Society's places of business, and such other places as the Management Committee decides.
- 4.9 The notice must state whether the meeting is an Annual Members' Meeting or Special Members' Meeting, give the time, date and place of the meeting, and set out the business to be dealt with at the meeting.

Procedure at Members' Meetings

- 4.10 Members' Meetings are open to all Members. The Management Committee may invite particular individuals or representatives of particular organisations to attend a Members' Meeting.
- 4.11 Before a Members' Meeting can do business, a minimum number of Members (a quorum) must be present. Except where these Rules say otherwise a quorum is present if 5 Members or 10% of the Members entitled to vote at the meeting (whichever is greater) are present.
- 4.12 If no quorum is present within half an hour of the time fixed for the start of the meeting, the meeting shall be dissolved if it has been requisitioned by the Members. Any other meeting shall stand adjourned to the same day in the next week, at the



same time and place, or to such time and place as the Management Committee determine. If a quorum is not present within half an hour of the time fixed for the start of the adjourned meeting, the number of Members present during the meeting is to be a quorum.

- 4.13 The Chairperson, or in their absence another member of the Management Committee (to be decided by the members of the Management Committee present), shall chair a Members' Meeting. If neither the Chairperson nor any other member of the Management Committee is present, the Members present shall elect one of their number to be Chairperson.
- 4.14 The Chairperson may, with the consent of the meeting at which a quorum is present, and shall if so directed by the meeting, adjourn the meeting from time to time and from place to place. But no business shall be transacted at an adjourned meeting other than the business left unfinished at the meeting from which the adjournment took place. No notice of an adjourned meeting needs to be given unless the adjournment is for 21 days or more.

Voting at Members' Meetings

- 4.15 Subject to these Rules and to any Act of Parliament, a resolution put to the vote at a Members' Meeting shall, except where a poll is demanded or directed, be decided upon by a show of hands.
- 4.16 The Management Committee may introduce arrangements for Members to vote by post, or by using electronic communications.
- 4.17 On a show of hands and on a poll, every Member present is to have one vote. Where postal or electronic voting arrangements have been introduced, every Member who has voted by such method shall also have one vote. In the case of an equality of votes, the Chairperson of the meeting is to have a second or casting vote.
- 4.18 Unless a poll is demanded, the Chairperson of the meeting will declare the result of any vote, which will be entered in the minute book. The minute book will be conclusive evidence of the result of the vote.
- 4.19 A poll may be directed by the Chairperson of the meeting or demanded, either before or immediately after a vote by show of hands, by not less than one-tenth of the Members present at the meeting. The Chairperson of the meeting shall decide how a poll is taken.
- 4.20 Unless these Rules or an Act of Parliament say otherwise, all resolutions are to be decided by a simple majority of the votes cast.
- 4.21 A resolution in writing signed by all the Members for the time being entitled to vote at a Members' Meeting shall be valid and effective as if it had been passed at a Members' Meeting duly convened and held. Such a resolution may consist of several documents in the same form each signed by one or more Members.



5 *Management Committee*

Composition of the Management Committee

- 5.1 The Management Committee shall comprise not less than three and not more than twelve persons, who shall mainly be elected by and from the Members. Not more than one quarter of the Management Committee may comprise persons co-opted by the Management Committee.
- 5.2 If Members are divided into constituencies, the Management Committee shall include persons elected by and from the Members in each constituency, and the Management Committee shall strive to ensure that its composition appropriately reflects the various constituencies.
- 5.3 If the size of the Management Committee falls below three, it may act only for the purpose of calling a Members' Meeting, the business of which shall be the election of new members to the Management Committee, and not for any other purpose.

Elections, appointments and removals

- 5.4 Elected members of the Management Committee hold office for a period commencing immediately after the Members' Meeting at which their election is declared, and ending at the conclusion of the third Annual Members' Meeting after that.
- 5.5 Co-opted members of the Management Committee serve until the next Annual Members' Meeting.
- 5.6 A person retiring from office shall be eligible for re-election or re-appointment.
- 5.7 Elections shall be carried out in accordance with procedures determined by the Management Committee.
- 5.8 Only a Member over the statutory minimum age may be elected or appointed to serve on the Management Committee.
- 5.9 The Management Committee will adopt a code of conduct, and every member of the Management Committee must comply with the terms of such code of conduct.
- 5.10 A member of the Management Committee shall immediately vacate their office if they:
 - 5.10.1 resign their office in writing to the Secretary;
 - 5.10.2 cease to be a Member;
 - 5.10.3 become bankrupt or subject to a disqualification order made under the Company Directors Disqualification Act 1986
 - 5.10.4 are removed from office by a resolution passed by a two-thirds majority of those voting at a meeting of the Management Committee, on the grounds that in the opinion of the Management Committee, they are in serious breach of the Management Committee's code of conduct or have not performed the duties which they agreed to perform or which they could reasonably have been expected to perform and it is not in the interests of the Society that they should continue in office.
- 5.11 The Management Committee shall elect from amongst themselves a Secretary, Chairperson Vice-Chairperson and a Treasurer. These officers shall have such functions as the Rules or the Management Committee specify, and they shall serve until they are removed or replaced by the Management Committee, or until they resign.

Meetings of the Management Committee

- 5.12 The Management Committee shall hold such meetings as it considers appropriate to discharge its roles and responsibilities.



- 5.13 Every meeting of the Management Committee shall be chaired by the Chairperson, or in their absence the Vice-Chairperson, or in their absence another member of the Management Committee chosen by those present.
- 5.14 Three members of the Management Committee shall comprise a quorum.
- 5.15 Members of the Management Committee may be counted in the quorum, participate in and vote at meetings of the Management Committee by telephone, video or other electronic means.
- 5.16 Unless the Rules provide otherwise, in the event of a decision to be made by a vote at meetings of the Management Committee, the decision shall be decided by a majority of votes. Each member of the Management Committee shall have one vote, and in the event of a tied vote, the Chairperson of the meeting shall have a second or casting vote.
- 5.17 A resolution signed by all the members of the Management Committee has the same effect as a resolution validly passed at a meeting of the Management Committee. Each member of the Management Committee may sign a separate copy of the resolution and send a signed copy to the Secretary by email or other electronic means.

Disclosure of Interests

- 5.18 A member of the Management Committee shall declare an interest and shall not vote in respect of any matter in which they, or their spouse or partner or immediate relative, have a personal financial or other material interest. If they do vote, their vote shall not be counted.

Remuneration

- 5.19 Members of the Management Committee are not entitled to any remuneration, but they may be reimbursed for reasonable expenses incurred in connection with the Society's business.

Secretary

- 5.20 The Management Committee appoints and may remove the Secretary, and decides the terms of the appointment and whether any remuneration is to be paid.
- 5.21 A person does not have to be a Member in order to be appointed Secretary, and a member of the Management Committee may be appointed Secretary. However a person employed to carry out other services may not be appointed Secretary.
- 5.22 The Secretary
 - 5.22.1 has the functions set out in the Rules and any other functions which the Management Committee assigns;
 - 5.22.2 acts as Returning Officer at and is responsible for the conduct of all elections described in the Rules;
 - 5.22.3 has absolute discretion to decide any issue or question which the Rules require the Secretary to decide.



6 Reporting

Preparation of Accounts

- 6.1 In respect of each year of account, the Management Committee shall cause Annual Accounts to be prepared which shall include:
- 6.1.1 a revenue account or revenue accounts which singly or together deal with the affairs of the Society as a whole for that year and which give a true and fair view of the income and expenditure of the Society for that year; and
 - 6.1.2 a balance sheet giving a true and fair view as at the date thereof of the state of the affairs of the Society.

Auditors and Audit

- 6.2 At each Annual Members' Meeting where, as a result of the provisions of the Co-operative and Community Benefit Societies Act 2014 the Society has the power to decide not to appoint an Auditor or Auditors to audit its Annual Accounts, a resolution shall be put to the Members to decide whether or not they wish to exercise the power.
- 6.3 Where required by law or the decision of the Members, the Society shall appoint in each year a qualified Auditor or Auditors to be the Auditors, and the following provisions shall apply to them.
- 6.3.1 The accounts of the Society for that year shall be submitted to them for audit as required by the law.
 - 6.3.2 They shall have all the rights and duties in relation to notice of, and attendance and right of audience at Members' Meetings, access to books, the supply of information, reporting on accounts and otherwise, as are provided by the law.
 - 6.3.3 Except where provided in the Rules, they are appointed by the Annual Members' Meeting, and the provisions of the law shall apply to the re-appointment and removal and to any resolution removing, or appointing another person in their place.
 - 6.3.4 Their remuneration shall be fixed by the Management Committee in accordance with the Act.
- 6.4 The Management Committee may fill any casual vacancy in the office of Auditor until the next following Members' Meeting.

Presentation of Accounts

- 6.5 The Management Committee shall present the Annual Accounts and reports of the business and affairs of the Society to the Annual Members' Meetings.
- 6.6 The Management Committee shall lay Annual Accounts before the Annual Members' Meeting showing respectively the income and expenditure for and the state of the affairs of the Society as at the end of the Society's most recent financial year (or of such other period as the Management Committee may decide).

Publication of Accounts and Balance Sheets

- 6.7 Subject to the law, the Management Committee must not cause to be published any revenue account or balance sheet unless it has previously been audited by the Auditors unless the power in 6.2 not to appoint Auditors has been exercised and in its place an audit has been substituted by an accountant's report or lay auditors' report. Every revenue account and balance sheet published must be signed by the Secretary and by two Directors acting on behalf of the Management Committee.

Copy of Balance Sheet to be Displayed

- 6.8 The Society must keep a copy of the last balance sheet for the time being, always displayed in a conspicuous place at its registered office together with the report of the Auditors if appointed.



Annual Return to be sent to Financial Conduct Authority

6.9 The Society must, within the time allowed by legislation in each year, send to the Financial Conduct Authority a general statement in the prescribed form, called the annual return, relating to its affairs during the period covered by the return, together with a copy of:

6.9.1 the Society's financial statements for the period included in the return; and

6.9.2 the report of the Auditors thereon if Auditors have been appointed.

and the most recent annual return of the Society shall be made available to any Member by the Secretary on request in writing free of charge.



7 Change

Alterations to Rules

- 7.1 No new rule shall be made, nor shall any of the Rules be amended, unless it is approved by a two-thirds majority of the votes cast at a Special Members' Meeting.
- 7.2 Notice of such a Special Members' Meeting shall specify the rules to be amended, and set out the terms of all amendments or new rules proposed.
- 7.3 No amendment to any of the Rules and no new rule shall be valid until registered.
- 7.4 The Management Committee may change the situation of the Society's registered office. The Society will send notice of any such change to the Financial Conduct Authority.

Restriction on use

- 7.5 Pursuant to regulations made under the Co-operative and Community Benefit Societies Act 2003:
 - 7.5.1 All of the Society's assets are subject to a restriction on their use.
 - 7.5.2 The Society must not use or deal with its assets except:
 - 7.5.2.1 where the use or dealing is, directly or indirectly, for a purpose that is for the benefit of the community;
 - 7.5.2.2 to pay a Member of the Society the value of their withdrawable share capital or interest on such capital;
 - 7.5.2.3 to make a payment pursuant to section 24 (proceedings on death of nominator), 25 (provision for intestacy) or 26 (payments in respect of mentally incapable persons) of the Industrial and Provident Societies Act 1965;
 - 7.5.2.4 to make a payment in accordance with the Rules of the Society to trustees of the property of bankrupt Members or, in Scotland, Members whose estate has been sequestrated;
 - 7.5.2.5 where the Society is to be dissolved or wound up, to pay its creditors; or
 - 7.5.2.6 to transfer its assets to one or more of the following:
 - (a) a prescribed community benefit society whose assets have been made subject to a restriction on use and which will apply that restriction to any assets so transferred;
 - (b) a community interest company;
 - (c) a registered social landlord which has a restriction on the use of its assets which is equivalent to a restriction on use and which will apply that restriction to any assets so transferred;
 - (d) a charity (including a community benefit society that is a charity); or
 - (e) a body, established in Northern Ireland or a State other than the United Kingdom, that is equivalent to any of those persons.
 - 7.5.3 Any expression used in this Rule which is defined for the purposes of regulations made under section 1 of the Co-operatives and Community Benefit Societies Act 2003 shall have the meaning given by those regulations.

Transfers of Engagements

- 7.6 The Society may, by special resolution passed at a Special Members' Meeting in accordance with the Rules and in the way required by the law, amalgamate with or



transfer its engagements to any society or convert itself into a company. Nothing in this Rule shall entitle the Society to amalgamate with, transfer its engagements to or convert itself into a type of body that is not listed in Rule 7.5.2.6.

- 7.7 The Society may also accept a transfer of engagements and assets from any society by resolution of the Management Committee or of a Members' Meeting, as the Management Committee shall decide.

Dissolution

- 7.8 The Society may be dissolved by an Instrument of Dissolution or by winding up in the way required by the law. If on the solvent dissolution or winding up of the Society there remain, after the satisfaction of all its debts and liabilities and the repayment of the paid-up share capital, any assets whatsoever, such assets shall be transferred in accordance with the provisions above headed "Restrictions on use".
- 7.9 Subject to those provisions, such assets shall be transferred to one or more community organisations that support the objects of the Society chosen by the Members at a Members' Meeting, which may include any society established by the Plunkett Foundation for the purpose of the creation, promotion and development of community-owned enterprises.



8 *Share capital*

- 8.1 The Society has shares of £50 each.
- 8.2 Application for shares shall be made to the Management Committee, and is subject to any maximum permitted by law. Shares shall be paid for in full on application.
- 8.3 The minimum shareholding shall be five share/s. The Society may from time to time make a public share offer, and any such offer may specify a minimum number of shares.
- 8.4 Shares are not transferable except on death or bankruptcy, and are withdrawable at the sole discretion of the Management Committee in accordance with the Rules as follows:
 - 8.4.1 shares may be withdrawn by Members who have held them for a minimum period of three years or such other period as the Management Committee decides;
 - 8.4.2 application for withdrawal shall be made on not less than three months' notice, on a form approved by the Management Committee;
 - 8.4.3 the Management Committee may specify a maximum total withdrawal for each financial year;
 - 8.4.4 All withdrawals must be funded from trading profits, reserves or new share capital raised from Members, and are at the absolute discretion of the Management Committee having regards to the long term interests of the Society, the need to maintain prudent reserves, and the Society's commitment to community benefit. If any withdrawal is to be funded from reserves, the Management Committee must be satisfied that:
 - 8.4.4.1 as a result of such withdrawal there will be no ground upon which the Society could then be found to be unable to pay (or otherwise discharge) its debts; and
 - 8.4.4.2 the Society will be able to pay (or otherwise discharge) its debts as they fall due during the year immediately following the withdrawal.
 - 8.4.5 all withdrawals shall be paid in the order in which the notices were received, up to a maximum total withdrawal specified for the financial year, following which no further withdrawals may be made;
 - 8.4.6 except where a Member intends to terminate their membership, they shall not be permitted to withdraw shares leaving them with less than the minimum required by the Rules;
 - 8.4.7 the Management Committee may waive the notice required for a withdrawal and may direct payment to be made without notice or on such shorter notice as it considers appropriate;
 - 8.4.8 the Management Committee may suspend the right to withdraw either wholly or partially, and either indefinitely or for a fixed period. The suspension shall apply to all notices of withdrawal which have been received and remain unpaid at the time. Where the suspension is for a fixed period, it may be extended from time to time by the Management Committee;
 - 8.4.9 during any period when the right of withdrawal has been suspended, the shares of a deceased Member may, if the Management Committee agrees, be withdrawn by their personal representatives on giving such notice as the Management Committee requires;



- 8.4.10 the Society may deduct such reasonable sum to cover administrative costs of withdrawal from the monies payable to a Member on the withdrawal of shares.
- 8.5 The Society may (but is under no obligation to) pay interest to holders of shares, as compensation for the use of such funds, subject to the following:
- 8.5.1 any payment of interest must be from trading profits and is at the discretion of the Management Committee having regard to the long term interest of the Society, the need to maintain prudent reserves and the Society's commitment to community benefit;
- 8.5.2 the rate of interest to be paid in any year is to be approved by resolution of the Members at the Annual Members' Meeting, and shall not exceed 5% or 2% above the base rate of the Bank of England;
- 8.5.3 the Management Committee may decide that interest shall not be paid in relation to holdings of shares below a minimal level.
- 8.6 On the solvent winding-up of the Society, holders of shares will have no financial entitlement beyond the payment of outstanding interest and repayment of paid up share capital.
- 8.7 In the event that a Member resigns from membership, is removed from the Register of Members, or is expelled in accordance with the Rules, shares held by them at the date of resignation, removal or expulsion shall thereupon become a loan, repayable to the former Member by the Society. The terms of repayment shall be those applying to the withdrawal of share capital set out in the Rules, and notice of withdrawal shall be treated as having been given at the point of resignation, removal or expulsion.



9 Administrative

Purpose, objects and powers

- 9.1 The Society's Purpose is to carry on business for the benefit of the community.
9.2 The Objects of the Society are, in accordance with its Purpose:

The objects of the Society shall be to carry on business for the benefit of the community commencing with the establishment of a village and restaurant together with café and shop facilities.

- 9.3 The Society has the power to do anything which appears to it to be necessary or desirable for the purposes of or in connection with its Objects.
- 9.4 In particular it may:
- 9.4.1 acquire and dispose of property;
 - 9.4.2 enter into contracts;
 - 9.4.3 employ staff;
 - 9.4.4 make use of the services of volunteers;
 - 9.4.5 receive donations or loans free of interest for its Objects.
- 9.5 Any power of the Society to pay remuneration and allowances to any person includes the power to make arrangements for providing, or securing the provision of pensions or gratuities (including those payable by way of compensation for loss of employment or loss or reduction of pay).
- 9.6 The Society shall not accept deposits or conduct any activity that constitutes a 'regulated activity' for the purposes of the Financial Services and Markets Act 2000 and 2012 without first applying for, and obtaining, authorisation for the conduct of any such activity.

Borrowing

- 9.7 Subject to the approval of the Management Committee, the Society may borrow money from its members and others for the purposes of or in connection with its Objects, providing that the amount outstanding at any one time shall not exceed £10,000,000.
- 9.7.1 The Society shall have the power to mortgage or charge any of its property, assets and undertakings, and to issue loan stock, debentures and other securities for money borrowed or for any contracts of the Society or its customers or persons or corporations having dealings with the Society under whatever security or conditions the Management Committee determine are necessary to obtain the capital required to fulfil the society's objects.

Investments

- 9.8 Subject to any restriction imposed by resolution of any Members' Meeting, the Management Committee may invest any part of the capital and funds of the Society in any manner which the Management Committee may from time to time determine.

Books of Account

- 9.9 The Management Committee shall cause to be kept proper books of account with respect to the transactions of the Society, its assets and liabilities, and shall establish and maintain a satisfactory system of control of the books of account, the



cash holdings and all receipts and remittances of the Society in accordance with the law.

Treatment of Profits

- 9.10 The profits of the Society shall not be distributed either directly or indirectly in any way whatsoever among Members, but shall be applied:
- 9.10.1 to maintain prudent reserves;
 - 9.10.2 social payments furthering the objects of the Society;
 - 9.10.3 on expenditure in carrying out the Society's Objects.

Minutes

- 9.11 The Management Committee shall cause proper minutes to be made of all Members' Meetings, meetings of the Management Committee and of any sub-committees. All such minutes shall be open to inspection by any Member at all reasonable times.

Settlement of Disputes

- 9.12 Any dispute, between the Society or an officer of the Society on the one hand and a Member or a person who has for not more than six months ceased to be a Member on the other hand, as to the interpretation of or arising out of the Rules shall (except as otherwise provided in the Rules) be referred, in default of agreement between the parties to the dispute, to a person appointed by the Chief Executive of the Plunkett Foundation, on application by any of the parties. The person so appointed shall act as sole arbitrator in accordance with the Arbitration Act 1996 or the Arbitration (Scotland) Act 2010 and such person's decision shall (including any decision as to the costs of the arbitration) be final.

Register of Members

- 9.13 The Society shall keep at its registered office a register of Members as required by the law. Any Member wishing to inspect the register (or any part of it) shall provide the Society with not less than 14 days' prior notice given in writing to the Secretary at the Society's registered office.

Copies of Rules and Regulations

- 9.14 The Secretary will provide a copy of the Rules to any person who demands it, and may charge a sum (not exceeding the maximum allowed by the law) for providing such a copy.

Directors' and Officers' Indemnity

- 9.15 Members of the Management Committee and the Secretary who act honestly and in good faith will not have to meet out of their personal resources any personal civil liability which is incurred in the execution or purported execution of their functions, save where they have acted recklessly. Any costs arising in this way will be met by the Society. The Society may purchase and maintain insurance against this liability for its own benefit and for the benefit of members of the Management Committee and the Secretary.

Deceased and bankrupt members

- 9.16 Upon a claim being made by the personal representative of a deceased Member or the trustee in bankruptcy of a bankrupt Member, any property to which the personal representative or trustee in bankruptcy has become entitled may be used as the personal representative or trustee in bankruptcy may direct.
- 9.17 A Member may in accordance with the law nominate any person or persons to whom any of their property in the Society at the time of their death shall be transferred, but such nomination shall only be valid to the extent for the time being provided by the law. On receiving satisfactory proof of the death of a Member who has made a nomination the Society shall, in accordance with the law, either transfer or pay the full amount of such property to the person so nominated.



10 *Start-up provisions*

- 10.1 The first Members of the Society shall be those who signed the application for registration.
- 10.2 The first Members shall appoint the first Management Committee who shall serve until the first Annual Members' Meeting.
- 10.3 At the conclusion of the first Annual Members' Meeting, all the members of the first Management Committee shall retire.
- 10.4 Those elected to replace them as members of the Management Committee shall take office immediately after the conclusion of the first Annual Members' Meeting, and the following provisions shall apply to them.
 - 10.4.1 One third of those so elected, who obtained the highest number of votes, shall serve until the conclusion of the fourth Annual Members' Meeting.
 - 10.4.2 One third who obtained the next highest number of votes shall serve until the conclusion of the third Annual Members' Meeting.
 - 10.4.3 The remainder of those elected shall serve until the conclusion of the second Annual Members' Meeting.



11 *Transition provisions*

- 11.1 If these model rules are adopted on a complete amendment of rules, the following provisions shall apply.
- 11.2 Those holding office as elected members of the Management Committee immediately prior to the adoption of these model rules shall continue in office until the next Annual Members' Meeting, and the following will then apply:
- 11.2.1 if, under the rules applying before the adoption of these model rules, members of the Management Committee were elected for a three year term of office, then the elected members of the Management Committee shall serve out the term of office for which they had been elected;
 - 11.2.2 if, under the rules applying before the adoption of these model rules, members of the Management Committee were elected for any other term of office, all elected members of the Management Committee shall retire from office at the conclusion of the next Annual Members' Meeting; elections shall be held before the Annual Members' Meeting to fill the vacancies arising; and the following provisions shall apply:
 - 11.2.2.1 one third of those elected, who polled the highest number of votes, shall serve a three year term of office ending at the conclusion of the fourth Annual Members' Meeting following the adoption of these model rules;
 - 11.2.2.2 one third of those elected, who polled the next highest number of votes, shall serve a two year term of office ending at the conclusion of the third Annual Members' Meeting following the adoption of these model rules;
 - 11.2.2.3 the remainder of those elected, who polled the lowest number of votes, shall serve a one year term of office ending at the conclusion of the second Annual Members' Meeting following the adoption of these model rules.
- 11.3 Those holding office as Chairperson, Vice-Chairperson, and Treasurer immediately prior to the adoption of these model rules shall continue in office until the first meeting of the Management Committee after the next Annual Members' Meeting. At the commencement of that Management Committee meeting, they shall retire from office and the Management Committee shall elect a Chairperson, Vice-Chairperson and Treasurer.
- 11.4 The person holding office as Secretary immediately prior to the adoption of these model rules shall continue in office unless or until replaced by the Management Committee.



Appendix

- 1 The Rules should be read and understood on the basis of what is set out below.
- 2 Words in the singular include the plural, and words in the plural include the singular.
- 3 Any reference to legislation includes any subsequent enactments, amendments and modifications, or any subordinate legislation.
- 4 The section, rule and paragraph headings are inserted for convenience only and shall not affect the interpretation of the Rules.
- 5 The following words and phrases have the special meaning set out below.

“company” a company registered with limited liability under the Companies Act 2006 or any previous Companies Act, or under any law of the country where it is situate whereby it acquires the right of trading as a body corporate with limited liability

“Financial Conduct Authority” Financial Conduct Authority, 25 The North Colonnade, Canary Wharf, London, E14 5HS

“partner” a person living with another in the same household as a couple, irrespective of their sex or sexual orientation

“Plunkett Foundation” Plunkett Foundation, The Quadrangle, Woodstock, Oxfordshire, OX20 1LH

“society” a society registered with limited liability under the Co-operative and Community Benefit Societies Act 2014 or under any law of the country where it is situate whereby it acquires the right of trading as a body corporate with limited liability

- 6 The following words or phrases are introduced in the rule specified in each case.

Words or Phrases	Rule
Annual Members' Meeting	4.1
Annual Accounts	6.1
Appendix	1.7.1
Auditor	6.2
Chairperson	5.11
Management Committee	2.1
Member	2.1
Members' Meeting	4



Membership Strategy	3.1.1
Objects	9.2
Purpose	1.3
Register of Members	3.2
Rules	1.1
Secretary	2.1
Society	1.1
Special Members' Meeting	4.2
Treasurer	5.11
Vice-Chairperson	5.11



Plunkett Foundations Guidance Notes for use of these rules

These Guidance Notes are not part of the Model Rules and are not formulated by the FCA

Using these Model Rules

The use of model rules for the registration of new societies is intended to save costs on application. At the current time (October 2015), an application to register a new society using model rules without any amendments to the model costs £40. The costs increase as the number of amendments to the model increases (between 1 and 6 amendments - £120; between 7 and 10 amendments - £350; 11 or more amendments - £950). Completing blanks in the model (eg inserting the name of the society) does not count as an amendment.

Rule 1.1 Insert the proposed name of the Society. The name, which will include the word "Limited", needs to be available and acceptable, and for guidance on this see:

www.fsa.gov.uk/pubs/forms/MS_change_name_notes.pdf

Rule 1.2 The registered office, which is the place to which all communications and notices to the society may be addressed, must be in Great Britain or the Channel Islands.

Rule 3.3.1 The model rules provide for a minimum age to be specified. Unless a minimum age is stated in the rules, the law presumes that there is no minimum age for members. Where under these rules substantial share capital is to be raised from members, Plunkett Foundation recommends that legal advice is taken if the minimum age is to be lower than 16. Subject to that, it recommends that the minimum age is not lower than 14.

Rule 3.3 It has been suggested that 51% of the total membership should be comprised of local residents. This could be hard to police or enforce. It can be up to the Board to use 'reasonable endeavours' to ensure that at all times at least 51% of members are local.

Rule 5.1 The recommended size of a Management Committee is for a maximum number of 12 members.

Rule 5.8 The statutory minimum age for serving on the Management Committee is currently 16.

Rule 5.9 The Management Committee must adopt a code of conduct. A template code of conduct is set out following these Guidance Notes below, which can be adopted in that form, or amended.

Rule 5.11 Where possible, it is preferable for the Chairperson, Secretary and Treasurer to be elected from amongst the elected members of the Management Committee.

Rule 8

These model rules only provide for withdrawable shares. No member of a registered society may have any interest in the withdrawable shares of the society exceeding £100,000 being the statutory maximum, with limited exceptions

While a society can increase the shareholding limit in its rules to £100,000, it should consider, based on its circumstances and the views of its members, whether it is appropriate to do so.

If a significant proportion of a society's share capital is held by a small number of members, the imbalance could lead to liquidity problems and possibly the risk of destabilisation if the holders wish to withdraw their shares. There is also the risk of undue influence, despite shareholders normally holding equal voting rights.



It is recommended that a society should seek legal advice if it wishes to amend these model rules to permit shares that are not withdrawable.

Rule 9.6 A deposit for the purpose of 9.6 is referring to deposits as defined by regulation 5 of the Financial Services and markets Act 2000 (Regulated Activities) order 2001. The definition of the Order classes deposits as either:

- Money received that is lent to other; or
- Money used to finance to a material extent any other activity of the deposit taker.

Our advice is that this excludes reverse credits.

Rule 10 These provisions apply where these model rules are adopted upon first registration. Where that is not the case, these provisions should be deleted.

Rule 11 These provisions apply where these model rules are adopted on a complete change of rules. Where this is not the case, these provisions should be deleted.



Template code of conduct

(this template is not part of the model rules)

CODE OF CONDUCT FOR MEMBERS OF THE MANAGEMENT COMMITTEE OF [] (“THE SOCIETY”)

Approved and adopted by the Management Committee on []

1 Purpose of this document

- 1.1 This document sets out the standard of personal behaviour and conduct required of Committee Members. It is the Code of Conduct referred to in the Rules of the Society.
- 1.2 The Management Committee approved this Code of Conduct on the date set out above. As a condition of remaining a member of the Management Committee, all Committee Members agree to comply with this Code of Conduct.
- 1.3 A material breach of this Code of Conduct may result in removal from the Management Committee, as provided in the Rules.

2 Qualification and eligibility to be a Committee Member

- 2.1 The Rules set out the criteria by which an individual is qualified and eligible to be a Committee Member. A Committee Member shall notify the Chairperson immediately on becoming aware that they no longer fulfil, or may no longer fulfil any of these criteria.

3 Legal duties of Committee Members

- 3.1 Duty to obey the law and comply with the Rules
 - 3.1.1 In carrying out their role, Committee Members are required to obey the law, and to comply with the Rules.
 - 3.1.2 If in any doubt about this on any particular matter, a Committee Member should in the first place seek advice from the Chairperson.
- 3.2 Duty of good faith
 - 3.2.1 Committee Members are required at all times to be truthful and honest with each other, and with any other people with whom they have any contact as a Committee Member.
 - 3.2.2 Committee Members are required at all times to act in the best interests of the Society. They have a responsibility to make known the views, concerns and aspirations of those whom they have been elected to represent; but any decision they make must be made in what each Committee Member honestly believes to be the best interests of the Society.
 - 3.2.3 Committee Members owe a duty of undivided loyalty to the Society, which includes the following features.



Conflict of interest

- 3.2.3.1 Committee Members must not allow themselves to be in a situation where any other interest which they have comes into conflict with their duty as a Committee Member.
- 3.2.3.2 Committee Members must disclose or declare any interest as required by the Rules. If in any doubt about whether an interest should be disclosed or declared, a Committee Member should consult the Chairperson.

Gifts, benefits, discounts and hospitality, and use of suppliers

- 3.2.3.3 Committee Members must not use their position as Committee Member to secure any personal advantage.
- 3.2.3.4 Committee Members must not receive any personal benefits from suppliers or other third parties.

Confidentiality

- 3.2.4 Committee Members must treat any information which they receive as confidential, and must not disclose it to any third party without the express permission of an authorised representative of the Society.

Collective responsibility

- 3.2.5 Committee Members have a duty to support any decision of the Management Committee, whether or not they agree with or voted in favour of it.

3.3 Duty to be careful

- 3.3.1 Committee Members have a duty to take such care in carrying out their responsibilities as a reasonable person would take in relation to their own affairs.
- 3.3.2 This includes attending meetings, preparing in advance for meetings by reading papers, asking for advice when it is needed, and attending any training provided by the Society.



4 **Standards of behaviour**

- 4.1 Committee Members are required at all times to treat each other, and any other people with whom they have any contact as a Committee Member, with dignity, respect and fairness.
- 4.2 Committee Members should at all times work co-operatively with any employee or volunteer, and strive to make the governance arrangements work for the best interests of the Society.
- 4.3 Committee Members must not bring the Society into disrepute.

5 **Non-compliance with this Code of Conduct**

- 5.1 If a Committee Member commits a serious breach of this Code of Conduct, it may result in removal by resolution of the requisite majority of the remaining Committee Members, as required by the Rules.
- 5.2 Before any resolution to remove a Committee Member may be considered by the remaining Committee Members at a meeting:
 - 5.2.1 full details of the alleged material breach shall be put in writing, together with details of the grounds upon which it is considered not to be in the best interests of the Society for them to continue as a Committee Member, and sent to the Committee Member concerned to be received not less than 14 days before the meeting;
 - 5.2.2 the Committee Member shall be given the opportunity to respond, in writing or in person at the meeting.

Grant Funding proposal for NLCP Limited Community Shop

1. Introduction / Overview

a. Brief history / background

The New Inn at Norton Lindsey has been the village pub since the 18th century and is the only pub in the village. Since 2012 four different tenants had failed to make a success of the pub for the then owner Enterprise Inns who decided to put the freehold of the New Inn up for sale in June 2016 and it was subsequently closed at the end of July 2016.

In August 2013 the Norton Lindsey Parish Council was successful in listing the New Inn as an Asset of Community Value (ACV) under the Localism Act 2011. In July 2016, following two very well attended village meetings at which the community gave their overwhelming support to saving the pub, the Parish Council submitted their Expression of Interest to submit a bid to buy the pub, in line with the ACV regulatory procedure. This consequently triggered a 6-month moratorium period until 8th December 2016 during which time Enterprise Inns could not sell the property to anyone other than a community group.

A Steering Group was set up in late July to oversee the work to save the pub and they registered a Community Benefit Society (CBS) called Norton Lindsey Community Pub Limited (NLCP) Registered Number 7412 to submit a formal bid to Enterprise Inns to buy the pub. A Business Plan (attached) was prepared in October and a Share Offer (attached) was launched in November to raise the necessary funds to acquire the pub. After an intense fundraising effort, sufficient funds were secured from both the local and wider community which enabled the acquisition of the freehold of the New Inn to be completed by NLCP on 12th December 2016.

b. Current position

Since the acquisition of the New Inn on 12th December 2016, the Steering Group have started to implement the Business Plan. The first activities are the remedial works and preparation of the bar, kitchen and cellar areas to be suitable to begin trading, and the refurbishment of the upstairs accommodation prior to the appointment of a Manager. All these areas had suffered neglect and deterioration under the previous freeholder and the remedial works were identified as essential and post-acquisition funds were allocated accordingly in the Business Plan. These works are scheduled to take three months with the target being to reopen the New Inn at the beginning of April 2017.

With a 'trial' café morning held during the week before Christmas having been a resounding success, the detailed planning for the provision of café facilities within the bar area is currently underway. The minor works anticipated will be carried out in parallel with the bar works mentioned above.

The provision of a community shop was a clear objective within the Business Plan and it was envisaged that one of the existing outbuildings (previously used as a garage) could be used for this purpose at little or no cost. However recent detailed inspection of the outbuilding has shown that the building is in poor condition and would not be suitable for storing grocery items. With no alternative space to house a shop on the New Inn site, we have established that the installation of a timber building is the most cost effective, simple and low risk way of providing such a facility.

c. Aims & objectives

The pub-hub, of which the community shop is an integral part, will work to build on the social cohesion of the community, minimise social isolation and help to bridge gaps between social groups and different generations. It will be a place where informal networking can take place, helping to shape the economic future of the businesses within the community, and will be a comfortable place to be for everyone.

Key outcomes would be:

- providing additional services and facilities not currently available in the village e.g. shop, parcel and dry cleaning pick up & drop off,
- providing a hub to strengthen the sense of community
- enabling the elderly and those with transport or mobility problems easy access to essential grocery items
- creating opportunities for employment
- injecting money into the local economy

d. Planned development

The Business Plan envisaged the New Inn pub transforming into a community hub with the addition of additional facilities and services such as a shop, café, parcel and dry cleaning drop-off & collection, children's play area, book exchange, micro-brewery. In the future, if finances allow, further enhancements to the pub and its facilities are envisaged.

e. Management / governance and organisation

Norton Lindsey Community Pub Limited is a Community Benefit Society and is registered with the Financial Conduct Authority. It was set up with the aim of purchasing the New Inn and reviving it for the benefit of the community, the people that live or work in the area or visitors that pass through.

The Rules of the Society (attached) state that the Society exists in order to carry on business for the benefit of the community. The rules on Governance are detailed in Clause 2 of the Rules and these state that the Management Committee manages the affairs of the Society. Clause 5 of the Rules details the composition and duties and responsibilities of the Management Committee. The seven members of the initial Steering Group will form part of the initial Management Committee for continuity reasons, with three co-opted members making up the balance in due course. The biographies of the seven Steering Group members are detailed in Section 4 of the Business Plan.

2. Project Proposal

a. Description of project

This project seeks to provide a suitable facility with the appropriate space and environment to operate a small community shop within the site of the New Inn. This will be achieved by installing a purpose built 'farm shop' style timber building (see example photos in Appendix 1) on the site of an old block built outbuilding that is in poor condition and requires demolition.

b. Rationale for project; evidence that supports the need for the project

In the original Business Plan for the acquisition of the New Inn, the vision for the pub was to make the New Inn the hub of the village, a pub providing facilities and services that bring the community together, in other words 'making the pub the social hub of the village'. This vision was clearly supported and endorsed by the community given the overwhelming success of the Share Offer which raised sufficient funds to enable the community to proceed with the acquisition of the pub.

c. Phases / works programme

The project will be split into six stages:

1. demolition of one existing outbuilding
2. preparation of new concrete base
3. installation of purpose built timber building
4. installation of services
5. installation of insulation, flooring and building systems
6. fit-out as community shop

Assuming no delay in the supply of the timber building, it is proposed that from commencing stage 1 the project works will take 4 weeks.

d. Key partners

We are in discussion with Snitterfield Stores regarding running a satellite of their store in our new facility at the New Inn. They would deal with all aspects of stocking and staffing. Apart from leveraging their considerable experience of

running a successful village shop to increase the chance of our success and reduce the commercial risk to NLCP, the arrangement would also provide us with a small profit share to our business.

We intend to purchase our timber building from Warwick Buildings, a successful local company, and as much of the other materials from local businesses as possible. We will also use local tradesmen to carry out the works required in stages 1, 2, 4, 5 & 6. This will ensure that as much of the grant funding as possible is directed into the local economy.

e. Milestones

1. submit grant funding application to WDC: 13th January
2. gain approval for grant funding from WDC: ???
3. place order for purchase and installation of timber building: approval + 1 week
4. place contracts for stages 1 & 2: approval + 1 week
5. demolition and new concrete base complete: approval + 2 weeks
6. delivery and installation of timber building: approval + 4 weeks
7. place contracts for stage 4 & 5: approval + 1 week
8. installation of services complete: approval + 5 weeks
9. installation of insulation, flooring and building systems: approval + 5 weeks
10. place contract for stage 6: approval + 3 weeks
11. completion of fit-out: approval + 6 weeks
12. community shop opening: approval + 7 weeks

f. Outcomes

The NLCP Social Impact Plan (attached), details the Outcome of providing a shop as:

The village has a large number of elderly residents and poor public transport. The creation of a local shop will give them a source of essential items. It will also prevent other villagers having to travel to shops outside the village to pick up essentials thus helping the environment by reducing the amount of miles covered. The shop will also increase employment within the area as it will have to be staffed.

3. Marketing and Promotion

a. Description of current marketing plan

Our aim is to make the New Inn the hub of the village, a pub providing facilities and services that bring the community together. In addition to its role as a village pub it is proposed that the New Inn would incorporate a café and a shop and would provide several other facilities to local residents, the wider rural community, and visitors of all ages.

As a new community enterprise the pub will quickly attract local users from its former customer base, plus with over 200 local shareholders in NLCP, they will be even more committed to using the pub themselves and to bringing their friends and family with them.

We believe that as the pub becomes more of a hub with the addition of the café and the shop there will be considerable 'self-marketing' as customers visiting one facility are attracted to using one of the other facilities whilst there. We would expect this 'cross fertilisation' to increase as the 'footfall' to the pub-hub grows.

b. Future service offer options; market definition, community need, target audience

To provide input to the NLCP Business Plan during the pub acquisition phase, the Steering Group conducted a survey of the village (1) to identify the anticipated usage of possible services within the pub-hub and (2) to determine the age banding of residents. The results of the survey were as follows:

Age Groups in Norton Lindsey	% of village
0-7	12%
8-17	14%
18-25	6%
26-35	6%
36-45	13%
46-55	13%
56-65	16%
66-80	15%
81-85	3%
85+	3%

	Daily	2-3 times week	Weekly	Every 2 Weeks	Every Month	Every 3 Months	Every 6 Months	Less Often	Never
Pub	6%	19%	30%	18%	12%	8%	3%	4%	0%
Restaurant	0%	3%	12%	25%	37%	20%	2%	1%	0%
Shop	3%	43%	35%	4%	5%	2%	2%	6%	1%
Café	2%	8%	28%	20%	13%	5%	4%	8%	12%
Parcel Drop Off/Collect	1%	5%	17%	7%	25%	13%	11%	9%	12%

Looking at the breakdown of ages in households responding to our survey, 37% are aged over 56 with 21% being over 66 and it is for these residents, who are more likely to have mobility / transport problems, that a community shop would provide such a vital service. This assertion is supported by the survey response that 46% would use the shop at least 2 to 3 times a week (highlighted yellow in the table above), which equates to about 165 visits a week, demonstrating a clear need for this facility. This level of 'footfall' could well increase as people come to use the shop for additional purchases rather than just emergency items.

In addition, the range of services the shop can offer could be extended to include drop-off / collection of parcels and dry cleaning, both services returning positive feedback in the community survey.

- c. Competition;** similar service offerings within the local area, within the district, within the county

A mix of value and high-end supermarkets are available in Warwick and Stratford-on-Avon with village shops available in Snitterfield and Claverdon. However we believe that there is a need to provide essential items for people (milk, bread etc.) for when people run out, saving them having to get into their cars to get these items or indeed possibly having to do without them.

- d. Community engagement;** consultation, involvement with the organisation

The local community have been consulted and have shown strong support for the provision of a community shop (see 3b). There are 226 investors (members) in NLCP, most whom are from the local community, which gives a very broad base of support for the pub-hub concept and its consequent success.

- e. Planned marketing activities;** be as specific as possible, include timescales and milestones

We believe that as the pub becomes more of a hub with the addition of the café and the shop there will be considerable 'self-marketing' as customers visiting one facility are attracted to using one of the other facilities whilst there. We would expect this 'cross fertilisation' to increase as the 'footfall' to the pub-hub grows.

To ensure that our product and service offering is well publicised we intend to continue using the web and social media based marketing and communication platform (emails, website, Facebook, Twitter etc) that was tried, tested and proven in the very successful pub acquisition phase of NLCP's Business Plan.

- f. Agreements already in place;** note any specific future usage agreements / bookings / hiring's already agreed

We are in discussion with Snitterfield Stores regarding running a satellite of their store in our new facility at the New Inn. They would deal with all aspects of

stocking and staffing. Apart from leveraging their considerable experience of running a successful village shop to increase the chance of our success and reduce the commercial risk to NLCP Ltd, the arrangement would also provide us with a small profit share to our business.

4. Financial Plan

- a. Present financial situation;** financial summary to include income/expenditure figures and profit/loss

The New Inn has been closed since the end of July 2016 and is not currently trading. Our intention is to complete the necessary remedial and preparation works and recruit a manager and chef in order to be able to reopen the New Inn at the beginning of April 2017.

In the period post acquisition through to reopening, the remedial and preparation works and initial working capital costs were identified and funding for these was provided within the Business Plan (see Section 9.1.2).

- b. Estimated project costs**

<u>Stage</u>	<u>Item</u>	<u>Cost</u>
1	demolition of one existing outbuilding (previously used as a garage and now in poor condition)	£1,250
2	preparation of new concrete base	£2,750
3	purchase & installation of purpose built 8m x 4m 'farm shop' style timber building with double glazing	£16,000
4	installation of services eg. power, lighting, water, etc	£3,000
5	installation of wall and ceiling insulation, air conditioning unit, burglar alarm system and floor tiling	£8,000
6	fit-out as community shop eg. shelving, till point, chiller cabinets / freezers, hand wash sink etc	£4,000
	Contingency @ 10%	£3,500
	TOTAL	£38,500

- c. Funding plan;** to include details of the status of the funding

Within the original Business Plan for the acquisition of the New Inn it was envisaged that one of the existing outbuildings could be used to house the

community shop and hence no funding provision was included. With no alternative space to house a shop on the New Inn site and with no available funding within NLCP to provide an alternative facility, we require external funding in order to proceed with the provision of a community shop.

d. Income & expenditure forecast; cover the next three-year period

The financial projections for the New Inn pub-hub are shown in Section 9 of the Business Plan with Section 9.5 detailing the projected Profit & Loss and the Balance Sheet for the first three years of trading.

In order to financially and operationally de-risk the provision of a community shop we are in discussion with Snitterfield Stores regarding running a satellite of their store in our new facility at the New Inn. They would deal with all aspects of stocking and staffing and the arrangement would provide us with a small profit share to our business (shown in the Business Plan tables in Section 9 as 'Profit Share'). This solution provides us with the social benefits of the community shop facility whilst minimising any financial risk to NLCP.

g. Sensitivity analysis; impact of variances in income on the on-going business plan (for example; if projected income does not materialise, or delays to the project, what will the impact be and what will that mean for the organisations finances)

Our intended arrangement with Snitterfield Stores where they will run a satellite of their store in our new facility at the New Inn is at their financial risk. They would provide us with a small profit share to our business (shown in the Business Plan tables in Section 9 as 'Profit Share').

This solution provides us with the social benefits of the community shop facility whilst minimising any financial risk to NLCP since the quantum of the 'Profit Share' is not material to the viability of the New Inn pub-hub Business Plan.

Any delays to the project would likewise have an immaterial impact on the viability of the New Inn pub-hub Business Plan, however it would have a significant negative impact on the social benefits.

5. Risks and Issues

a. Risk register; list individual risks (for example; project stages overrun, overspends, planning permission is refused), the risk level (low, medium, high) and the mitigation (actions) to reduce the risk

1. Planning permission:

Since the New Inn is designated an Asset of Community Value (ACV), Permitted Development Rights (PDR) are suspended. However, because the community now own the New Inn we are currently investigating whether the ACV status can be removed, thus reinstating PDR which we understand would allow us to proceed with this project without the need for planning

permission. If this is not the case we would need to make a planning application which would introduce some delay to the project timescale but this has LOW impact on the project's financial viability, with the risk of planning permission being refused also being seen as LOW.

2. Cost overrun:

The majority of the purchases and works required are straightforward and will be contracted on a known and fixed price basis. The risk of cost overrun is therefore regarded as LOW, particularly with the provision of a 10% contingency included in the project funding requirement.

b. Issues log; areas that are prerequisites for the project to go ahead / succeed (for example; access to systems / ICT technology requirements, cash flow whilst waiting for grants to be awarded, facilities management)

1. Project management of works:

Within the village we have many people with skills and experience that are prepared to volunteer their services. One such person is already acting as project manager for the remedial and preparation works that are underway. It is envisaged that this person, possibly with some support from additional volunteers, would be able to project manage this project in parallel with the current works.

2. Cash flow:


Whilst NLCP has sufficient cash to fund the start-up costs and working capital requirement for the reopening of the pub, it will only have limited cash headroom and therefore it is not possible to start this project until grant funds are approved and the cash is available.

Appendix 1



Group Name: Norton Lindsey Community Pub Ltd
Date: November 2016

No	PROPOSAL	IMPACT	OUTCOMES	METRIC	MEASURE	FREQUENCY	POWER TO CHANGE CHARITABLE OBJECTIVE	COST	LEAD	DELIVERY	NOTES
1	Introduce a café into the pub	Reduce social isolation, create greater village cohesion and attract more revenue	The café will provide an 'always open' meeting place for members of the village. It is intended that this will assist in the development of friendship circles. The café will extend the service provided by the pub outside of traditional trading hours, offering a wider range of drinks, food, and opportunity for social interaction. This will extend the reach of the current customer base to include parents with babies / small children, parents collecting their children from School and older residents based in the village and it will also be the focal point for social/hobby gatherings such as book clubs, language clubs, etc. In this way business will be enhanced, additional opportunities will be created for employment, work experience and volunteering, and community engagement will be extended.	Number and size of transactions	Conduct surveys, obtain feedback from users of the café, analyse management Accounts	Quarterly	Reduce social isolation	£5,000	Alex Mellon (Operations Lead)	01/04/2017	
2	Introducing bicycling facilities	Attract in passing trade	The village is on a number of cycle routes and experiences a large number of cyclists throughout the year - especially on Saturdays and Sundays. By offering basic cycling facilities that tie in with the café we anticipate an increase in trade from these enthusiasts. By becoming a cycle friendly stop we would expect more cycle groups to be attracted. Cycle friendly stop off points are sparse in this part of Warwickshire.	Number of cyclists whom attend	Loyalty card scheme, Conduct survey	Ongoing Quarterly	Enable greater community cohesion	£1,000	Luvy Boyes (communications leader)	01/04/2017	
3	Introducing a restaurant	Providing a local facility for people to get value for money nutritious food.	The village has poor transport and it can be difficult for residents, who cannot or will not cook, to source a good quality meal without their own transport. The restaurant will be available for these people and will have particular use for the more elderly residents of the village 6% of whom are over 80 years old. By having a restaurant nutritious and good quality food will be available to all the residents. The establishing of the restaurant will also increase employment in the area as it will require a full time chef, and part-time service staff.	Number of meals served	Conduct surveys, obtain feedback from users and analyse management Accounts	Quarterly	Increase employability	Part of initial business plan	Alex Mellon (Operations Lead)	01/04/2017	
4	Introduce a food takeaway facility into the pub	Provide a source of good quality and value for money food to the occupants of the village and neighbouring area.	The village has a number of elderly residents and poor public transport. The creation of the takeaway service will give them a source of good nutritious food. It will also prevent other villages having to travel to other food outlets thus helping the environment by reducing the amount of miles covered.	Number of meals served	Conduct surveys, obtain feedback from users and analyse management Accounts	Quarterly	Improve health and wellbeing	Part of initial business plan	Alex Mellon (Operations Lead)	01/04/2017	
5	Local sourcing of consumable	To develop a unique selling point for the inn and to put more money into the local economy	Where possible consumables will be sourced from within Warwickshire. This will extend to 1) Sourcing food from local stockists - such that the retailer and the grower will increase their returns (e.g. butchers - farmers, etc) 2) Sourcing beer from Warwickshire Breweries - where possible from smaller independent breweries of real ale. Therefore assisting in putting their businesses on a firmer footing and increasing their returns. 3) Sourcing the coffee from a local roaster to, again, assist them in their sustainability. All these activities will put more money back into the local economy and contribute towards more local employment, etc.	Items bought from within Warwickshire	Invoices with Warwickshire post codes	Quarterly	Foster greater community pride and empowerment	£0	Amy Birch (fundraising lead)	01/04/2017	
6	Introduce a village shop	Provide a local source of commodities and prevent travel for villagers	The village has a number of elderly residents and poor public transport. The creation of a localshop will give them a source of essential items. It will also prevent other villagers having to travel to shops outside the village to pick up essentials thus helping the environment by reducing the amount of miles covered. The shop will also increase employment within the area as it will have to be manned.	Footfall and number of items bought	Accounts	Quarterly	Create better access to basic services	£0	Greg Judd (Property Team Leader)	01/04/2017	The shop will be financed by a shop owner from another village as this will be a satellite venture run on a profit share basis
7	Use of volunteers to help in the café	Encourage local residents to be part of the community hub	By encouraging local residents to volunteer their time to help in the New Inn hub they will feel more engaged in its success	Number of volunteers	HR records	Monthly	Foster greater community pride and empowerment	£0	Amy Birch (fundraising lead)	01/01/2017	We will use volunteers from day one
											Please select from the drop down box

 EXECUTIVE – 8th March 2017		Agenda Item No. <h1 style="text-align: center;">13A</h1>
Title	Procurement Exemptions – CIL Viability and Retail Planning	
For further information about this report please contact	David Barber Dave.Berber@warwickdc.gov.uk Policy and Project Manager 01926 456065	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	N/A	
Background Papers	N/A	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes (ref 832)
Equality Impact Assessment Undertaken	Yes

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	14/2/17	Bill Hunt
Head of Service	06/2/17	Tracy Darke
CMT	14/2/17	Chris Elliott/Bill Hunt/Andy Jones
Section 151 Officer	14/2/17	Mike Snow
Monitoring Officer	14/2/17	Andy Jones
Finance	13/2/17	Mike Snow
Portfolio Holder(s)	15/2/17	Cllr Stephen Cross
Consultation & Community Engagement		
N/A		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 This report seeks approval for an exemption to the procurement policy to allow the extension of these contracts for a year

2. **Recommendations**

- 2.1 That Executive agree to the Extension of the CIL Viability Contract until 30th November 2017
- 2.2 That Executive agree to the Extension of the Retail Planning Consultancy Contract until 30th October 2017 and the Retail Planning Consultancy Contract until

3. **Reasons for the Recommendations**

- 3.1 Recommendation 2.1: This contract has been in place since November 2012. During the contract period a CIL viability assessment was undertaken with a number of subsequent updates to reflect changing market conditions. These assessments form the core evidence base to support the CIL Charging Schedule. It is anticipated that this schedule will be adopted during 2017.
- 3.2 Initially, it was anticipated that the CIL Scheme would be in place prior to the end of the contract. However as it is difficult to implement CIL ahead of the adoption of the Local Plan, delays to the Local Plan have meant that the adoption of CIL has also been delayed.
- 3.3 As a result, it is necessary to extend the current contract until the adoption of the CIL Scheme. This will allow the contractors to provide specialist technical advice on representations made during the consultation period and, if necessary, to appear at the CIL Examination Hearing. It is therefore proposed to extend the contract until 30th November 2017.
- 3.4 After that time it is anticipated that there will be a significantly reduced need for ongoing advice relating specifically CIL viability and that any advice that is required can be accommodated within the existing contract for the viability of development proposals with Jones Laing Lasalle.
- 3.5 Recommendation 2.2: This contract has been in place since October 2012. During the contract period a comprehensive retail study has been undertaken to inform the retail allocations and policies in the new Local Plan. The providers have also provided regular retail advice for planning applications.
- 3.6 During 2017, Development Services will be carrying out a new procurement exercise for this service. However, as the current contractors have been instrumental in supporting the development of the Local Plan, it is suggested that the current contract is extended to a date by which Local Plan adoption is likely to have been achieved. This approach will not only ensure the Local Plan policies are robustly justified, but will also provide continuity of the services to support the Development Management function until such a time that a new contract is in place.

3.7 In summary, as the adoption of the Local Plan has taken longer than envisaged when this contract was procured in 2012, the contract needs to be extended to ensure consistency and continuity until the Plan is adopted.

4. **Policy Framework**

4.1 **Fit for the Future** – the contracts support the adoption of the Local Plan and CIL respectively and also play a role in helping to deliver good development through the Development Management process. Retaining these contracts for a limited period of time is therefore closely aligned with the Council's vision of the District as a great place to live, work and visit.

4.3 **Impact Assessment:** In 2012, both contracts were let in accordance with Code of Procurement Practice to ensure that fair opportunities were provided to all parties. Further, the contracts have ensured that the practices of the contractors comply with the Council's policies. The extension of the contract is not therefore expected to unduly impact on any particular groups.

5. **Budgetary Framework**

5.1 There are no specific costs associated with extending either contract as any work required through the contract will be provided on a day-rate basis. Where further work is required through the contracts, this will be funded as follows:

- a) CIL viability: within the budget agreed by Executive in June 2016 for the adoption of the Local Plan and CIL
- b) Retail consultancy: from the Development Management budget to support the full assessment of planning applications

6. **Risks**

6.1 There are no risks arising from the recommendations. However, if it was decided not to extend the contracts, there are possible risks as follows:

- a) Adoption of CIL: CIL viability is highly technical. During the current CIL consultation, it is likely that representations will be made that require specialist analysis to ensure they are fully understood and addressed. Failure to do this could put the adoption of the CIL scheme at risk or could leave it more vulnerable to the Inspector requiring modifications
- b) advice and evidence to support assessment of retail-related planning applications: assessing retail-related planning applications requires technical expertise regarding the national local retail market. This is particularly important in resisting out of town retail applications. Without a contract in place there is a risk that high quality technical advice to support the Council's decisions will not be available thereby increasing the risk of losing appeals.

7. **Alternative Option(s) considered**


7.1 Ideally these two contracts would have been subject to a procurement exercise prior to end of the contracts. However this has not been possible due to the pressure to achieve Local Plan adoption as quickly as possible.

7.2 In the case of the CIL viability advice contract, the only alternative option is therefore to proceed through the CIL Examination without expert advice on

viability. For the reasons set out above, this is not considered to be appropriate.

7.3 In the case of the Retail Consultancy contract, it would be possible to instigate a new procurement exercise now, thereby minimising the length of the gap between contracts without extending the existing contract. However this is considered to be a less desirable option for the following reasons:

- Until the Local Plan is adopted, it is appropriate to ensure retail evidence and advice is consistent with the advice provided for plan preparation. This is best achieved by extending the contract until towards the end of 2017.
- As this is an important contract that will have implications for the quality of planning decisions for years to come, it is considered important to undertake a thorough procurement process and that ample time is allowed for this
- This option would leave the Council vulnerable if an important retail application was submitted in the meantime.

 Executive – 8th March 2017		Agenda Item No. <h1 style="text-align: center;">13B</h1>
Title	Rural/Urban Capital Improvement Scheme (RUCIS) Application	
For further information about this report please contact	Jon Dawson Finance Administration Manager 01926 456204 email: jon.dawson@warwickdc.gov.uk	
Wards of the District directly affected	Norton Lindsey, Barford, Old Milverton & Blackdown, Warwick West, Kenilworth, Stoneleigh	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	N/A	
Background Papers	RUCIS Scheme details. RUCIS Application file no. 219 to 221 and file no. 222 to 224; correspondence with applicants.	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	Yes

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	20.2.17	Chris Elliott
Head of Service	20.2.17	Mike Snow
CMT	20.2.17	Chris Elliot, Bill Hunt and Andy Jones
Section 151 Officer	20.2.17	Mike Snow
Monitoring Officer	20.2.17	Andy Jones
Finance	20.2.17	Mike Snow
Portfolio Holder(s)	20.2.17	Cllr Whiting
Consultation & Community Engagement		
Community Partnership Team and Manoj Sonecha (Active Communities Officer); Copy of report forwarded 9 th February 2017.		
Final Decision?	Yes/No	
Suggested next steps (if not final decision please set out below)		

1. **Summary**

1.1 This report provides details of six Rural/Urban Capital Improvement Scheme grant applications:

- Norton Lindsey and Wolverton Cricket Club to create a 2 bay outdoor practice net and install an underground power supply from the pavilion to the nets for use of a bowling machine
- Barford, Sherbourne and Wasperton Joint Parish Council to install a rubber mulch all-weather surface around the toddler's play area, public seating and recreational area on the village green
- Old Milverton Parish Room to provide a new flat roof to replace the existing roof which is at the end of its life span
- Warwick Cricket Club to purchase 2 new mowers to replace the existing mowers which are at the end of their life span
- Kenilworth Wardens Cricket Club to repair and refurbish the 3 lane outdoor practice nets which are nearing the end of their life span
- Stoneleigh Village Hall to provide 3 new UPVC doors, create an outdoor patio area and redecorate the hall interior

2. **Recommendation**

2.1 It is recommended that the Executive approves:

Norton Lindsey and Wolverton Cricket Club

A Rural/Urban Capital Improvement Grant from the rural cost centre budget for Norton Lindsey and Wolverton Cricket Club of 50% of the total project costs to create a 2 bay outdoor practice net and install an underground power supply from the pavilion to the nets for use of a bowling machine, as detailed within paragraphs 1.1, 3.2 and 8.1, up to a maximum of £17,061 including vat, subject to receipt of the following:

- Written confirmation from Norton Lindsey Parish Council to approve a capital grant of £5,000 (if the application is declined or a reduced amount is offered the budget shortfall will be covered by the Club's cash reserves which have been evidenced through their annual accounts)
- Written confirmation from the England Cricket Board to approve a capital grant of £10,000 (or if declined, or a reduced amount is offered, an alternative capital grant provider)
- Written confirmation from Heart of England Community Fund to approve a capital grant of £2,000 (if the application is declined or a reduced amount is offered the budget shortfall will be covered by the Club's cash reserves which have been evidenced through their annual accounts or alternatively another capital grant provider)

As supported by appendix 1.

Barford, Sherbourne and Wasperton Joint Parish Council

A Rural/Urban Capital Improvement Grant from the rural cost centre budget for Barford, Sherbourne and Wasperton Joint Parish Council of 50% of the total project costs to install a rubber mulch all-weather surface around the toddler's play area, public seating and recreational area on the village green, as detailed within paragraphs 1.1, 3.2 and 8.2, up to a maximum of £5,387 excluding vat.

As supported by appendix 2.

Old Milverton Parish Room

A Rural/Urban Capital Improvement Grant from the rural cost centre budget for the Old Milverton Parish Room of 80% of the total project costs to provide a new flat roof, as detailed within paragraphs 1.1, 3.2 and 8.3, up to a maximum of £4,603 including vat.

As supported by appendix 3.

Warwick Cricket Club

A Rural/Urban Capital Improvement Grant from the urban cost centre budget for Warwick Cricket Club of 80% of the total project costs to purchase 2 new mowers, as detailed within paragraphs 1.1, 3.2 and 8.4, up to a maximum of £7,520 including vat, subject to receipt of the following:

- Written confirmation from Warwick Town Council to approve a capital grant of £675 (if the application is declined or a reduced amount is offered the budget shortfall will be covered by the Club's cash reserves which have been evidenced through their annual accounts)

As supported by appendix 4.

Kenilworth Wardens Cricket Club

A Rural/Urban Capital Improvement Grant from the urban cost centre budget for Kenilworth Wardens Cricket Club of 80% of the total project costs to repair and refurbish the 3 lane outdoor practice nets, as detailed within paragraphs 1.1, 3.2 and 8.5, up to a maximum of £6,228 excluding vat, subject to receipt of the following:

- Written confirmation from Kenilworth Town Council to approve a capital grant of £2,000 (or if declined, or a reduced amount is offered, an alternative capital grant provider)

As supported by appendix 5.

Stoneleigh Village Hall

A Rural/Urban Capital Improvement Grant from the rural cost centre budget for Stoneleigh Village Hall of 50% of the total project costs to provide 3 new UPVC doors, create an outdoor patio area and redecorate the hall interior, as detailed within paragraphs 1.1, 3.2 and 8.6, up to a maximum of £7,253 including vat.

As supported by appendix 6.

3. Reasons for the Recommendation

- 3.1 The Council operates a scheme to award Capital Improvement Grants to organisations in rural and urban areas. The grant recommended is in accordance with the Council's agreed scheme and will provide funding to help the project progress.
- 3.2 All projects contribute to the Council's Sustainable Community Strategy:

Norton Lindsey and Wolverton Cricket Club

This project contributes to the Council's Sustainable Community Strategy as the introduction of an all-weather practice facility will increase opportunities for the community to enjoy and participate in sporting activity and help to reduce anti-social behaviour and obesity, including in children. This new facility will support the introduction of competitive matches for the junior section and for the first time, entry of a 3rd XI in the Cotswold Hills cricket league. This all helps to engage and strengthen the community.

Barford, Sherbourne and Wasperton Joint Parish Council

This project contributes to the Council's Sustainable Community Strategy as the introduction of a rubber mulch flooring around the toddler's play area, public seating and recreational area on the village green will ensure that this is a usable facility in all-weathers, all-year round which will increase opportunity for the community to enjoy and participate in physical activity and help to reduce anti-social behaviour and obesity, particularly in children. An all-weather facility will enable residents to get out more throughout the year and meet each other which will further strengthen and engage the community.

Old Milverton Parish Room

This project contributes to the Council's Sustainable Community Strategy as without the Parish Room there would be fewer opportunities for the community to enjoy and participate in physical, social, arts and cultural activities which could potentially result in disengaging and weakening the community and an increase in anti-social behaviour and obesity. If the project work isn't carried out in the near future the facility will become unusable as the existing flat roof is at the end of its life span; it leaks and has caused damage to the internal structure. Additionally there is no roof insulation which makes the kitchen and toilets cold and prone to condensation.

Warwick Cricket Club

This project contributes to the Council's Sustainable Community Strategy as without the cricket club there would be fewer opportunities for the community to enjoy and participate in sporting activity which could potentially result in an increase in anti-social behaviour, an increase in obesity (particularly in children) and disengage and weaken the community. The project will enable volunteers to have more time coaching and interacting with people rather than continually repairing existing equipment which is at the end of its useful life span, this will help to further engage and strengthen the community and will also increase opportunity for members of the community to enjoy and participate in sporting activity.

Kenilworth Wardens Cricket Club

This project contributes to the Council's Sustainable Community Strategy as without the cricket club there would be fewer opportunities for the community to enjoy and participate in sporting activity which could potentially result in an increase in anti-social behaviour, an increase in obesity (particularly in children) and disengage and weaken the community. If the project work isn't carried out in the near future the outdoor cricket net facilities will become unusable as they are nearing the end of their life span; if they are not repaired and refurbished health & safety issues will increase and make them unusable.

Stoneleigh Village Hall

This project contributes to the Council's Sustainable Community Strategy as without the Village Hall and playing fields there would be fewer opportunities for the community to enjoy and participate in sports, arts and cultural activities which could potentially result in an increase in anti-social behaviour and obesity, particularly in children. The redecoration of the interior will keep the hall maintained in a good condition to enable current activities and bookings to continue, possibly attracting more bookings and usage. Additionally, the provision of a new patio area adjoining the hall will enable more activities and events to be held which will increase opportunities for the community to enjoy and participate in physical, social, arts and cultural activities as well as offering further opportunity to reduce anti-social behaviour and obesity.

4. Policy Framework

4.1 The Rural and Urban Capital Improvement Scheme supports the Sustainable Community Strategy and the cross cutting themes which form the priorities for funding areas as follows:-

- Community Engagement & Cohesion (including Families at Risk)
- Targeting disadvantaged rural locations
- Reducing inequalities

5. Budgetary Framework

5.1 The budget for the Rural/Urban Capital Improvement Scheme applications for 2016/17 is £150,000 (£75,000 for rural projects and £75,000 for urban projects).

5.2 As part of the February 2016 Budget report it was agreed that in future the unallocated RUCIS budget would no longer be carried forward, but returned to the Council's overall finances.

5.3 There is £44,565 available to be allocated for Rural/Urban Capital Improvement Scheme Grants from the urban cost centre budget in 2016/17. If the applications from:

- Warwick Cricket Club of 80% of the total project costs, up to a maximum of £7,520 (including vat)
- Kenilworth Wardens Cricket Club of 80% of the total project costs, up to a maximum of £4,982 (excluding vat)

Within this report are approved, £32,063 will remain in the urban cost centre budget.

5.4 There is £37,083 available to be allocated for Rural/Urban Capital Improvement Scheme Grants from the rural cost centre budget in 2016/17. If the applications from:

- Norton Lindsey and Wolverton Cricket Club of 50% of the total project costs, up to a maximum of £17,061 (including vat)
- Barford, Sherbourne and Wasperton Joint Parish Council of 50% of the total project costs, up to a maximum of £5,387 (excluding vat)
- Old Milverton Parish Room of 80% of the total project costs, up to a maximum of £4,603 (including vat)
- Stoneleigh Village Hall of 50% of the total project costs, up to a maximum of £7,253 (including vat)

Within this report are approved, £2,779 will remain in the rural cost centre budget.

As per appendix 7.

6. Risks

6.1 There are no main risks for this proposal.

7. Alternative Option(s) considered

7.1 The Council has only a specific capital budget to provide grants of this nature and therefore there are no alternative sources of funding if the Council is to provide funding for Rural/Urban Capital Improvement Schemes.

7.2 Members may choose not to approve the grant funding, or to vary the amount awarded.

8. Background

8.1 Norton Lindsey and Wolverton Cricket Club:

Norton Lindsey and Wolverton Cricket Club has submitted a RUCIS application to create a 2 bay outdoor practice net and install an underground power supply from the pavilion to the nets for use of a bowling machine.

The application is for 50% of the total project costs up to a maximum of £17,061 (including vat).

Norton Lindsey and Wolverton Cricket Club have committed £61 to the project costs from their cash reserves; however, in the event of other grant applications being declined or lesser amounts offered, the Club will fund any budget shortfall from their cash reserves which has been evidenced through their annual accounts.

Norton Lindsey and Wolverton Cricket Club isn't registered for vat and therefore will not be reclaiming vat in connection to this project; the award will therefore be inclusive of vat.

Norton Lindsey Parish Council have confirmed that they are willing to provide a grant of £5,000 towards the project, however, this needs to be agreed with Warwickshire County Council in connection with a release of "depot money" in 2001.

Norton Lindsey and Wolverton Cricket Club have applied to the English Cricket Board and also Heart of England Community Fund for capital grants and are waiting for decisions.

Norton Lindsey and Wolverton Cricket Club have previously had the following successful RUCIS grants:

- 2001/02 – 35% grant awarded which equated to £3,000 (there's no record of what the project entailed)
- August 2009 - 50% grant awarded which equated to £6,000 to extend the cricket pavilion

The application therefore meets the scheme criteria whereby after a successful grant award an organisation must wait for a minimum of 2 years before re-applying for a new grant.

It is therefore recommended that the Executive approves an award of a Rural / Urban Capital Improvement grant to Norton Lindsey and Wolverton Cricket Club of 50% of the total cost of the project including vat up to a maximum of £17,061.

8.2 **Barford, Sherbourne and Wasperton Joint Parish Council:**

Barford, Sherbourne and Wasperton Joint Parish Council has submitted a RUCIS application to install a rubber mulch all-weather surface around the toddler's play area, public seating and recreational area on the village green.

The application is for 50% of the total project costs up to a maximum of £5,387 excluding vat.

Barford, Sherbourne and Wasperton Joint Parish Council have committed £5,387 to the project from their cash reserves. These funds have been evidenced through their annual accounts.

Barford, Sherbourne and Wasperton Joint Parish Council are able to reclaim vat, the award will therefore exclude vat.

Barford, Sherbourne and Wasperton Joint Parish Council have previously had the following successful RUCIS grants:

- In 1998/99 (Barford Village Green) - 46% grant awarded which equated to £5,020 (there's no record of what the project entailed)
- June 2008 (Barford Parish Council) - 50% grant awarded which equated to £1,135 to refurbish bus shelters

- June 2012 - 50% grant awarded which equated to £2,439 for roof insulation for the Memorial Hall
- December 2014 - 30% grant awarded which equated to £30,000 to replace, upgrade and extend the play area located at the King George's playing fields. Please note that this grant was subsequently withdrawn and replaced by a grant for a higher amount from the Chief Executive's Office

The application therefore meets the scheme criteria whereby after a successful grant award an organisation must wait for a minimum of 2 years before re-applying for a new grant.

It is therefore recommended that the Executive approves an award of a Rural / Urban Capital Improvement grant to Barford, Sherbourne and Wasperton Joint Parish Council of 50% of the total project costs excluding vat up to a maximum of £5,387.

8.3 **Old Milverton Parish Room**

The Old Milverton Parish Room has submitted a RUCIS application for a new flat roof to replace the existing roof which is at the end of its life span.

Projects of less than £10,000 overall costs fall within the Small Grants category of the RUCIS scheme which has a maximum contribution of up to 80% of the overall project costs; the project cost is £5,754 (including vat) and therefore qualifies to apply for a grant of up to 80%.

The application is therefore for 80% of the total project costs up to a maximum of £4,603.

The Old Milverton Parish Room have committed £151 to the project costs from their cash reserves; these funds have been evidenced through their annual accounts and the provision of recent bank statements.

The Old Milverton Parish Room isn't registered for vat and therefore will not be reclaiming vat in connection to this project; the award will therefore be inclusive of vat.

Old Milverton and Blackdown Parish Council support the project and have approved a £1,000 contribution towards the total project costs.

The Old Milverton Parish Room has not previously had a RUCIS grant award.

It is therefore recommended that the Executive approves an award of a Rural / Urban Capital Improvement grant to the Old Milverton Parish Room of 80% of the total cost of the project including vat subject to a maximum of £4,603.

8.4 **Warwick Cricket Club**

Warwick Cricket Club has submitted a RUCIS application to purchase 2 new mowers to replace the existing mowers which are at the end of their life span.

Projects of less than £10,000 overall costs fall within the Small Grants category of the RUCIS scheme which has a maximum contribution of up to 80% of the

overall project costs; the project cost is £9,400 (including vat) and therefore qualifies to apply for a grant of up to 80%.

The application is therefore for 80% of the total project costs up to a maximum of £7,520 including vat.

Warwick Cricket Club has committed £1,205 to the project costs from their cash reserves; these funds have been evidenced through their annual accounts and the provision of recent bank statements.

An application has been made to Warwick Town Council for a contribution of £675 towards this project and is now awaiting a decision; if the Town Council decline the application or offer a reduced amount, Warwick Cricket Club will cover the budget shortfall from their cash reserves, these funds have been evidenced through their annual accounts and the provision of recent bank statements.

Warwick Cricket Club is a section of Warwick Sports Club which is vat registered (number; 585055327) although they will not be reclaiming vat in connection to this project as it would put them over their claim amount threshold; the award will therefore be inclusive of vat.

With regards to multi-sports organisations, the RUCIS scheme criteria states:

“Multi-sport organisations that are legally one entity but with separate sports activities that are operated and managed independently on a day-to-day basis with separate memberships, committees, volunteers, constitutions and bank accounts;

- Each individual sport organisation can apply for a grant in their own right for a project that is connected to their sport / facilities only. Grants will only be awarded once in a 2 year period.
- If the project is for a shared facility, for example, a clubhouse used by each organisation; providing one of the individual sports organisations has not had a grant within the last 2 years and are prepared to be the applicant, a grant may be awarded. Grants will only be awarded once in a 2 year period.”

Warwick Cricket Club are applying for a grant to purchase equipment which is for the sole use of their sport organisation and they have never previously had a RUCIS grant award; the application therefore meets the scheme criteria noted above.

It is therefore recommended that the Executive approves an award of a Rural / Urban Capital Improvement grant to Warwick Cricket Club of 80% of the total cost of the project including vat subject to a maximum of £7,520.

8.5 **Kenilworth Wardens Cricket Club**

Kenilworth Wardens Cricket Club has submitted a RUCIS application to repair and refurbish the 3 lane outdoor practice nets which are nearing the end of their life span.

Projects of less than £10,000 overall costs fall within the Small Grants category of the RUCIS scheme which has a maximum contribution of up to 80% of the

overall project costs; the project cost is £6,228 (excluding vat) and therefore qualifies to apply for a grant of up to 80%.

The application is therefore for 80% of the total project costs up to a maximum of £4,982 excluding vat.

Kenilworth Wardens Cricket Club has committed £492 to the project costs from their cash reserves; these funds have been evidenced through their annual accounts and the provision of recent bank statements.

Kenilworth Wardens Cricket Club is vat registered (number; 273589517); they will be reclaiming vat in connection to this project therefore the award will be excluding vat.

An application has been made to Kenilworth Town Council for a contribution of £2,000 towards this project and is now awaiting a decision.

Kenilworth Wardens Cricket Club has not previously had a RUCIS grant award.

It is therefore recommended that the Executive approves an award of a Rural / Urban Capital Improvement grant to Kenilworth Wardens Cricket Club of 80% of the total cost of the project excluding vat subject to a maximum of £4,982.

8.6 **Stoneleigh Village Hall**

Stoneleigh Village Hall has submitted a RUCIS application to provide 3 new UPVC doors, create an outdoor patio area and redecorate the hall interior.

The application is for 50% of the total project costs up to a maximum of £7,253 including vat.

Stoneleigh Village Hall has committed £3,554 to the project costs from their cash reserves; these funds have been evidenced through their annual accounts and the provision of recent bank statements.

Stoneleigh Village Hall isn't registered for vat and therefore will not be reclaiming vat in connection to this project; the award will therefore be inclusive of vat.

Stoneleigh Parish Council supports the project and has approved a £100 contribution towards the total project costs.

Stoneleigh Village Hall has already had grant applications approved by the following organisations; Stoneleigh Ladies Choir, Stoneleigh Male Choir, Stoneleigh United Charity and the Women's Institute.

Stoneleigh Village Hall has previously had the following successful RUCIS grants:

- December 2004 - 25% grant awarded which equated to £2,281 for resurfacing the car park
- April 2012 - 50% grant awarded which equated to £30,000 for redeveloping tennis courts

- September 2014 - 50% grant awarded which equated to £19,081 to a) combine two small rooms into one larger room, b) create direct access from the enlarged room onto the stage in the main hall and, c) construct a storage area that leads directly from the main hall to the stage

The application therefore meets the scheme criteria whereby after a successful grant award an organisation must wait for a minimum of 2 years before re-applying for a new grant.

It is therefore recommended that the Executive approves an award of a Rural / Urban Capital Improvement grant to Stoneleigh Village Hall of 50% of the total project costs including vat up to a maximum of £7,253.

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 8TH MARCH 2017 EXECUTIVE :

Applicant :	Norton Lindsey & Wolverton Cricket Club		
Description of scheme:	<p>Club practice nights and junior coaching sessions currently make use of the existing cricket square and a mobile practice net; in 2016 the flourishing junior section provided coaching sessions for 50-60 children aged from 6-13. In 2017 the Club:</p> <ul style="list-style-type: none"> • Plan to have trained 5 more coach support workers through Warwickshire Cricket Board courses and a further Level 2 coach • Plan to provide competitive cricket matches for the junior section now that they have a sufficient number of players • Will be fielding, for the first time, a 3rd XI in the Cotswold Hills Cricket League using Snitterfield Cricket Club facilities on match days. <p>To support these activities the Club need to provide better all-weather practice facilities, the project will provide a 2 bay outdoor cricket practice net and an underground power supply from the pavilion to the nets for use of a bowling machine.</p>		
Evidence of need:	<p>In 2014 the Norton Lindsey Village Plan stated that "The lack of facilities for young people in the village is self-evident and it must be in the interests of everyone to try and provide for them". With the Club's plans to train more coaches and coach support workers in 2017 and to provide competitive cricket opportunities for juniors, plus the creation of a 3rd XI, there is a need to provide better all-weather practice facilities to support these activities.</p>		
3 years accounts received?	<p>2013 - 2015 accounts have been received along with recent bank statements (1st July to 21st December 2016); this evidences sufficient cash reserves to meet the contribution stated on the application form.</p>		
Financial Performance; minus figure = deficit	Year ended 31/12/15 £1,864	Year ended 31/12/14 £2,821	Year ended 31/12/13 -£60
Available Funds (cash and reserves)	Year ended 31/12/15 £13,376	Year ended 31/12/14 £14,465	Year ended 31/12/13 £13,652
Details of membership, fees etc:	<p>Open membership:</p> <ul style="list-style-type: none"> • Adult playing member's; £60 p.a. • Youth members (16-21); £30 p.a. • Junior members; £5 p.a. or £40 per season for Junior coaching sessions • Social membership; £5 p.a. • Match fees for adults = £7 including teas. • Ground available for hire @ £50 per match. • Wolverton Primary School not charged for using facilities. 		
Details of usage:	<p>Members; 40-50 adults, 120 Social, 50-60 boys and girls in Junior section.</p> <p>REGULAR USE</p> <ul style="list-style-type: none"> • 5 adult teams (3 Saturday teams, 1 Sunday team and one Mid-Week team) during the cricket season between April and September; approx. 25 people per game, there were over 50 home games in 2016. Also mid-week practice sessions, approx. 15 people attending per session. • Junior Section coaching/practice sessions during cricket season with between 40-50 attending, on Fridays, between May and August. • Use of Club changing/toilet facilities on weekends between September and April by Norton Lindsey Junior Football Club. • Dominoes team in Henley Dominoes League on Thursdays throughout the winter. <p>AD-HOC USE</p> <ul style="list-style-type: none"> • Occasional hire by Wolverton Primary School, NFU Cricket XI. • Birthday parties/funeral wakes; approx. 60 attendees • Bi-monthly meetings of Cotswold Hills Cricket League Committee. • Village Fete in July; several hundred people use the club facilities. • Events held on the playing field by Norton Lindsey Stilton Sniffers fund raising charity; 100-200 attendees. • Warwickshire Beagles annual New Year meeting. 		
Details of Organisations equalities policies:	<p>The Club has provided a copy of its Equality Policy, a highlight of this policy is as follows: "The Club respects the rights, dignity and worth of every person and will treat everyone equally within the context of their sport, regardless of age, ability, gender, race, ethnicity, religious belief, sexuality or social/economic status."</p>		
3 quotes provided:	Yes		
Which of the Council's Corporate Priorities are met?	Evidence		
Reduce anti-social behaviour	<ul style="list-style-type: none"> • There are 40-50 adult playing members and 120 social members; 5 adult teams currently use the facilities as well as a junior section of approx. 50-60 children. • With the installation of 2 bay outdoor cricket practice nets there are plans to introduce competitive cricket matches for juniors and enter a 3rd XI team in the Cotswold Hills cricket league. <p>By engaging the youth of the village to participate in activities of the Cricket Club it is hoped that respect for the facilities on the Playing Field will be further engendered. All of the above helps to reduce anti-social behaviour. The Cricket Club enjoys widespread support in the village and receives many compliments on the way it has provided facilities in a rural location.</p>		

Reducing obesity, particularly in children

- There are 40-50 adult playing members and 120 social members; 5 adult teams currently use the facilities as well as a junior section of approx. 50-60 children.
- With the installation of 2 bay outdoor cricket practice nets there are plans to introduce competitive cricket matches for juniors and enter a 3rd XI team in the Cotswold Hills cricket league. Playing cricket is an energetic sport that helps people to get fitter and lose weight, and also keep healthy children in the best condition possible. The Wolverton village primary school does not have its own playing field; organised after school sporting activity and activities such as fun runs for events like Children in Need are held at the cricket ground, many of these school children also attend the junior cricket sessions. This all helps to reduce obesity, particularly in children.

Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities

Better all-weather practice facilities will support the provision of competitive cricket matches for the Junior section and entering a 3rd XI team in the Cotswold Hills cricket league; this will increase opportunity for the community to enjoy and participate in sporting activity.

Engaging and strengthening communities

There has been an influx of young families into the village in the last 5 years, since the Club re-started its junior section three years ago it has seen extensive use of its patio areas and bar facility by parents on Friday evenings whilst their children are participating in junior coaching sessions; this has been one of the few opportunities for social interaction in the village with the Club earning a reputation for providing a social and sporting meeting place for families. Many of the village residents walk to the Club to sit and watch matches and the Club is also run by a wide range of volunteers from across the community e.g mowing, ground and pitch preparation, bar staff, pavilion and machinery maintenance, tea ladies etc. This all helps to engage and strengthen the community.

Targetting disadvantage in rural / urban areas:

Like many rural villages, most of the opportunity for sporting and social activities can only be accessed by car transport in nearby towns. The provision of quality cricket facilities within walking distance not only relieves parents of taxi duties and fuel costs, but also avoids environmental pollution caused by short journeys into town centres.

Total cost of scheme (including VAT where appropriate)

£34,122 Including VAT

Funded by:

Status

Organisations Own Funds

£61

Approved; in the event of other grant applications being declined or a lesser amount being offered, the Club will fund any project budget shortfall from their cash reserves

Norton Lindsey Parish Council

£5,000

Application made; Parish Council have confirmed that they are willing to contribute but this is subject to agreement from Warwickshire County Council (in connection with a release of "depot money" in 2001)

England Cricket Board

£10,000

Application made; waiting for a decision

Heart of England Community Fund

£2,000

Application made; waiting for a decision

Total RUCIS

£17,061

equates to

50.0%

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 8TH MARCH 2017 EXECUTIVE :

Applicant :	Barford, Sherbourne & Wasperton Joint Parish Council									
Description of scheme:	Improvements to the flooring area on Barford village green around the toddler's play area, public seating and recreational area by the village hall, post office and community village shop. In times of rainfall, the current area is completely muddy and unsafe especially with the volume of use. The attempted reseeding of grass has not worked, it needs a safe all-weather green surface and base installing which will blend into adjoining grass areas making it safe for use and ensuring that the toddler's play area is also safe to use; this will also encourage more use. Volumes have increased in 8 years due to rising numbers of local school and housing populations plus the public seeing Barford as a "destination" to visit and enjoy. The project will provide a bonded rubber mulch flooring area of almost 200sqm plus French drainage which will be porous and SUDS compliant all on new solid foundations for longevity.									
Evidence of need:	The Board of the Village Community Shop raised their concerns of the state of repair of the village green as it is outside the shop and it could potentially be unsafe underfoot if not repaired quickly. The use of the village green, village shop and memorial hall are all featured as strong components of the adopted Parish Plan. The issues with the current grass flooring were discussed by the Joint Parish Council (JPC) at their meetings in October and November 2016. Visual observations by the JPC Committee have raised the concern of potential Health & Safety issues of members of the public slipping underfoot as it has heavy use on a daily basis.									
3 years accounts received?	2014 - 2016 accounts have been received; this evidences sufficient cash reserves to meet the contribution stated on the application form.									
Financial Performance; minus figure = deficit	<table border="0"> <thead> <tr> <th>Year ended</th> <th>Year ended</th> <th>Year ended</th> </tr> </thead> <tbody> <tr> <td>31/03/16</td> <td>31/03/15</td> <td>31/03/14</td> </tr> <tr> <td>£104,707</td> <td>£5,026</td> <td>£13,963</td> </tr> </tbody> </table> <p>* 2015/16 - includes grants received for the Barford Playing Field Improvement project with some costs still to be expended</p>	Year ended	Year ended	Year ended	31/03/16	31/03/15	31/03/14	£104,707	£5,026	£13,963
Year ended	Year ended	Year ended								
31/03/16	31/03/15	31/03/14								
£104,707	£5,026	£13,963								
Available Funds (cash and reserves)	<table border="0"> <thead> <tr> <th>Year ended</th> <th>Year ended</th> <th>Year ended</th> </tr> </thead> <tbody> <tr> <td>31/03/16</td> <td>31/03/15</td> <td>31/03/14</td> </tr> <tr> <td>£169,700</td> <td>£64,993</td> <td>£59,967</td> </tr> </tbody> </table>	Year ended	Year ended	Year ended	31/03/16	31/03/15	31/03/14	£169,700	£64,993	£59,967
Year ended	Year ended	Year ended								
31/03/16	31/03/15	31/03/14								
£169,700	£64,993	£59,967								
Details of membership, fees etc:	None									
Details of usage:	There is a village green (managed by the Joint Parish Council) in the heart of Barford alongside the Memorial Hall in High St (CV35 8EN). On the village green is a small children's play area with equipment, seating and place for bikes. There is a growth in numbers of people visiting the village shop especially school children and parents from school as well as the Hall all due to growing population of the village.									
Details of Organisations equalities policies:	The JPC has provided a copy of its Equality Policy, a highlight of this policy is as follows: "The JPC understands its obligations under the Equality Act 2010 and is fully committed to its duty, imposed by Section 149 of the 2010 Act. The JPC is committed to the principle of equal opportunities and declares its opposition to any form of less favourable treatment, whether through direct or indirect discrimination, on the grounds of the protected characteristics as specified in the Equality Act 2010."									
3 quotes provided:	Yes									
Which of the Council's Corporate Priorities are met?	Evidence									
Reduce anti-social behaviour	Provision of this facility engages people of all ages and helps to reduce instances of anti- social behaviour as it helps give young children and parents "something to do" and enjoy in the village without travelling elsewhere. If this work isn't undertaken, the area will potentially become unusable at certain times of the year because of Health & Safety issues due to unsafe ground conditions; this in turn could potentially impact on anti-social behaviour within the village as there would be less activity to occupy the community.									
Reducing obesity, particularly in children	The play area provides opportunity for outdoor activity and exercise; a safe all-weather play area will encourage children to play outside and undertake physical activity all year round which will help to reduce obesity. If this work isn't undertaken, the area will potentially become unusable at certain times of the year because of Health & Safety issues due to unsafe ground conditions; this in turn could potentially impact on children's health and wellbeing.									
Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities	The project will install all-weather flooring which will increase opportunities for children to undertake outdoor physical activity and for parents, grand-parents, friends etc to socialise with one another as the facility will be usable all-year round.									

Engaging and strengthening communities

The area is used by the local public who then in turn use the adjoining post office, Memorial Hall and village shop all of which are mainly run by a long list of over 80 volunteers. If this work isn't undertaken, the area will potentially become unusable at certain times of the year because of Health & Safety issues due to unsafe ground conditions; this in turn could weaken and disengage the community if at certain times of the year the facility isn't usable and residents either stay in at home or have to travel elsewhere.

Total cost of scheme (including VAT where appropriate)

£10,775 Excluding VAT - the Joint Parish Council will be reclaiming VAT

Funded by:

Status

Organisations Own Funds

£5,387 Approved - applicant is the Joint Parish Council

Total RUCIS

£5,387

equates to

50.0%

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 8TH MARCH 2017 EXECUTIVE :

Applicant :	Old Milverton Parish Room									
Description of scheme:	The existing flat roof has leaked and caused damage to the internal structure; a temporary repair was completed, however, the roof is 40+ years old, in poor condition and has reached the end of its life span, it therefore needs replacing. Additionally there is no roof insulation which makes the kitchen and toilets cold and prone to condensation and the valley onto the flat roof is leaking and also needs to be replaced.									
Evidence of need:	There is a visual need as well as complaints from the local W.I. with regards to the cold temperatures in the kitchen and toilet areas.									
3 years accounts received?	2014 - 2016 accounts have been received along with a recent bank statement covering the period 30th September 2016 to 21st December 2016 and a savings statement covering the period 3rd September 2015 to 2nd September 2016; this evidences sufficient cash reserves to meet the contribution stated on the application form.									
Financial Performance; minus figure = deficit	<table border="0"> <thead> <tr> <th>Year ended</th> <th>Year ended</th> <th>Year ended</th> </tr> <tr> <th>30/09/16</th> <th>30/09/15</th> <th>30/09/14</th> </tr> </thead> <tbody> <tr> <td>£4,371</td> <td>-£4,240</td> <td>£2,701</td> </tr> </tbody> </table>	Year ended	Year ended	Year ended	30/09/16	30/09/15	30/09/14	£4,371	-£4,240	£2,701
Year ended	Year ended	Year ended								
30/09/16	30/09/15	30/09/14								
£4,371	-£4,240	£2,701								
Available Funds (cash and reserves)	<table border="0"> <thead> <tr> <th>Year ended</th> <th>Year ended</th> <th>Year ended</th> </tr> <tr> <th>30/09/16</th> <th>30/09/15</th> <th>30/09/14</th> </tr> </thead> <tbody> <tr> <td>£10,005</td> <td>£5,634</td> <td>£9,874</td> </tr> </tbody> </table>	Year ended	Year ended	Year ended	30/09/16	30/09/15	30/09/14	£10,005	£5,634	£9,874
Year ended	Year ended	Year ended								
30/09/16	30/09/15	30/09/14								
£10,005	£5,634	£9,874								
Details of membership, fees etc:	There is no membership scheme. The Parish Room can be hired at a cost of between £12.50 to £15.00 per hour depending on the type of usage.									
Details of usage:	<p>The Parish Room is used as follows:</p> <p>REGULAR USE</p> <ul style="list-style-type: none"> • Annual horticultural show; approx. 200+ people attend • Parish Council meetings; 6 per year, approx. 10+ people attend • Old Milverton Horticultural Society; 6 meetings a year, approx. 10 people attend • Women's Institute x 2 (Avon and also Old Milverton); monthly meetings, approx. 15+ people per group • Meditation classes; monthly, approx. 10 people attend • Fencing club; fortnightly sessions, approx. 6 people attend • Dog training classes; fortnightly, approx. 8 people attend <p>AD-HOC USE</p> <ul style="list-style-type: none"> • Community events, for example, birthday parties, wedding receptions and wakes; approx. 15 bookings a year, approx. 20 to 40 people per event 									
Details of Organisations equalities policies:	<p>The Parish Room has provided a copy of its constitution, highlights of this are as follows:</p> <ul style="list-style-type: none"> • To encourage the use of the Parish Room by local, charitable, or any other interested parties for meetings and activities as deemed appropriate by the Committee. A wide range of users shall be encouraged. • Use of the Parish Room shall be open to any group subject to such use being reasonable and appropriate. 									
3 quotes provided:	Yes									
Which of the Council's Corporate Priorities are met?	Evidence									
Reduce anti-social behaviour	Whilst the project does not directly impact on this, the Parish Room provides activities for the whole community, for example; meditation classes, dog training classes, quiz nights and ad-hoc events such as parties. The project will ensure that the Parish Room remains a viable facility and provision of these activities helps to reduce anti-social behaviour.									
Reducing obesity, particularly in children	Whilst the project does not directly impact on this, the Parish Room provides regular and ad-hoc activities for the whole community, for example; meditation classes, keep fit and Sunday School activities. The project will ensure that the Parish Room remains a viable facility and provision of these activities helps to reduce obesity.									
Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities	Whilst the project does not directly impact on this, if the work isn't carried out there will be further deterioration of the building which may lead to a reduction in bookings, particularly parties and events, which would reduce opportunity for the community to enjoy and participate in sports, cultural and social activities.									
Engaging and strengthening communities	If the Parish Room isn't maintained to a reasonable standard and becomes unusable, there is a risk that activities will cease which will potentially disengage and weaken the community. The facilities are run by a group of volunteers and brings together a wide range of people from the community which helps to engage and strengthen the community.									

Targetting disadvantage in rural / urban areas:

Whilst the project does not directly impact on this, failure to repair the roof will lead to further deterioration of the building which will consequently mean there will be a need to raise more income to meet repair and maintenance costs. Hire costs are kept as low as possible to encourage all sections of the community to use the Parish Room, rates would need to be increased which would disadvantage the community.

Total cost of scheme (including VAT where appropriate)

£5,754 Including VAT

Funded by:

Status

Organisations Own Funds

£151 Approved

Old Milverton & Blackdown Parish Council

£1,000 Approved

Total RUCIS

£4,603

equates to

80.0%

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 8TH MARCH 2017 EXECUTIVE :

Applicant : Warwick Cricket Club

Description of scheme: The existing mowers used to maintain the cricket square and wickets are at the end of their useful lives. As well as requiring more frequent maintenance, they are breaking down and there is an increased risk of damage to the playing surface. Purchasing new mowers will resolve these issues, improve morale across the club and free up additional time for volunteers to coach junior players instead of fixing mowers.

Evidence of need: The need has been established from the team of volunteers who operate the mowers on a regular basis; i.e. the frequency of breakdowns and the time spent maintaining and repairing them.

3 years accounts received? 2013 - 2016 accounts have been received; this evidences sufficient cash reserves to meet the contribution stated on the application form.

Financial Performance; minus figure = deficit	Year ended	Year ended	Year ended	Year ended
	31/10/16	31/10/15	31/10/14	31/10/13
	£7,469	-£4,351	£5,565	£398

Available Funds (cash and reserves)	Year ended	Year ended	Year ended	Year ended
	31/10/16	31/10/15	31/10/14	31/10/13
	£19,000	£11,531	£15,582	£10,016

Details of membership, fees etc: Membership fees:

- Seniors = £75
- Juniors = £55
- Social = £10

Playing Fees:

- Seniors match = £8
- Juniors match = £5

Third party use of the facilities is charged on a case-by-case basis.

Details of usage: Warwick Cricket Club operate 3 Saturday teams & 2 Sunday teams (11-a-side) during the season (April – September), alongside a thriving junior section; junior coaching sessions are run every Friday evening from April – July, with an average attendance of 55 per session. In addition there are 4 junior teams playing matches each week during this period; U11s 8-a-side, combined U12/U13 8-a-side , U13 11-a-side and U17 11-a-side. The club also run winter nets from January to late-March, at either Warwick School or North Leamington school, each Sunday (1 hour juniors, 1.5 hours seniors). 2016 membership figures; 49 seniors, 82 juniors. The club's facilities are also used occasionally by 3rd parties for a nominal charge, for example; Westgate Primary School and veterans teams; this happens in total approx. 6 times per season.

Details of Organisations equalities policies: Warwick Cricket Club's Code of Conduct, includes the following; "Treat everyone equally and not discriminate on the grounds of age, gender, disability, race, ethnic origin, nationality, colour, parental or marital status, religious belief, class or social background, sexual preference or political belief".

3 quotes provided: Yes

Which of the Council's Corporate Priorities are met? **Evidence**

Reduce anti-social behaviour Whilst the project of purchasing mowers doesn't directly impact on this, the club has a membership of 131 people (49 seniors, 82 juniors) and offers sporting activities as below:

- 3 Saturday teams
- 2 Sunday teams
- A thriving Junior section (including 4 junior teams and coaching sessions)

This all helps to reduce anti-social behaviour by keeping people engaged in positive, healthy activity. There is also a personal development aspect for some individuals, as they also assist with ground preparation, facility upkeep and general activities to support the club.

Reducing obesity, particularly in children The club has a membership of 131 people (49 seniors, 82 juniors) and offers regular activity which helps people to keep fit and healthy, also helping to reduce obesity:

- 3 Saturday teams
- 2 Sunday teams
- A thriving Junior section (including 4 junior teams and coaching sessions)

This project has a direct link to increased coaching time for our Junior section, hence will further help to reduce obesity in children.

Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities

As this project will provide new, reliable mowing equipment which will reduce maintenance work it will free up volunteers time (currently approx. 2 hours per week x 36 weeks of the year not including time spent on any breakdowns) to spend more time participating in sport, including coaching and interacting with members, rather than continually repairing existing equipment which is at the end of its useful life. The project will also increase opportunities for 3rd parties to use the club's facilities as preparation of the wickets will be easier and less time-consuming. Therefore the project will increase opportunity for the community to enjoy and participate in sports activity.

Engaging and strengthening communities

The club is run by, and the wickets are maintained by, a wide range of volunteers from across the local community. The project will provide new, reliable mowing equipment which will free up volunteers time (currently approx. 2 hours per week for 36 weeks of the year not including time spent on any breakdowns) to spend more time coaching and interacting with members rather than continually repairing existing equipment which is at the end of its useful life. This all helps to engage and strengthen the community.

Total cost of scheme (including VAT where appropriate)

£9,400 Including vat

Funded by:

Status

Organisations Own Funds

£1,205 Approved

Warwick Town Council

£675 Application made, waiting for a decision

Total RUCIS

£7,520

equates to

80.0%

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 8TH MARCH 2017 EXECUTIVE :

Applicant :	Kenilworth Wardens Cricket Club									
Description of scheme:	The three lane outdoor cricket nets are used by teams from all age groups to practise their cricket from April through to September and are a valuable coaching resource for competent players as well as an ideal environment for coaching new players. They are in desperate need of refurbishment as they're near to the end of their life and are almost at the point where they will be dangerous to use. The repair and refurbishment, to include new shock pads and carpeting, will provide a safe surface for players to use.									
Evidence of need:	The current usage levels of the net facility are high and potential Health & Safety issues have been identified with a visually worn and damaged surface.									
3 years accounts received?	2013 - 2015 accounts have been received along with recent bank statements (4th May to 21st December 2016); this evidences sufficient cash reserves to meet the contribution stated on the application form.									
Financial Performance; minus figure = deficit	<table border="0"> <thead> <tr> <th>Year ended</th> <th>Year ended</th> <th>Year ended</th> </tr> </thead> <tbody> <tr> <td>31/10/15</td> <td>31/10/14</td> <td>31/10/13</td> </tr> <tr> <td>-£13,236</td> <td>-£17,039</td> <td>-£2,976</td> </tr> </tbody> </table>	Year ended	Year ended	Year ended	31/10/15	31/10/14	31/10/13	-£13,236	-£17,039	-£2,976
Year ended	Year ended	Year ended								
31/10/15	31/10/14	31/10/13								
-£13,236	-£17,039	-£2,976								
Available Funds (cash and reserves)	<table border="0"> <thead> <tr> <th>Year ended</th> <th>Year ended</th> <th>Year ended</th> </tr> </thead> <tbody> <tr> <td>31/10/15</td> <td>31/10/14</td> <td>31/10/13</td> </tr> <tr> <td>£18,016</td> <td>£10,838</td> <td>£31,457</td> </tr> </tbody> </table>	Year ended	Year ended	Year ended	31/10/15	31/10/14	31/10/13	£18,016	£10,838	£31,457
Year ended	Year ended	Year ended								
31/10/15	31/10/14	31/10/13								
£18,016	£10,838	£31,457								
Details of membership, fees etc:	<p>Full membership = £147pa Student Membership = £53pa Junior Parent = £41pa Social = £5pa</p> <p>The Club had Sport England grant funding in 2016 to encourage increased usage by Girls and Women; this enabled the Club to offer formal coaching only on an ad-hoc basis without the need for full membership. The Club hope to be able to continue with this throughout this summer. The facility is also used free of charge when not in formal use in the evenings, weekends and holidays.</p>									
Details of usage:	<p>Kenilworth Wardens as a club has Football, Cricket, Darts and Running sections. As well as the section activities, the club is also available for use on an ad-hoc or regular basis by local groups for meetings or functions during the day and in the evening, for example:</p> <ul style="list-style-type: none"> • Simply Social (a club for people who are aged 50+, are on their own and want to meet new friends in a relaxed atmosphere); weekly meetings, approx. 40 people attend • Dance classes; weekly, approx. 25 people attend • Art Club; weekly, approx. 12 people attend • Leamington & District Table Tennis Club; monthly, approx. 12 people attend • Indoor Cricket Nets – the indoor function room is also used as a net area and hired by local clubs during the period January to April; 7 other clubs are using this in 2017 on a weekly basis for 2 hour sessions at various times • Functions; the clubhouse can be hired for events such as parties, weddings, funerals, charity quiz evenings; approx. 45 events per year, approx. 40-100 people per event <p>With regards to the cricket section who are applying for the grant, usage as follows:</p> <ul style="list-style-type: none"> • There are 215 cricket members across the Junior and Adult sections (Male and Female) • The nets are used by junior teams (3 girls teams and 10 boys teams) from age 9 through to 17 plus 5 Adult Saturday teams, two Sunday teams as well as the Ladies Team to practise their cricket from April through to September and are a valuable coaching resource for competent players as well as an ideal environment for coaching new players. • The nets are also used on an ad hoc basis by players throughout the week as well as for formal sessions and as such are pretty much used every day in the seasonal months. • They are also used by summer cricket coaching camps which in the past have been run by either the club or by Coaching Companies such as Complete Cricket and TSR. These have taken place in Easter and Summer Holidays and are run daily for 5 days during a week with approx. 30 people per day per camp. 									
Details of Organisations equalities policies:	<p>The Club's equality policy is in line with Sport England's equality policy and a copy has been supplied with the application. This includes the following highlight:</p> <p>"The club respects the rights, dignity and worth of every person and will treat everyone equally within the context of their sport, regardless of age, ability, gender, race, ethnicity, religious belief. Sexuality or social / economic status."</p>									
3 quotes provided:	Yes									
Which of the Council's Corporate Priorities are met?	Evidence									
Reduce anti-social behaviour	<p>The nets provide a facility for local youngsters to train both formally at coaching sessions but also informally during weekends, afternoons and school holidays.</p> <p>There are 13 junior teams from age 9 through to 17 plus 5 Adult Saturday teams, two Sunday teams as well as the Ladies Team. Engagement in this sporting activity helps to reduce anti-social behaviour.</p>									

Reducing obesity, particularly in children

The nets provide a facility for local youngsters and adults to train both formally at coaching sessions but also informally during weekends, afternoons and school holidays. There are 12 junior teams from age 9 through to 17 plus 5 Adult Saturday teams, two Sunday teams as well as the Ladies Team. Engagement in this sporting activity helps with fitness and helps to reduce obesity, particularly in children.

Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities

The nets provide a facility for local youngsters and adults to train both formally at coaching sessions but also informally during weekends, afternoons and school holidays encouraging participation in sporting events. The current nets facility is nearing the end of its life span, if the nets aren't refurbished in the near future they will become unusable from a health & safety perspective which in turn would reduce the opportunity for everyone to enjoy and participate in sporting activity.

Engaging and strengthening communities

Kenilworth Wardens has a diverse membership of boys, girls, ladies and men from age 5 through to their 60's, and is open to all. The nets are also used ad hoc by local residents. The cricket section is also organised and run by a wide range of volunteers from across the community. This all helps to engage and strengthen the community.

Targetting disadvantage in rural / urban areas:

Friday night sessions are open to all to access cricket at low cost, the nets facility can also be used free of charge when not in formal use at evenings, weekends, and during holidays. The Club have ad-hoc 10 week sessions in the summer for boys and girls to enjoy cricket without having to join a formal team and have around 120 attending these sessions. Last year the girls and ladies sessions were subsidised by Sport England Sportivate grant funding allowing a charge of only £2 per session. There are similar grants available this year, which the Club are currently applying for, and also a new initiative from EWCB to encourage 4-5 year old age group with funding and support available from a National Scheme.

Total cost of scheme (including VAT where appropriate)

£6,228 Excluding VAT - the Club will be reclaiming VAT

Funded by:

Status

Organisations Own Funds

£492 Approved

Kenilworth Town Council

£2,000 Application made, waiting for a decision

Total RUCIS

£4,982

equates to

80.0%

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 8TH MARCH 2017 EXECUTIVE :

Applicant : Stoneleigh Village Hall

Description of scheme: The project will provide three external double UPVC doors in the main hall to enable access to the proposed new patio area which will adjoin the main hall and to redecorate the entire inside of the building. The purpose of the project is to improve the heat insulation of the main hall to reduce the amount of energy used to maintain a comfortable temperature and enhance the use of the immediate outside area to the rear of the hall for social functions both for adults and childrens benefit. The interior decoration has not been refreshed for many years and is scruffy in parts and generally dated. The redecoration will enhance the attraction of the venue and improve its hiring potential.

Evidence of need: The Committee made up of volunteers from the community are mindful of the need to keep the hall well maintained and as relevant as possible to the needs of the community, knowing the various uses the hall is put to it is evident to them these improvements are needed and the benefits which would accrue from the installation of UPVC doors and more use of the outside area where the patio is proposed.

3 years accounts received? 2014 - 2016 accounts have been received along with a recent bank statement (for the period 30th November to 28th Decemeber 2016) and an annual statement of account for their building society savings account (5th April 2016); this evidences sufficient cash reserves to meet the contribution stated on the application form.

Financial Performance; minus figure = deficit	Year ended	Year ended	Year ended
	31/12/16	31/12/15	31/12/14
	-£1,433	£2,702	£5,031

Available Funds (cash and reserves)	Year ended	Year ended	Year ended
	31/12/16	31/12/15	31/12/14
	£17,629	£14,809	£21,347

Details of membership, fees etc:

- Main Hall £14 per hour (£10 per hour for villagers)
- Meeting Room £8 per hour (£7 per for villagers)
- Kitchen use for meals £15 flat rate.

Details of usage: The facilities are used by both villagers and groups of people from further afield, for example:

- Stoneleigh Male Voice Choir; weekly, approx. 30 people attend
- Stoneleigh Ladies Choir; weekly, approx. 40 people attend
- Yoga Classes; weekly, approx. 12 people attend
- Scottish Dancing; weekly, approx. 25 people attend
- Art Classes; weekly, approx. 18 people attend
- Warwickshire Badger Group; monthly, approx. 10 people attend
- Women's Institute Craft Sessions; weekly, approx. 60 people attend
- Women's Institute luncheons; monthly, approx. 45 people attend
- Music Tuition; monthly, approx. 4 people attend
- Language Tuition; weekly, approx. 12 people attend
- Clumber Spaniels Dog Club; monthly, approx. 12 people attend
- Gordon Setter Dog Club; monthly, approx. 15 people attend
- Leigh Educational Committee; monthly, approx. 10 people attend
- NHS Speech and Language Training; weekly, approx. 12 people attend
- Stoneleigh Male Voice Choir; Annual Show, approx. 260 people attend

Details of Organisations equalities policies: There is no formal equality policy in place, however, the Committee is made up of 7 women and 4 men, there are toilet facilities for disabled people and there are no gender, ethnic or religious restrictions.

3 quotes provided: Yes - for all aspects of the project work (9 quotes in total)

Which of the Council's Corporate Priorities are met?

Evidence

Reduce anti-social behaviour

The Hall provides regular and ad-hoc activities, for example:

- Choir
- Music and language tuition
- Yoga and Art classes
- Scottish dancing

This project will make the Hall more attractive to use by a larger number of people of all ages, for example; the new patio area that will adjoin the hall.

This together with the outside sports facilities which includes, a full size football pitch, an all-weather football pitch and a tennis court serve the community well and assist in the prevention of anti-social behaviour.

Reducing obesity, particularly in children

The hall provides regular and ad-hoc activities, for example:

- Yoga and Art classes
- Scottish dancing

This project will make the hall more attractive to use by a larger number of people of all ages, for example; the new patio area that will adjoin the hall which will provide opportunity for people of all ages to take part in games and activities of a physical nature.

This together with the outside sports facilities which includes, a full size football pitch, an all-weather football pitch and a tennis court will serve the community well and help with reducing obesity, including within children.

Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities

The project will deliver a patio area adjoining the village hall which will enable social events and physical activities, this will therefore increase opportunities for the community to enjoy and participate in sports, arts and cultural activities.

Engaging and strengthening communities

A variety of groups with a wide range of people from across the community use the hall, the project, by delivering a patio area to enable outside activities, will bring further use and therefore more opportunity for people to come together. The Hall is also run by a team of volunteers. All this helps to engage and strengthen the community.

Total cost of scheme (including VAT where appropriate) 14,507

Funded by:

Status

Organisations Own Funds £3,554 Approved

Stoneleigh Parish Council £100 Approved

Stoneleigh Ladies Choir £1,500 Approved - Funds already received

Stoneleigh Male Choir £1,000 Approved

Stoneleigh United Charity £100 Approved - Funds already received

Women's Institute £1,000 Approved - Funds already received

Total RUCIS **£7,253**

equates to **50.0%**

RURAL/URBAN CAPITAL IMPROVEMENT SCHEME - 8TH MARCH 2017 EXECUTIVE**APPENDIX 7****Summary of Financial Impact of Approving Scheme**

Scheme Description	RURAL	URBAN	UNDERSPENDS	TOTAL
<u>Original 2016/17 Budget</u>	£75,000	£75,000	£0	£150,000
<u>6th April Executive</u>				
The Gap Community Centre		-£16,097		-£16,097
Budbrooke Community Association	-£30,000			-£30,000
<u>30th November Executive</u>				
Leamington Cricket Club		-£7,977		-£7,977
<u>8th February Executive</u>				
SYDNI Centre		-£6,361		-£6,361
Canal & River Trust	-£7,917			-£7,917
Remaining Budget Sub-Total	£37,083	£44,565	£0	£81,648
<u>8th March Executive</u>				
Norton Lindsey & Wolverton Cricket Club (proposed)	-£17,061			-£17,061
Barford, Wasperton & Sherbourne Joint Parish Council (proposed)	-5,387			-£5,387
Old Milverton Parish Room (proposed)	-£4,603			-£4,603
Warwick Cricket Club (proposed)		-£7,520		-£7,520
Kenilworth Wardens Cricket Club (proposed)		-£4,982		-£4,982
Stoneleigh Village Hall (proposed)	-£7,253			-£7,253
<u>Projects Closed - Underspend and Withdrawn 2016/17</u>				
Warwick Sports Club (209) - Underspend (17th June 2016)			£40	£40
The Gap Community Centre (214) - Underspend (7th July 2016)			£602	£602
Stoneleigh Village Hall (199) - Underspend (11th July 2016)			£708	£708
Total Remaining 2016/17 Budget	£2,779	£32,063	£1,350	£36,192