



Civic Centre,
Arnot Hill Park,
Arnold,
Nottinghamshire,
NG5 6LU

Agenda

Cabinet

Date: **Thursday 30 January 2020**

Time: **2.00 pm**

Place: **Chappell Room**

For any further information please contact:

Alec Dubberley

Service Manager Democratic Services

0115 901 3906

Cabinet

Membership

Chair Councillor John Clarke

Vice-Chair Councillor Michael Payne

Councillor Peter Barnes
Councillor David Ellis
Councillor Gary Gregory
Councillor Jenny Hollingsworth
Councillor Viv McCrossen
Councillor Henry Wheeler

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MINUTES CABINET

Thursday 7 November 2019

Councillor John Clarke (Chair)

Councillor Michael Payne
Councillor Peter Barnes
Councillor David Ellis
Councillor Gary Gregory

Councillor Jenny Hollingsworth
Councillor Viv McCrossen
Councillor Henry Wheeler

Officers in Attendance: K Bradford, H Barrington, A Dubberley, M Hill and D Wakelin

47 APOLOGIES FOR ABSENCE.

None.

48 TO APPROVE, AS A CORRECT RECORD, THE MINUTES OF THE MEETING HELD ON 9 OCTOBER 2019.

RESOLVED:

That the minutes of the above meeting, having been circulated, be approved as a correct record.

49 DECLARATION OF INTERESTS.

None.

50 RELEASE OF SKY LANTERNS AND HELIUM BALLOONS WITHIN GEDLING BOROUGH

The Deputy Chief Executive introduced a report, which had been circulated in advance of the meeting, proposing measures to control the release of sky lanterns and helium balloons within the Borough.

RESOLVED to:

- 1) Authorise the Director of Organisational Development and Democratic Services to introduce a new condition into the Council's temporary licences and events licences prohibiting the release of sky lanterns (also known as Chinese lanterns) and helium balloons on land or property owned and/or controlled by Gedling Borough Council; and

- 2) Support the continued monitoring by officers of the complaints and risks associated with the release of helium balloons and sky lanterns within the Borough.

51 COMMITMENT TO IMPROVING MENTAL HEALTH IN GEDLING BOROUGH

The Service Manager Community Relations introduced a report seeking support of measures to improve mental health within Gedling Borough, through signing up to the Prevention Concordat and supporting the Time to Change Pledge.

RESOLVED to

- 1) Support the commitment of increasing the focus on the prevention of mental health problems and the promotion of good mental health within Gedling Borough, by signing up to the Prevention Concordat for Better Mental Health;
- 2) Authorise the Chief Executive to sign the Prevention Concordat/Consensus Statement and approve and sign the Commitment Action Plan; and
- 3) Note and support the work being undertaken by Officers to explore the feasibility of signing up to the Time to Change Pledge.

52 DRAFT SPORT AND PHYSICAL ACTIVITY STRATEGY

The Chief Executive introduced a report, which had been circulated prior to the meeting, seeking approval to consult on the recently drafted sport and physical recreation strategy.

RESOLVED:

To authorise the commencement of a two-week period of consultation on the draft Sport and Physical Activity Strategy to ensure it identifies and includes all of the target areas from extensive initial engagement and consultation held earlier in the year.

53 PRUDENTIAL CODE INDICATOR MONITORING 2019/20 AND QUARTERLY TREASURY ACTIVITY REPORT FOR QUARTER ENDED 30 SEPTEMBER 2019

The Deputy Chief Executive introduced a report, which had been circulated prior to the meeting informing Members of performance monitoring of the 2019/20 Prudential Code Indicators, and to advise Members of the quarterly Treasury activity as required by the Treasury Management Strategy.

RESOLVED to:

Note the report, together with the Treasury Activity Report 2019/20 for Quarter 2 at Appendix 1 to the report, and the Prudential and Treasury Indicator Monitoring 2019/20 for Quarter 2, at Appendix 2 to the report.

54 QUARTERLY BUDGET MONITORING AND VIREMENT REPORT - QUARTER 2

The Deputy Chief Executive introduced a report, which had been circulated in advance of the meeting updating Members on the Cabinet the forecast outturn for Revenue and Capital budgets for 2019/20 and to request approval from Cabinet for the changes to the budget as set out in the report.

RESOLVED to:

- 1) Approve the General Fund Budget virements set out in Appendix 1 to the report;
- 2) Note the use of reserves and funds during quarter two as detailed in Appendix 2 to the report;
- 3) Approve the changes to the capital programme included in paragraph 2.3 of the report.

55 GEDLING PLAN QUARTER 2 PERFORMANCE REPORT

The Director of Organisational Development and Democratic Services introduced a report, which had been circulated prior to the meeting, informing Members of a summary of the position against Improvement Actions and Performance Indicators in the 2019/2020 Gedling Plan at the end of quarter 2.

RESOLVED:

To note the progress against Improvement Actions and Performance Indicators in the 2019/20 Gedling Plan

56 ANY OTHER ITEMS THE CHAIR CONSIDERS URGENT.

None.

The meeting finished at 3.00 pm

Signed by Chair:
Date:

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Report to Cabinet

Subject: Gedling Satisfaction Survey 2019

Date: 30 January 2020

Author: Director of Organisational Development & Democratic Services

Wards Affected

Borough-wide.

Purpose

To give feedback to Members on the results of the Gedling Satisfaction Survey 2019.

Key Decision

This is not a key Decision.

Recommendations

THAT:

- (a) the feedback on the Gedling Satisfaction Survey 2019 is noted; and
- (b) the survey results be referred to the Overview and Scrutiny Committee so that the data can be considered when determining its work programme for the forthcoming year.

1 Background

1.1 On 27 June 2019, Cabinet considered the programme of activities for the Gedling Conversation and Satisfaction Survey 2019. It was agreed that the Council would distribute a hard copy Satisfaction Survey to all households in the borough. The results of the survey would be analysed to ascertain whether there is a need for more in depth, targeted face to face consultation on a borough wide basis; in certain areas or with specific groups.

1.2 The data received from the Residents' Satisfaction Survey is important for:

- developing our strategies and understanding what our residents think and need; and

- identifying any areas where there might be a need for further improvement.

- 1.3 A copy of the Satisfaction Survey was delivered to each household in the borough and was also available to be completed online. The survey had a very good response rate of 3,750 responses. This represents 7% of households, which is a good result for this type of consultation. By way of comparison, in 2017 the Council received 3,422 responses representing 6.5% of households. Putting this into context, LGA Guidance suggests that a sample of 500 respondents to a residents' satisfaction survey for a local authority the size of Gedling would be sufficient.
- 1.4 Social media and Keep Me Posted were again actively used this year to promote the survey and although the majority of replies were returned by post, 36% of replies were completed online, which is a 10% increase on the 26% completed online in 2017.
- 1.5 The profile of the respondents in terms of ethnicity and gender seems fairly proportionate to the profile of the borough. As with the 2017 survey the age profile of the respondents, on the other hand, show that the sample is skewed towards the older population. However the responses from 35-54 year olds remain fairly proportionate to the profile of the borough. As before the younger population is under-represented in the responses, but Cabinet will be aware that a separate consultation exercise to seek the views of young people, led by the Portfolio Holder for Young People and Equalities, is being progressed.
- 1.6 The overall responses show that satisfaction with the Council and its services is very positive compared to the results in 2017. The majority of the response are the same or the change is not statistically significant being less than 5%. A summary of the key indicators is set out below and the detailed results of the satisfaction survey will be reported to Cabinet in the form of a presentation at the meeting.

Key Indicator	2019 response	2017 response
Satisfaction with the local area	82%	83%
Satisfaction with the way the Council runs things	68%	66%
Feeling Informed	73%	71%
Responsiveness of the Council	47%	60%
Perceived value for money	51%	50%

- 1.7 The only question which shows a significant difference to the 2017 survey is: I think that Gedling Borough Council responds to the concerns of local residents. Further detailed data analysis is needed to ascertain whether there is an explanation for this decrease or there is a need for more in depth, targeted, face to face consultation.

2 Proposal

- 2.1 It is proposed that Cabinet notes the feedback on the Gedling Satisfaction Survey 2019.
- 2.2 The detailed results have been shared with Senior Leadership Team and Service Managers to assist in the development of service plans and to identify whether targeted service delivery or intervention is required.
- 2.3 It is also proposed that the survey results be referred to the Overview and Scrutiny Committee so that the data, particularly the views of our residents about what public services are most important and most in need of improvement, can be considered when determining its work programme for the forthcoming year.

3 Alternative Options

- 3.1 Not to note the feedback on the Gedling Satisfaction Survey.

4 Financial Implications

- 4.1 None directly arising from this report.

5 Appendices

- 5.1 None.

6 Background Papers

- 6.1 Satisfaction Survey results.

7 Reasons for Recommendations

- 7.1 To ensure Cabinet is informed about the views of our community obtained through the Gedling Satisfaction Survey 2019.
- 7.2 To ensure the survey results are used to develop our plans and strategies and identify any areas where there might be a need for further improvement.

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Report to Cabinet

Subject: Counter Fraud and Corruption Strategy and Whistleblowing Policy and Procedure

Date: 30 January 2020

Author: Deputy Chief Executive and Director of Finance

Purpose

This report presents the Counter Fraud and Corruption Strategy and the Whistleblowing Policy and Procedure for approval.

Key Decision

This is not a key decision.

Recommendations

That

- a) Following endorsement by the Audit Committee, to approve the Strategy
- b) Note the key implementation actions at paragraph 2.5.

1. Background

- 1.1 The proposed Counter Fraud and Corruption Strategy and Whistleblowing Policy and Procedure will replace the current approved documents, the Anti-Fraud Statement, Anti-Money Laundering Policy and Whistleblowing (Reporting fraud or corruption).
- 1.2 Fraud and corruption are ever present risks to all organisations. Gedling Borough Council employs approximately 500 staff and has a gross revenue and capital budget of over £50m. As with other large organisations, the size and nature of our services puts us at risk of loss due to fraud, bribery and corruption, both from within the Council and outside it.
- 1.3 Fraud and corruption can have a significant negative impact on an organisation through disruption to their services or undermining the achievement of their

objectives: every pound lost to fraud is a pound not spent on achieving the Gedling Plan. The Council needs to be proactive in ensuring their systems, processes and policies are robust to minimise the risk of fraud from occurring and ensuring that monies, assets and organisational reputation is protected.

1.4 The Chartered Institute of Public Finance and Accountancy has produced the Code of Practice on Managing the Risk of Fraud and Corruption (the Code) which supports public service organisations in seeking to ensure they have the right governance and operational arrangements in place to counter fraud and corruption consisting of the following principles:

- Acknowledge the responsibility of the governing body for countering fraud and corruption;
- Identify the fraud and corruption risks;
- Develop an appropriate counter fraud and corruption strategy;
- Take action in response to fraud and corruption.

2. Proposal

2.1 The proposed Counter Fraud and Corruption Strategy and the Whistleblowing Policy and Procedure, attached at appendices 1 and 2 respectively, have been developed to ensure compliance with current legislation and the adoption of best practice guidance e.g. the Code.

2.2 Counter Fraud and Corruption Strategy

The purpose of the Counter Fraud and Corruption Strategy is to:

- Improve the knowledge and understanding of all Gedling Members and Officers, irrespective of their position, about the risk of fraud, bribery and corruption within the organisation.
- Promote a counter fraud culture and an environment where individuals feel able to raise concerns and understand that fraud, bribery and corruption is unacceptable.
- Set out the Gedling responsibilities in terms of the deterrence, prevention, detection and investigation of fraud, bribery and corruption.
- Ensure appropriate sanctions are considered following an investigation, which may include internal disciplinary action, civil recovery and/or criminal prosecution.

2.3 Whistleblowing Policy and Procedure

The term whistleblowing has a specific legal definition, i.e. a disclosure or allegation of serious wrongdoing made by an employee, and a wider public definition, i.e. any disclosure or allegation of serious wrongdoing made by anyone. The Whistleblowing Policy and Procedure seeks to cover both disclosures and allegations made by employees and members of the public in respect of serious wrongdoing, such as:

- Breach of a legal obligation;
- Any criminal activity, including incitement to commit a criminal act;
- Fraud, bribery or corruption;
- A miscarriage of justice;
- A danger to the health or safety of any individual or damage to the environment;
- Abuse of power or authority;
- Failure to comply with professional standards, Council Constitution, policies or codes of practice/conduct;

committed by or related to the actions of:

- Gedling Borough Council employees;
- Members; and/or
- Contractors, agency staff, suppliers or consultants of Gedling Borough Council in the course of their work for the Council.

The policy sets out how the Council will handle and respond to any such allegations and seeks to:

- a) encourage employees and members of the public and/or their representatives to feel confident in raising concerns or allegations in the public interest about suspected serious wrongdoing in the Council and its services without fear of reprisals or victimisation even where the concern or allegations are not subsequently confirmed by the investigation;
- b) give a clear message that allegations of serious wrongdoing or impropriety are taken seriously;
- c) ensure that where the disclosure proves to be well founded, the individuals responsible for such serious wrongdoing will be held accountable for their actions;
- d) set out what employees and members of the public can expect by way of confidentiality and protection when making a whistleblowing disclosure; and
- e) identify independent support for employees who wish to make a whistleblowing disclosure.

2.4 The draft Counter Fraud and Corruption Strategy and the Whistleblowing Policy and Procedure have been reviewed by Senior Leadership Team to ensure they reflect current legislation and are consistent with the Council's linked policies e.g. Member and Officer Codes of Conduct, Disciplinary Procedures, Declarations of Interest.

2.5 The development of the Counter Fraud and Corruption Strategy and the Whistleblowing Policy and Procedure has identified a number of actions that are required to ensure effective implementation across the Council. The key actions include:

- Deliver Member and Officer training to improve knowledge and understanding and promote a counter fraud culture;
- Publication on the Council website and intranet to ensure promotion to all stakeholders;
- Update process for Officer Declarations of Interests;
- Update linked policies e.g. Officer Code of Conduct, Employee Handbook.
- Review fraud risks and mitigating controls by service area and link as appropriate to individual risk registers.

3 Alternative Options

Members could choose not to approve the strategy or to make changes to the one that it is proposed. This is not recommended as the correct course of action because the Strategy needs to be updated in order to keep the Council's Corporate Governance arrangements in compliance with the law and best practice.

4. Financial Implications

- 4.1 There are no financial implications arising from the approval of the strategy and policy and procedure documents. Any cost arising from the implementation actions will be contained within existing budgets.

5. Appendices

Appendix 1 - Counter Fraud and Corruption Strategy

Appendix 2 - Whistleblowing Policy and Procedure

6. Background Papers

None identified.

7. Reasons for recommendation

To ensure that the Council's policies and strategies for counter fraud, corruption and Whistleblowing remain fit for purpose and compliant with the law and best practice.



COUNTER FRAUD AND CORRUPTION STRATEGY

Policy Owner: Service Manager, Financial Services
Date of Adoption: tbc
Next Review: tbc
Version Number: 1

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1. Introduction

This document sets out the Council's strategy in relation to fraud, bribery and corruption. It has the full support of the Council's elected Members and the Senior Leadership Team and is based on the latest best practice guidance.

Gedling Borough Council employs approximately 500 staff and has a gross revenue and capital budget of over £50m. As with other large organisations, the size and nature of our services puts us at risk of loss due to fraud, bribery and corruption, both from within the Council and outside it.

The Council is committed to reducing fraud, bribery and corruption, and to the promotion of high standards of conduct, to ensure that funds are used as they are intended. Our desire is to be a model of public probity, affording maximum protection to the funds we administer.

The Council will seek the appropriate disciplinary, regulatory, civil and criminal sanctions against fraudsters and where possible, will attempt to recover losses.

2. Purpose

The purpose of this strategy is to:

- Improve the knowledge and understanding of all Gedling staff, irrespective of their position, about the risk of fraud, bribery and corruption within the organisation.
- Promote a counter fraud culture and an environment where staff feel able to raise concerns and understand that fraud, bribery and corruption is unacceptable.
- Set out the Gedling responsibilities in terms of the deterrence, prevention, detection and investigation of fraud, bribery and corruption.
- Ensure appropriate sanctions are considered following an investigation, which may include internal disciplinary action, civil recovery and/or criminal prosecution.

3. Scope

This strategy applies to all individuals working at all levels including Members (including co-opted members), employees (whether permanent, fixed-term, or temporary), trainees, secondees, home-workers, casual staff and agency staff, interns and students, agents, sponsors, volunteers or any other person associated with the Council wherever located (collectively referred to as "Officers") in this Strategy, as well as contractors, suppliers and other internal and external stakeholders including service users and any other parties who have a business relationship with the Council.

This strategy is not intended to provide a comprehensive approach to preventing and detecting fraud, bribery and corruption.

Any abuse or non-compliance with this policy or procedures will be subjected to a full investigation and appropriate disciplinary action.

4. Definitions

4.1 Fraud

Fraud involves **dishonestly** making a false representation, failing to disclose information or abusing a position held, with the intention of making a gain or causing a loss. The gain or loss does not have to succeed, as long as the intent is there.

The Fraud Act 2006 came into force on 15th January 2007 and applies in England, Wales and Northern Ireland. It defines:

- Fraud by false representation (Section 2) – a representation can be in words, written or communicated by conduct. There must be knowledge that the representation was untrue or misleading.
- Fraud by failing to disclose (Section 3) – not declaring something (verbally or in writing) when there is a legal duty to disclose that information.
- Fraud by abuse of position (Section 4) – occupying a position in which you are expected to safeguard, or not to act against, the financial interests of another person or organisation, and abusing that position.
- Further sections for consideration are Section 6 – Possession of articles for use in fraud and Section 7 – Making or supplying articles for use in fraud.

Actions that could be seen to constitute fraud include, but are not limited to:

- Any dishonest or deceptive act;
- Making fraudulent statements e.g. falsifying timesheets, travel and subsistence, sick or special leave;
- Theft, destruction of property or data, or misappropriation of funds;
- Impropriety in the handling and reporting of money or financial transactions;
- Subletting;
- Profiteering because of inside knowledge of the company's activities;
- Disclosing confidential information;
- Obtaining goods, money or services by deception;
- Intimidation or exploitation;
- False accounting/invoicing and/or the destruction, removal or inappropriate use of records;
- Serious misuse of IT or communications systems.

4.2 Bribery and Corruption

Bribery and corruption involves offering, promising or giving a payment or benefit-in-kind in order to influence others to use their position in an improper way to gain an advantage. Bribery is a criminal offence.

Offences of bribing another person:

The Bribery Act 2010 makes a person guilty of an offence if either of the following two cases apply:

- He/she offers, promises or gives a financial or other advantage to another person, and he/she intends the advantage to induce a person to perform improperly a relevant function or activity, or to reward a person for improper performance of such a function or activity.
- He/she offers, promises or gives a financial or other advantage to another person, and he/she knows or believes that the acceptance of the advantage would itself constitute the improper performance of a relevant function or activity.

Offences in relation to being bribed:

The Bribery Act 2010 makes a person guilty of an offence if any of the following applies:

- He/she requests, agrees to receive or accepts a financial or other advantage intending that, in consequence, a relevant function or activity should be performed improperly (whether by him/herself or another person);
- He/she requests, agrees to receive or accepts a financial or other advantage, and the request, agreement or acceptance itself constitutes the improper performance by him/her of a relevant function or activity;
- He/she requests, agrees to receive or accepts a financial or other advantage as a reward for the improper performance (whether by him/herself or another person) of a relevant function or activity;
- In anticipation of or in consequence of him/her requesting, agreeing to receive or accepting a financial or other advantage, a relevant function or activity is performed improperly by him/her or by another person at his/her request or with his/her assent or acquiescence.

Failure of a commercial organisation to prevent bribery (Section 7 of the Bribery Act 2010):

A relevant commercial organisation (e.g. the Council) is guilty of an offence under this section if a person associated with the organisation bribes another person intending to obtain or retain business for the organisation, or to obtain or retain advantage in the conduct of business for the organisation.

However, it is a defence for the organisation to prove that it had in place adequate procedures designed to prevent persons associated with the organisation from undertaking such conduct.

FRAUD AND CORRUPTION

1. Introduction

The Council is responsible for the proper administration of its finances. This not only includes direct income and expenditure but also monies that we administer on behalf of the Government, on behalf of our clients, and that for which we are the responsible accountable body. Anyone committing fraud, bribery or corruption, both inside and outside the organisation, attack all of these sources of income and expenditure and our valuable assets.

This Strategy encompasses any action taken by an individual, group or organisation which is designed to facilitate dishonest gain (or a loss) at the expense of the Council, the residents of Gedling, or the wider national community. It, therefore, includes fraud, bribery and corruption and any financial irregularity or malpractice.

The Council will be vigilant in all of these areas and will apply the same principles of deterrence, prevention, detection, investigation and resolution across all its services. The Council will not be afraid to tackle difficult or uncomfortable cases and will take a robust line and seek the maximum appropriate sanction in all areas of operation.

2. The Fraud Threats

The key threats of fraudulent and corrupt activity occurring within the Council are from, in no particular order:

- a. Members;
- b. Officers;
- c. Contractors and Partners;
- d. Public.

3. Members

Our elected Members are expected to act in a manner which sets an example to the community whom they represent and to the Officers of the Council who implement their Policy objectives. They are expected to conduct themselves in ways which are beyond reproach, above suspicion and fully accountable. This includes placing the Council's interests above their own and the observance of the *Seven Principles of Public Life* (ethical standards expected of public office holders as set out by Government) as required by the Members' Code of Conduct in the Council's Constitution.

Members should be particularly careful to ensure that all relevant interests including any conflict of interest are properly declared in any and all of their financial dealings. No financial malpractice will be tolerated and where evidence indicates such malpractice has taken place, a report will be made to the Monitoring Officer who will inform the Police if appropriate.

4. Officers

Officers are also expected to observe the *Seven Principles of Public Life*, acting with integrity, objectivity and honesty. It is recognised that the vast majority of Officers are hardworking and conscientious who conduct themselves in ways which are beyond reproach, above suspicion and fully accountable. However, fraud, bribery and corruption will not be tolerated and where evidence indicates such activity has taken place, the allegation will be investigated under the Council's Disciplinary Procedure and, if proven, action will be taken that may include dismissal. Criminal and/or Civil proceedings will also be pursued if appropriate. The Officer Code of Conduct which sets required standards of behaviour is included in the Employee Handbook.

There is a special responsibility on our Senior Leadership Team to lead their Officers by example. The Council expects these Officers to set the standard by their own behaviour. This includes placing the Council's interests above their own and the whole-hearted promotion of the *Seven Principles of Public Life*.

It is the responsibility of Directors and Service Managers to be aware of the appropriate financial and other counter fraud regulations and to be responsible for ensuring compliance with them by the Officers for whom they are responsible. Directors and Service Managers are also responsible for the enforcement of disciplinary action for staff who fail to comply with policies and procedures

5. Contractors and Partners

The increase in partnership arrangements to deliver services places an additional burden on the Council to ensure that public money invested in these services is appropriately used.

Those organisations undertaking work on behalf of the Council are expected to maintain strong counter fraud and bribery principles. We are happy to work with such organisations and to provide advice on counter fraud measures. Through contract documentation and service level agreements we will ensure that our service providers and partners take the issue of fraud and bribery seriously and the Council is able to terminate the arrangement where fraud or bribery is discovered.

The Council requires partnerships to adopt appropriate governance arrangements as detailed in the service level agreement, which amongst other things, sets out the standards of conduct expected of the Council's partners. This includes the promotion of the *Seven Principles of Public Life*.

In an era of increasing emphasis on partnership working, it is vitally important that our key partners, advocate and promote the principles of good governance, accountability for decisions, effective risk management and the appropriate stewardship of public funds.

6. The Public

Members of the public receive financial assistance and benefits from the Council through a variety of sources. These include, for example:

- Housing Benefit and Council Tax Reduction;
- Temporary accommodation and homelessness prevention assistance;
- Renovation and other housing related grants;
- Community Grants.

All of these areas have been the subject of attack by people committing fraud. This means less money is available for those in genuine need. Our fraud effort will be balanced against our desire to ensure genuine claimants receive their full entitlement.

Because of the scale of expenditure, Housing Benefit fraud receives significant attention from Central Government. A number of initiatives have been implemented which are fully supported by the Council. These include:

- National Fraud Initiative;
- Housing Benefit Matching Service (DWP);
- Verify Earning and Pensions Service (DWP).

The Council will participate in these schemes to the fullest extent.

7. Identifying the Specific Threats

Each Service will be challenged to identify the risk of fraud, bribery and corruption occurring in their area. Where risks are identified, they will be responsible for ensuring they are placed on the Risk Register and that actions are undertaken to address those risks.

Internal Audit, through its programme of work will also test the control environment within Services and compile reports on its findings, highlighting any weaknesses in controls. Services will be required to act upon those recommendations and Internal Audit will monitor progress.

In situations that require a fraud investigation Internal Audit will highlight any system weaknesses that are identified and those will be addressed through an agreed Action Plan. The relevant Service Manager is responsible for implementing the Action Plan and Internal Audit will monitor implementation. The Department for Work and Pensions (DWP) has responsibility with regard to Housing Benefit Fraud through its Single Fraud Investigation Service and the Council works closely with the DWP to combat fraud in this area.

The Council will develop tools to identify and quantify the amount of fraud to inform decision making on the resourcing of counter fraud activity and how and where that resource is deployed.

The Council will evaluate the impact of the harm that each fraud risk can have on delivery of its aims and objectives and service users.

THE COUNCIL'S STRATEGIC APPROACH

Introduction

The Council already has a number of policies and processes in place (at Appendix 1), which underpin the operation of the Council and exist to fortify the Council against fraud, bribery and corruption. The Counter Fraud and Corruption Strategy underpins this framework.

Our Strategy to combat fraud, bribery and corruption is built upon seven key themes:

- Counter fraud Culture;
- Deterrence;
- Prevention;
- Detection;
- Investigation;
- Sanction;
- Redress.

The themes exist within the overall context of a counter fraud culture promoted by the Council through its leadership, governance arrangements and general approach to fraud.

This Counter Fraud and Corruption Strategy provides details of the ways in which these themes will be developed and executed to embed the counter fraud culture as part of the good governance of the Council.

Everyone in the Council has a duty to protect the public purse and should be aware of the potential for fraud, bribery and corruption in their area of work. However, to ensure the successful implementation of this Strategy, specific responsibilities are detailed in Appendix 2 – Roles and Responsibilities.

1. The Counter Fraud Culture

The Council must have a strong and recognised counter fraud culture. One where the Council's leadership, both elected and employed, uphold the highest standards of conduct both in their duties and in their own personal financial dealings.

Leadership is a cornerstone of any organisation. Leaders set the example that the rest of the organisation follows. The elected Members are expected to set an example to each other, our Officers and the community that we serve. The Council as a whole also has a statutory duty to promote high standards of conduct by its Members. To this end the Council has approved a robust Members' Code of Conduct which is included in the Constitution.

Similarly, there is a special onus upon the Chief Executive, Senior Leadership Team and Senior Officers to lead by example in their financial dealings, which are beyond reproach and fully accountable. This includes financial dealings away from the workplace.

The message must be clear and simple that the Council will not tolerate any fraudulent or corrupt activity. Every pound lost through a fraudulent or corrupt act is a pound stolen from the residents of Gedling.

All new employees will receive Counter Fraud and Corruption Awareness training as part of their induction into the Council. In addition, all employees will be required to participate in refresher programmes. These will be in various formats (for example e- learning).

All Directorates will be required to address the risk of loss due to fraud and/or corruption through the Council's Corporate Risk Strategy and appropriate Directorate Risk Action Plans.

This Counter Fraud and Corruption Strategy will be available to all employees, contractors and partners and will link into other relevant policies and guidance, such as the:

- Disciplinary Procedure;
- Member Code of Conduct;
- Officers Code of Conduct;
- Gifts and Hospitality Code of Practice for Members and Officers;
- Whistleblowing Policy and Procedure.

2. Deterrence

We recognise that our systems are vulnerable from attack, particularly by those who gain inside knowledge of control weaknesses. The most effective way to minimise fraud and bribery entering into any system is to deter those who may consider defrauding from committing the offence in the first place.

The Council will ensure that this Strategy and other supporting policies are publicised to the widest possible audience, including staff, partners and the public. We will actively promote the anti-fraud culture and the consequences for those found to have committed such offences.

The Council will seek the most appropriate sanction and redress against all those who commit fraud against the Council. We will publicise details of criminal convictions and provide statistical information in relation to disciplinary action to deter others who may have considered committing such offences themselves.

All Managers have a responsibility for ensuring that control measures are in place to minimise the risk of fraud, bribery and corruption. They must consider these risks whenever new guidance or procedures are written or existing ones revised.

Managers must ensure that all staff are aware of these procedures and of the controls in place. Where effective controls are in place, there is less opportunity to commit fraud and therefore, this may act as a deterrent.

3. Prevention

Fraud, bribery and corruption are costly, both in terms of reputational risk and financial losses. To reduce the risk of loss we must aim to prevent it from happening in the first place. There are a number of key processes, which can assist in the prevention of fraud and corruption, including:

- a. Internal Control systems (and the work of the Audit Committee);
- b. Employee Recruitment and Conduct;
- c. Members Roles and Conduct;
- d. Public Contracts – prevention of bribery
- e. Joint working to prevent and combat fraud and bribery

(a) Internal Control Systems

The Council takes ultimate responsibility for the protection of our finances and those that are administered on behalf of the Government or the Community. In turn, our Managers have a duty to protect their service area from losses due to fraud and irregularity, and are responsible for implementing proper internal controls and ensure compliance with Financial Regulations and Standing Orders. Our Managers are expected to be fully familiar with the services they provide and must be cognisant of the fraud and bribery risks in their service area. Some services will be at particular risk of attack from external sources, for example:

- Housing Benefit;
- Renovation Grants;
- Homelessness and Housing;
- Council Tax;
- IT Systems (cyber fraud).

In fact any service which pays money directly, reduces a liability or gives a service of value where there is some sort of claim or application made, is at a high risk of fraud. In addition, all Council services are susceptible to internal fraud through false pay, allowance or sickness claims and abuse of their position by Officers for private gain. or the gain of relatives or friends.

Internal controls are only effective if they are properly conducted. Therefore, it is the responsibility of all Managers to establish and maintain systems of internal control and to assure themselves that those controls are properly applied and on the activities intended. This includes responsibility for the prevention and detection of fraud, bribery and corruption. The Council has developed an Anti-Money Laundering Policy which is attached at Appendix 4.

We will implement strong systems of verification of all claims for all types of financial assistance, for example, risk-based verification for housing benefit claims. We will utilise all data available to corroborate information given by applicants for the purposes of prevention and detection of fraud. We will also monitor and review grants and assistance given to external organisations to ensure applications are genuine.

We will also expect our voluntary sector partners which receive grant funding from the Council to have adequate governance procures and controls in place to minimise the risk of fraud. This expectation will be written into all relevant agreements. We will provide Fraud Awareness training to our partners as required.

Our partners are expected to have adequate Whistle-blowing Procedures and the Council's own procedure, which is contained in the Employee Handbook, will be promoted to contractor staff working on behalf of the Council.

Internal Audit will ensure that an adequate and effective audit is undertaken of the Council's systems and processes. Any system weaknesses that are identified as a result of these investigations will be reported to the relevant Director/Service Manager. These will be addressed through an agreed Action Plan. The relevant Service Manager is responsible for implementing the Action Plan and Internal Audit will monitor

Failure to implement adequate system controls following a loss to fraud may be investigated under the Disciplinary Procedure and will be the subject of a report to the relevant Director and/or Audit Committee. The Audit Committee will receive regular reports from Internal Audit regarding system failures, proposals for action and feedback on the implementation of Action Plans.

(b) Employee Recruitment and Conduct

All employees must abide by the Council's rules. These are contained in the Council's Constitution and in the Employee Handbook. Policies that have been formally adopted and included in the Employee Handbook form part of each employee's contract of employment. Employees of the Council are also expected to follow any additional Codes of Conduct, either related to any professional body to which they are registered, or additional Council Codes of Conduct relevant to their post, and immediately notify the Council if they come into conflict with any such Code. The Employee Code of Conduct and Gift and Hospitality Code of Practice which contain counter fraud and anti-bribery behaviour expectations are included in the Council's Employee Handbook.

Where agency workers are deployed in positions where they have access to finance, personal data or other assets, Service Managers will check their references direct with their previous employer. The Council will not rely only on references supplied by staffing agencies.

The Chief Financial Officer/Deputy will be proactive in raising awareness of the Council's Counter Fraud and Corruption culture to staff through appropriate mechanisms including Fraud Awareness training at all levels. Fraud and Corruption awareness will also form part of the new entrants' induction package.

(c) Members Roles and Conduct

All Members are bound to comply with the Members' Code of Conduct and any ancillary Codes that we implement. We will provide Fraud and Corruption Awareness training to our Members and encourage an open and honest dialogue between Members and Officers. The Members' Code of Conduct is included in the Council's Constitution with requirements for the disclosure of interests at meetings and notification of interests and gifts and hospitality to be included in the Register. These documents incorporate counter fraud expectations and are linked documents to this strategy.

We will ensure that the processes that are particularly vulnerable, such as planning, licensing, disposals and tendering are adequately protected through internal control mechanisms and regular reminders to Members regarding requirements for declaration of interests.

(d) Public Contracts - prevention of bribery

Under the Public Contracts Regulations 2015 (which gives effect to EU law in the UK), a company is automatically and perpetually debarred from competing for public contracts where it is convicted of a corruption offence. The Regulations do not include the crime of failure to prevent bribery. Organisations that are convicted of failing to prevent bribery are not automatically barred from participating in tenders for public contracts. This Council has the discretion to exclude organisations convicted of this offence.

The Council requires, through its contract procedure that all procurement activity be undertaken to the highest standards of ethics and probity. The Council insists on ethical standards from its suppliers which are fully reflected in contract terms and conditions and in turn it must exhibit the highest ethical standards itself as reflected in Member and Officers Codes of Conduct including requirement for declaration of interests. The Contract Standing Orders also require any officer who has a conflict of interest or any material interest, financial or otherwise, which may affect the procurement process to declare that interest to the Director and take no further part in the procurement process, unless the Monitoring Officer agrees. Officers and Members must not only be fair and above board in all business dealings, but should also avoid any conduct that is capable of having an adverse interpretation put on it.

(e) Joint Working to Prevent and Combat Fraud and Bribery

The Internal Audit team will work with other local authorities and public sector bodies, as appropriate, to investigate allegations of fraud including:

- Department of Health;
- Department for Work and Pensions (DWP);
- Police;
- Her Majesty's Revenue & Customs (HMRC);
- Border & Immigration Agency.

Where appropriate, we will participate in data-matching exercises and will share information using legislation or legal gateways available to us and our partners. The Government Cabinet Office has drawn up a Code of Data Matching Practice for its National Fraud Initiative (NFI), which is recognised by the Information Commissioner as complying with Data Protection legislation.

The Council will make full use of its statutory powers to obtain information, and will utilise appropriate bodies to support such information gathering.

4. Detection

Whilst it is possible to reduce the potential for fraud and corruption within the Council, it is important to remember that it is not possible to eradicate it. Therefore, it is essential that Officers are aware of what to do should they detect or suspect fraud or bribery has, or is taking place.

All officers, the public and Members are encouraged to contact nominated officers with any suspicion of fraud, bribery or corruption, or the misuse of official position. The Council operates a Whistle-blowing procedure for those who wish to utilise the protection offered by the Public Interest Disclosure Act 1998. The Whistleblowing procedure is contained in the Employee Handbook and published on the Council's website.

The nominated officers are:

- Head of Paid Service (Chief Executive);
- Chief Financial Officer or Deputy (Deputy Chief Executive and Director of Finance and Service Manager, Financial Services);
- Monitoring Officer or Deputy (Director of Organisational Development and Democratic Services and Service Manager, Legal Services);
- Service Manager, Organisational Development.

The Fraud Response Plan provides guidance on what to do should an individual suspect fraud or corruption and can be found at Appendix 3 of this Strategy. Alternatively, where benefit fraud is suspected we encourage the public to report it to the National Benefit Fraud Hotline on 0800 854 440 or write to them at PO Box 224, Preston, PR1 1GP

Internal Audit reviews will have regard to the possibility of fraud. Where the same is externalised, contract arrangements will ensure that investigators are appropriately trained to ensure that they have a full understanding of system controls and potential fraud areas.

We will utilise all methods available to detect fraud. This includes data matching, open source research, surveillance and intelligence led investigations where appropriate. We will participate fully in the Government's National Fraud Initiative.

We will analyse fraud trends in order to identify high risk areas and undertake pro- active counter fraud exercises based on that analysis.

5. Investigation

As a matter of potential serious wrongdoing, all allegations of fraud, bribery and corruption will be investigated in accordance with the procedures contained in the Council's Whistleblowing Policy. The Corporate Whistleblowing Team (as set out above in Section 4) will consider the allegation and determine the appropriate method of investigation ensuring the appropriate alignment with relevant Council Policies e.g. Disciplinary Procedures, Members Code of Conduct to ensure their correct and consistent application. The investigating team will include officers with appropriate expertise e.g. Internal Audit, Human Resources, Legal Services, related Service Manager.

The Chief Financial Officer or Deputy will manage the overall investigation of allegations of fraud, bribery and corruption in consultation with appropriate officers depending upon the nature of the allegation.

This may or may not result in the investigation being referred to professional investigators appropriately trained in criminal investigation and will be required to work within the parameters of the relevant Criminal Law.

Cases will be referred to the Police where their additional powers are required to secure evidence or recovery of funds, or where the matter cannot be pursued in-house.

There is an expectation that any employee will assist the Council with any matter under investigation. Any employee suspected of deliberately taking action to hide, remove or alter evidence relevant to an investigation will themselves be investigated under the Council's Disciplinary Procedure as a potential act of misconduct, possibly gross misconduct.

If an allegation of fraud or corruption against a Member also results in a complaint of breach of the Members' Code of Conduct, the complaint will be dealt by the Monitoring Officer in accordance with the approved arrangements for dealing with complaints. If the complaint gives rise to a criminal offence it will be referred to the police.

Our partners will provide full access to their financial records, as they relate to our finances, and their Officers will be required to assist fully with any investigation. These conditions will be included in any contract terms or agreements.

6. Sanction

We will seek the strongest available sanctions against all who commit fraud against the Council, its clients or the public purse. This may include disciplinary action, prosecution, civil proceedings or a combination. Where the fraud is committed by an employee of a contractor or partner organisation, we will request that the organisation takes appropriate disciplinary action against the individual and/or we will require that they are removed from the Gedling account.

The decision to recommend any or all of the above sanctions will be made on a case by case basis, having regard to the Disciplinary Procedure in place at the time.

Disciplinary Action

The Council's Disciplinary Procedure specifically identifies fraud and theft as potential acts of gross misconduct. Other related acts may be similarly viewed as potential gross misconduct including corruption, serious financial malpractice, or use of position for personal gain or for the gain of others. Any proven act of gross misconduct may lead to dismissal from the service of the Council. In the event of a dismissal on a count of fraud, this will be declared in reference requests received from prospective future employers.

The concept of fraud, theft or similar activity applies to employees who improperly benefit from the Council as a corporate body, and not just those who steal funds from their own area of business. It also applies to employees who defraud or steal from the Council's clients. We will also investigate under the Council's Disciplinary Procedure any action of Officers who appear to commit fraud against other Local Authorities, the Department of Work and Pensions or any other agency administering public funds.

Any case of fraud, theft or corruption involving a Member will be dealt with in accordance with the Council's arrangements for dealing with complaints. This may involve a referral to the Police if there is potentially criminal conduct/breach of other regulations.

Criminal Sanctions

In addition to any disciplinary action, the Chief Financial Officer or Deputy in consultation with Legal Services will decide whether further action is appropriate in respect of any criminal offences. This decision will be made on a case by case basis and further action may include a recommendation of prosecution.

We will use the Council's own Legal team and the Crown Prosecution Service, through the Police, to bring offenders to justice. As a deterrent, we will also publicise our successful sanctions in the local press.

7. Redress

In all cases we will seek recovery of any fraudulently obtained amounts and we will utilise all means available to us to recover these amounts. This can include freezing assets, Compensation Orders, Confiscation Orders, Civil Litigation, recoup of monies paid through the Local Government Pension Fund, and general debt recovery.

The Council Debt Recovery procedures provides clear guidance on the measures it will take to effectively recover monies owed to the Council.

Additionally, where a criminal conviction has been secured, we will utilise the power of the Courts to obtain Compensation Orders where appropriate. We will also consider the use of our partners' specialist skills in financial investigation to recover losses using the Proceeds of Crime Act 2002.

All partners and contractors will be responsible for any losses affecting Council funds attributable to their employees. Bribery and corruption clauses are included in contract terms and enable the termination of the contract and the recovery of funds in the event of fraud.

REVIEW AND REPORTING

Updates

This Strategy will be the subject of regular review to ensure it continues to meet statutory requirements and supports the strategic objectives of the Council. It will be formally reviewed on a tri-annual basis.

Internal audit will also conduct a periodic review of the Council's operation against the Strategy to ensure the Counter Fraud and Corruption culture is embedded within Council services.

A report on the Council's activity in relation to cases of fraud and irregularities will be submitted to the Audit Committee on an annual basis to include an assessment of whether the level of resource invested in counter fraud and corruption is proportionate to the level of risk.

APPENDIX 1 – THE CORPORATE FRAMEWORK

- The Constitution (including Financial Regulations, Contract Standing Orders and the Scheme of Delegation);
- An established Audit Committee;
- An established Standards Committee and an adopted Code of Conduct for Members;
- A comprehensive Members' Induction programme delivered following elections which included expected standards of behaviour and interests;
- Employee rules of conduct contained within the relevant policies and procedures;
- Employees' Conditions of Service;
- An Officer appointed under Section 151 of the Local Government Act 1972, with statutory responsibility for the oversight of all financial affairs;
- An Officer, appointed as Monitoring Officer under section 5 of the Local Government and Housing Act 1989, with statutory responsibility for monitoring the legality of the Council's affairs;
- Register of Interests and Gifts and Hospitality
- Gifts and Hospitality Code of Practice for Members and Officers;
- Effective employee recruitment procedures (recruitment checks and DBS where appropriate) and a detailed Officer Code of Conduct;
- A Corporate Induction programme for all Officers which includes expected standards of probity;
- Effective Disciplinary Procedures;
- An Internal Audit function with a responsibility for assessing and testing the Council's control environment;
- A Whistle-blowing Policy and Procedure;
- A Counter Fraud and Corruption Strategy;
- A Complaints procedure available to the public;
- Public inspection of accounts and questions to the External Auditor;
- An External Audit function;
- Dedicated Internal Audit service whose work programmes includes proactive work determined by a formal risk assessment;
- Participation in National anti-fraud initiatives;
- A proactive IT security function and an Information Security Policy;
- Risk-based Verification policy (benefits);
- A Data Protection Policy;
- Local Code on Corporate Governance

APPENDIX 2 – ROLES AND RESPONSIBILITIES

Role	Responsibility
Council	<ul style="list-style-type: none"> • Facilitate a Counter Fraud and Corruption culture. • Demonstrate a commitment to this Strategy and ensure it has the appropriate profile within the Council.
Cabinet	<ul style="list-style-type: none"> • To approve the Counter Fraud and Corruption Strategy. • Ensure the Strategy is effectively implemented across the Council.
Audit Committee	<ul style="list-style-type: none"> • To monitor and review the Counter Fraud and Corruption Strategy for referral to Cabinet for approval. • To monitor and review the effectiveness of the Council's risk management arrangements, internal controls and related counter fraud and corruption arrangements.
Standards Committee	<ul style="list-style-type: none"> • Role in promoting the highest standards of conduct by Members including advising on what should be included in the Code of Conduct and reviewing the Gifts and Hospitality Code of Practice
Appointments and Conditions of Service Committee	<ul style="list-style-type: none"> • To approve robust employment policies.
Appeals and Retirements Committee	<ul style="list-style-type: none"> • To consider appeals made against dismissals relating to fraud, bribery and corruption in order to ensure measures taken are in accordance with policies and are fair and proper.
Chief Executive	<ul style="list-style-type: none"> • Ensure that there is strong political and executive support for work to counter fraud and corruption. • Ensure adequate policies and procedures are in place to protect the organisation i.e. this Strategy, and ensure that there is consistency across Directorates in its implementation.
Monitoring Officer	<ul style="list-style-type: none"> • Ensure that expected standards of ethical conduct are developed and effectively communicated. • Ensure Registers of Interests, Gifts & Hospitality are maintained. • Ensure Members and Officers are fully aware of their obligations in relation to probity. • Ensure resources are available to pursue appropriate criminal and civil proceedings.

Chief Financial Officer	<ul style="list-style-type: none"> • Ensure appropriate financial regulations are documented and implemented. • Ensure that those working to counter fraud and corruption are undertaking this work in accordance with a clear ethical framework and standards of personal conduct. • Ensure that those working to counter fraud and corruption are professionally trained and accredited for their role and attend regular refresher courses to ensure they are up to date with new developments and legislation. • Ensure that there is a level of financial investment in counter fraud and corruption work that is proportionate to the risk that has been identified. • Ensure that reports on investigations include a section on identified policy and system weaknesses that allowed the fraud/corruption to take place where appropriate. • Ensure that effective Whistle-blowing arrangements are established.
Service Manager, Organisational Development	<ul style="list-style-type: none"> • Ensure effective pre-employment checks at the recruitment stage for all employees, implemented by appropriately trained Officers; • Provide advice to promote consistency, ensuring appropriate use of the Disciplinary Procedure and advise on matters of employment law; • Ensure employment policies support the Counter Fraud and Corruption Strategy; • Advise on and monitor that effective and appropriate sanctions are applied in all appropriate cases.
Directors	<ul style="list-style-type: none"> • Ensure the risks of fraud and corruption are identified, entered on the Risk Register and Action Plans implemented to reduce the risk to an acceptable level. • Ensure the Counter Fraud and Corruption Strategy is implemented within their Directorate, and that all staff understand the importance of protecting the organisation from fraud, bribery and corruption. • Ensure the risk of fraud and corruption is considered in all new processes. • Report instance of actual or suspected fraud to the Chief Financial Officer or deputy. It is important that Directors do not investigate suspected financial crimes themselves.

Service Managers	<ul style="list-style-type: none"> • Ensure the Counter Fraud and Corruption Strategy is implemented within their service and all employees are aware of their responsibilities and understand the employee rules of conduct; • Ensure the risks of fraud and corruption are identified, entered on the Risk Register and Action Plans implemented to reduce the risk to an acceptable level. • Ensure that as part of the risk management process the Council attempts to identify accurately the nature and scale of losses to fraud and corruption, and also takes into account fraud and corruption risks in relation to significant partnerships. • Ensure that there are framework agreements in place to facilitate working with other organisations and agencies. • Consider fraud and corruption risks within all new Policies and systems, and to revise existing ones to remove possible weaknesses. • Report instance of actual or suspected fraud to the Chief Financial Officer or deputy. It is important that Service Managers do not investigate suspected case of fraud or financial irregularity without consulting the Chief Financial Officer or deputy. • Ensure employees are aware of the process for reporting allegations of fraud. • Ensure all employees understand the Whistle- blowing Policy and Procedure and reporting arrangements. • Ensure accurate and timely reporting of gifts and hospitality.
Employees	<ul style="list-style-type: none"> • Ensure understanding of and compliance with the Council's Counter Fraud and Corruption Strategy. • Report suspected fraud or corruption and take responsibility for understanding the appropriate methods to do so. • Report gifts and hospitality and take responsibility for understanding the process to do so. • Declare interests and take responsibility for understanding the process to do so. • Not take part in decisions where they have a conflict or material interest, financial or otherwise.
Risk Management Group (SLT)	<ul style="list-style-type: none"> • Ensure any risks identified due to potential fraud or corruption are properly mitigated.

Internal Audit	<ul style="list-style-type: none"> • Support Directors and their Managers in identifying and mitigating risks for fraud and corruption. • Review controls and systems ensuring compliance with Financial Regulations • To undertake investigation into allegations of fraud and corruption to identify weaknesses in controls in line with legislation and to provide supporting evidence to managers investigating allegations under the Council’s Disciplinary Procedure. • Make recommendations where weaknesses are identified, and ensure Action Plans are implemented to prevent reoccurrences. • Notify the Nominated Officers (see at the outset of investigations into employees and at the conclusion of investigation, and liaise as appropriate during the investigation. <p>The nominated officers are:</p> <ul style="list-style-type: none"> • Head of Paid Service (Chief Executive); • Chief Financial Officer or Deputy (Deputy Chief Executive and Director of Finance and Service Manager, Financial Services); • Monitoring Officer or Deputy (Director of Organisational Development and Democratic Services and Service Manager, Legal Services); • Service Manager, Organisational Development.
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APPENDIX 3 – FRAUD RESPONSE PLAN

1. Introduction

Gedling Borough Council is committed to the highest possible standards of openness, honesty, integrity and accountability in the conduct of all its business and decision making.

In line with that commitment, the Council's Counter Fraud and Corruption Strategy outlines the principles we are committed to in relation to preventing, reporting and managing fraud and corruption.

This Fraud Response Plan reinforces the Council's robust approach by setting out the ways in which employees or members of the public can voice their concerns about suspected fraud or corruption. It also outlines how the Council will deal with such complaints.

2. What do we want to know about?

This plan is intended to be implemented where suspicions of fraud, bribery or corruption have been raised.

Fraudulent or corrupt acts may include:

- Systems issues - for example, abuse of a process/system by either employees, Members, or the public such as planning applications;
- Financial Issues – for example, where individuals or companies have fraudulently obtained money from the Council such as invoicing for work that was not undertaken;
- Equipment Issues – for example, where Council equipment is used for personal or private business use, such as Council vehicles, phones, laptops or iPads;
- Resource Issues – for example, where there is a misuse of resources such as theft of materials;
- Other Issues - activities undertaken by Officers of the Council which may be:
 - Unlawful;
 - Against the Council's Financial Procedure Rules and Contract Standing Orders;
 - Fall below established standards or practices; or
 - Amount to improper conduct – for example, receiving hospitality that is not in accordance with the approved policy.

This is not an exhaustive list.

3. What Should an Employee do if they Suspect Fraud, Bribery or Corruption?

Employees are often the first to realise that there is something seriously wrong within the Council. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to the Council. They may also fear harassment or victimisation. In these circumstances, they may feel that it would be easier for them to ignore the concern rather than report what may just be a suspicion of malpractice.

The Council's Whistle-blowing Policy and Procedure contained in the Employee handbook is intended to encourage and enable Officers to raise concerns about serious wrongdoing, which includes all allegations of fraud, bribery and corruption, within the Council, rather than overlooking a problem, informing the media, or other external bodies.

Employees should report any concerns related to fraud, bribery and corruption in accordance with the Whistle-blowing Policy and Procedure. The nature of the complaint will determine the Council's course of action.

The employee must **not**:

- Approach the person, people or organisation they suspect;
- Attempt to collect evidence or question anybody, (but if they have documents etc which they think are relevant, they should where possible secure them safely);
- Attempt to investigate on their own.

If an employee is unsure about what they have seen or heard, they should seek advice in confidence in accordance with the Whistle-blowing Policy and Procedure contained in the Employee Handbook.

4. Safeguards

The Council recognises that the decision to report a concern can be a difficult one to make, not least because of the fear of reprisal from those responsible for the malpractice. The Council will not tolerate harassment or victimisation and will take action to protect those who raise a concern in good faith.

The Council will not disclose information regarding the identity of the complainant without their prior consent, and they cannot be compelled to give evidence. However, it must be appreciated that in some situations the investigation process may not be concluded unless the source of the information and a statement by the individual can be produced as part of the evidence.

Allegations of fraud, bribery or corruption can be made anonymously. However, concerns expressed anonymously are much less powerful, but they will be considered at the discretion of the Council. In exercising this discretion, the factors to be taken into account would include:

- The seriousness of the issues raised;
- The credibility of the concern; and
- The likelihood of confirming the allegation from attributable sources.

If an allegation is made in good faith, but it is not confirmed by the investigation, no action will be taken against the originator. If, however, individuals make malicious or vexatious allegations, action may be considered against the individual making the allegation. In the case of an employee making malicious or vexatious allegations, this may include disciplinary action or dismissal.

5. **How will Allegations of Fraud, Bribery or Corruption be dealt with by the Council?**

The Whistleblowing Policy and Procedure sets out a number of nominated officers that you should raise concerns with. However, you also have the option to make contact with the Internal Auditors.

Internal Audit operates independently of all other Council Services. Their work includes establishing procedures with the following aims:

- To develop and embed a Counter Fraud and Corruption culture;
- To deter, prevent, detect and investigate fraud, bribery and corruption;
- To seek appropriate action against those who commit or seek to commit some sort of fraud, bribery or corruption;
- To obtain compensation in respect of any losses to the Council; and
- To recommend system and control improvements to reduce the Council's exposure to fraudulent activity.

To this end Internal Audit will work with other stakeholders to provide a joined up approach to prevention, detection, investigation and prosecution of fraud, bribery and corruption within the Council.

When allegations are received the action taken by the Council will depend on the nature of the concern. Where there are concerns about the potential conduct of a Member then the matter will be investigated under the Members Code of Conduct. Where there are concerns about the potential conduct of an employee then the matter will be investigated under the Council's Disciplinary Procedure. The matter may also be referred to the Police.

6. **Alternative Methods for Taking a Complaint Forward**

If either a member of the public or an employee feels that it is right to take the matter outside these processes, the following organisations can be contacted:

- If you live within the Gedling Borough Council boundary, your local Councillor can be contacted. If you are unsure how to contact them, call the Council on 0115 9013901 for advice or look at the Council website;
- The Council's external auditor: Mazars;
- Employees may invite their Trade Union to raise a matter on their behalf;
- The Police;
- The relevant regulatory body e.g. Planning Inspectorate
- The Local Government and Social Care Ombudsman, an independent body set up by the Government to deal with complaints against Councils in the United Kingdom;
- Protect, a charity that provides free and strictly confidential legal help to anyone concerned about a malpractice which threatens the public interest. They operate a helpline on 0203 3117 2520 or via the website www.pcaw.co.uk

7. **External communications**

Individuals (be they Members, officers, partners, contractors) must not communicate with any member of the press, media or another third party about a suspected fraud as this may seriously damage the investigation and any subsequent actions to be taken.

All media referrals in respect of fraud activity must comply with the Council's approved Media Protocol and be completed by the Communications Team.

8. Review of Fraud Response Plan

The Fraud Response Plan will be reviewed following each occasion it is deployed and any necessary improvements will be implemented to ensure it operates effectively.

APPENDIX 4 – ANTI-MONEY LAUNDERING POLICY

1. Introduction

- 1.1 Money Laundering can be defined as “a process that makes money with an illegal origin appear legal so that they may be used”. Legislation concerning Money Laundering (Proceeds of Crime Act 2002 and the Money Laundering Regulations 2003 and 2007) have broadened the definition of Money Laundering and increased the range of activities caught by the statutory framework. As a result, the obligations impact on areas of local authority business although the Council is not directly covered by Money Laundering Regulations.
- 1.2 However under the CIPFA Treasury Code of Practice local authorities are required to establish internal procedures to prevent the use of their services for Money Laundering (Treasury Management Practice 9).

2. The Scope of this Policy

- 2.1 This Policy applies to all employees of Gedling Borough Council and its elected Members and aims to maintain the high standards of conduct which currently exist within the Council by preventing criminal activity through Money Laundering. The Policy sets out the procedures that must be followed to enable the Council to comply with its legal obligations.
- 2.2 Anti-Money Laundering legislation places a responsibility upon Council employees and elected Members to combat Money Laundering and covers a very wide area of financial transactions, including possessing, or in any way dealing with, or concealing, the proceeds of any crime. It applies to all employees/elected Members involved with monetary transactions. In this context, monetary transactions includes any business of the Council which involves any transfer of assets or obligations to or from the Council and where there is opportunity for the other party to receive or divert cash or convert assets or obligations into cash. Many types of criminal activity would fall under the scope of Money Laundering (for instance falsely claiming benefits and tax evasion etc.).
- 2.3 It is a criminal offence to:-
 - Assist a money launderer;
 - “Tip off” a person suspected to be involved in Money Laundering, that they are the subject of Police investigations;
 - Fail to report a suspicion of Money Laundering, and
 - Acquire, use or possess criminal property.

3. Purpose and Intent

- 3.1 The statutory requirements concerning Anti-Money Laundering procedures are extensive and complex. The purpose for this Policy is to enable the Council to meet its legal obligations in a way that is proportionate to the low risk to the Council of contravening the legislative framework.
- 3.2 It is necessary to make all employees and elected Members aware of their responsibilities and the consequences of non-compliance with the Policy.

- 3.3 Whilst the risk to the Council of contravening the legislation is minimal, it is vitally important that all employees and Elected Members are familiar with their responsibilities.

4. When this Policy Applies

- 4.1 When the Council is carrying out relevant business and:

- (a) Forming a business relationship, or
- (b) Considering undertaking a one-off transaction.

- 4.2 Relevant business is defined by the legislation to include, but is not restricted to, investments, accountancy and audit services, and the financial, company and property transactions undertaken by Legal, Financial Services and Property Services.

5. Client Identification Procedures

- 5.1 Note that 'client' refers to the customer, be it a private individual or a business representative, asking the Council to accept and bank money.
- 5.2 Any employee involved in relevant business should ensure the client provides satisfactory evidence of their identity personally, through a passport or photo driving licence plus one other document with their name and address e.g. utility bill, mortgage/building society/bank documents, pension/benefits book, or corporate identity – through company formation documents or business rates.
- 5.3 In any circumstances where the client cannot be physically identified the employee should be aware:-
- (a) That there is greater potential for Money Laundering where the client is not physically present when being identified;
 - (b) If satisfactory evidence is not obtained the relationship or transaction should not proceed;
 - (c) If the client acts or appears to act for another person, reasonable measures must be taken for the purposes of identifying that person.

6 Record Keeping

- 6.1 The Council and contractors working for the Council conducting relevant business must maintain records of:-
- (a) Client identification evidence obtained, which must be kept for 5 years after the end of the transaction or relationship;
 - (b) Details of all relevant business transactions carried out for clients for at least 5 years from the completion of the transaction. This is so that they may be used as evidence in any subsequent investigation by the relevant authorities into Money Laundering.
- 6.2 The Chief Financial Officer or Deputy must be informed of the existence and location of such records.

7 The Money Laundering Reporting Officer (MLRO)

- 7.1 The Council must nominate officers that take the lead role in combatting money laundering, and these are known as the MLRO
- 7.2 The Officers nominated to receive disclosures about Money Laundering activity within the Council are the Chief Financial Officer (Deputy Chief Executive and Director of Finance) and Deputy (Service Manager, Financial Services).

8 Reporting Requirements

- 8.1 Where an employee or elected Member is aware, or has sound and valid suspicions that Money Laundering may have taken place (or may be taking place), he or she must contact the MLRO for guidance as soon as possible regardless of the amount being offered. In such circumstances, no money may be taken by anyone until this has been done. If money has been received this should be held and kept separate from Council monies.
- 8.2 Any person knowing or suspecting Money Laundering, fraud or use of the proceeds of crime, must report this to the MLRO on the forms attached. When in doubt it is best to report any suspicions.
- 8.3 Upon receipt of receiving the report the MLRO will consider all of the admissible information in order to determine whether there are grounds to suspect Money Laundering.
- 8.4 If the MLRO determines that the information on matters should be disclosed it will be reported to the National Crime Agency (NCA).
- 8.5 At no time and under no circumstances should any employee or elected Member voice any suspicions to the person(s) suspected of Money Laundering, even if the NCA has given consent to a particular transaction proceeding, otherwise the employee/elected Member may be committing the offence of "tipping off". The MLRO will keep the appropriate records in a confidential manner.

9 Related Procedures

- 9.1 The Council will establish other procedures for internal control and communication as may be appropriate for the purpose of the prevention of Money Laundering:
 - (i) Regular receipts – the Council in the normal operation of its business accepts payments from individuals and organisations in respect of a range of activities. For all transactions under £2,000 the Money Laundering Regulations do not apply but if an employee/Member has reasonable grounds to suspect Money Laundering activity or proceeds of crime or is simply suspicious, the matter should still be reported to the MLRO.
 - (ii) Cash receipts – if the money offered in cash is £2,000 or more then payment must not be accepted until the employee has received guidance from the MLRO or the Deputy MLRO.
 - (iii) Refunds – any significant overpayment that results in a repayment will need to be properly investigated and authorised before payment.

10 Effectiveness

- 10.1 The impact and effect of this Policy shall be reviewed at least annually by the Chief Financial Officer.

- 10.2 Anti-Money laundering training will be provided to appropriate officers on a regular basis.

MONEY LAUNDERING REPORTING OFFICER
DISCLOSURE FORM

Date of Disclosure:

Officer making disclosure (inc. Job Title):

Contact Details:

Subject Details:

Title:

Surname:

Forename:

Date of Birth:

In the case of a legal entity (company):

Name:

Address:

Company No. (if known):

Type of Business:

VAT No. (If known):

Reason for disclosure:

Receipt: MLRO or Deputy MLRO will confirm receipt of a completed Disclosure Form within 3 working days.

Appendix 2

WHISTLEBLOWING POLICY AND PROCEDURE

1. INTRODUCTION

1.1 Gedling Borough Council is committed to ensuring that it, and the people working for it, complies with the highest standards of integrity, openness, honesty and accountability.

1.2 The term whistleblowing has a specific legal definition, i.e. a disclosure or allegation of serious wrongdoing made by an employee, and a wider public definition, i.e. any disclosure or allegation of serious wrongdoing made by anyone.

1.3 This policy seeks to cover both disclosures and allegations of serious wrongdoing made by employees and members of the public, and to this end, where this policy makes reference to a whistleblower; it refers to any individual (including Gedling Borough Council employees and/or members of the public) who is making a disclosure or allegation of serious wrongdoing.

1.4 Where any individual, irrespective of whether that individual is either a Gedling Borough Council employee, a worker for a Council contractor (including seconded Council employees) or a member of the public, is aware of any serious wrongdoing, such as:

- Breach of a legal obligation;
- Any criminal activity, including incitement to commit a criminal act;
- Fraud, bribery or corruption;
- A miscarriage of justice;
- A danger to the health or safety of any individual or damage to the environment;
- Abuse of power or authority;
- Failure to comply with professional standards, Council Constitution, policies or codes of practice/conduct;

committed by or related to the actions of:

- Gedling Borough Council employees;
- Members; and/or
- Contractors, agency staff, suppliers or consultants of Gedling Borough Council in the course of their work for the Council;

and reports it, the Council will investigate any such allegations and, where appropriate, take action. The Council is also committed to preventing any harassment, victimisation or unfair treatment of any person arising from their whistleblowing, and where appropriate, take disciplinary action against any member of staff responsible for such harassment, victimisation or unfair treatment against a whistleblower.

1.5 This policy seeks to set out how the Council will handle and respond to any such allegations, made either by Council staff or members of the public.

1.6 Whilst the whistleblowing legislation offers protection to employees, the Council

considers that any such allegations of serious wrongdoing should be investigated, whether they are made by an employee, a user of Gedling Borough Council services, or any member of the public.

1.7 This policy seeks to:

- a) encourage employees and members of the public and/or their representatives to feel confident in raising concerns or allegations in the public interest about suspected serious wrongdoing in the Council and its services without fear of reprisals or victimisation even where the concern or allegations are not subsequently confirmed by the investigation;
- b) give a clear message that allegations of serious wrongdoing or impropriety are taken seriously;
- c) ensure that where the disclosure proves to be well founded, the individuals responsible for such serious wrongdoing will be held accountable for their actions;
- d) set out what employees and members of the public can expect by way of confidentiality and protection when making a whistleblowing disclosure; and
- e) identify independent support for employees who wish to make a whistleblowing disclosure.

1.8 This policy is not designed to be used:

- a) for raising or reconsideration of matters that come under existing internal Gedling Borough Council procedures e.g. Grievance, Disciplinary, Capability, Dignity at Work or Gedling Borough Council's general complaints procedure;
- b) for raising or reconsideration of matters that come within the arrangements for dealing with complaints that a Member has breached the Council's Code of Conduct; or
- c) for allegations that fall within the scope of specific procedures (for example child or vulnerable adult protection) which will normally be referred for consideration under the relevant procedure, unless the employee has good reason to believe that the procedure is not being followed or will not be followed effectively; or
- d) as an appeal process from any complaint or grievance handled under any of the above procedures.

1.9 However, if an allegation made under either of the above complaints processes at (a) and (b) falls inside the scope of a "serious wrongdoing", the Council will investigate the allegation under this process.

1.10 Where a complaint made under this policy falls outside the scope of "serious wrongdoing", Gedling Borough Council will advise the whistleblower of this and consult with the whistleblower in respect of taking the complaint further. Wherever possible, the Council will comply with the views of the whistleblower, but there are situations where the Council is legally required to pass on details of allegations, without the consent of the whistleblower, such as in safeguarding matters, or where the allegations relate to serious criminal activity undertaken by individuals outside the Council.

- 1.11 Employees are often the first to realise that there may be something seriously wrong within the Council. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to the Council. They may also fear harassment or victimisation. In these circumstances, it may be easier to ignore the concern rather than report what may just be a suspicion of malpractice.
- 1.12 An employee's concerns about malpractice may in this context include concerns about possible corruption, dangerous procedures risking health and safety, abuse of clients, evasion of statutory responsibilities, damage to the environment or other unethical conduct. The overriding concern should be that it would be in the public interest for the malpractice to be corrected and, if appropriate, sanctions applied.
- 1.13 The Council is committed to the highest possible standards of openness, probity and accountability. In line with that commitment we encourage employees and others with serious concerns about any aspect of the Council's work to come forward and voice those concerns. It is recognised that certain cases will have to proceed on a confidential basis. This procedure makes it clear that staff can do so without fear of reprisals. This Whistleblowing Policy is intended to encourage and enable staff to raise serious concerns within the Council rather than overlooking a problem or 'blowing the whistle' outside.

It is in the interests of all concerned - Council, staff and anybody accused of failure that such disclosures are dealt with properly, quickly and appropriately.

- 1.14 This policy is aligned to other Council policies as follows:
- Counter Fraud and Corruption Strategy
 - Codes of Conduct and Declarations of Interests
 - Gifts and Hospitality Code of Practice for Members and Officers
 - Financial Regulations and Contract Standing Orders
 - Disciplinary Procedure
 - Arrangements for dealing with complaints of breach of the Members' Code of Conduct

2. AIMS AND SCOPE OF THIS POLICY

- 2.1 Employees will be expected through agreed procedures and without fear of recrimination, to bring to the attention of the appropriate level of management any suspicion of serious wrong doing or impropriety as defined in paragraph 1.4 above.
- 2.2 This Policy aims to explain how the Council will put that into practice.

It provides –

- avenues for you to raise concerns and receive feedback on any action taken
- allows you to take the matter further if you are dissatisfied with the Council's response, and

- reassures you that you will be protected from reprisals or victimisation for whistleblowing in good faith
- 2.3 The concern may relate to the actions of an officer or Member of the Council or an external contractor carrying out work on the Council's behalf for the Council.
- 2.4 There are existing procedures in place to enable you to lodge a grievance relating to your own employment. This whistleblowing policy is intended to cover concerns that fall outside the scope of other procedures.

3. SAFEGUARDS

3.1 The Public Interest Disclosure Act 1998 makes it unlawful for the Council to dismiss anyone (or carry out any other form of reprisal) on the basis that they have made a protected disclosure.

3.2 A protected disclosure is one made in good faith by an employee who has a reasonable belief that:

- a criminal offence;
- a miscarriage of justice;
- an act creating risk to health and safety;
- an act causing damage to the environment;
- a breach of any other legal obligation; or
- concealment of any of the above;

is being, has been, or is likely to be, committed.

3.3 The Act has rules for making a protected disclosure:

- the disclosure must be in good faith
- the Whistleblower must believe an allegation to be substantially true
- the Whistleblower must not act maliciously or make false allegations
- the Whistleblower must not seek any personal gain

3.4 Harassment or Victimisation

The Council recognises that the decision to report a concern can be a difficult one to make, not least because of the fear of reprisal from those responsible for the malpractice. The Council will not tolerate harassment or victimisation and will take action to protect you when you raise a concern in good faith.

3.5 This does not mean that if you are already the subject of disciplinary or redundancy procedures, that those procedures will be halted as a result of your whistleblowing.

3.6 Confidentiality

The Council will do its best to protect your identity when you raise a concern and do not want your name to be disclosed. It must be appreciated that the investigation process may reveal the source of the information and a statement by you may be required as part of the evidence. However strenuous efforts will be made to obtain independent evidence which will either excuse you from getting involved further, or where that is not possible corroborate your evidence.

3.7 Anonymous Allegations

This policy encourages you to put your name to your allegation. Concerns expressed anonymously are much less powerful, but they will be considered at the discretion of the Council.

3.8 In exercising the discretion, the factors to be taken into account would include:

- the seriousness of the issues raised
- the credibility of the concern; and
- the likelihood of confirming the allegation from attributable sources.

3.9 Untrue Allegations

If you make an allegation in good faith, but it is not confirmed by the investigation, no action will be taken against you. If, however, you make malicious or vexatious allegations then this will be investigated under the Council's Disciplinary Procedure, potentially as an act of gross misconduct.

4. HOW TO RAISE A CONCERN - EMPLOYEE

4.1 As a first step, you should normally raise concerns with your immediate manager or their manager. You may also wish to seek advice and guidance from a member of the Personnel team. This depends, however, on the seriousness and sensitivity of the issues involved and who is thought to be involved in the malpractice. If you believe that management is involved, then you should directly approach the Head of Paid Service (Chief Executive), the Chief Financial Officer or Deputy (Deputy Chief Executive & Director of Finance or Service Manager, Financial Services), the Monitoring Officer or Deputy Monitoring Officer (Director of Organisational Development and Democratic Services or Service Manager, Legal Services) or the Service Manager, Organisational Development.

4.2 Concerns are better raised in writing. However, regardless of the form in which you decide to raise concerns you should set out the background and history of the concern, giving names, dates and places where possible, and the reason why you are particularly concerned about the situation. If you do not feel able to put your concern in writing, you can telephone or meet the appropriate officer.

4.3 The earlier you express the concern, the easier it is to take action.

4.4 Although you are not expected to prove the truth of an allegation, you will need to demonstrate to the person contacted that there are sufficient grounds for your concern.

4.5 Advice and guidance on how matters of concern may be pursued can be obtained from any of the officers set out in paragraph 4.1 above.

4.6 You may invite your trade union or other representative of your choice to raise a matter on your behalf.

5. HOW TO RAISE A CONCERN – MEMBERS OF THE PUBLIC/COUNCIL CONTRACTOR

- 5.1 Unlike disclosures by employees, the Public Interest Disclosure Act does not cover disclosures by members of the public.
- 5.2 However, the Council considers that any disclosures or allegations made by members of the public in respect of serious wrongdoing should be handled in the same way as disclosures made by employees.
- 5.3 Once a disclosure from a member of the public has been received by the Council, it will be handled in the same way as a disclosure made by an employee under the Public Interest Disclosure Act.

6. ACTION TO BE TAKEN BY AN OFFICER RECEIVING A WHISTLEBLOWING ALLEGATION.

- 6.1 Any officer who is informed of a potential problem through the Whistleblowing policy or suspects any irregularity must record the following:
 - Date Discovered
 - Discovery Method
 - Names of Contacts
 - Nature of Irregularity
- 6.2 Where any officer receives such a report, they must not embark on an investigation. The officer must immediately report details of the suspected irregularity to one of six nominated officers (detailed at paragraph 4.1 above) who will then convene a meeting to include at least three nominated officers to determine how the complaint will be handled.
- 6.3 If the allegation is one of monetary fraud then the Chief Financial Officer or Deputy must be involved in that meeting.

7. HOW THE COUNCIL WILL RESPOND

- 7.1 The action taken by the Council will depend on the nature of the concern. The matters raised may:
 - be investigated internally using policies relevant to officers and Members as appropriate
 - be referred to the Police
 - be referred to the external Auditor
 - form the subject of an independent inquiry
- 7.2 In order to protect individuals and the Council, initial enquiries will be made to decide whether an investigation is appropriate and, if so, what form it should take. Concerns or allegations which fall within the scope of specific procedures will normally be referred for consideration under those procedures.

- 7.3 Some concerns may be resolved by agreed action without the need for investigation.
- 7.4 Within ten working days of a concern being received, the Council will write to you:
- acknowledging that the concern has been received
 - indicating how it proposes to deal with the matter
 - giving an estimate of how long it will take to provide a final response
 - telling you whether any initial enquiries have been made, and
 - telling you whether further investigations will take place, and if not, why not.
- 7.5 The amount of contact between the officer considering the issues and you, will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided. If necessary, further information will be sought from you.
- 7.6 When any meeting is arranged, if you wish, you may be accompanied by a Trade Union representative or other person you nominate who is not involved in the area of work to which the concern relates.
- 7.7 The Council will take steps to minimise any difficulties which you may experience as a result of raising a concern. For instance, if you are required to give evidence in criminal or disciplinary proceedings, the Council will advise you about the procedure.
- 7.8 The Council accepts that you need to be assured that the matter has been properly addressed. Thus, subject to legal constraints, you will receive information about the outcomes of any investigations.

8. HOW TO RAISE A CONCERN EXTERNALLY

- 8.1 This policy is intended to provide you with an avenue to raise concerns within the Council. The Council hopes you will be satisfied. If having pursued your complaint using the procedure outlined you believe that appropriate action has not been taken you may report the matter to the proper authority set out below.
- 8.2 The legislation sets out a number of bodies to which qualifying disclosures may be made. These include (the list is not exhaustive):
- HM Revenue & Customs;
 - the Financial Conduct Authority;
 - the Office of Fair Trading;
 - the Health and Safety Executive;
 - the Environment Agency;
 - the Director of Public Prosecutions;
 - the National Crime Agency;
 - Police.

If you do take the matter outside the Council, you need to ensure that you do not disclose confidential information or that disclosure would be privileged. Check with the Monitoring Officer or Service Manager, Legal Services about that.

9. NOMINATED OFFICERS

9.1 Officers referred to in paragraph 4.1 make up the members of the Corporate Whistleblowing Team and have a collective responsibility for:

- Ensuring that all concerns raised under the Whistleblowing Policy are given initial consideration to determine (a) whether they fall within the remit of the Whistleblowing Policy; (b) if the concerns do fall within the remit of the Whistleblowing Policy, undertaking initial enquiries to determine whether an investigation is appropriate and if so what form it should take; (c) if the concerns do not fall within the remit of the Whistleblowing Policy, ensuring that the complainant is informed of the correct policy/procedure that applies and provided with advice in accordance with that policy/procedure;
- Ensuring that all matters relevant to the complaint are given full and proper consideration before any decisions are made;
- Ensuring that the rights of employees making a protected disclosure are observed and that a fair and proportionate process is followed;
- Appointing an appropriate Senior Officer to oversee the investigation process (where applicable).

9.2 In addition, members of the Corporate Whistleblowing Team have specific responsibilities as follows:

Monitoring Officer/Deputy - – to consider the legal implications of any allegations contained within a whistleblowing complaint, and provide guidance and advice to the receiving manager and the Team on:

- Compliance issues related to the complaint and measures that are required to rectify/ensure compliance;
- Legal consequences of the complaint if proven.

Chief Financial Officer/Deputy – overall responsibility for the process of managing the complaint in accordance with the Policy, to consider the financial implications of any allegations contained within a whistleblowing complaint, and provide guidance and advice to the receiving manager on:

- Measures to avoid or minimise loss or risk to the Council in both the immediate and longer term;
- Whether the allegations are a matter for investigation by external audit and the sourcing of an appropriate external auditor;
- The allocation of appropriate financial resources to fund any associated costs arising from the whistleblowing complaint.

Service Manager, Organisational Development – to consider the human resources implications contained within a whistleblowing complaint, and provide guidance and advice to the receiving manager and the Team on:

- Implications in terms of matters of discipline, suspension and/or capability;
- The appointment of an appropriate internal or external investigator (unless it is a matter for audit investigation);
- Appropriate communication with the complainant and subject of the complaint.

9.3 Although a number of officers have been identified as appropriate to approach, the Chief Financial Officer has overall responsibility for the maintenance and operation of

this policy. A record of concerns raised and the outcomes will be maintained by the Chief Financial Officer but in a form that does not endanger your confidentiality and will report as necessary to the Council.

10. MAINTENANCE OF THE POLICY

10.1 The Policy will be reviewed by the Chief Financial Officer and updated in line with current legislation and best practice procedure.

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Report to Cabinet

Subject: Prudential Code Indicator Monitoring 2019/20 and Quarterly Treasury Activity Report for Quarter ended 31 December 2019

Date: 30 January 2020

Author: Deputy Chief Executive and Director of Finance

Wards Affected

All

Purpose

To inform Members of the performance monitoring of the 2019/20 Prudential Code Indicators, and to advise Members of the quarterly Treasury activity as required by the Treasury Management Strategy.

Key Decision

This is not a key decision.

Recommendation

That:

1. Members note the report, together with the Treasury Activity Report 2019/20 for Quarter 3 at Appendix 1, and the Prudential and Treasury Indicator Monitoring 2019/20 for Quarter 3, at Appendix 2.

Background

- 1.1 The Council is required by regulations issued under the Local Government Act 2003 to report on its Prudential Code indicators and treasury activity. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).

1.2 For 2019/20 the minimum reporting requirements are that the Full Council should receive the following reports:

- An annual Treasury Strategy in advance of the year (the TMSS, considered by Cabinet on 14 February 2019 and subsequently approved by Full Council on 4 March 2019);
- A mid-year treasury update report;
- An annual review following the end of the year describing the activity compared to the Strategy.

In accordance with best practice, quarterly monitoring reports for treasury activity are provided to Members, and this exceeds the minimum requirements.

1.3 The regulatory environment places responsibility on Members for the review and scrutiny of treasury management policy and activities. This report provides details of the position at 31 December 2019 and highlights compliance with the Council's policies.

Proposal

2.1 Economic update

UK – Political and Brexit uncertainty dampened economic growth in 2019. Growth was volatile, with Q1 unexpectedly strong at 0.5%, Q2 poor at minus 0.2%, and Q3 back up to 0.4%. It is expected that Q4 will be confirmed at zero. The general election in December cleared the way for the UK to leave the EU on 31 January 2020. However, there remains much uncertainty whether a reasonable trade deal can be achieved by the end of 2020.

The Monetary Policy Committee (MPC) raised Bank Rate from 0.5% to 0.75% in August 2018 but has taken no further action since then, and it is unlikely that it will do so until remaining uncertainty over the exact nature of Brexit becomes clear. If there was a “no-deal Brexit” it is likely that Bank Rate would be cut to support growth, however if growth was to fall significantly for any reason, the MPC would also be likely to cut Bank Rate in 2020. The government has announced some major spending increases and is expected to make further commitments in the spring budget. These will provide some support for growth, and will reduce pressure on the MPC to stimulate growth by cutting Bank Rate or implementing other monetary policy measures.

CPI inflation fell to 1.5% in October 2019, and held in November, and is expected to remain between 1.5% and 2% over the next two years. If there was a no- deal Brexit however, it could rise towards 4%, primarily as a result of “imported inflation” on the basis of a weakening pound.

Wage inflation picked up to 3.9% in June 2019 before easing back to 3.5% in October, meaning that in real terms, (ie. wage inflation higher than CPI inflation), earnings grew by about 2%. As the UK economy is largely services sector driven, an increase in household spending power is likely to feed through into providing support for the overall rate of economic growth in the coming months.

USA - President Trump's significant easing of fiscal policy in 2018 fuelled a temporary boost in consumption which generated an upturn in the rate of growth to 2.9%. Growth in Q1 of 2019 was 3.1% but fell back to 2% in Q2 and 2.1% in Q3. Strong growth in employment in 2018 reversed into a weaker trend during 2019, indicating a cooling in the US economy. The Federal Reserve (Fed) increased rates by 0.25% in December 2018, but took decisive action to reverse monetary policy by cutting rates by 0.25% in each of July, September and October 2019 to counter the downturn in the outlook for US and world growth. The Fed is now expected to pause to see how the economy responds in 2020.

EUROZONE - The annual rate of growth has fallen steadily from 1.8% in 2018 to only 1.1% year on year in Q3 of 2019. The European Central Bank (ECB) ended its programme of quantitative easing in December 2018, which meant that the central banks in the US, UK and EU had all ended the phase of post financial crisis expansion of liquidity supporting world financial markets by purchases of debt. However, the downturn in Eurozone growth together with inflation falling well under the upper limit of its target range of 0% to 2% has prompted the ECB to take new measures to stimulate growth. At its March meeting it indicated that it expected to leave interest rates at their present levels "at least to the end of 2019", but this was of little help to boosting growth in the near term. Consequently, it announced a third round of targeted longer-term refinancing operations (TLTROs), whereby banks are provided with cheap borrowing, every three months from September 2019 until March 2021 – which, with a two-year maturity, means that the ECB is making funds available until 2023 - two years later than under its previous policy. The downturn in Eurozone and world growth has however gathered momentum, and at its meeting on 12 September 2019 the ECB cut its deposit rate further into negative territory, and announced a resumption of quantitative easing. It also increased the maturity of the TLTROs to 3 years. It is thought doubtful whether this loosening of monetary policy will have much impact on EU growth and the ECB has indicated that governments will also need to help stimulate growth by fiscal policy.

CHINA - Economic growth has been weakening over successive years, despite repeated rounds of central bank stimulus and medium term risks are increasing. The trade war with the US does not appear to be having a significant effect on growth. Major progress still needs to be made to eliminate excess industrial capacity and to switch investment from property,

construction and infrastructure to consumer goods production. It also needs to address the level of non-performing loans in the banking and credit systems.

WORLD GROWTH – The trade war between the US and China on tariffs is a major concern to financial markets and is depressing worldwide growth, since any downturn in China impacts countries supplying raw materials to it. Concern is focused on the synchronised weakening of growth in the major world economies. If there was a major worldwide downturn in growth, central banks in most of the major economies would have limited options available, in terms of monetary policy measures, when rates are already very low in most countries apart from the US, and there are concerns about how much distortion of financial markets has already occurred with the current levels of quantitative easing by central banks. The forward indication is a downturn in growth in 2020.

2.2 Interest rate forecast

The Council's treasury advisers, Link Asset Services (LAS) undertook its last review of interest rate forecasts on 11 November 2019, and currently anticipate the next increase in Bank Rate to be around Q1 of 2021.

Following the August 2018 increase in Bank Rate to 0.75%, the MPC has put any further action on hold. While the general election in December 2019 provided political certainty with regard to the UK leaving the EU on 31 January 2020, there is still much uncertainty over what sort of trade deal might be agreed by the end of 2020, and its likely impact on the UK economy. The LAS central assumption remains that there will be some form of agreement on a reasonable form of Brexit trade deal, however if this is not the case it may prompt the MPC to make an immediate cut in Bank Rate. All other forecasts for investment and borrowing rates would also have to change.

A potential danger is that unconventional monetary policy since 2008 ie. ultra-low interest rates and quantitative easing, may ultimately do more harm than good through prolonged use. Low interest rates have encouraged a debt-fuelled boom, which now makes it harder for economies to raise interest rates. There has been a major increase in consumer and other debt due to the exceptionally low borrowing rates that have prevailed for eleven years, and this means that the neutral rate of interest in an economy (ie. one that is neither expansionary nor deflationary) is difficult to determine definitively in the new environment. Negative interest rates could damage the profitability of commercial banks and so impair their ability to lend, or push them into riskier lending.

- The overall balance of risk to economic growth in the UK is considered to be even, but this is dependent on a successful outcome from negotiations on a trade deal.
- The balance of risk to increases in Bank Rate and shorter term PWLB rates are broadly similar, to the downside.

Link Asset Services (LAS) have provided the following forecast:

Link Asset Services Interest Rate View													
	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Bank Rate View	0.75	0.75	0.75	0.75	1.00	1.00	1.00	1.00	1.00	1.25	1.25	1.25	1.25
3 Month LIBID	0.70	0.70	0.80	0.90	1.00	1.00	1.00	1.10	1.20	1.30	1.30	1.30	1.30
6 Month LIBID	0.80	0.80	0.90	1.00	1.10	1.10	1.20	1.30	1.40	1.50	1.50	1.50	1.50
12 Month LIBID	1.00	1.00	1.10	1.20	1.30	1.30	1.40	1.50	1.60	1.70	1.70	1.70	1.70
5yr PWLB Rate	2.40	2.40	2.50	2.50	2.60	2.70	2.80	2.90	2.90	3.00	3.10	3.20	3.20
10yr PWLB Rate	2.70	2.70	2.70	2.80	2.90	3.00	3.10	3.20	3.20	3.30	3.30	3.40	3.50
25yr PWLB Rate	3.30	3.40	3.40	3.50	3.60	3.70	3.70	3.80	3.90	4.00	4.00	4.10	4.10
50yr PWLB Rate	3.20	3.30	3.30	3.40	3.50	3.60	3.60	3.70	3.80	3.90	3.90	4.00	4.00

2.3 Investment strategy

The Treasury Management Strategy Statement (TMSS) for 2019/20, which includes the Annual Investment Strategy, was approved by Council on 4 March 2019, and sets out the Council's investment priorities as:

- security of capital;
- liquidity;
- yield.

Whilst the Council will always seek to obtain the optimum return (yield) on its investments, this will at all times be commensurate with proper levels of security and liquidity. In the current economic climate it is considered appropriate either to keep investments short term to cover cash flow needs, or to extend the period up to 12 months with highly rated financial institutions, selected by the use of the LAS creditworthiness methodology (see below) which includes consideration of sovereign ratings.

Investment counterparty limits for 2019/20 are generally **£3m** per individual counterparty, however a higher limit of **£4m** per Money Market Fund is considered prudent since such funds are already by definition highly diversified investment vehicles. There is no limit on Investment with the Debt Management Office (DMO) since this represents borrowing from central government. The Chief Financial Officer has delegated authority to

vary these limits as appropriate, and to report any change to Cabinet as part of the next quarterly report. The limits have not been exceeded during the period 1 April to 31 December 2019.

Credit ratings advice is taken from LAS and the Chief Financial Officer has adopted the LAS credit rating methodology for the selection of investment counterparties. This employs a sophisticated modelling approach utilising credit ratings from all three of the main rating agencies to give a suggested maximum duration for investments. Accordingly it does not place undue reliance on any one agency's ratings.

The methodology subsequently applies an "overlay" to take account of positive and negative credit watches and/or credit outlook information, which may increase or decrease the suggested duration of investments. It then applies a second overlay based on the credit default swap spreads for institutions, the monitoring of which has been shown to give an early warning of likely changes in credit ratings. It also incorporates sovereign ratings to ensure selection of counterparties from only the most creditworthy countries. The current Treasury Strategy permits the use of any UK counterparties subject to their individual credit ratings under the LAS methodology. It also permits the use of counterparties from other countries with a minimum sovereign rating of AA. For information, the UK currently has a rating of AA.

The LAS modelling approach combines all the various factors in a weighted scoring system and results in a series of colour coded bands which indicate the creditworthiness of counterparties. The colour bandings are as follows:

- Yellow 5 years (UK Government debt or its equivalent)
- Dark pink 5 years for Ultra Short Dated Bond Funds (credit score 1.25)
- Light pink 5 years for Ultra Short Dated Bond Funds (credit score 1.50)
- Purple 2 years
- Blue 1 year (nationalised or semi nationalised UK banks only)
- Orange 1 year
- Red 6 months
- Green 100 days
- No colour not to be used

Credit ratings are monitored weekly and the Council is also alerted to interim changes by its use of the LAS creditworthiness service, however ratings under the methodology, including sovereign ratings, will not necessarily be the sole determinant of the quality of an institution. Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.

The ultimate decision on what is prudent and manageable for the Council will be taken by the Chief Financial Officer under the approved scheme of delegation.

2.4 Treasury Activity during Quarter 3 of 2019/20

The Treasury Activity Report for the quarter ended 31 December 2019 is attached at Appendix 1, in accordance with the Treasury Management Strategy.

Members will note that investment interest of £145,953 was generated from MMF activity, term deposits with banks and building societies, and the property fund, during the period from 1 April to 31 December 2019. This represents an overall equated rate for the Council of 1.02% and outperforms the benchmark 7 day LIBID rate, which averaged 0.57% for the same period. In cash terms this represents additional income to the General Fund of around £64,400 and was achieved by positive investment management, and in particular a favourable return on the property fund (see below). Performance in respect of the longer 3 month LIBID rate, which averaged 0.66%, still represents additional income of £51,500.

During the period from 1 April to 31 December 2019, significant use was made of the Council's two Money Market Funds (MMFs). These are AAA rated investment vehicles which allow the pooling of many billions of pounds into highly diversified funds, thus reducing risk. The current rate of return on these funds is around 0.70%, and this is generally higher than overnight treasury deposit rates, and the rate obtainable from the Debt Management Office (DMO).

The Council made an investment of £1m in the CCLA Local Authority Property Fund (LAPF) on 1 December 2017. The LAPF is a local government investment scheme approved by the Treasury under the Trustee Investments Act 1961 (section 11). Dividends are currently averaging just below 4% per annum and are treated as revenue income. This investment allows the Council to introduce a property element into its investment portfolio without the risks associated with the direct purchase of assets. It should be noted however that the capital value is not guaranteed and can fall as well as rise. The investment must therefore be seen as a long term commitment.

Interest rates in the market remain low, and this is likely to continue in view of the ongoing uncertainty surrounding Brexit and the transition period. As loans mature every effort is made to replace them at favourable rates, however security and liquidity will always be the overriding factors in the Council's treasury management. LAS currently forecast that Bank Rate is unlikely to rise again until Q1 of 2021, however there is much uncertainty and interest rates are still expected to rise only gradually, and not

significantly.

It is currently anticipated that the outturn for investment interest will be £181,000, an increase of £15,000 on the current approved estimate of £166,000 for 2019/20. The impact of this is included in the Q3 revenue budget monitoring report elsewhere on this agenda.

2.5 New borrowing

The original estimate for 2019/20 assumed borrowing of £2.5m in 2019/20, however £1m of unscheduled borrowing was undertaken from the Public Works Loan Board (PWLB) at the end of 2018/19 on the advice of the Council's treasury advisers, in order to take advantage of favourable rates.

Further new long-term borrowing from PWLB of £1m was undertaken on 8 October 2019 in order to benefit from the historically low rate of 1.62% available for 50 years. This proved particularly favourable since on 9 October HM Treasury imposed an additional 1% on all PWLB rates across the board. The reasoning for this was to broadly restore PWLB borrowing rates to those available during 2018, however no notice was given of the change.

No further borrowing is anticipated during 2019/20 and PWLB interest payable is expected to be in line with the current approved estimate of £333,000.

The Council has approved a commercialisation programme aimed at the generation of funding to replace central government support which has been withdrawn. Significant additional borrowing may be required to support this commercial programme, and this will be supported by individual business case assessments and appropriate budget approvals, to demonstrate that each project generates a return sufficient to cover any borrowing costs – which are now likely to be higher in the light of the PWLB's action. Advice will be taken from LAS with regard to the amount and timing of any additional borrowing, and should conditions become advantageous, some borrowing in advance of need will also be considered by the Chief Financial Officer.

The Council's Capital Financing Requirement (CFR) represents its underlying need to borrow to finance capital investment. Due to favourable interest rates, borrowing in advance of need is sometimes desirable, with the result that the CFR can differ to the actual borrowing planned in the year. Investment guidance issued in February 2018 reaffirmed that borrowing in advance of need purely to profit from the investment of the extra sums borrowed, rather than prudent early borrowing for a service objective, is however unlawful.

Whilst borrowing rates remain low even after the 1% increase in PWLB

rates on 9 October, investment rates are also very low, and serious consideration must be given to the cost of carrying any additional borrowing during the period prior to it being required for the financing of capital expenditure since this places a further burden on the General Fund.

2.6 Debt rescheduling

When the current day PWLB rate for the same term is higher than that being paid on an existing loan there is the potential for a discount to be receivable if the loan is repaid prematurely.

However, debt rescheduling opportunities are limited in the current economic climate, and due to the structure of PWLB interest rates. Advice in this regard will continue to be taken from LAS. No debt rescheduling has been undertaken during the period from 1 April to 31 December 2019.

2.7 Compliance with Prudential and treasury indicators

It is a statutory duty for the Council to determine and keep under review the affordable borrowing limit. The Council's approved Prudential and Treasury Indicators (affordability limits) are included in the Treasury Management Strategy Statement (TMSS) approved by Full Council on 4 March 2019.

During the financial year to date the Council has at all times operated within the treasury limits and Prudential Indicators set out in the Council's TMSS, and in compliance with the Council's Treasury Management Practices. The Prudential and Treasury Indicators as at 31 December 2019 are shown at Appendix 2.

A) Prudential Indicators:

These indicators are based on estimates of expected outcomes, and are key indicators of "affordability". They are monitored on a quarterly basis, and Appendix 2 compares the approved indicators with the projected outturn for 2019/20, and shows variances on the indicators, as described below:

a. Capital Expenditure

The capital programme includes both service related expenditure and commercial property investment.

The latest projected outturn shows that total capital expenditure is expected to be £4,598,700. This differs to the approved indicator of £8,943,500 due to the inclusion of approved carry-forward requests from 2018/19 and variations on the current year's capital programme including deferral of schemes to 2020/21.

b. Capital Financing Requirement (CFR)

The CFR represents the historic outstanding capital expenditure which has not yet been paid for from capital or revenue resources, and is essentially a measure of the Council's underlying borrowing need. The CFR does not increase indefinitely since the minimum revenue provision (MRP) is a statutory annual revenue charge for the economic consumption of capital assets.

The projected closing CFR for 2019/20 is £11,505,400. This differs to the approved indicator of £15,639,600, due to savings and deferrals on the 2018/19 capital programme, as well as to variations to the capital programme for 2019/20 including the deferral of schemes to 2020/21.

c. Gearing ratio

The concept of "gearing" compares the total underlying borrowing need (the CFR) to the Council's total fixed assets and the gearing ratio can provide an early indication where debt levels are rising relative to long term assets held.

The projected gearing ratio is 32%, which is lower than the approved indicator of 35% due to the deferral of capital expenditure to 2020/21, but remains broadly comparable with the average gearing ratio for councils of a similar size.

d. Ratio of financing costs to net revenue stream – service related and commercial property

These indicators identify the trend in the cost of borrowing net of investment income against the net revenue stream. Financing costs represent the element of the Council's budget to which it is committed even before providing any services.

The projected outturn of 7.76% for service related expenditure differs to the approved indicator of 11.45% due to reduced revenue contributions to capital expenditure; a reduction in MRP arising from savings and deferrals on the capital programme in 2018/19; additional investment interest and a reduction in the PWLB interest payable.

The projected outturn in respect of commercial property is expected to be nil. This differs to the approved indicator of 0.31% due to a reduction in the PWLB interest payable, and additional investment interest due to the deferral of commercial property investment.

e. Ratio of commercial property income to net revenue stream

This indicator seeks to demonstrate the extent to which the loss of commercial property income would impact on the Council, ie. to measure the “proportionality” of commercial activity.

The Council is in the early stages of its commercial property investment agenda and no acquisitions had been made at 31 December. The estimated commercial income for 2019/20 has therefore been reduced to nil, and the projected outturn for this indicator has reduced from 0.61% to nil.

f. Maximum gross debt

The Council must ensure that its gross debt does not, except in the short term, exceed the opening capital financing requirement, plus estimates of any additional CFR for 2019/20 and the following two financial years. This allows flexibility for early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes. The Council’s gross debt at 31 December 2019 was £9.812m which was within the approved indicator.

g. Ratio of internal borrowing to CFR

The Council is currently maintaining an “internal borrowing” position, ie. the underlying borrowing need (CFR) has not yet been fully funded with loan debt as cash supporting the Council’s reserves and balances is being used as a temporary measure.

The projected outturn for internal borrowing is 15%, compared to the approved indicator of 34%. This reduction is due to the deferral of capital schemes to 2020/21.

B) Treasury Management Indicators:

These indicators are based on limits, beyond which activities should not pass without management action. They include two key indicators of affordability and four key indicators of prudence.

Affordability:

a. Operational boundary for external debt

This is the limit which external debt is not “normally” expected to exceed. In most cases, this would be a similar figure to the CFR, but it may be lower or higher depending on the levels of actual debt, and must allow for unusual cashflow movements.

b. Authorised limit for external debt

This limit represents a control on the “maximum” level of borrowing. It is the statutory limit determined under s3 (1) of the Local Government Act 2003 and represents the limit beyond which external debt is prohibited. The Authorised Limit must be set, and revised if necessary, by Full Council. It reflects a level of external debt which, while not desirable, could be afforded in the short term, but is not sustainable in the longer term. The Government retains an option to control either the total of all councils’ plans, or those of a specific council, although this power has not yet been exercised.

Prudence:

c. Upper limits for the maturity structure of borrowing

These are set to reduce the Council’s exposure to large fixed rate sums falling due for refinancing.

d. Maximum new principal sums to be invested during 2019/20 for periods in excess of one year (365 days)

All such investments are classified as “non-specified”. This indicator is subject to the overall limit for non-specified investments set out in the TMSS, and to the overall limit per counterparty.

e. Interest rate exposure

The latest Treasury Management Code requires a statement in the TMSS explaining how interest rate exposure is managed and monitored by the Council, and this is repeated below:

The Council has a general preference for fixed rate borrowing in order to minimise uncertainty and ensure stability in the charge to revenue, however it is acknowledged that in certain circumstances, some variable rate borrowing may be prudent, for example if interest rates are expected to fall. The Council’s investments are generally for cashflow purposes and accordingly a mix of fixed and variable rates will be used to maximise flexibility and liquidity. Interest rate exposure will be managed and monitored on a daily basis by the Chief Financial Officer.

Local indicators for the proportions of fixed and variable rate loans, have been retained by the Council for information purposes.

Appendix 2 shows the actual position as at 31 December 2019, and demonstrates that all activities are contained within the currently approved limits.

2.8 Other Issues

With the exception of the unexpected 1% increase in PWLB rates on 9 October, referred to in paragraph 2.5 above, no other significant treasury management issues have arisen since approval of the TMSS on 4 March 2019 that should be brought to the attention of Members.

Alternative Options

There are no alternative options in that this report is a requirement of the Council's Treasury Management Strategy Statement (TMSS).

Financial Implications

No specific financial implications are attributable to this report.

Appendices

1. Treasury Activity Report 2019/20 for Quarter 3 (31 December 2019)
2. Prudential and Treasury Indicator Monitoring 2019/20 for Quarter 3 (31 December 2019).

Background Papers

None identified.

Reasons for Recommendation

To comply with the requirements of the Council's Treasury Management Strategy Statement.

For more information, please contact:

Alison Ball, Financial Services Manager, on 0115 901 3980

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TREASURY ACTIVITY REPORT 2019/20

For Quarter ended 31 December 2019

	<u>Position @ 1 Oct 2019</u> £	<u>Loans Made During Q3</u> £	<u>Loans Repaid During Q3</u> £	<u>Position @ 31 Dec 2019</u> £
<u>Long Term Borrowing</u>				
PWLB	8,811,577	1,000,000	0	9,811,577
Total Long Term Borrowing	8,811,577	1,000,000	0	9,811,577
<u>Temporary Borrowing</u>				
Local Authorities	0	0	0	0
Central Government	0	0	0	0
Banks & Other Institutions	0	0	0	0
Total Temporary Borrowing	0	0	0	0
TOTAL BORROWING	8,811,577	1,000,000	0	9,811,577
<u>Long Term Investment</u>				
CCLA LAPF Property Fund	(1,000,000)	0	0	(1,000,000)
Total Long Term Investment	(1,000,000)	0	0	(1,000,000)
<u>Short Term Investment</u>				
Aberdeen Money Market Fund	(1,950,000)	(13,360,000)	11,410,000	(3,900,000)
Bank of Scotland	(3,000,000)	0	0	(3,000,000)
Blackrock Money Market Fund	(3,225,000)	(4,255,000)	3,610,000	(3,870,000)
Barclays	(2,000,000)	0	0	(2,000,000)
Close Brothers	0	0	0	0
Debt Management Office	0	(5,845,000)	4,045,000	(1,800,000)
Goldman Sachs	(2,000,000)	0	0	(2,000,000)
HSBC Treasury	(2,000,000)	(5,390,000)	4,390,000	(3,000,000)
Local Authorities & Other	0	0	0	0
Nationwide	0	(1,000,000)	0	(1,000,000)
Santander	(3,000,000)	(1,000,000)	1,000,000	(3,000,000)
Total Short Term Investment	(17,175,000)	(30,850,000)	24,455,000	(23,570,000)
TOTAL INVESTMENT (See below)	(18,175,000)	(30,850,000)	24,455,000	(24,570,000)
NET BORROWING / (INVESTMENT)	(9,363,423)	(29,850,000)	24,455,000	(14,758,423)

Temporary Borrowing & Investment Statistics at 31 December 2019**Investment:**

Fixed Rate Investment (LT & ST)	(9,000,000)	(12,235,000)	8,435,000	(12,800,000)
Variable Rate Investment	(9,175,000)	(18,615,000)	16,020,000	(11,770,000)
TOTAL INVESTMENT	(18,175,000)	(30,850,000)	24,455,000	(24,570,000)

Proportion of Fixed Rate Investment	52.10%
Proportion of Variable Rate Investment	47.90%
Temporary Investment Interest Receivable	£ 145,953
Equated Temporary Investment	£ 14,277,971
Weighted Average Interest Rate Received (Interest Receivable / Equated Investment)	1.02%
7 Day LIBID (Benchmark)	0.57%
3 Month LIBID	0.66%

Borrowing:

Temporary Borrowing Interest Payable	£ -
Equated Temporary Borrowing	£ -
Weighted Average Interest Rate Paid (Interest Payable / Equated Borrowing)	n/a
7 Day LIBOR (Benchmark)	0.70%

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	2019/20 Original Estimate (Council 4/3/19)	2019/20 Position at 31-Dec-19
A) Prudential Indicators		
<u>Affordability:</u>		
a) Capital Expenditure	£ 8,943,500	£ 4,598,700
b) Capital Financing Requirement	£ 15,639,600	£ 11,505,400
c) Gearing (CFR to Long Term Assets)	35%	32%
Ratio of Financing Costs to Net Revenue Stream-Services	11.45%	7.76%
Ratio of Financing Costs to Net Revenue Stream-Commercial	0.31%	0.00%
d) Total Ratio of Financing Costs to Net Revenue Stream	11.76%	7.76%
e) Ratio of Commercial Income to Net Revenue Stream	0.61%	0.00%
f) Maximum Gross Debt	£ 17,739,600	£ 9,811,577
g) Ratio of Internal Borrowing to CFR	34%	15%
B) Treasury Management Indicators		
<u>Affordability:</u>		
a) Operational Boundary for External Debt:		
Borrowing	£ 18,700,000	£ 9,811,577
Other Long Term Liabilities	£ 1,500,000	-
Total Operational Boundary	£ 20,200,000	£ 9,811,577
b) Authorised Limit for External Debt:		
Borrowing	£ 19,700,000	£ 9,811,577
Other Long Term Liabilities	£ 1,500,000	-
Total Authorised Limit	£ 21,200,000	£ 9,811,577
<u>Prudence:</u>		
c) Upper & Lower limits for the maturity structure of outstanding Borrowing during 2019/20:		
Under 1 Year	U 40%, L 0%	0%
1 Year to 2 Years	U 40%, L 0%	0%
2 Years to 5 Years	U 50%, L 0%	0%
5 Years to 10 Years	U 50%, L 0%	0%
Over 10 Years	U 100%, L 0%	100%
d) Investment Treasury Indicator and limit: Max. NEW principal sums invested in 2019/20 for periods OVER 365 days (ie. non-specified investments), subject to maximum non specified per counterparty of £3m AND to the prevailing overall counterparty limit, AND to the TOTAL non specified limit of £5m.	£ 3,000,000	£ 1,000,000
e) Upper limit for fixed interest rate exposure: (Maximum outstanding net BORROWING)		
LOCAL INDICATOR - Investment Only	100.00%	52.10%
LOCAL INDICATOR - Borrowing Only	100.00%	100.00%
f) Upper limit for variable interest rate exposure: (Maximum outstanding net BORROWING)		
LOCAL INDICATOR - Investment Only	100.00%	47.90%
LOCAL INDICATOR - Borrowing Only	50.00%	0.00%

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Report to Cabinet

Subject: Quarterly Budget Monitoring and Virement Report – Quarter 3 December 2019

Date: 30 January 2020

Author: Senior Leadership Team

Wards Affected

Borough Wide

Purpose

- To update Cabinet on the forecast outturn for Revenue and Capital budgets for 2019/20.
- To request approval from Cabinet for the changes to the budget as set out in this report.

Key Decision

This is a Key Decision

Recommendation(s)

Members are recommended:

- 1) **To approve the General Fund Budget virements set out in Appendix 1;**
- 2) **To note the use of reserves and funds during quarter three as detailed in Appendix 2;**
- 3) **To approve the changes to the capital programme included in paragraph 2.3.**

1 Background

1.1 The Council has made a commitment to closely align budget and performance management. This is in line with accepted good practice.

1.2 To deliver this commitment, systems to monitor performance against revenue and capital budgets, improvement activity and performance indicators have all been brought together and are now embedded in the way the Council works. Whilst the budget and performance information is presented in 2 separate reports, they are reported to Cabinet together and will appear on the same agenda.

2 Proposal

2.1 General Fund Revenue Budget

The following table summarises the overall financial position of the General Fund Revenue Budget and the expected total spend for the year. This information has been compiled using the best information made available to Financial Services by the relevant spending officers as at 31 December 2019. In summary the Council's General Fund outturn is projected to be in line with the approved budget of £11,676,000, including an overall contribution from earmarked reserves of £1,310,700.

Table 1 General Fund Revenue Budget 2019/20 – Change Analysis

	£
Net Council Budget for 2019/20 approved by Council on 4 March 2019 and Cabinet's Maximum Budget is	11,676,000
Up to the end of December 2019 expenditure less income totalled	9,143,264
In the remaining 3 months of year we expect net expenditure to be	2,532,736
Total net revenue spend for the year is currently expected to be	11,676,000
Total Projected Revenue (Under) / Overspend 2019/20	0

Appendix 1 outlines how the General Fund Revenue budget is divided between the Portfolios of the Council and includes a detailed variance analysis identifying the current proposed changes for quarter three against the approved budget for each Portfolio area. Cabinet is recommended to approve these changes.

The major variances detailed in Appendix 1 include:

Expenditure:

- Employee Savings of (£170,000) across portfolios relating to vacant posts;
- Additional expenditure on Bed and Breakfast £112,500 for temporary accommodation for homelessness, this will be funded by reserves. The additional spend is largely due to an increase in the number of days people need to remain in Bed and Breakfast before finding more permanent accommodation. Work with Registered Social Landlords to improve the supply of accommodation is ongoing and the development of additional units of temporary accommodation by the Council at Station Road will reduce the need for bed and breakfast;
- Amendments to the Efficiency Programme – totalling £74,600 as set out in Table 2 below;
- Pet Crematorium - £43,000 cover staff and operating costs due to income

levels being lower than anticipated in the first year of operation highlighting the need for further marketing;

- External Tree Team - £32,600 to cover staff and operating costs due to income levels being lower than anticipated due to partial diversion of staff onto council services.

Income:

- Redhill Leisure Centre - £43,100 lower income than anticipated due to a reduction in DNA memberships at this site, potentially due to increased competition in the area and parking issues at the site. Leisure Services are reviewing the service to improve membership numbers;
- Other Leisure Centres – (£36,300) net additional income mainly from swim school and cinema productions;
- Corporate Management - (£58,000) due to the secondment of the Corporate Director of Public Protection, Health & Wellbeing to the Police and Crime Commissioner;
- Public Protection – a successful grant funding bid of £40,000 to the Ministry of Housing, Communities & Local Government to facilitate enforcement costs for Rogue Landlords offset by additional employee expenses.

Details of the budget virements authorising the usage of Earmarked Reserves and Revenue Budget Funds as approved by the Chief Financial Officer and relevant Corporate Director in accordance with Financial Regulations are set out in **Appendix 2**. No virements were approved by Portfolio Holders for amounts of £50,000 or less during quarter three.

2.2 Efficiency Programme – Progress Update

Since 2014/15 Council have approved four separate budget reduction programmes totalling £6.5m net of risk provision. Previous progress has been positive and budget reductions achieved have been in line with the profiled estimate. Of the total programme, £2.6m remains to be delivered over 2019/20 to 2022/23.

In terms of 2019/20, the original programme for the delivery of efficiencies totalled £1,086,300. Quarterly monitoring indicates the following:

Table 2 Movements on Efficiencies 2019/20	
	£
Approved Efficiency Programme 2019/20	(1,086,300)
Quarter 1 Amendments	77,200
Application of Risk Budget	(25,000)
Quarter 2 Amendments	308,700
Revised Total at Quarter 2	(725,400)
Proposed Amendments Quarter 3: Deferred/Part Deferred Projects into 2020/21	
Digital and Wider Software Review	20,000
Tree Team	13,500
Pet Cremation Service	4,500
Sponsorship of Flower Beds	5,000
Building Control Income	10,000
Garden Waste Income	12,900
New Development Bin Sales	8,700
Total Deferred/Part Deferred	74,600
Total Quarter 3 Amendments	74,600
Revised Total	(650,800)

The £74,600 quarter 3 budget impact of these projects are included in Appendix 1 and are offset by underspends on the overall general revenue budget across portfolios.

Delivery of the 2019/20 programme will continue to be monitored and an update provided at outturn.

2.3 Capital Programme

Appendix 3 details the current projected position on the Capital Programme and its financing for 2019/20, analysed by Portfolio, and this is summarised in the table below. Cabinet is recommended to approve these changes.

Capital Budget 2019/20 - Change Analysis	
	£
Original 2019/20 budget approved by Council on 4 March 2019	8,943,500
Approved Carry Forwards from 2018/19	901,200
Additional Schemes Approved in Quarter 1	145,000
Additional Schemes Approved in Quarter 2	429,800
Schemes Approved for Deferral Quarter 2	(3,183,600)
Schemes approved by Cabinet/Leader December 2019:	
- Gedling Country Park Seating Area	120,800
Current approved budget for 2019/20	7,356,700
Proposed Amendments to the Programme at Quarter 3	
Additional Schemes:	
Depot Barriers and Signage funded by contribution from reserves	18,400
Savings on Existing Schemes:	
Replacement Vehicles	(57,400)
Cinderpath	(25,000)
Redhill Replacement Gym Equipment	(13,000)
Schemes Proposed for Deferral (see note below):	
Replacement Vehicles	(131,000)
IT Licences	(12,000)
Station Road Starter Homes	(165,300)
Burton Road - Affordable Housing	(12,000)
Replacement Theatre System	(35,000)
PASC Trees/Landscaping Equipment	(83,000)
Carlton Cemetery Expansion	(278,900)
Redhill - Community Garden	(10,000)
Gedling Country Park Seating Area	(107,800)
Lambley Lane Changing Room and Pitch Renovation	(95,000)
Customer Services Improvements	(100,000)
Commercial Property Investment	(1,600,000)
Hazleford Way Drainage	(51,000)
Total Proposed Amendments to Capital Programme	(2,758,000)
Proposed Revised Capital Programme 2019/20	4,598,700
Actual Expenditure to Quarter 3 2019/20	2,525,281
Estimated Expenditure Quarter 4 2019/20	2,073,419
Projected Outturn	4,598,700

Note: Total Schemes proposed for Deferral – (£2,681,000). Major schemes in excess of £150,000:

- Commercial Property Investment (£1,600,000) – A number of investment

opportunities were identified and due diligence has been carried out but not all have been deemed to be appropriate investments in accordance with the investment strategy. The remaining programme will be deferred to 2020/21 and opportunities will continue to be considered.

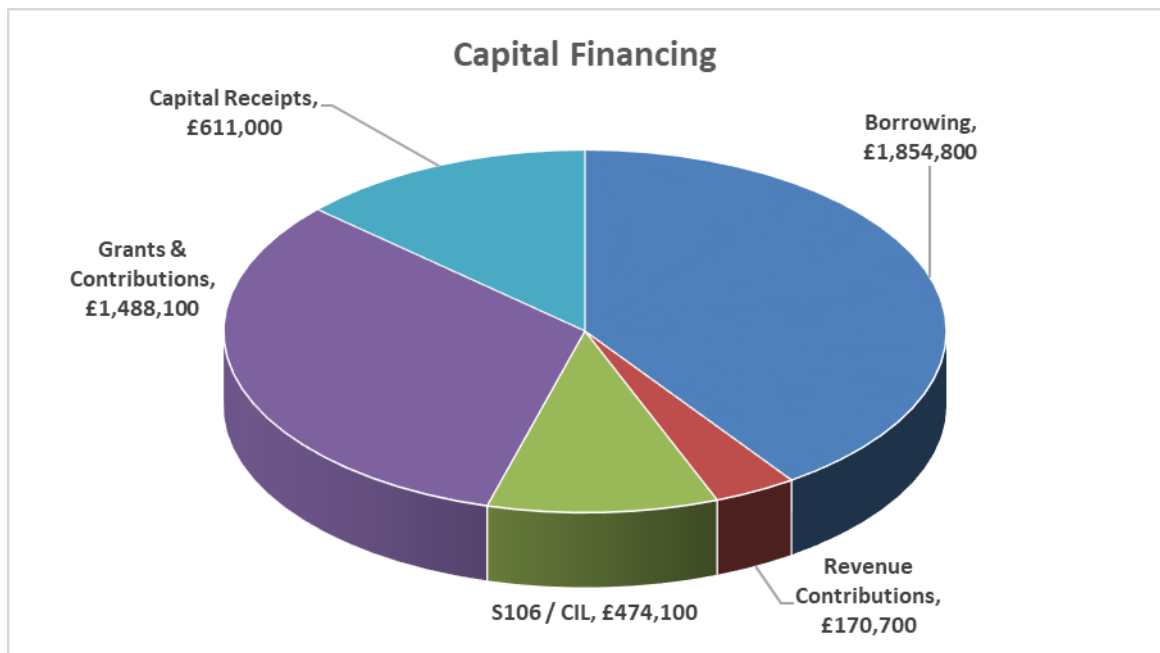
- Carlton Cemetery Expansion (£278,900) – The design of this scheme has been completed and the tender process is underway, contractors are expected to commence on site early in the new financial year.
- Station Road (£165,300) – The scheme has been redesigned to take account of the needs for affordable and temporary accommodation, in addition working with funders to agree the necessary changes has delayed the scheme to 2020/21.

The remainder of the deferred schemes are mainly due to rescheduling of programmes of works and re-prioritisations. All of the deferred schemes are expected to be completed during 2020/21.

Capital schemes are monitored on a quarterly basis and meetings are currently held between finance officers and service/project officers.

2.4 **Capital Programme Financing**

The projected method of financing the current capital programme requirement of £4,598,700 is set out in Appendix 3 and summarised in the chart below.



2.5 **Capital Receipts Monitoring**

When the Council sells General Fund assets it is permitted to use this income to fund capital expenditure. The initial capital receipts estimate for 2019/20 projects

that £611,000 will be generated and used to finance the capital programme in 2019/20. There is no change to the capital receipts estimate projected at quarter 3 monitoring.

3 Alternative Options

Option – Not to amend the original Council approved budgets during the year to reflect the latest projected outturn position.

Advantages:

- The final outturn position of the Council can be easily compared to its original intentions when the budget was set and areas of budget risk identified.

Disadvantages:

- Budgets not aligned to current budget pressures resulting in increased likelihood of budget overspend and emerging Council priorities not being addressed;
- Restrict the effectiveness of medium term planning process and preparation of the forward budget if pressures and areas of efficiency are not readily identifiable during budget preparation;
- Budget not reflective of latest performance information.

Reason for rejection – the option is not likely to result in the best outcomes in financial management or support delivery of priorities.

4 Financial Implications

The nature of the report is such that it has significant resource implications across the Council. The report itself demonstrates how resources are being managed.

5 Appendices

Appendix 1 – General Fund Revenue Budget 2019/20 – Budgetary Report

Appendix 2 – Use of Reserves and Revenue Fund Budgets

Appendix 3 – Capital Programme 2019/20 – Budgetary Control Report

6 Background Papers

Detailed Quarterly Budgetary Control Exception Reports

7 Reason for Recommendations

To align the budgets to the current pressures and priorities and ensure the delivery of Council objectives is supported.

Grand Summary

Revenue Quarterly Budgetary Control Report

Quarter 3 2020/21

	Current Approved Budget	Profiled Budget	Actual to date	Variance	%	Projected Outturn	Projected Annual Variance
	£	£	£	£		£	£
Community Development	1,597,900	879,000	827,441	-51,559	-6	1,586,000	-11,900
Housing, Health & Well-being	2,543,600	200,224	530,964	330,740	165	2,508,300	-35,300
Public Protection	1,575,900	632,692	546,937	-85,755	-14	1,578,900	3,000
Environment	4,795,300	2,110,909	2,344,676	233,767	11	4,967,100	171,800
Growth & Regeneration	919,800	316,300	256,674	-59,626	-19	930,900	11,100
Resources & Reputation	1,491,300	4,425,837	4,636,573	210,735	5	1,415,500	-75,800
Total Portfolio Budget	12,923,800	8,564,962	9,143,264	578,302	7	12,986,700	62,900
Transfer to/ -from Earmarked Reserves	-1,247,800	0	0	0	0	-1,310,700	-62,900
Total General Fund Quarter 3	11,676,000	8,564,962	9,143,264	578,302		11,676,000	0
Net Council Budget (Cabinets General Fund Maximum Budget)	11,676,000					11,676,000	0

COMMUNITY DEVELOPMENT PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Democratic Mgt & Representation</u>	£'000	£'000			
Employee Expenses	89.0	88.2	0.8		Vacancy Savings
<u>Community Centres</u>					
Employee Expenses	153.1	142.0	11.1		Vacant post covered by casual staff.
<u>All other budget heads</u>					
Including items previously reported	1,355.8	1,355.8			
PORTFOLIO TOTAL	1,597.9	1,586.0	11.9	-	Net Portfolio Total £11.9 Favourable

HOUSING, HEALTH & WELLBEING PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable	Adverse	
	£'000	£'000	£'000	£'000	
<u>Housing Needs</u>					
Employee Expenses	300.9	295.7	13.5		Vacancy Savings
Premises Related Expenses	20.9	33.0		8.3	Additional expenditure on Homelessness staff offset with grant and contribution from reserves.
Supplies and Services	701.4	859.6		12.1	Rent on additional properties, offset by additional income.
Revenue Income	(703.6)	(769.7)	66.1	158.2	Additional B&B accommodation due to increase in priority need cases offset by income and contribution from reserves.
<u>Housing Benefit Administration</u>					
Employee Expenses	503.0	487.0	16.0		Additional income from Housing Benefits and Rents partially offsets overspending on B&B.
Revenue Income	(415.5)	(444.3)	28.8		Vacancy savings
<u>Health & Wellbeing</u>					
Revenue Income	(93.9)	(123.1)	29.2		Additional grants offset with IT expenditure and contribution from reserves.
<u>Calverton Leisure Centre</u>					
Employee Expenses	367.0	342.6	24.4		Funding received for Community Development Worker offset with employee expenses and contribution to reserves for year 2.
Revenue Income	(383.6)	(370.7)		12.9	Vacancy Savings
					Reduction in party bookings and exercise class users

HOUSING, HEALTH & WELLBEING PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Carlton Forum Leisure Centre</u>	£'000	£'000			
Employee Expenses	768.2	773.8		5.6	Additional staff required to facilitate Disability access.
Premises Related Expenses	260.0	244.9	15.1		Reduction in utility recharge from Academy.
Revenue Income	(1,241.0)	(1,256.2)	15.2		Additional income from Swim School offset with reductions in general swimming, main hall bookings and pay & play users in the dance studios.
<u>Redhill Leisure Centre</u>					
Employee Expenses	374.8	350.9	23.9		Vacancy Savings
Revenue Income	(507.8)	(464.7)		43.1	Reductions on DNA memberships and pay and play aerobics users, offset by a small increase in party bookings.
<u>Arnold Theatre</u>					
Employee Expenses	156.5	152.1	4.4		Employee savings due to casual staff being used.
Revenue Income	(207.0)	(223.0)	16.0		Increase in cinema productions offset with lower theatre bookings.
<u>Arnold Leisure Centre</u>					
Employee Expenses	433.2	431.2	2.0		Vacancy Savings
Revenue Income	(486.4)	(504.6)	18.2		Additional income from swim school offset with reductions in public swim and a small loss of DNA members.

HOUSING, HEALTH & WELLBEING PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Richard Herrod Centre</u> Employee Expenses	300.2	297.5	2.7		Vacancy Savings
All other budget heads Including items previously reported	2,396.3	2,396.3			
PORTFOLIO TOTAL	2,543.6	2,508.3	275.5	240.2	

PUBLIC PROTECTION PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Licencing & Hackney Carriages</u>	£'000	£'000			
Employee Expenses	209.6	205.1	4.5		Vacancy Savings
<u>Public Sector Housing</u>					
Employee Costs	278.2	318.2		40.0	Additional staff costs for Rogue Landlord Enforcement fully funded by government grant
Supplies & Services	3.2	10.7		7.5	Selective Licencing project expenditure offset with contribution from reserves.
Income	(123.3)	(163.3)	40.0		Rogue Landlord Grant offset by additional enforcement staff
<u>All other budget heads</u>	1,208.2	1,208.2			
Including items previously reported					
PORTFOLIO TOTAL	1,575.9	1,578.9	44.5	47.5	Net Portfolio Total £3.0K Adverse

ENVIRONMENT PORTFOLIO

BUDGETARY CONTROL REPORT - DECEMBER 2019

REVENUE ITEMS TO BE REPORTED

Appendix 1

Budget Head	Current Approved Budget £'000	Latest Projected Outturn £'000	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Waste Management</u>					
Employee Expenses	1,617.5	1,637.3		19.8	Agency costs to cover Long Term Sickness
Supplies & Services	76.8	61.8	15.0		Underspend due to reduced number of bins required
Income	(937.2)	(897.8)		39.4	Reduced income on Garden and Bulky Waste, new development bin sales and sale of scrap partially offset by additional glass recycling income.
<u>Trade Waste</u>					
Income	(588.1)	(572.4)		15.7	Lower income on Trade Waste and Recycling
<u>Street Care</u>					
Employee Expenses	611.4	600.4	11.0		Vacancy Savings
<u>Parks</u>					
Premises Related Expenses	214.4	205.4	9.0		Lower expenditure on Repairs and Maintenance.
Supplies & Services	120.2	124.2		4.0	Additional expenditure on general maintenance partially offset with lower underspends on waste disposal.
Third Party Payments	39.6	48.6		9.0	Additional expenditure with External Contractors.
Income	(139.3)	(134.3)		5.0	Sponsorship of Flower Bed efficiency deferred to 20-21

ENVIRONMENT PORTFOLIO

BUDGETARY CONTROL REPORT - DECEMBER 2019

REVENUE ITEMS TO BE REPORTED

Appendix 1

Budget Head	Current Approved Budget £'000	Latest Projected Outturn £'000	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Parks - External Works</u>					
<u>Bestwood Country Park</u>					
Premises Related Expenses	13.0	26.0		13.0	Increase in electricity costs and repairs to toilets
Supplies & Services	20.6	23.6		3.0	Repairs to Engine House
<u>Commercial Tree Team</u>					
Income	(128.4)	(82.3)		46.1	Lower than anticipated income.
<u>Pet Cremation Service</u>					
Income	(61.4)	(16.7)		44.7	Lower than anticipated income.
Employees	36.9	31.9	5.0		Vacancy saving due to recharge to Tree Team
Supplies & Services	7.5	15.5		8.0	Repairs & modifications for Pet Cremation Service unit & reflection room
<u>Grounds Maintenance Chargeable Works</u>					
Income	(4.1)	0.0		4.1	Lower income than anticipated.
<u>All other budget heads</u> (including items previously reported)	3,895.9	3,895.9			
PORTFOLIO TOTAL	4,795.3	4,967.1	40.0	211.8	£171.8K Adverse

GROWTH & REGENERATION PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable	Adverse	
	£'000	£'000	£'000	£'000	
<u>Economic Development</u>					
Employees Expenses	224.6	210.6	14.0		Vacancy Savings
<u>Land Charges</u>					
Revenue Income	(100.1)	(85.0)		15.1	Lower than anticipated income
<u>Development Management</u>					
<u>Building Control Fee Earning</u>					
Revenue income	(235.8)	(225.8)		10.0	Lower than anticipated income £10k of which is unachieved efficiency offset with £10k contribution from Building Control Reserve.
<u>All other budget heads</u> (including items previously reported)	1,031.1	1,031.1			
PORTFOLIO TOTAL	919.8	930.9	14.0	25.1	Net Portfolio Total £11.1K Adverse

RESOURCES & REPUTATION PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
<u>Corporate Management</u>	£'000	£'000	£'000	£'000	
Supplies & Services	172.9	177.3		4.4	Additional work by the external auditors and increased conference expenditure.
Income	0.0	(58.0)	58.0		Director for Public Protection & Health & Wellbeing secondment to the Police & Crime Commissioner.
<u>Corporate Income & Expenditure</u>	(157.3)	(172.3)	15.0		Additional Investment income
<u>Registration Of Electors</u>					
Employee Expenses	90.5	81.0	9.5		Vacancy Savings
Supplies & Services	48.1	60.2		12.1	increase in postage and printing costs due to increase in people registering to vote
Revenue Income	(16.6)	(19.0)	2.4		Increased Government grant
<u>Public Land & Buildings</u>					
Employee Expenses	9.7	5.4	4.3		Arnold Market salary savings.
Premises Related Expenses	31.5	30.5	1.0		Council Tax refund for demolished flat.
Income	(196.7)	(176.7)		20.0	Commercial Property investment deferred.
<u>Information Technology</u>					
Employee Expenses	(20.0)	0.0		20.0	Deferred digital efficiency and wider software review to 20/21
Income	(12.6)	(2.9)		9.7	Income from 18/19 not accrued in error.
<u>Corporate Officers</u>					

RESOURCES & REPUTATION PORTFOLIO**BUDGETARY CONTROL REPORT - DECEMBER 2019****REVENUE ITEMS TO BE REPORTED**

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable £'000	Adverse £'000	
Employee Expenses	100.2	90.0	10.2		Salary & expenditure savings due to Sales & Marketing Officer vacancy
Supplies & Services	5.0	0.0	5.0		
<u>Business Units</u>					
Premises Related Expenses	109.1	103.7	5.4		Empty Business Units
Income	(209.3)	(198.9)		10.4	
<u>Public Offices</u>					
Employee Expenses	150.0	140.8	9.2		Vacancy savings
<u>Customer Services</u>					
Employee Expenses	796.1	770.6	25.5		Vacancy Savings
Supplies & Services	14.4	39.9		25.5	New Kiosk costs offset underspend on salaries
<u>Revenues - Local Taxation</u>					
Revenue Income	(339.9)	(349.1)	9.2		Additional grant for Business Rates Relief, transferred to reserves.
<u>Financial Services</u>					
Employee Expenses	361.8	338.6	23.2		Vacancy savings
<u>All other budget heads</u> (including items previously reported)	554.4	554.4			
PORTFOLIO TOTAL	1,491.3	1,415.5	177.9	102.1	Net Portfolio Total £75.8K Favourable

EARMARKED RESERVES
BUDGETARY CONTROL REPORT - DECEMBER 2019
REVENUE ITEMS TO BE REPORTED

Budget Head	Current Approved Budget	Latest Projected Outturn	Net Budget Variance		Reason for Variance (New Items Only)
			Favourable	Adverse	
	£'000	£'000	£'000	£'000	
<u>Transfer to/from Reserves</u>					
<u>Housing Needs</u>					
Contribution from Housing Benefits Reserve	0.0	(86.1)	86.1		Contribution towards additional costs on B&B.
Contribution from Homelessness Reduction	0.0	(26.4)	26.4		Housing Needs - contribution towards additional costs on B&B.
<u>Public Protection</u>					
Revenue Income	0.0	(7.5)	7.5		Expenditure relating to Selective Licencing offset with contribution from reserves.
<u>Building Control</u>					
Contri. from Building Control Reserve	0.0	(10.1)	10.1		Utilised to partially fund income reduction on Building Control
<u>Housing Benefit Admin</u>					
New Burdens Reserve	0.0	28.8		28.8	Housing Benefit Admin - additional grants received and contribution towards Software upgrades.
<u>Revenues</u>					
New Burdens Reserve	0.0	9.2		9.2	Revenues - Local Taxation - additional grant received.
<u>Community Relations</u>					
Contribution to community relations reserve	0.0	29.2		29.2	Funding received from South Nottinghamshire Integrated Care Partnership for GBC to host a Community Development Worker for 12 months over
<u>All other budget heads</u>					
Including items previously reported	(1,247.8)	(1,247.8)			
RESERVES TOTAL	(1,247.8)	(1,310.7)	130.1	67.2	Net Reserves Total £62.9K Net Contribution to/from Reserves

Transfers to/from Earmarked Reserves and Revenue Budget Funds

Quarter Ended December 2019

As approved by the Deputy Chief Executive and Director of Finance and the relevant Corporate Director in accordance with the delegations outlined in the Financial Regulations.

Usage of Earmarked Reserves		
		£
1	Community Development	
	Newstead Centre Grant not required in 2019/20	-2,700
	Contribution from Community & Crime Reserve	2,700
2	Housing Health & Wellbeing	
	Sports Clubs activities	6,400
	Contribution from Earmarked Reserves - Community Development	-6,400
3	Public Protection	
	CCTV Audit	1,000
	Contribution from CCTV Reserve	-1,000
4	Environment	
	Installation of steps on Digby Avenue recreation ground	7,000
	Contribution from Asset Management Reserve	-7,000
	Installation of new litter bins	17000
	Contribution from Asset Management Reserve	-17000
	Hobbucks Local Nature Reserve Path repairs	6500
	Contribution from Asset Management Reserve	-6500
	Arnold Seating area	4500
	Contribution from Asset Management Reserve	-4500
	Painting of Lamp Columns at Arnot Hill Park	7300
	Contribution from Asset Management Reserve	-7300

5	Resources & Reputation	
	Funding for Property condition surveys	15,000
	Contribution from Asset Management Reserve	-15,000
	Installation of LED lighting in Civic Centre	5,000
	Contribution from Asset Management Reserve	-5,000
	Management Restructure pension strain	68500
	Contribution from Transformation Fund Reserve	-68500
	Replacement of Air-conditioning Server Room	6000
	Contribution from Asset Management Reserve	-6000
	Direct Revenue Financing for Arnold Market, Conway recreation ground and barriers	106,100
	Contribution from Asset Management Reserve	-106,100
	Deferral of Direct Revenue Financing	-454,100
	Reduced contribution from Economic Development Reserve	454,100
	Total Expenditure	-£206,500
	Total Reserves	£206,500

Usage of Revenue Budget Funds		
		£
	Nothing to report	
	General Fund Total	

Quarter 3. Detailed Capital Monitoring by Portfolio

Detailed Capital Monitoring by Portfolio - Quarter December 2019

Project	Original Capital Programme	Carry F/wds	Vire / Supps	Approvals to Qtr.2	CFO Approved Fund	Current Approved Budget	Qtr3 Proposals	Revised Capital Programme
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Aid to parishes	0.0	3.7				3.7		3.7
Community Development Total	0.0	3.7	0.0	0.0	0.0	3.7	0.0	3.7
Station Road Carlton - Starter Homes	160.3		35.0			195.3	-165.3	30.0
Affordable Housing	154.3					154.3	-12.0	142.3
Redhill Replacement Gym Equipment	70.0					70.0	-13.0	57.0
Replacement Theatre System	35.0					35.0	-35.0	0.0
ALC Repair of lift					25.0	25.0		25.0
CLC Changing Roms Refurbishment					10.0	10.0		10.0
Housing & Health Total	419.6	0.0	35.0	0.0	35.0	489.6	-225.3	264.3
Disabled Facilities Grants	900.0	210.0				1,110.0		1,110.0
Public Protection Total	900.0	210.0	0.0	0.0	0.0	1,110.0	0.0	1,110.0
Car Park Resurfacing	15.0					15.0		15.0
Vehicle Replacement Programme	606.0	234.0				840.0	-188.4	651.6
Gedling Country Park	31.8				-12.2	19.6		19.6
Gedling Country Park Viewing Platforms				120.8	12.2	133.0		133.0
Cinder Path Netherfield	0.0	28.0				28.0	-25.0	3.0
Haywood Road Play Area	95.3			20.0	21.0	136.3		136.3
PASC Trees/Landscaping equipment		155.8				155.8	-83.0	72.8
Carlton Cemetery - Expansion/Car Park	268.8	10.1				278.9	-278.9	0.0
Community Garden Georgia Drive Redhill	0.0	0.0	0.0	10.0		10.0	-10.0	0.0
Muirfield Play Area	0.0	0.0	0.0	100.0		100.0		100.0
Gedling Country - Seating Platform	0.0			107.8		107.8	-107.8	0.0
Gedling Country Park Car Park Extension	150.0					150.0		150.0
Lambley Lane Changing Room & Pitch Renovation	95.0					95.0	-95.0	0.0
Carnarvon Play Area Refurbishment	0.0				38.7	38.7		38.7
Conway Road Recreation Ground	0.0			102.0		102.0		102.0
Environment Total	1,261.9	427.9	0.0	460.6	59.7	2,210.1	-788.1	1,422.0
Calverton Enterprise Units	1,370.0			-1,370.0		0.0		0.0
Arnold Market	980.0	103.6		-983.6		100.0		100.0
S106 Westdale Lane Surgery	0.0			200.0		200.0		200.0
Carlton Square Development	790.0	40.0		-830.0		0.0		0.0
Growth & Regeneration Total	3,140.0	143.6	0.0	-2,983.6	0.0	300.0	0.0	300.0

IT Licences - Microsoft Office	100.0					100.0	-12.0	88.0
Civic Centre Public Toilets	22.0				50.0	72.0		72.0
Customer Service Improvements	100.0					100.0	-100.0	0.0
All Weather Pitch Carlton Le Willows	300.0					300.0		300.0
Commercial Property Investment	2,500.0					2,500.0	-1,600.0	900.0
Depot Security Barriers & Signage	0.0				21.6	21.6	18.4	40.0
Footpath Resurfacing	0.0				10.7	10.7		10.7
Footpath Repairs	0.0				8.0	8.0		8.0
Asset Management Fund	200.0				-200.0	0.0		0.0
Civic Centre Asset Management projects	0.0				15.0	15.0		15.0
Hazleford Way Drainage		51.0				51.0	-51.0	0.0
Equipment Replacement	0.0	65.0				65.0		65.0
Resources & Reputation Total	3,222.0	116.0	0.0	0.0	-94.7	3,243.3	-1,744.6	1,498.7
Total Programme	8,943.5	901.2	35.0	-2,523.0	0.0	7,356.7	-2,758.0	4,598.7



Report to Cabinet

Subject: Gedling Plan Quarter 3 Performance Report

Date: 30 January 2020

Author: Senior Leadership Team

Wards Affected

Borough wide

Purpose

To inform Cabinet in summary of the position against Improvement Actions and Performance Indicators in the 2019/2020 Gedling Plan at the end of quarter 3.

Key Decision

This is not a key decision.

Recommendation

THAT:

The progress against Improvement Actions and Performance Indicators in the 2019/20 Gedling Plan be noted.

1 Background

- 1.1 The Council has made a commitment to closely align budget and performance management. This is in line with accepted good practice.
- 1.2 To deliver this commitment, systems to monitor performance against revenue and capital budgets, improvement activity and performance indicators have all been brought together and are now embedded in the way the Council works. Whilst the budget and performance information are presented in two separate reports, they are and will be reported to Cabinet together and will appear on the same agenda.
- 1.3 In addition, performance reports now focus more directly on the Council's priorities and offer an "early warning" system of instances where targets may not be secured.

- 1.4 As usual, comprehensive details about current performance against the Gedling Plan can be accessed through the following link on the Council's website:-

<http://www.gedling.gov.uk/council/aboutus/prioritiesplansandperformance/howweredoing/>

Members are recommended to view this document which provides valuable background detail to this summary paper. It provides a more in-depth review of indicators, actions and outcomes for quarter 3.

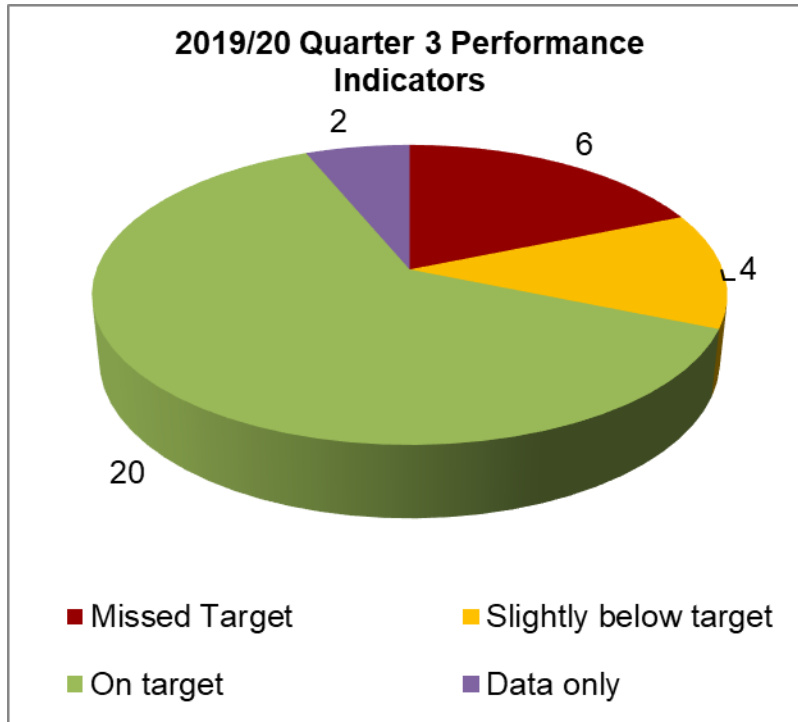
- 1.5 A full set of papers that appear on the website have been printed and these reports are available in the Members' Room. They contain explanations of variances from expected performance together with trend arrows for all the performance indicators within the Gedling Plan (note that an upward arrow indicates improved performance, irrespective of whether improvement is represented by a higher or lower value) and progress bars for all Gedling Plan actions showing progress made against project milestones.
- 1.6 The assessment criteria used for actions and indicators is based on red, amber and green traffic light symbols. To be assessed as green performance indicators must be in line with their expected performance at this stage of the year, whilst actions must be on target against the "completed" or "in progress" milestones determined within the performance management system, Pentana.

2 Proposal

- 2.1 It is proposed that Cabinet note the current Performance Information for quarter 3 as set out below.

2.2 Overall Performance

Overall performance at quarter 3 against the 2019/20 Gedling Plan actions and indicators shows the following:

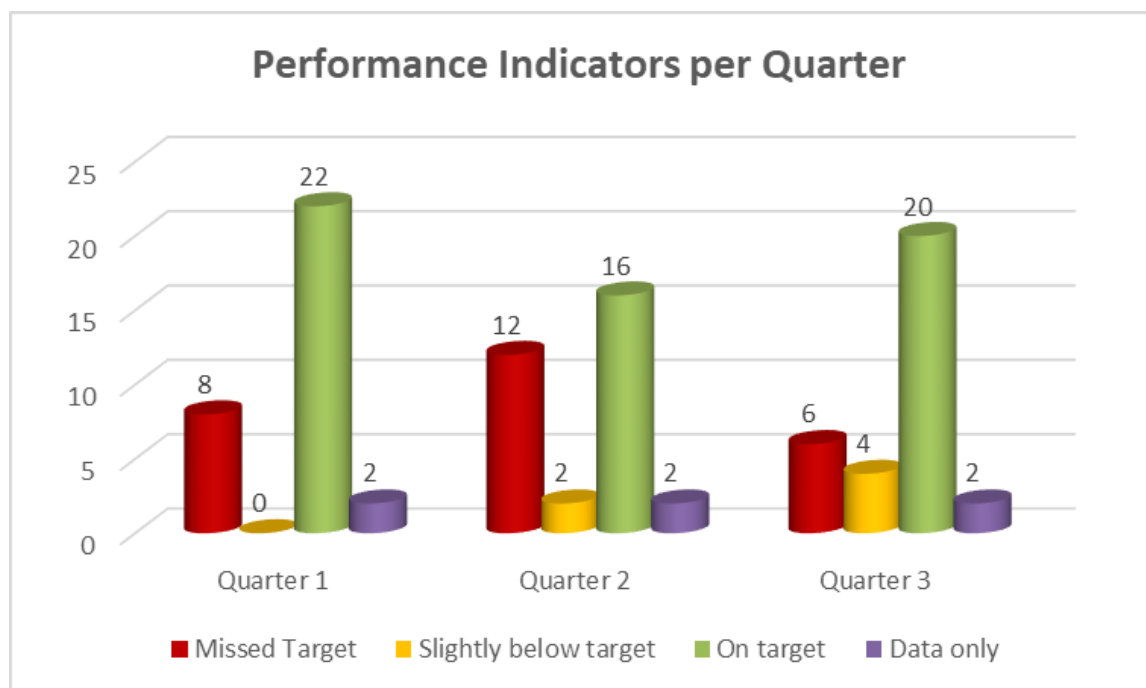


2.3 Actions

At this stage the 92 Gedling Plan actions are either in progress or assigned to an Officer and four are complete. It must be noted that the data in this report refers to the third quarter of the financial year only and it is expected that actions identified for the year will be met.

2.4 Indicators

Overall indicator performance at the end of quarter 3 shows that out of a total of 32 indicators, 20 were on or above target, two were slightly below target and 10 indicators missed their target. This is an improvement on quarter 2. Two indicators are for tracking purposes only. All data was available at the time of drafting this report.



2.5 Examples of particularly positive performance during quarter 3 include:

- LI027f - Number of attendances at Bonington Theatre – High levels of performance are being maintained with 17,534 attendances against a target of 11,150
- LI052 Percentage of calls to the contact centre answered (or call back made) - 12 month rolling total – Currently stands at 96% in comparison to target of 92%
- LI057 Percentage of customers seen within 15 minutes – 92% of customers are seen within 15 minutes against target of 85%
- LI321 Number of Keep Me Posted email newsletter subscribers – This has risen to 28,728 subscribers against anticipated target of 18,000

- NI157a Percentage of Major planning applications processed within 13 weeks – 100% processed within 13 weeks against a target of 90%
- LI363 Number of school-age work experience placements hosted in Gedling Borough Council in partnership with YouNG (and Economic Development) – Already had 15 placements against an annual target of 6
- LI276 Percentage of food premises scoring 4 or 5 in the national food hygiene rating scheme – 96% against a target of 90% target
- LI379 Average number of Swim School Members (12 month rolling period) – Average number is 2,672 against target of 2,500
- LI027 Number of visits to leisure centres – 288,872 visits compared to the Quarter 2 target of 225,236
- LI018 Percentage of invoices paid within 30 days. – 98.88% against of 99%. While this has not fully met target, it is improving and acknowledges the important the Council places on paying suppliers in a timely fashion

2.6 The following performance indicators missed their target at the end of quarter 3 and are worthy of note. However from a Senior Leadership Team perspective there are no specific performance concerns to raise.

Housing needs and welfare support

The average length of time spent in temporary accommodation (in weeks) is 29.4 weeks against a target of 8 weeks and is expected to miss target at year-end. This is due to a reducing number of social housing properties being advertised compared to an increasing number of customers requiring accommodation, households requiring large or specially adapted properties are having to remain in temporary accommodation for longer periods of time. The Housing Needs team continue to work with the private rented sector, registered providers and other agencies such as “Call Before You Serve” to try and find suitable and alternative housing solutions for these families.

Housing

While below target at quarter 3, performance has improved with the net additional homes provided in quarter 3 greater than quarter 2. The trajectory confirms the anticipated delivery by the end of year of 458 homes against an end of year target of 480. This represents a significant improvement in delivery when compared against previous years.

As in Quarter 1 and 2, the number of affordable homes delivered (gross) in quarter 3 was zero. However, whilst no affordable homes have been delivered within the first three quarters we are expecting at least four in the final quarter.

Jigsaw Homes have acquired the S.106 units at Chase Farm which includes 7

shared ownership properties, of which 4 have already been reserved and should be available for occupation at the end of the calendar year. A further 8 rented units should also be available in Q1 2020.

Furthermore, there has been planning permission granted for the following affordable units:

- Jigsaw Homes - Lendrum Court, Burton Joyce – redevelopment of an existing building to deliver 34 units.
- Nottingham Community Housing Association - Earl of Chesterfield – redevelopment of the former public house to deliver 8 affordable units.

Waste

The residual household waste per household (in Kg) and percentage of household waste sent for reuse and composting have missed target for quarter 3. We are still experiencing a higher than normal volume of rejected loads at the recycling depot due to contamination of recyclables. To improve contamination the Council has introduced a number of initiatives in partnership with Veolia and other districts in Nottinghamshire including a simpler recycling information leaflet and clearer information on the bin calendars.

- 2.7 Cabinet will recall that at the end of quarter 2 Service Managers had indicated that eight indicators were expected to miss target at year end. Of the six indicators shown red at the end of quarter 3, all are expected to miss target and Service Managers have indicated that a further three indicators are expected to miss target.

2.8 **Achievements**

A separate report is produced highlighting key achievements delivered during quarter 3, focusing on areas where the Council has made a real difference to people's lives. This is attached as Appendix 1 and is available on the Council's website and in hard copy in the Members' Room. The following outcomes are identified for particular attention:

Food Bank Drive - A Food Bank Drive was run in December 2019 organised by our Housing Services Team Leader with support from Revenues and Welfare Support colleagues. This was due to an expected higher demand in customers in the run up to the Christmas holidays. A number of service users known to the Housing Team use this facility to assist with food for the family in the short term. We delivered distinctive red "Bag of Life" with a list of requested items to each Service Area in the Council, DWP, Gedling Homes and CCG and collected the donated items a few weeks later. In that time over 50 large bags weighing over half a tonne were filled with food and toiletries. This equated to 2 full car loads which was delivered to very happy staff at the Daybrook Baptist Church food bank on the 13th December. The donations did not stop and since the original handover of the initial 50 bags a further 10 large bags have now been delivered in early January 2020. Further Food Bank Drives are planned for 2020.

Severe Weather Emergency Protocol - Winter Night Shelter - Discussions across the south of the borough identified an opportunity to provide a direct access hostel at Elizabeth House in Arnold, which could accommodate 8 people and would run from the beginning of December 2019 until the end of March 2020. Its aim is to provide safe accommodation overnight for rough sleepers and/or those at risk of rough sleeping during the cold weather whilst also reducing the need to use B&B accommodation for overnight stays. Officers at Gedling Borough Council submitted a joint funding application to cover the majority of the cost of the hostel. The provision has been in operation since the 4th December 2019 and runs daily from 8pm until 8am. Rough sleepers are provided with a meal (hot or cold), washing facilities and there is also scope for pets and separate areas for women. Referrals to the scheme are made by the local authority. This scheme is provided in partnership with Broxtowe and Rushcliffe Borough Councils.

Gedling Conversation Resident Satisfaction Survey - The 3,760 responses received represent the highest ever return rate of the Gedling Conversation Resident Satisfaction Survey. 36% of the responses were received online (10% higher than the last survey in 2017).

Inclusion on Register of Apprenticeship Training Providers - Earlier in the year we undertook a very rigorous reapplication process to be considered by the Department of Education to be included again on the Register of Apprenticeship Training Providers (RoATP). This registration is a requirement for us to be able to deliver apprenticeships. We are delighted to have received notification that we have successfully passed the assessment. This success is down to the hard work of a number of staff in the Organisational Development service and in particular one of our Training Officers. This means that we can deliver and assess apprenticeships undertaken both by our own staff and by apprentices employed by other large organisations.

Funding to target rogue landlords – Gedling Borough Council is to take further steps to improve the living standards of residents by targeting criminal landlords and letting agents. The council will use £40,000 funding provided by central government to create two posts whose role will be to target rogue landlords and take appropriate enforcement action. The team will also work closely with Nottinghamshire Police on joint operations to address modern slavery, serious organised crime and child sexual exploitation. The majority of landlords provide decent homes for their tenants, but a small minority persist in breaking the law, making tenants' lives a misery by offering inadequate or unsafe housing. The new funding will be used to take enforcement action against these landlords, and advise tenants of their housing rights. The funding will also be used to target landlords operating without licences.

APSE Benchmarking Award – Our Parks and Street Care team were the National Winners on December 5th at the APSE Benchmarking Awards in the Parks and Open Spaces category for 'The Most Improved Parks and Open Spaces Service 2019. Also shortlisted as in the top 10 best for the Best Street Cleansing Service 2019 and Most Improved Street Cleansing Service 2019 categories. "APSE's data benchmarking service allows local government to recognise those top performing local councils who are striving to continuously

improve their frontline services. As a national winner it shows that Gedling Borough Council frontline services are driving forwards on service improvements and placing quality at the heart of what they do. The winners and finalists are showing a real commitment to those services which we all value at a neighbourhood level."

Funding for New Community Development Worker - The Council has been commissioned to host a 12 month Community Development Worker post working across South Nottinghamshire. The £35,000 funding has been allocated by South Nottinghamshire Integrated Care Partnership and will work with other districts and partners to support the new social prescribing Link Workers across the area that are funded by the NHS. This work builds on the local community capacity building work that the Community Relations Service area has been undertaking as part of the SPRIING scheme.

Customer Service Excellence - The 5 leisure centres recently went through an external assessment to evaluate their approach to customer service and were awarded The Customer Service Excellence accreditation. The accreditation is a national quality mark that rewards organisations that have a truly customer-focused commitment to all they do while providing a positive steer for customer-centred change.

3 Alternative Options

- 3.1 Not to present an update on quarterly performance, in which case Executive members will not be aware of performance against the Gedling Plan 2019/20.

4 Financial Implications

- 4.1 None arising from this report.

5 Appendices

- 5.1 Appendix 1 – Examples of Outcomes achieved during Quarter 3 2019/20.

6 Background Papers

- 6.1 None identified.

7 Reasons for Recommendations

- 7.1 To ensure Members are informed of the performance against the Gedling Plan 2019/20.

Examples of Achievements and Activities

During

Quarter 3 2019/20

Strong and Dynamic Communities

PROMOTE AND ENCOURAGE PRIDE, GOOD CITIZENSHIP AND PARTICIPATION

Christmas Events – a range of successful and well-attended Christmas Fairs and events were held throughout the Borough including the Arnold Christmas event. Feedback from businesses and the public suggested that this year's Arnold Christmas event has been the most successful of its kind so far.

Under 16's Youth Diversionary programme - Following the success of the Youth Diversionary Activity Programme for 11- 16 year olds during the summer holidays the Portfolio Holder for Young People and Equalities agreed that the remaining budget for the project could be spent on a programme of activities for October half term. As with the summer programme, the main aims of these activities included engaging young people into positive activities away from low level anti-social behaviour and general boredom, promoting social cohesion and providing opportunities away from technology and mobile phones. Activities included DJ Skills workshops, sports and circus skills and films at the Bonington Theatre. Overall this week of activities attracted more young people than the summer programme which took place over a period of a few weeks.

Remembrance Day Parades - The Council supported the annual Remembrance Day Parades in Arnold, Gedling and Mapperley by funding and appointing a traffic management company to manage the road closures for the duration of the parades. This allowed the local organising groups to engage with the community and organise the services and parade marches. The Council also funded and supplied a PA System for the service in Arnot Hill Park in November.

Haywood Road Community Centre - In October, Cabinet agreed the community asset transfer of Haywood Road Community Centre to Haywood Road Community Association. A long-term lease is now being agreed between the Council and Community Association following consideration of detailed business and financial plans. The Centre will work through a core letting of space to the successful Haywood Road Pre-School Club and via regular and ad hoc bookings by community groups and local users. Existing users are the Art group, Circle Dance group and Scrabble group, alongside newly developed groups now offering yoga, meditation, Weight Watchers, martial arts and drama. The Centre is increasingly used for social events, children and family parties and celebrations, including many organised for the local community.

Syrian Society of Nottingham Community Meal event - This event took place in December. Supported by the Community Investment Manager, the Gedling Senior Council collaborated with the Syrian Society of Nottinghamshire and Gedling Refugee Befriending Scheme to host a traditional Syrian meal at The Beacon, prepared by members of the Syrian community. The theme of the meeting was 'Celebrating Volunteering and Support in the Community', and also presented an opportunity for Syrian families to thank Nottingham for the welcome they have received. The event was attended by over 85 members of older support groups in Gedling, including the Arnold Methodist Church Mental Health Befriending project,

Arnold Community Group, SPRING Project, Allotments groups as well as volunteers, community navigators and professionals including Gedling Police, Asda Community support and engagement, NCC Coproduction, Gedling Homes and many more. Outcomes have included NCC Co production now working with the Syrian Society to set up a Syrian Self Help group for Gedling, two new SPRING referrals, a new SPRING community navigator, assistance from Asda with free food provisions for a SPRING 'Cook and Eat' session and plans in train to further strengthen links between the Mental Health Befriending project and Syrian Families Befriending project. Other opportunities for the Syrian families to participate in themed Arnold Market events are also planned, along with a culturally/age/disability inclusive Heritage Tour of Gedling Borough in Spring 2020.

Gedling Youth Council - A meeting of Gedling Youth Council was held in November, at which Healthwatch Nottinghamshire undertook structured consultation about Young People's Mental Health Service needs. This will feed into and help shape future commissioning of Mental Health Services to young people. Councillors McCrossen and Fox, Portfolio Holder and Policy advisor for Young People, shared information about the 16 and under holiday activity programme, and consulted with the group on reasons why girls are not currently picking up on the outdoor gym sessions. This information has been useful in shaping our approach to future holiday provision for girls.

Community Grants Scheme - 52 grants were awarded to local community groups during Quarter 3.

Statement of Community Involvement Update – this Statement sets out the Council's policies on community consultation and involvement in planning policy documents and planning applications. We have updated our Statement to replace the version adopted in 2014 (which was called the Statement of Consultation). The revised document exceeds the minimum legal requirements for consultation as set out in the Planning Acts and regulations.

<http://www.gedling.gov.uk/media/gedlingboroughcouncil/documents/planningpolicy/documents/GBC%20SCI%20FINAL%202019.pdf>

REDUCE POVERTY AND PROVIDE SUPPORT TO THE MOST VULNERABLE

Food Bank Drive - A Food Bank Drive was run in December 2019 organised by our Housing Services Team Leader with support from Revenues and Welfare Support colleagues. This was due to an expected higher demand in customers in the run up to the Christmas holidays. A number of service users known to the Housing Team use this facility to assist with food for the family in the short term. We delivered distinctive red "Bag of Life" with a list of requested items to each Service Area in the Council, DWP, Gedling Homes and CCG and collected the donated items a few weeks later. In that time over 50 large bags weighing over half a tonne were filled with food and toiletries. This equated to 2 full car loads which was delivered to very happy staff at the Daybrook Baptist Church food bank on the 13th December. The donations did not stop and since the original handover of the initial 50 bags a further 10 large bags have now been delivered in early January 2020. Further Food Bank Drives are planned for 2020.

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Homelessness and Rough Sleeping Strategy – the strategy was consulted on and revised during Quarter 3. It is now live on our website:
<https://www.gedling.gov.uk/resident/housing/housingstrategies/>

High Performing Council

IMPROVE THE CUSTOMER EXPERIENCE OF ENGAGING WITH THE COUNCIL

National Customer Services Week and Festive Support Day - Since 2016 the Council has participated in the National Customer Services week run by the National Institute of Customer Services. The event has been run on a themed basis and in previous years themes have included digital support and partnership working. The 2019 event took place between the 7 and 11 October and was themed around support for the most vulnerable residents of the Borough. The event was led by the Council's Customer Service Manager, and was supported by Customer Services staff, colleagues in other service areas and our partners. A number of events took place over the week, including two advice days at the Civic Centre run in conjunction with 13 other partners, which were well attended. Competitions were also run over social media and a 'guess the park' competition attracted 244 entries and very positive comments. Partners attending felt the events were a success and it has led to further instances of working together such as the festive support day held on the 9 December, which also attracted a number of partners and was well attended by the public.

Gedling Conversation Resident Satisfaction Survey - The 3,760 responses received represent the highest ever return rate of the Gedling Conversation Resident Satisfaction Survey. 36% of the responses were received online (10% higher than the last survey in 2017).

PROVIDE EFFICIENT AND EFFECTIVE SERVICES

Inclusion on Register of Apprenticeship Training Providers - Earlier in the year we undertook a very rigorous reapplication process to be considered by the Department of Education to be included again on the Register of Apprenticeship Training Providers (RoATP). This registration is a requirement for us to be able to deliver apprenticeships. We are delighted to have received notification that we have

successfully passed the assessment. This success is down to the hard work of a number of staff in the Organisational Development service and in particular one of our Training Officers. This means that we can deliver and assess apprenticeships undertaken both by our own staff and by apprentices employed by other large organisations.

MAINTAIN A POSITIVE WORKING ENVIRONMENT AND STRONG EMPLOYEE MORALE

Employee Conference – this year’s conference was delivered over three days to over 100 people. The theme of the conference was “serving people, improving lives” with sessions about how we achieve this being delivered by a range of colleagues from services across the council.

Employee Awards - In December the annual employee awards were held in front of a lively audience of colleagues who filled out the council chamber. The event was organised again by the STEP’s group and this year nearly 100 nominations were received across the seven categories. The categories were:

- Employee of the year: “Can do”/ “Conscientious”/ “Capable and Professional”/ “Care and Consideration”
- Manager of the year
- Team of the year
- Chief Executive Award

The event was very successful and proved to be a fitting way to recognise the great work of all of our employees across the council who deliver first-rate services every day.

Flu Vaccinations - staff members took advantage of free flu vaccinations provided at work during December. For those unable to attend, reimbursements were provided for vaccinations obtained elsewhere.

IMPROVE USE OF DIGITAL TECHNOLOGIES

Investment in digital infrastructure - A large number of IT infrastructural projects have been completed this quarter in the ongoing work to upgrade our operating systems, these have included a large scale project of migrating our email boxes to Office 365 in the cloud and upgrades to IDOX, Telephony, Cash Receipting system, Leisure Bar Tills and ModernGov. In addition we have successfully upgraded our broadband speed which will assist remote working and support the movement of some functions into the cloud.

Vibrant Economy

ENSURE LOCAL PEOPLE ARE WELL PREPARED AND ABLE TO COMPETE FOR JOBS

Opportunities and Careers event - held at Newstead to encourage local people to access employment, training and understand the opportunities open to them.

SAFEGUARD AND CREATE JOB OPPORTUNITIES

Business event – Recruiting Talent Locally – specific event held in November to showcase the opportunities for businesses to recruit locally. There were around 50 businesses, providers and associations attended.

CREATE THRIVING AND VIBRANT TOWN AND LOCAL CENTRES

Arnold Town Centre - following the installation of the temporary market stalls, there have been a series of events throughout 2019. In this period there was a Halloween theme treasure hunt (over the school holidays) and the Christmas market/light switch on.

DRIVE BUSINESS GROWTH AND JOB CREATION THROUGH LOCAL AND INWARD INVESTMENT

Business support session – run by D2N2 Growth Hub, facilitated by EGR, to provide support to local businesses. In this quarter, five businesses received this opportunity for support.

Sustainable Environment

CONSERVE, ENHANCE, PROMOTE AND CELEBRATE OUR HERITAGE

Thomas Hawksley Memorial - At the end of October a memorial to pioneering 19th Century water engineer Thomas Hawkesley was installed in Arnot Hill Park. Funding from Severn Trent allowed the Council to bring together a project steering comprised of members of Arnold Local History Group, staff from Papplewick Pumping Station, a heritage consultant and local Hawksley enthusiasts to oversee the project and install a memorial to Hawksley in Arnot Hill Park where he was born. Following a selection process artist Richard Janes was appointed by the steering group to create the memorial, following a period of research and workshops with a local school, Arnbrook Primary, to work on some design details. The final design, inspired by a Victorian gothic memorial, incorporated materials which would have been used by Hawksley and included some of the details of his designs at Papplewick and other local water pumping stations. The memorial was unveiled by the Deputy Mayor and an interpretation panel sits alongside the memorial to provide more information about Hawksley to visitors in Arnot Hill Park. Early in 2020 a heritage plaque to Hawksley will be installed on the outside of Arnot Hill House.

Healthy Lifestyles

IMPROVE HEALTH AND WELLBEING AND REDUCE HEALTH INEQUALITIES

Funding to target rogue landlords – Gedling Borough Council is to take further steps to improve the living standards of residents by targeting criminal landlords and letting agents. The council will use £40,000 funding provided by central government to create two posts whose role will be to target rogue landlords and take appropriate enforcement action. The team will also work closely with Nottinghamshire Police on joint operations to address modern slavery, serious organised crime and child sexual exploitation. The majority of landlords provide decent homes for their tenants, but a small minority persist in breaking the law, making tenants' lives a misery by offering inadequate or unsafe housing. The new funding will be used to take enforcement action against these landlords, and advise tenants of their housing rights. The funding will also be used to target landlords operating without licences.

Environmental Health Award finalists - Employees from Environmental Health were nominated for a national award and attended the Chartered Institute of Environmental Health Awards in London in November. They were finalists in the "Best Environmental Health Project 2019". This award was for a project or campaign that has had an impact or outcome of improving health, wellbeing and environment. They have been shortlisted for The Gedling Hospital Prevention and Discharge Project. The pilot project between Gedling Borough Council Public Protection Service and three hospitals in Nottingham was established to reduce bed-blocking and avoidable admissions caused by unsafe or unsuitable housing and to support homeless patients through holistic and flexible services.

Health and Wellbeing Plan - An updated terms of reference has been circulated to the group to ensure its key priorities are still reflective of the needs of Gedling Borough residents and the wider changing landscape of the County Public Health system and the Nottingham and Nottinghamshire NHS Integrated Care System and NHS Integrated Care Partnership footprint. The meeting in November focused on Mental Health and an exercise with partners to develop an Action Plan to sit behind the Mental Health Concordat commitment.

SUPPORT PHYSICALLY ACTIVE LIFESTYLES

Customer Service Excellence - The 5 leisure centres recently went through an external assessment to evaluate their approach to customer service and were awarded The Customer Service Excellence accreditation. The accreditation is a national quality mark that rewards organisations that have a truly customer-focused commitment to all they do while providing a positive steer for customer-centred change.

Pool Mark Accreditation - Gedling Leisure Centre pools have achieved the Pool Mark certification which is an assurance to members of the public that the pool meets essential healthy pool operational standards. By having 'Pool Mark' it demonstrates Gedling Leisure are in the very top tier in terms of standards and practice, and that we apply perfectly within the PWTAG code of practice in all aspects of our operations. By achieving the accreditation Gedling Leisure is the third

pool group in the UK to successfully achieve this award, and it means our standard of swimming pool will be recognised on a national level

Redhill Leisure Centre - Redhill Leisure Centre was shortlisted in the Best Performer category for APSE Performance Networks award for 2018/19 in the Sport & Leisure Facility Management Category. Redhill Leisure Centre has always been a high performing leisure centre but has only just missed out on shortlisting over the past few years. It has always had a high number of performance indicators that have been in the top or second quartile. From analysing the figures, it is clear that the recent efficiencies that have been made have contributed to the improved KPI's, as well as having favourable income and usage, compared to other local authority facilities.

INCREASE RECREATIONAL ACTIVITIES AND USERS TO PARKS AND OPEN SPACES

Gedling Country Park funding – Following some excellent work done by our Parks and Street Care team, they were successful in securing a funding bid for £138,000 for some new viewing platforms at Gedling Country Park.

Muirfield Road Play Area - Work to refurbish and reopen the play area at Muirfield Road took place in Oct/Nov. Works on the play park began in October and were completed this week. It was opened by the Mayor of Gedling on Thursday 28 November at 2pm. Warren Primary Academy and members of the Warren Action Group were in attendance at the opening. The new equipment in the play area includes a viper rope swing, 30m Zip Line, Disability Access Roundabout and 5m tall multi-climbing unit with slide. Gedling Borough Council and the Warren Action Group, a local residents group, made the joint funding bid for the improvements. The group have been working to revitalise the playground area.

Carnarvon Grove Play Area - Work to refurbish and reopen the play area at Carnarvon Grove took place in Oct/Nov. The play area on the corner of Carnarvon Grove and Foxhill Road, Carlton was re-opened by the Mayor of Gedling, Councillor Sandra Barnes, on Monday 25 November at 2pm. Local school children from Carlton Central Academy were in attendance at the opening to test out the new equipment. The park closed in July following a spate of vandalism that left it too dangerous to stay open. A decision to close the park indefinitely, on health and safety grounds, was made and discussions took place with senior officers and councillors about the future of the park. The council listened to residents and the local school and took the decision that it would be refurbished rather than close permanently. Gedling Borough Council has invested £38,000 to improve the park. The old wooden equipment has been replaced by solid steel metal materials, which will last longer and are less likely to be vandalised. The new play area includes new swings, climbing frame, slide, roundabout, rocking horse and a new bench and rubber surfacing.

APSE Benchmarking Award – Our Parks and Street Care team were the National Winners on December 5th at the APSE Benchmarking Awards in the Parks and Open Spaces category for 'The Most Improved Parks and Open Spaces Service 2019. Also shortlisted as in the top 10 best for the Best Street Cleansing Service 2019 and Most Improved Street Cleansing Service 2019 categories. "APSE's data

benchmarking service allows local government to recognise those top performing local councils who are striving to continuously improve their frontline services. As a national winner it shows that Gedling Borough Council frontline services are driving forwards on service improvements and placing quality at the heart of what they do. The winners and finalists are showing a real commitment to those services which we all value at a neighbourhood level."

Carlton Forum Falls Prevention Project - There are 18 active members. The group has a pink inflatable flamingo which is now our mascot and puts in an appearance every week – derived from the one leg stand otherwise known as flamingo! Other props make an appearance from time to time including some light up flamingos and little cocktail umbrellas! The group are swapping numbers and offering support to each other away from the sessions with phone calls and texts. A Christmas lunch of participants was held at the Tree Tops in November.

REDUCE LEVELS OF LONELINESS AND ISOLATION

Growth Fund Grants - SPRIING Grass Roots Growth fund grants of £250 have been awarded to a Social Reading group and the Chandos Community Allotment project.

Mental Health Prevention Concordat - Cabinet approval granted in November for the Council to sign up to the Mental Health Prevention Concordat. An Action Plan has now been drafted to be submitted to Public Health England by the end of January 2020.

SPRIING - A successful SPRIING Link session, delivered in partnership with Nottinghamshire County Council Co Production, took place at the Arnold Older People's Centre on 16th December, with 10 individuals attending. The session was used to discuss an emerging community led Allotment project, and to engage interest in the Heritage bus tour 'Cook and Eat' and 'Falls Prevention' taster sessions planned between February and May 2020. Two new SPRIING clients were also registered at the session.

Funding for New Community Development Worker - The Council has been commissioned to host a 12 month Community Development Worker post working across South Nottinghamshire. The £35,000 funding has been allocated by South Nottinghamshire Integrated Care Partnership and will work with other districts and partners to support the new social prescribing Link Workers across the area that are funded by the NHS. This work builds on the local community capacity building work that the Community Relations Service area has been undertaking as part of the SPRIING scheme.

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Report to Cabinet

Subject: Decision of Ombudsman following complaint against the Council

Date: 30 January 2020

Author: Monitoring Officer

Wards Affected

Borough wide

Purpose

This report is to inform Members of a finding of maladministration with injustice by the Local Government and Social Care Ombudsman ("the Ombudsman") against Gedling Borough Council in response to a complaint by Mr X with regard to the Council's failure to make assisted refuse collections from his house.

Key Decision

This is not a key decision

Recommendations

THAT:

1. The Ombudsman's decision at Appendix 1 and progress regarding implementation of the recommendations be noted;
2. It be noted that a copy of this report has been circulated to all members of the Council;
3. It be agreed that the further action set out in this report be taken; and
4. A report be prepared on behalf of the Executive setting out the action to be taken and reasons for it be prepared.

1 Background

- 1.1 Members are aware that if an individual is dissatisfied with the service provided by the Council he/she may complain under the Council's

Complaints, Compliments and Comments Policy. If the complainant exhausts the Council's complaints process and is unhappy with the response at Stage 2 he/she is entitled to refer the complaint to the Ombudsman. If the Ombudsman decides to investigate a complaint he will determine whether, in his opinion, the Council has been guilty of "maladministration" and if so whether the complainant has sustained "injustice" in consequence.

- 1.2 Section 5A of the Local Government and Housing Act 1989 imposes a duty upon the Monitoring Officer to prepare a report to the Executive if at any time it appears to her that there has been maladministration in the exercise of its functions. The duty does not arise unless the Ombudsman has conducted an investigation. The Monitoring Officer must consult the Head of Paid Service and Chief Financial Officer in the preparation of a section 5A report and provide a copy to each Member of the Council.
- 1.3 As soon as practicable after the Executive has considered the Monitoring Officer's report it must prepare a report which specifies:-
 - (a) What action (if any) the Executive has taken in response to the Monitoring Officer's report,
 - (b) What action (if any) the Executive proposes to take in response to the report, and
 - (c) The reasons for taking the action or for taking no action.

2 Proposal

- 2.1 This report relates to a complaint by Mr X that the Council has often failed to make assisted refuse collections at his house over the past year. A copy of the Ombudsman's decision in relation to this complaint is self-explanatory and is attached at Appendix 1. The Ombudsman has confirmed that this complaint will be included in the published figures for the year ending 31 March 2020. It will be recorded as: Environmental Services & Public Protection & Regulation and the decision as: Upheld: maladministration and injustice.
- 2.2 When determining the complaint the Ombudsman made the following recommendations:

"2.2. Within one month of my final decision the Council will:

 - Apologise to Mr X for the inconvenience caused by its repeated failure to correctly collect his waste as agreed by the assisted collection service.
 - Refund Mr X's £36 fee for garden waste collection for 2018-2019.
 - Remind waste collection crews of the importance of complying with assisted collection services.

23. Over the next three months after the date of my final decision the Council will monitor Mr X's assisted collections and provide him and the Ombudsman with a report after three months, explaining any missed collections, and action taken as a result."

The apology, refund and reminder have already been issued and the assisted collection service for Mr X is currently being monitored. It is proposed that Members note the decision and recommendations of the Ombudsman and that the actions recommended are either completed or in progress.

2.3 In order to ascertain whether additional actions need to be taken further initial data analysis has been carried out. This has identified that on 778 occasions between 1 April and 16 December 2019 customers contacted the Council to report that their assisted collection service was not provided. Members should be aware that the number of contacts referred to above represents around 0.04% of the total number of bins collected during this period. The data analysed also shows that around 30% of the occasions were reported by the crews to be either behind a locked gate or not left at the agreed pull out location which is the reason why the assisted collection was not provided. Further analysis of the addresses that have made contact on a number of occasions during that period shows that the garden waste assisted collections were missed more often than general, recycling and glass collections. The data analysis does not however identify that a high number of missed assisted collections are taking place in a particular area or round.

2.4 Individuals can ask the Council to provide an assisted bin collection service because they find it difficult to put the bin out for collection, for example due to a disability or frailty. The Council currently provides an assisted collection service to 2,020 households, which equates to over 3% of the total number of households in the borough. This appears to be a fair proportion when compared to APSE benchmarking data, which shows that for participating authorities the average percentage of households receiving an assisted collections is:

2015/16 – 4.5%

2016/17 – 3.1%

2017/18 – 3.0%

2.5 In relation to process the general, recycling and glass rounds are managed via the Bartec System where the in cab device alerts the crew with a hand icon for addresses with an assisted collection, however the garden waste collections are printed from an in-house system and passed to the crew as a paper copy to mark off as the collections are made. All missed collections

whether general, recycling, glass or garden are entered into the Bartec System for the crew to return. It is therefore proposed that to improve the collection of garden waste, the garden waste schedules should be added to the Bartec System so these collections are dealt with in the same way as the general, recycling and glass collections. A process should also be put in place to ensure that crews record the reason that an assisted collection is not provided on every occasion: this could be for example because the road is blocked, bin is contaminated or bin is inaccessible. Crews should also be reminded about missed assisted collections as soon as they are reported by the customer to avoid future occurrences of multiple reports at the same address. Some additional analysis of the data should be carried out to identify whether further action should be taken to improve the assisted collection service.

3 Alternative Options

- 3.1 In view of the fact that the Ombudsman has categorised the complaint as “Upheld: maladministration and injustice”, the statutory process for reporting the decision must be followed.
- 3.2 The Executive could decide to take no action other than to implement the recommendations made by the Ombudsman. This could however result in the Council receiving further complaints and there being further instances of maladministration in the exercise of this function. The Executive could also decide to take a different course of action to that recommended in the report, however it is considered that the actions proposed are appropriate based on the data considered.

4 Financial Implications

- 4.1 If further complaints are made to the Ombudsman on the same grounds the Council could be asked to refund fees for the garden waste collection for other affected properties and make payments of compensation.

5 Appendices

- 5.1 Appendix 1 – Copy of Ombudsman’s decision.

6 Background Papers

- 6.1 None identified.

7 Reasons for Recommendations

- 7.1 To comply with the provisions of the Local Government and Housing Act 1989.

7.2 To improve the assisted collection service and avoid any further complaints or instances of maladministration in the exercise of this function.

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The Ombudsman's final decision

Summary: Mr X complained the Council failed to make assisted refuse collections from his house. We find the Council has failed to make collections several times, despite his reports and its reminders to crews. The Council has agreed to apologise and refund Mr X's garden waste collection fee for the year. It will also remind collection crews of the importance of complying with assisted collections and monitor Mr X's waste collection for three months, reporting to him and the Ombudsman on this.

The complaint

1. Mr X complains the Council has often failed to make assisted refuse collections at his house over the past year. He says it has not collected his garden waste. It missed household and recycling waste collections for three to four months until he complained for a second time about this. It then started collections.
2. Mr X says these failures mean he has missed out on collection services and his gardener is often unable to cut his grass.

The Ombudsman's role and powers

3. We investigate complaints about 'maladministration' and 'service failure'. In this statement, I have used the word fault to refer to these. We must also consider whether any fault has had an adverse impact on the person making the complaint. I refer to this as 'injustice'. If there has been fault which has caused an injustice, we may suggest a remedy. (*Local Government Act 1974, sections 26(1) and 26A(1), as amended*)
4. If we are satisfied with a council's actions or proposed actions, we can complete our investigation and issue a decision statement. (*Local Government Act 1974, section 30(1B) and 34H(i), as amended*)

How I considered this complaint

5. I considered evidence provided by Mr X about his complaint.
6. I considered evidence provided by the Council including customer service records.
7. I considered the Ombudsman's guidance on remedies.
8. I gave the Council and Mr X the opportunity to comment on my draft decision.

What I found

Background

9. This council's waste collection service provides households with three containers for household waste. These are a general waste bin, recycling bin and glass recycling bin. It collects general waste and recycling on alternate weeks.
10. Residents can also pay for a garden waste collection service. For a payment of £36 per year the Council collects their garden waste every other week from March to January.
11. Households can ask the Council to provide an assisted bin collection service, for example because they find it difficult to put the bin out for collection. Where someone has asked for an assisted collection this is recorded on the in-cab system used by waste collection crews. The assisted service applies to all types of waste.

What happened

12. Mr X needs an assisted bin collection service. The Council has agreed to collect his bins from a specific location and return them to that point.
13. Mr X made six service requests to the Council between January and June 2019 about non collection of his glass and garden waste on the normal collection day.
14. The collection crews had not picked Mr X's waste up from the agreed point, therefore missing him from their round. Council records show that after Mr X's reports, the waste crew returned to collect the waste they had missed. It took them between one and six days to do so.
15. Council records also show that after Mr X's reports of problems it spoke to the collection crew about the problem, reminding them of the need to collect and return his bins from the agreed location because of the assisted service.
16. As a result of one of Mr X's reports, in May 2019, the Council investigated and apologised it was still not collecting Mr X's waste correctly, despite promising to do so after his earlier reports. It said it could not explain why the problem had reoccurred. It said it would again remind staff that Mr X had an assisted collection. It referred Mr X to the Ombudsman.
17. Mr X told the Ombudsman the Council has, since then, collected his household and recycling waste correctly but did not collect his garden waste on one occasion in October. The Council told me this was caused by the road being blocked, preventing the collection vehicle from passing. It collected the garden waste bin once it was able to.

My findings

18. The Council has failed to collect waste from Mr X several times over the past year as agreed by its assisted bin collection service. The problem persisted, despite its reminders to collection crews. This meant Mr X had to keep making reports. The Council's in-cab system and reminders to crews were not enough to ensure it robustly complied with the agreed assisted collection.
19. This was fault causing Mr X avoidable inconvenience from having to keep reporting the problem and his garden waste building up, and uncertainty about whether and when collections would be made.
20. The Council has offered to refund Mr X's garden waste collection fee for the year and to apologise to him again for the problems caused to him by its fault. These are appropriate remedies for part of the injustice caused by its fault.

-
21. However, to give Mr X confidence the problem has now been permanently solved it should again remind all collection crews of the importance of complying with assisted collections. It should monitor Mr X's collections and provide Mr X and the Ombudsman with a report explaining the reasons for any missed assisted collections at his property for the next six months.

Agreed action

22. Within one month of my final decision the Council will:
- Apologise to Mr X for the inconvenience caused by its repeated failure to correctly collect his waste as agreed by the assisted collection service.
 - Refund Mr X's £36 fee for garden waste collection for 2018-2019.
 - Remind waste collection crews of the importance of complying with assisted collection services.
23. Over the next three months after the date of my final decision the Council will monitor Mr X's assisted collections and provide him and the Ombudsman with a report after three months, explaining any missed collections, and action taken as a result.

Final decision

24. I have completed my investigation because I have found fault causing Mr X injustice. The Council has agreed to take action to remedy injustice to Mr X and prevent reoccurrence of the fault.

Investigator's decision on behalf of the Ombudsman

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Report to Cabinet

Subject: Authority Monitoring Report April 2018 – March 2019

Date: 30th January 2020

Author: Service Manager - Planning Policy

Wards Affected

Borough-Wide

Purpose

This report is to inform Cabinet of Gedling Borough Council's Authority Monitoring Report April 2018 – March 2019.

Key Decision

This is not a Key Decision.

Recommendation(s)

THAT:

- 1) Cabinet receives and notes the content of the Authority Monitoring Report April 2018 – March 2019.

1 Background

- 1.1 The Authority Monitoring Report is prepared annually and the updated version covers the period 1 April 2018 to 31 March 2019.
- 1.2 The monitoring report contains information on the implementation of the Local Development Scheme and the extent to which the policies are being successfully implemented. The report also provides a baseline of information for the Borough.

1.3 The updated Authority Monitoring Report is attached as **Appendix A**.

1.4 Key updates in Gedling Borough in 2018/19 include:-

Local Plan Delivery and Monitoring

- Local Planning Document (Part 2 Local Plan) was adopted on 18th July 2018.
- The review of the Aligned Core Strategy (Part 1 Local Plan) commenced in January 2019 and will be progressed in conjunction with Nottingham City Council, Erewash Borough Council, Broxtowe Borough Council and Rushcliffe Borough Council. A joint evidence base is being prepared, in conjunction with Ashfield District Council where appropriate.
- All policies specified in the Aligned Core Strategy (Part 1 Local Plan) and the Local Planning Document (Part 2 Local Plan) are being implemented.
- Gedling Borough Council adopted an updated Local Development Scheme in January 2019 setting out the anticipated preparation timescales for the Part 1 Local Plan review (although this is now under review).
- The Council in August 2019 reported a Five Year Land Supply of 5.08 Years and also published a Housing Delivery Action Plan to analyse and address the reasons for under delivery of housing development.
- The majority of monitoring indicators set out in the Part 1 and Part 2 Local Plans have been monitored in the Authority Monitoring Report and will inform future plan preparation.
- The Council has continued to fulfill its Duty to Co-operate with neighboring Greater Nottingham authorities. A joint statement of common ground, in accordance with Paragraph 27 of the National Planning Policy Framework (2019), was submitted to the Ministry of Housing, Communities and Local Government in late 2018 and no response has yet been received.

Neighbourhood Plans

- Linby Neighbourhood Plan was adopted on 2nd May 2019.

- Papplewick Neighbourhood Plan was adopted on 5th July 2018.
- Burton Joyce Neighbourhood Plan was adopted on 29th November 2018.

Supplementary Planning Documents and Guidance

- A development brief for three sites to the north east of Arnold was adopted as a Supplementary Planning Document on 31st January 2019.
- Air Quality and Emissions Mitigation Guidance was updated in 2019.

2 Proposal

- 2.1 To ask Cabinet to note the content of the Authority Monitoring Report April 2018 – March 2019.

3 Alternative Options

- 3.1 Not to produce an Authority Monitoring Report. Regulation 34 of the Town and Country Planning (Local Planning)(England) Regulations 2012 require local planning authorities to produce a monitoring report. The report contains information on the implementation of the Local Development Scheme and the extent to which the policies are being successfully implemented.

4 Financial Implications

- 4.1 Implications for officer time for monitoring indicators in the Aligned Core Strategy and Local Planning Document which is contained within existing budgets.

5 Appendices

- 5.1 Appendix A – Authority Monitoring Report April 2018 – March 2019.

6 Background Papers

6.1 None

7 Reasons for Recommendations

7.1 To inform Cabinet of the Authority Monitoring Report.

Authority Monitoring Report:

April 2018 – March 2019

(December 2019)

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1. Introduction

- 1.1.** This Authority Monitoring Report (AMR) is based upon the monitoring period 1st April 2018 to 31st March 2019.
- 1.2.** The Authority Monitoring Report is required under Regulation 34 of The Town and Country Planning (Local Planning) (England) Regulations 2012¹.

Key Updates in Gedling Borough in 2018/19

Local Plan Delivery and Monitoring

- Local Planning Document (Part 2 Local Plan) was adopted on 18th July 2018.
- The review of the Aligned Core Strategy (Part 1 Local Plan) commenced in January 2019 and will be progressed in conjunction with Nottingham City Council, Erewash Borough Council, Broxtowe Borough Council and Rushcliffe Borough Council. A joint evidence base is being prepared, in conjunction with Ashfield District Council where appropriate.
- All policies specified in the Aligned Core Strategy (Part 1 Local Plan) and the Local Planning Document (Part 2 Local Plan) are being implemented.
- Gedling Borough Council adopted an updated Local Development Scheme in January 2019 setting out the anticipated preparation timescales for the Part 1 Local Plan review (although this is now under review).
- The Council in August 2019 reported a Five Year Land Supply of 5.08 Years and also published a Housing Delivery Action Plan to analyse and address the reasons for under delivery of housing development.
- The majority of monitoring indicators set out in the Part 1 and Part 2 Local Plans have been monitored in the Authority Monitoring Report and will inform future plan preparation.
- The Council has continued to fulfill its Duty to Co-operate with neighboring Greater Nottingham authorities. A joint statement of common ground, in accordance with Paragraph 27 of the National Planning Policy Framework (2019), was submitted to the Ministry of Housing, Communities and Local Government in late 2018 and no response has yet been received.

Neighbourhood Plans

- Linby Neighbourhood Plan was adopted on 2nd May 2019.
- Papplewick Neighbourhood Plan was adopted on 5th July 2018.
- Burton Joyce Neighbourhood Plan was adopted on 29th November 2018.

Supplementary Planning Documents and Guidance

- Development brief for three sites to the north east of Arnold Supplementary Planning Document was adopted on 31st January 2019.
- Air Quality and Emissions Mitigation Guidance was updated in 2019.

¹ <http://www.legislation.gov.uk/ukxi/2012/767/regulation/34/made>

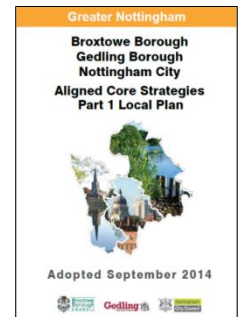
2. Development Plan Documents

- 2.1. Development Plan Documents set out the local planning policies for development in the area and comprises the Local Plan, Supplementary Planning Documents and Guidance, and Neighbourhood Plans. The Development Plan for Gedling Borough is summarised below.

Local Plan

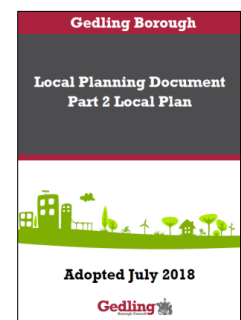
2.2. Greater Nottingham Aligned Core Strategies (Part 1 Local Plan)²

The ACS was adopted in September 2014 and was prepared in conjunction with Nottingham City Council and Broxtowe Borough Council and in close co-operation with Erewash Borough Council and Rushcliffe Borough Council. In 2015, the Councils won the 'Plan of the Year' award by the Royal Town Planning Institute in recognition of their joint working. The document sets out the strategic policy direction for future development in Gedling Borough.



2.3. Gedling Borough Local Planning Document (Part 2 Local Plan)³

The LPD was adopted in July 2018 and superseded the Gedling Borough Replacement Local Plan (2005). The document sets out policies for the assessment of planning applications and site specific policies and allocations for new housing, employment, retail, community facilities, recreation and open space, nature conservation and other land uses.



Supplementary Planning Documents and Guidance

- 2.4. Councils may produce Supplementary Planning Documents (SPD) or guidance to support Local Plan policies. SPDs and guidance can be thematic or site specific and are a material consideration for determining planning applications. The following have been adopted in Gedling Borough and are available on the website⁴:-

Development Brief SPD's

- Development brief for three sites to the north east of Arnold (January 2019)
- Top Wighay Farm Development Brief SPD (February 2017)
- Dark Lane, Calverton, Development Brief SPD (July 2008)
- Gedling Colliery and Chase Farm Development Brief SPD (June 2008)

² www.gedling.gov.uk/acs

³ www.gedling.gov.uk/lpd

⁴ www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/adoptedlocalplanandpolicydocuments/supplementaryplanningdocumentsandguidance/

Topic Based SPDs/ Guidance

- Air Quality and Emissions Mitigation Guidance (updated 2019)
- Planning Obligations Protocol (form of guidance) (June 2014)
- Parking Provision for Residential Developments SPD (May 2012)
- Affordable Housing SPD (December 2009)
- Open Space Provision for New Housing Development SPG (November 2001)

Neighbourhood Planning

2.5. Neighbourhood Plans are prepared and approved by the local community and set out planning policies for the specified neighbourhood area. There are currently four neighbourhood areas in Gedling Borough and more information is available on the Council's website⁵. The following progress has been made on each neighbourhood plan:-

- Burton Joyce Neighbourhood Plan – Approved by referendum on 29th November 2018 (94% 'YES' vote) and 'made' on 10th January 2019.
- Calverton Neighbourhood Plan – Approved by referendum on 30th November 2017 (94.63% 'YES' vote) and 'made' on 31st January 2018.
- Linby Neighbourhood Plan – Approved by referendum on 2nd May 2019 (92% 'YES' vote) and 'made' on 27th July 2019.
- Papplewick Neighbourhood Plan – Approved by referendum on 5th July 2018 (91.34% 'YES' vote) and 'made' on 6th September 2018.



2.6. Neighbourhood Development Orders are prepared and approved by the local community and grant planning permission for specific types of development in specific neighbourhood area. No such orders have been adopted or are being prepared in Gedling Borough.

⁵www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/neighbourhoodplans

Statement of Community Involvement

- 2.7.** The Statement of Community Involvement sets out the Borough Council's approach towards community consultation on planning applications and emerging planning policy documents. The document was last updated in September 2019 and is available on the Council's website⁶.

Local Development Scheme

- 2.8.** The Local Development Scheme sets out the Council's programme for preparing documents that will form part of the Local Plan, was last updated in January 2019, and is available on the website⁷. The Local Development Scheme sets out the below timetable for the review of the Aligned Core strategy (Part 1 Local Plan).

Stage	Dates
Starting Evidence Base	September 2018
Consultation on SA scoping report	June 2019
Consultation on Growth Options	September 2019
Draft Publication Consultation	March 2020
Publication of Submission Document	September 2020
Submission of document and sustainability appraisal to Secretary of State	January 2021
Independent Examination Hearings (if required).	June 2021
Adoption	December 2021
Post production (monitoring and review mechanisms)	Ongoing

- 2.9.** It has not been possible to meet the timetable for 'Consultation on Growth Options' due to unanticipated delays in the Part 2 Local Plan examinations for Broxtowe, Nottingham City and Rushcliffe. Events elsewhere in the Country (the Inspectors for the West of England Plan have recommended it be withdrawn from examination) have also highlighted the importance of ensuring the early part of plan making is thoroughly evidence based, and that the Regulation 18 consultation (Options) is open and transparent, with a clear audit trail of how the preferred growth strategy has been arrived at. Significant progress is now being made and a new robust project plan is now being prepared.

- 2.10.** The Council adopted the Local Planning Document (Part 2 Local Plan) on 18th July 2018. The previous Local Development Scheme (2016) anticipated the adoption of the Part 2 Local Plan in July 2017. The discrepancy between the anticipated and actual adoption dates for the Part 2 Local Plan was primarily a result of unanticipated delays to the Examination Hearings process.

⁶<http://www.gedling.gov.uk/media/gedlingboroughcouncil/documents/planningpolicy/documents/GBC%20SCI%20FINAL%202019.pdf>

⁷<http://www.gedling.gov.uk/media/gedlingboroughcouncil/documents/planningpolicy/documents/FINAL%20GBC%20LDS%20February%202019.pdf>

3. Duty to Co-operate

3.1 The Duty to Co-operate was introduced in the Localism Act 2011 and progress is annually reported through the Authority Monitoring Report.

Local Planning Authorities

3.2 Gedling Borough Council has continued to fulfill its Duty to Co-operate and maintains ongoing dialogue on planning matters with neighbouring authorities. In addition the following key actions have taken place:-

- The Aligned Core Strategies (2014) were adopted in partnership with Nottingham City Council and Broxtowe Borough Council and in close co-operation with Erewash and Rushcliffe Borough Councils.
- The Gedling Borough Council Planning Obligations Protocol (2014) sets out how cross boundary impacts will be addressed through S106 contributions and/or CIL.
- The Inspector's Report into the examination of the Local Planning Document: Part 2 Local Plan (June 2018) confirmed that Gedling Borough Council had met the legal Duty to Co-operate in relation to the plan-making process.
- Gedling Borough Council has worked with the Greater Nottingham authorities to prepare a joint statement of common ground, in accordance with Paragraph 27 of the National Planning Policy Framework. This was submitted to the Ministry of Housing, Communities and Local Government in late 2018 and a response is awaited.
- The Greater Nottingham authorities facilitated a housing delivery workshop to consider barriers to the delivery of housing in the light of a significant stock of planning permissions for housing led development. Following this workshop, a development protocol was drawn up and circulated to attendees for comment. The purpose of the protocol is to build on the good practice already taking place across Greater Nottingham to promote a more collaborative approach. It will commit the Greater Nottingham local authorities to working with developers and infrastructure providers to deliver high quality, sustainable development. The final version will be endorsed by Joint Planning Advisory Board and adopted and implemented by the partner Councils.

Statutory Consultees

3.3 Gedling Borough Council has an ongoing collaborative relationship with statutory consultees, including the Environment Agency, Natural England, Historic England, the Highways Authority, Highways England, the Homes England and other key partners. Discussions with these organisations informed the evidence base supporting the Aligned Core Strategy (Part 1 Local Plan) and the Local Planning Document (Part 2 Local Plan) and neighbourhood plans. This includes taking a collaborative approach towards Sustainability Appraisal, Habitats Regulations Assessment, site allocations and evidence base document where relevant. The Council continues to consult statutory consultees on plan-making matters and relevant planning applications.

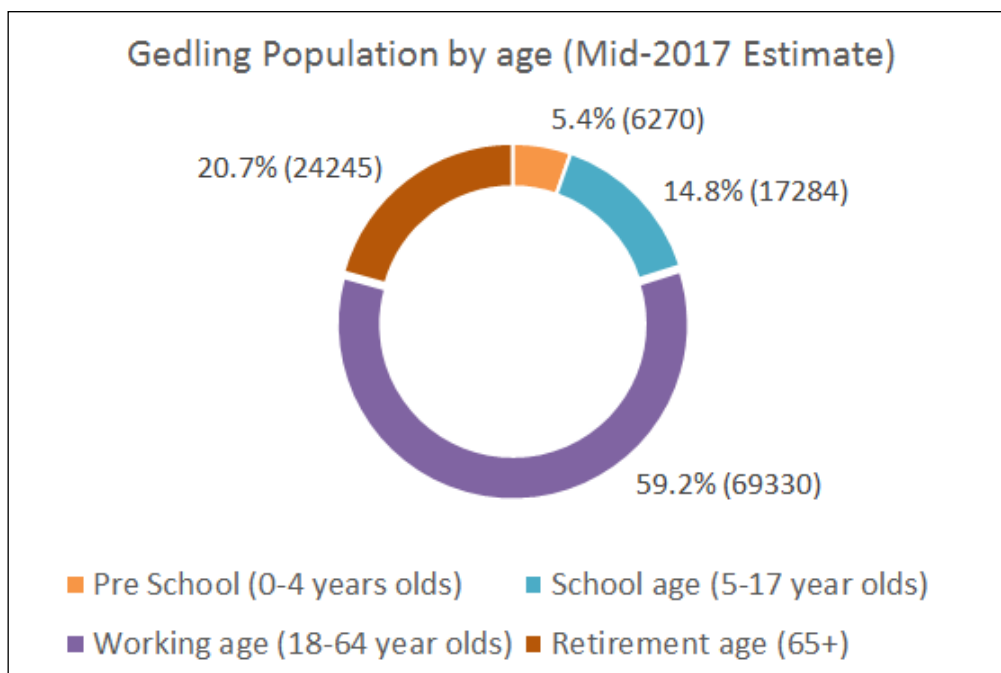
4. Demographics of Gedling Borough

4.1. This section is informed by the 2011 Census which provides demographic information about Gedling's population and is updated every 10 years⁸. The government publishes population mid-estimates annually.

Population

4.2. Key statistics about Gedling Borough's population are:-

- The population mid-2017 estimate was 117,100 compared with 113,700 in 2011 (+2.9%).
- According to 2015-16 based projections, the population of Gedling Borough is predicted to increase to 126,500 by 2030.
- The gender split is 49% male (57,100) and 51% female (60,000).
- The Borough has an ageing population (65+) with 24,200 elderly residents in 2017 compared with 21,200 in 2011 (+14.1%). The Borough's population split by age is shown below:-



Deprivation

4.3. Gedling Borough has seen a gradual improvement in overall Index of Multiple Deprivation score from 15.29 in 2010 to 17.89 in 2015. In 2015, Gedling Borough Council had a national deprivation ranking of 207 out of the 317 Districts in England. The three most deprived wards are Netherfield, Daybrook and Cavendish.

⁸ <https://www.ons.gov.uk/census/2011census>

Ethnicity

- 4.4. Table 2 shows the mix of ethnicities in Gedling Borough, according to the 2011 Census:-

Table 2: Ethnic Demographic Information in Gedling Borough	
Ethnicity	Percentage
White: English/Welsh/Scottish/Northern Irish/British	90.3 %
White: Irish	0.8 %
White: Gypsy or Irish Traveller	0 %
White: Other White	1.9 %
Mixed/multiple ethnic group: White and Black Caribbean	1.3 %
Mixed/multiple ethnic group: White and Black African	0.2 %
Mixed/multiple ethnic group: White and Asian	0.5 %
Mixed/multiple ethnic group: Other Mixed	0.3 %
Asian/Asian British: Indian	1.2 %
Asian/Asian British: Pakistani	0.8 %
Asian/Asian British: Bangladeshi	0.1 %
Asian/Asian British: Chinese	0.4 %
Asian/Asian British: Other Asian	0.5 %
Black/African/Caribbean/Black British: African	0.3 %
Black/African/Caribbean/Black British: Caribbean	1.0 %
Black/African/Caribbean/Black British: Other Black	0.1 %
Other ethnic group: Arab	0.1 %
Other ethnic group: Any other ethnic group	0.2 %

5. Monitoring Local Plan Policies

Overview and Interpretation

- 5.1.** This section monitors the implementation of the Local Plan against the monitoring indicators set out in the policies of the Greater Nottingham Aligned Core Strategies (Part 1 Local Plan) (ACS) and the Gedling Borough Local Planning Document (Part 2 Local Plan) (LPD). The Part 1 and Part 2 Local Plans were underpinned by a Sustainability Appraisal Monitoring Framework (SA) which included further monitoring indicators. All of the monitoring indicators and their origins are set out in **Appendix 1**.
- 5.2.** The monitoring is split into the following planning topics:-
- Climate Change, Flood Risk and Water Management
 - Environmental Protection
 - Green Belt
 - Natural Environment
 - Open Space and Recreational Facilities
 - Historic Environment
 - Design
 - Homes
 - Retail and Community Facilities
 - Transport
 - Infrastructure and Developer Contributions
- 5.3.** The relevant monitoring indicators are referenced and highlighted yellow throughout, and can be cross-referenced with Appendix 1:-

Monitoring Indicators: ACS Policy & SA / LPD Policy & SA

- 5.4.** Reporting for each monitoring indicator will depend on the type of information available. Generally information is recorded with reference to the **monitoring period** (1st April 2018 to 31st March 2019) and the **base period** (2011, the start of the plan period for the Part 1 and Part 2 Local Plans). Where indicators have not been reported the reasons for this are explained. Some indicators include a more comprehensive time-lapse depending on the nature of the information.

Climate Change, Flood Risk and Water Management

Energy/ Climate Change

5.5. Appendix 1 sets out that the Council will monitor renewable energy schemes; energy use by type and carbon dioxide emissions.

Monitoring Indicators: ACS Policy 1 & SA 9, 10 / LPD Policy 1, 2 & SA 10, 11

- Since 2011 planning permission has been granted for several private renewable energy schemes (Table 3).
- Between 2011 and 2017 in Gedling Borough, there was a decrease in average domestic electricity and gas use, a decrease in average industrial/commercial electric use and an increase in average industrial/commercial gas use (Table 4)^{9 10}.
- Between 2011 and 2016, there was a decrease in energy consumption deriving from coal, gas and electricity and an increase in energy consumption deriving from manufactured fuels, petroleum and biofuels (Table 5)¹¹.
- Between 2011 and 2016 the total carbon dioxide emissions per capita has reduced from 4.57 to 3.76 tonnes of CO₂ (Table 6)¹².

Table 3: Planning Permissions granted Renewable energy schemes by type
Wind Turbines
Single wind turbine with a generating capacity of 330 kW in Woodborough (2011/12)
Single wind turbine with generating capacity of 0.1mw at Burntstump landfill site in Calverton (2012/13)
Single wind turbine with a generating capacity of 2.5mw at Severn Trent Water site in Stoke Bardolph (2013/14).
Single wind turbine with a generating capacity of 0.5mw at Barracks Farm in Papplewick (2014/15)
Single wind turbine with a generating capacity of 1.5mw at Newstead and Annesley Country Park (2015/16).
Solar
Solar photovoltaic (PV) farm with an installed electricity generation capacity of 5.5 MWp (p-peak production) generating approximately 5,000,000 kWh of electricity per annum, on part of the former Gedling Colliery site (2014/15).
A 100kW Solar PV array at Little Tythe Farm, Blidworth Lane (2015/16).
Solar PVs installed at Council assets including Civic Centre, Jubilee House, the Depot and Richard Herrod Centre and the Visitor Centre at Gedling Country Park.
Biofuel
Chimney for biomass boiler at Calverton Fish Farm (2010/11)
Biogas boilers at Sherwood Lodge Police HQ (2014/15)
Biomass boilers to provide up to 120kW energy at Charnwood Court Nursing Home (2017/18)

⁹ <https://www.gov.uk/government/collections/sub-national-gas-consumption-data>

¹⁰ <https://www.gov.uk/government/collections/sub-national-electricity-consumption-data>

¹¹ <https://www.gov.uk/government/collections/total-final-energy-consumption-at-sub-national-level>

¹² <https://www.gov.uk/government/collections/uk-local-authority-and-regional-carbon-dioxide-emissions-national-statistics> (per capita data calculated by dividing against borough population)

Table 4: Average electricity and gas use per meter in kilowatt hours (kWh)

	Electricity use per meter:		Gas use per meter:	
	Domestic users	Industrial/commercial users	Domestic users	Industrial/commercial users
2011	3,986	61,662	15,529	880,835
2017	3,712	52,799	14,626	1,020,223

Table 5: Energy consumption by type in gigawatt hours (GWh)

	Coal	Manufactured fuels	Petroleum products	Gas	Electricity	Bioenergy & wastes
2011	10.3	47.4	427.1	1,053.2	359.2	17.7
2016	8.5	68.1	439.2	955.4	344.2	26.8

Table 6: Carbon dioxide emissions estimates: industry, domestic and transport sectors (tonnes of CO2 per capita)

	Borough Population	Industry and Commercial	Domestic	Transport	Total (t CO2) Per Capita
2011	113,543	1.45	2.16	0.94	4.57
2016	116,746	1.13	1.73	0.95	3.76

Flooding and Water Quality

- 5.6.** Appendix 1 sets out that the Council will monitor the number of planning permissions implemented against Environment Agency and Local Lead Flood Authority advice, the number of developments incorporating Sustainable Urban Drainage Systems (SuDS) and the area of and number of households within Flood Zone 2 and 3.

Monitoring Indicators: ACS Policy 1 & SA 8 / LPD Policy 3, 4, 5, 6 & SA 8, 9

- Zero planning permissions have been granted contrary to Environment Agency or Local Lead Flood Authority advice (including advice on flood risk, water quality and aquifers) since 2011¹³. Where objections from statutory bodies are received the Council takes due regard and technical matters would be satisfied by a planning condition upon granting permission.
- There has been an increase of 42.53 ha of land and 433 houses within Flood Zone 2 or 3 (Table 7).
- All large developments granted planning permission since 2011 have either incorporated Sustainable Drainage Systems or a condition was attached to the decision requiring details for the disposal of surface water to be approved before commencement of the development in accordance with the Council's standard approach.

¹³ <https://www.gov.uk/government/publications/environment-agency-objections-to-planning-on-the-basis-of-flood-risk>

Table 7 – Area and Households within Flood Zones 2 and 3

Year	Area in Flood Zone or FZ3	No. Households in FZ2 or FZ3
2011	1,189.47 ha	4,600
2018	1,206.00 ha	n/a
2019	1,232.00 ha	5,033 (of which 3,681 in FZ3)

Waste Facilities

5.7. Appendix 1 sets out that the Council will monitor the number of new waste management facilities by type.

Monitoring Indicators: ACS SA 9, 10 / LPD SA 10, 11

- 3 new waste management facilities have been granted planning permission by Nottinghamshire County Council as waste authority since 2011 (Table 8)¹⁴.

Table 8: New waste management facilities

Site	Planning Permission Details/ Status
Private Road No 2, Colwick Industrial Estate (2011/12)	Change of use of land and buildings for a waste management facility to handle wastes including metals, end of life vehicles and their associated parts including plastics & waste electrical components, aggregates and non-hazardous wastes.
Private Road No.4, Colwick Industrial Estate (2013/14)	Development of an anaerobic digestion facility. This is understood to be operational but may not be working at full capacity.
Land to the north of Stoke Lane, Stoke Bardolph (2017/18)	Change of use of land to accommodate a small sewage pumping station.

¹⁴ <http://www.nottinghamshire.gov.uk/planningsearch/planappsrch.aspx>

Environmental Protection

Environmental Consultees

- 5.8.** Appendix 1 sets out that the Council will monitor the number of planning applications approved against the advice of the Council's Public Protection (Scientific) Officer, the Coal Authority and the Health and Safety Executive.

Monitoring Indicators: LPD Policy 7, 8, 9, 10

- Zero planning applications in 2018/19 were approved against the advice of Gedling Borough Council's Scientific Officer, who provides technical advice on land contamination and air quality.
- Zero planning applications were approved against the advice of the Coal Authority in 2018/19 – no comments were received.
- Zero planning applications were approved against the advice of the Health and Safety Executive in 2018/19.

Air Quality

- 5.9.** Appendix 1 sets out that the Council will monitor air quality management and whether development accords with the requirements of the Air Quality and Emissions Mitigation guidance.

Monitoring Indicators: LPD Policy 11 & SA 8, 9

- There is 1 Air Quality Management Area (AQMA) in Gedling Borough. A60 Mansfield Road from its junction with Oxclose Lane and Cross Street south to its junction with Egerton Road in Woodthorpe was designated in April 2011 and an Air Quality Action Plan adopted in 2012.
- In 2019 the Council updated the 'Air Quality and Emissions Mitigation: Guidance for Developers', which sets out borough-wide measures to help reduce vehicle emissions occurring as a result of development. The document is incorporated into Policy LPD 11.
- The Council's Public Protection (Scientific) Officer is consulted where issues of air quality and emissions mitigation arise, and provides technical comments in relation to interpreting the Air Quality and Emissions Mitigation guidance. It is generally the approach that conditions where appropriate, or otherwise advisory notes, are attached to planning decisions where these are requested. The guidance is given weight under Policy LPD 11. Zero planning permissions have been granted where an objection has been raised by the Council's Public Protection (Scientific) Officer.

Green Belt

Green Belt Land

5.10. Appendix 1 sets out that the Council will monitor the percentage of planning permissions granted contrary to policies LPD 13 and LPD 14 (proposals that increase the floor space of an existing building by >50%), the number of homes for rural workers granted planning permission, the location/area of land removed from the Green Belt and progress in producing a Part 2 Local Plan.

Monitoring Indicators: ACS Policy 3 & LPD Policy 13, 14, 16, 17

- Since the Local Planning Document (Part 2 Local Plan) was adopted, one planning permission has been granted with disproportionate additions above 50% of the original floor space, as set out in Policies LPD 13 and LPD 14. Table 9 sets out the reasons for these.
- Zero homes were granted for planning permission for rural workers in the Green Belt (in accordance with policy LPD 17) in 2018/19.
- Gedling Borough Council adopted the Local Planning Document: Part 2 Local Plan in July 2018. The Part 2 Local Plan released 215 hectares of Green Belt land across the Borough in accordance with Policy 3 of the Aligned Core Strategy. This represents a 2% reduction. 73% of Gedling Borough is now Green Belt (8,794 hectares).

Table 9: Green Belt Planning Permissions for floorspace additions >50%

Reference	Summary of reason for approval
2018/0569	Extension 104% over original floor space. Very Special Circumstances demonstrated

Safeguarded Land

5.11. Appendix 1 sets out that the Council will monitor the status of Safeguarded Land and why planning permissions (if any) have been granted.

Monitoring Indicators: ACS Policy 3

- The planning status of each Safeguarded Land site is set out in Table 10.

Table 10: Planning Status of Safeguarded Land (LPD16)

Site	Planning Status
Top Wighay Farm, Hucknall	Safeguarded for future development in the Part 2 Local Plan.
Oxton Road/ Flatts Lane, Calverton	Safeguarded for future development in the Part 2 Local Plan, although only likely to be partially suitable for development. Planning application 2016/0607 revised to exclude development on safeguarded land.
Moor Road, Bestwood Village	Safeguarded for future development in the Part 2 Local Plan.
Mapperley Golf Course	Safeguarded (Protected) from future development in the Part 2 Local Plan.
Lodge Farm Lane, Arnold	Safeguarded (Protected) from future development in the Part 2 Local Plan.
Glebe Farm, Gedling Colliery	Safeguarded (Protected) from future development in the Part 2 Local Plan.
Spring Lane, Lambley	Safeguarded (Protected) from future development in the Part 2 Local Plan.

Natural Environment

Nationally and Internationally Designated Site and Species

5.12. Appendix 1 sets out that the Council will monitor Sites of Special Scientific Interest (SSSIs), progress on the designation of Special Protection Areas and losses/gains to priority habitats.

Monitoring Indicators: ACS Policy 17 / LPD Policy 18 & SA 6, 7

- There is 1 SSSI in Gedling Borough (Linby Quarries), the condition of which is 81.24 % 'favourable' and 18.76 % 'unfavourable – no change'¹⁵. There has been no net change in the monitoring period.
- The prospective Sherwood Forest Special Protection Area (pSPA) has been considered for being formally proposed for designation since prior to the preparation of the Aligned Core Strategy (Part 1 Local Plan). No progress has been made towards formal designation of the pSPA.
- Baseline information on losses/gains in priority habitat is not currently available for Gedling Borough.

Locally Designated Sites

5.13. Appendix 1 sets out that the Council will monitor the number, area and net change of Local Nature Reserves and Local Wildlife/ Geological Sites and the number of Local Wildlife Sites under positive conservation management.

Monitoring Indicators: ACS Policy 16, 17 & SA 6, 7 / LPD Policy 18 & SA 6, 7

- There are 5 Local Nature Reserves in Gedling Borough all of which have a management plan in place (The Hobbucks Management plan recently expired and is being updated) (Table 11). Gedling Country Park was designated as a Local Nature Reserve during the monitoring period.
- Tables 12 and 13 set out the number and area of Local Wildlife Sites in Gedling Borough and the number of those under positive management using Single Data List Indicator 160¹⁶.
- Table 14 sets out the number and area of Local Geological Sites, which were first identified in 2018.

Table 11: Local Nature Reserves in Gedling Borough

Site	Designated	Area (ha)	Management
Gedling House Woods	1992	4.7913	Friends of Gedling Wood House
Gedling House Meadow	2007	5.9287	Friends of Gedling Wood House
Netherfield Lagoons	2007	51.0077	Gedling Conservation Trust
The Hobbucks	2015	9.7907	Gedling Borough Council/ Friends of the Hobbucks
Gedling Country Park	2018	106.77	Friends of Gedling Country Park

¹⁵ <https://designatedsites.naturalengland.org.uk/SiteSearch.aspx>

¹⁶ Nottinghamshire Biological and Geological Records Centre

Table 12: Total Area Of Local Wildlife Sites

Year	Total Local Wildlife Sites	Area of Local Wildlife Site (ha)
2011	87	1,198.06 ha
2019	86	1,275.37 ha

Table 13: Local Wildlife Sites Under Positive Management

Year	Total Sites	Sites Under Positive Management	Percentage under Positive Management
2011/12	68	24	35.3%
2016/17	79	22	27.8%
2018/19	86	N/A	N/A

Table 14: Local Geological Sites

Year	Total Local Geological Sites	Area of Local Geological Sites (ha)
2018	5	20.68 ha

Woodland and Ancient Woodland

5.14. Appendix 1 sets out that the Council will monitor net changes in woodland area and ancient woodland and the number of planning permissions resulting in the loss of ancient woodland.

Monitoring Indicators: ACS SA 6, 7 / LPD Policy 18 & SA 6, 7

- Forestry Commission statistics on woodland show as at March 2017 there was 1,764.4 hectares of woodland in Gedling Borough. This figure was 1,764.7 hectares in 2014 therefore the net change is negligible. Forestry Commission reports are available online¹⁷.
- The Forestry Commission recorded approximately 56.8 hectares of ancient woodland in Gedling Borough in 2019¹⁸. This represents no change during the monitoring period.
- During the monitoring period no planning permissions have been granted for the removal of trees within designated ancient woodland.

¹⁷ <https://www.forestry.gov.uk/inventory>

¹⁸ <http://www.magic.gov.uk/MagicMap.aspx> - it is noted that the ancient woodland inventory is not updated with regularity.

Open Space and Recreational Facilities

Open Space – Planning Data

5.15. Appendix 1 sets out that the Council will monitor the setting of green infrastructure policies in Part 2 Local Plans; the area of new open spaces by type and net change; the number of open spaces and financial contributions towards open spaces secured via Section 106 agreements; the amount of greenfield land lost to new development, and the net change in Local Green Spaces.

Monitoring Indicators: ACS Policy 16 & SA 6, 7/ LPD Policy 20, 21, 22 & SA 2, 6, 7

- The Local Planning Document (Part 2 Local Plan) includes policies LPD 20 and LPD 21 which seek to protect existing green infrastructure and provide new green infrastructure (10% on sites 0.4 hectares and above).
- Table 15 shows the area of open space in the Borough by type, as recorded by the Council's Parks and Street Care team. It is noted that there is may be some overlap between the categories. The 2018 figure equates to the area of open spaces shown on the Local Planning Document Policies Map.
- Table 16 shows the amount of greenfield land lost to new large development for housing (10 dwellings or more) and other uses.
- New open spaces committed from s106 agreements during 2018/19 are set out in Table 17. The total number of s106 contributions related to open space in 2018/19 was £196,661.62.
- There are 29 Local Green Spaces in Gedling Borough, which are designated through the adoption of a Development Plan (see Table 18). There has been no net loss of designated Local Green Spaces.

Table 15: Area of open space by type and net change

Type of Open Space	Area in LPD (2018) (ha)	Net change since 2018
Allotments	24.41	N/A
Amenity greenspaces	112.83	N/A
Cemeteries	26.39	N/A
Green corridors	0.99	N/A
Natural and Semi Natural Urban Green	107.4	N/A
Outdoor sports facility	348.24	N/A
Parks and gardens	446.01	N/A
Play Areas/ Young People	22.09	N/A
Recreation Ground/ Sport	10.18	N/A

Table 16: Amount of greenfield land (ha) lost to new large development (land is considered 'lost' upon commencement of development)

Year	Site Name	Type	Area lost
2011/12	Ashwater Drive allocation site	Residential	4.58 ha
2012/13	Howbeck Road allocation site	Residential	1.50 ha
	Main Street and Hollinwood Lane, Calverton	Residential	3.76 ha
2013/14	Park Road (Land Fronting), Bestwood Village	Residential	0.29 ha
2014/15	Top Wighay Farm strategic site (38 homes)	Residential	1.47 ha
2015/16	No loss		

2016/17	Spring Lane allocation site	Residential	9.88 ha
2017/18	North of Papplewick Lane strategic site	Residential	7.87 ha
2018/19	No loss		

Table 17: New open space committed from s106 agreements (2018/19)

Site	Area of open space	Maintenance	Off-Site Contributions
Land west of Beeston Close, Bestwood Village		£11,731.50	£35,190.00
Land at Wood Lane, Gedling		£6,796.40	£16,266.12 for off-site provision at Lambley Recreation Ground
Land on the west side Mansfield Road, Redhill	10% of which a minimum of 40% is for a LEAP		
Land south of 64 Woodchurch Road, Arnold		£11,900.40	£28,517.72
Land at Wood Lane, Gedling		£7,319.20	£17,517.36 for off-site provision at Lambley Recreation Ground
Carlton Police Station*		£18,116.80	£43,306.12
*If the owner has not substantially completed 80% of the dwellings within 48 months of the date of the planning permission a re-assessment of viability provisions kick in. If the site is deemed to be viable then the open space contributions become payable.			

Table 18: Local Green Spaces in Gedling Borough

Development Plan	# Local Green Spaces designated	Designation Date
Gedling Borough Part 2 Local Plan	9	July 2018
Calverton Neighbourhood Plan	4	November 2017
Papplewick Neighbourhood Plan	6 (including 2 duplicates also allocated in the Part 2 Local Plan)	July 2018
Linby Neighbourhood Plan	12	May 2019

Recreational Open Space and Facilities

5.16. Appendix 1 sets out that the Council will monitor Green Flag awarded open spaces; net changes to Country Parks, and the number of planning permissions for new tourism related accommodation.

Monitoring Indicators: ACS Policy 16 & SA 3 / LPD Policy 24 & SA 2, 6, 7

- There are 2 Green Flag awarded parks in Gedling Borough – Arnot Hill Park and Gedling Country Park (see Table 19).
- There are 5 Country Parks in Gedling Borough – Bestwood Country Park; Burntstump Country Park; Gedling Country Park; Newstead and Annesley Country Park and Newstead Abbey. No changes in designation have taken place during the monitoring period.
- Three planning permissions for new tourist accommodation were granted during the monitoring period as shown in Table 20.

Table 19: Green Flag awarded open spaces in Gedling Borough since 2011

Open Space	Award	Management
Arnot Hill Park	Since 2007	Managed by the Council and the Friends of Arnot Hill Park. Completed projects include improvements to the lake, play areas, buildings and security and installation of planting schemes and sculptures.
Gedling Country Park	Since 2016	Managed by the Council and the Friends of Gedling Country Park. Completed projects include the play area, café 1899, visitor centre and information, nature trail and sculptures.
Jubilee Park	2014-2018	The Council intends to re-submit a Green Flag award following progress of works on the nature trail, planting and a live willow sculpture.

Table 20: New tourist accommodation granted permission in 2018/19

Accommodation Type	Location	Planning Reference
Construct 3 holiday lets	Fairview Farm, Ravenshead	2019/0177
Change of use to 3 holiday apartments	272 Longdale Lane	2018/0174
Proposed hotel	Lakeside, Mansfield Road, Bestwood.	2018/0115

Historic Environment

Heritage Assets

5.17. Appendix 1 sets out that the Council will monitor the number of heritage assets by type and area and the number and percentage of heritage assets at risk.

Monitoring Indicators: ACS Policy 11 & SA 6, 7 / LPD Policy 26, 27, 28, 29, 30, 31 & SA 3

- The number of heritage assets by type in Gedling Borough are:-
 - 192 Listed Buildings (6 Grade I, 16 Grade II* and 170 Grade II)
 - 9 Scheduled Monuments
 - 4 Registered Parks and Gardens
 - 6 Conservation Areas
 - 94 Non-Designated/ Locally Listed Heritage Assets (currently identified)
- During the monitoring period two Grade II listings were made (Newstead War Memorial & Arnold War Memorial) and one Grade II Listing was removed (Colwick Manor House and Adjoining Stable).
- Appraisals have been adopted for each Conservation Area¹⁹. The area covered by each Conservation Areas in Gedling Borough is:-
 - Bestwood Village – 18.85 hectares
 - Calverton – 14.25 hectares
 - Lambley – 24.73 hectares
 - Linby – 25.54 hectares
 - Papplewick – 55.70 hectares
 - Woodborough – 45.43 hectares
- The area of each Registered Park and Garden in Gedling Borough is:-
 - Bestwood Pumping Station – 2.35 hectares
 - Newstead Abbey – 287.33 hectares
 - Papplewick Hall – 46.33 hectares
 - Papplewick Pumping Station – 2.75 hectares
- There are 5 (out of 212 – 2.4%) designated heritage assets at risk in Gedling Borough²⁰ and the Council has not identified non-designated heritage assets at risk (Table 21). Bottom Cross, Linby (Scheduled Monument) was identified at risk during the monitoring period.
- The Council has adopted 'Non Designated Heritage Assets: Selection Criteria (January 2019)'²¹ in order to progress the implementation of Policy LPD 31.

¹⁹<http://www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/heritage>

²⁰<https://historicengland.org.uk/advice/heritage-at-risk/search-register/advanced-search>

²¹<https://www.gedling.gov.uk/heritage-assets>

Table 21: Heritage assets at risk by type

Type of Heritage Asset	2012	2019
Listed Buildings	3	3
Conservation Areas	0	0
Scheduled Monuments	1	2
Registered Park and Gardens	0	0
Non-Designated Heritage Assets	0 (not identified)	0 (not identified)

Historic Environment – Planning Data

5.18. Appendix 1 sets out that the Council will monitor the number of planning applications approved against Historic England advice and the number of Section 106 contributions to manage or conserve heritage assets.

Monitoring Indicators: LPD Policy 26, 29, 30 & SA 3

- No planning applications were approved against Historic England advice.
- Zero Section 106 obligations during the monitoring period related to the management and conservation of heritage assets

Design

Design

5.19. Appendix 1 sets out that the Council will monitor the density of new development, the number of homes built on residential garden land and progress on setting indicators to improve the standard of design in Part 2 Local Plans.

Monitoring Indicators: ACS Policy 10 / LPD Policy 33, 34

- The density of new homes delivered on large sites (50 or more dwellings in the urban area and 10 or more dwelling in the rural area) is shown in Table 22. The density policy in the Part 2 Local Plan provides the target of no new development of less than 30 dwelling per hectare, with the exception of no new development of less than 20 dwellings per hectare in Burton Joyce, Lambley, Ravenshead and Woodborough, no new development of less than 25 dwellings per hectare in Bestwood Village, Calverton and Newstead and locations where there is convincing evidence of a need for a different figure.
- Since 1 April 2011, 14% of new homes were constructed on residential garden land (see Table 23).
- The Part 2 Local Plan does not include indicators that monitor the improvement of the standard of design given that there is no framework in place to assess standard of design. The Part 1 Local Plan includes Policy 10 (Design and Enhancing Local Identity) and the Part 2 Local Plan includes policies LPD 32 (Amenity) and LPD 35 (Safe, Accessible and Inclusive Development), all of which are taken into consideration when determining planning applications.

Table 22: Density of new homes completed on sites of 50 dwellings or more in the urban area and sites of 10 dwellings or more in the rural area (dwellings per hectare) (dph)

	Urban area		Burton Joyce, Lambley, Ravenshead and Woodborough		Bestwood Village, Calverton and Newstead	
	No. dwelling at up to 29 dph	No. dwelling at 30 dph and over	No. dwelling at up to 19 dph	No. dwelling at 20 dph and over	No. dwelling at up to 24 dph	No. dwelling at 25 dph and over
2011/12	0	55	0	33	0	46
2012/13	0	158	0	13	3	0
2013/14	0	177	0	0	2	6
2014/15	0	136	0	1	4	77
2015/16	0	52	0	0	2	55
2016/17	0	27	1	12	0	9
2017/18	0	89	0	0	3	11
2018/19	0	163	1	0	0	15

Table 23: New homes completed on residential garden land			
Year	Total net completions	Number of completions on garden land	%
2011/12	275	59	21%
2012/13	227	32	14%
2013/14	321	35	11%
2014/15	311	30	10%
2015/16	174	36	21%
2016/17	198	40	20%
2017/18	237	26	11%
2018/19	286	29	10%
TOTAL	2,029	287	14%

Homes

Housing Delivery – Allocations and Housing Supply

5.20. Appendix 1 sets out that the Council will monitor the preparation of the Part 2 Local Plan; housing completions/ net additional homes; planning progress made on strategic and allocated housing sites; the Five Year Land Supply of deliverable housing sites; the number and area of housing completions on previously developed land and windfall sites; and progress made on the Gedling Colliery/Chase Farm as a regeneration site.

Monitoring Indicators: ACS Policy 2, 7 & SA / LPD Policy 40, 64, 65, 66, 67, 68, 69, 70 & SA 1

- The Part 2 Local Plan was adopted in July 2018 and includes housing allocations in line with the objectives of the Part 1 Local Plan.
- 2,029 new homes (net) have been built between 1 April 2011 and 31 March 2019 (see Table 24).
- Progress on housing sites allocated in the Part 1 and Part 2 Local Plans is set out in Table 25.
- The Ministry of Housing, Communities and Local Government published the results of the 2018 Housing Delivery Test for all councils in February 2019. The 2018 result for Gedling Borough Council is 51%. The consequence of this is that the Council is required to prepare an Action Plan and include a buffer of 20% as part of its five year housing land supply assessment.
- The Council published a Housing Delivery Action Plan in August 2019²².
- The Gedling Borough Five Year Housing Land Supply Assessment 2019²³ considers the Borough's supply of housing against the housing requirement set out in the Local Plan. Gedling Borough has a 5.08 year supply.
- The Council updates its Brownfield Land Register²⁴ annually in accordance with the Housing and Planning Act 2015.
- Table 26 sets out the number of new home completions since 2011 on allocated, unallocated and safeguarded land sites. Allocated sites are those that are allocated for residential development. Unallocated sites are those that are not in allocated for residential development, otherwise known as "windfall sites". Safeguarded land is protected from development during the plan period in order to meet longer term development needs. Note table 26 has been updated to reflect the adoption of the Part 2 Local Plan which meant plots built on the H6 Spring Lane in previous years prior to the adoption of the Part 2 Local Plan are now recorded as allocated.
- Table 27 sets out the number of new homes completions on previously developed land since 2011.
- The Chase Farm/Gedling Colliery regeneration site is a strategic allocation in the Part 1 Local Plan and was subsequently allocated for housing and employment in the Part 2 Local Plan. A Supplementary Planning Document for the site was prepared in 2008²⁵. Tables 25 and 32 set out progress made on the residential and employment allocations of this site.

²² <http://www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/monitoringreports/>

²³ <http://www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/monitoringreports/>

²⁴ <http://www.gedling.gov.uk/shlaa>

²⁵ <http://www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/adoptedlocalplanandpolicydocuments/supplementaryplanningdocumentsandguidance/>

Table 24: Housing requirement and completions (net)

Locality	Aligned Core Strategy housing requirement 2011-2028	Local Planning Document (2011-2028)	Completions 2011-2019
Urban area (Arnold and Carlton) including Teal Close and Gedling Colliery/Chase Farm sites	4,045	4,890	1,519
Around Hucknall:- North of Papplewick Lane Top Wighay Farm	Approx 1,300 homes including:- Up to 300 homes 1,000 homes	1,265 homes	43 38
Key Settlements for Growth:- Bestwood Village Calverton Ravenshead	Up to 560 homes Up to 1,055 homes Up to 330 homes	1,660 homes including:- 540 homes 820 homes 300 homes	72 191 101
Other villages:- Burton Joyce Lambley Linby Newstead Papplewick Stoke Bardolph Woodborough	Up to 260 homes	170 homes including:- 80 homes 50 homes	15 22 4 9 2 0 13
Total			2,029

Table 25: Progress made on strategic sites and allocated housing sites

Site	Progress & Planning Status
Part 1 Local Plan: Strategic Allocations	
Teal Close	Allocated for 830 homes. Outline planning permission for residential development, employment uses and other uses granted (2013/0546). Reserved matters (2017/0800) granted in March 2018 for the first housing phase of 199 homes. Reserved matters application (2019/0152) for the second housing phase of 367 dwellings and reserved matters application (2019/0560) for the third and final housing phase of 264 dwellings are currently being determined. First phase of housing is currently under construction.
North of Papplewick Lane	Allocated for up to 300 homes. The site is currently under construction for 237 homes (2017/0201).
Top Wighay Farm	Allocated for 1,000 homes. 38 dwellings on the site have been built (2014/0950). Revised development brief was adopted in February 2017. Successful bids for Homes England housing zone capacity funding and Accelerated Construction Fund have been approved. It is expected that the first phase of the development will provide around 170

	homes by March 2023 with further phases delivering a further 635 homes by 2028/29.
Part 2 Local Plan: Housing Allocations	
(H1) Rolleston Drive	Allocated for 140 homes. Successful bid for Homes England housing zone capacity funding. Site is currently being marketed.
(H2) Brookfields Garden Centre	Allocated for 90 homes. A combined development brief for three sites (H2, H7 and H8) to the north east of Arnold adopted in January 2019. In October 2018, Planning Committee has resolved to grant planning permission for 32 homes on part of the site (2017/0155) subject to the signing of a S106 agreement'.
(H3) Willow Farm	Allocated for 110 homes. Development brief is being prepared and will be referred to Cabinet for adoption on 31 st January 2020. Development of the site is dependent on the construction of the Gedling Access Road.
(H4) Linden Grove	Allocated for 115 homes. Development of the site is dependent on the construction of the Gedling Access Road.
(H5) Lodge Farm Lane	Allocated for 150 homes. Planning committee has resolved to grant outline planning permission for up to 148 dwellings (2018/0347) subject to the signing of a S106 agreement.
(H6) Spring Lane	Allocated for 150 homes. Site completed in April 2019 (outside the monitoring period).
(H7) Howbeck Road/ Mapperley Plains	Allocated for 205 homes. A combined development brief for three sites (H2, H7 and H8) to the north east of Arnold adopted in January 2019. Full planning application for 164 homes on this site (which covers the majority of the housing allocation) was submitted in March 2019 and is currently being determined (2019/0213).
(H8) Killisick Lane	Allocated for 230 homes. A combined development brief for three sites (H2, H7 and H8) to the north east of Arnold adopted in January 2019. The site will require phasing to avoid sterilising mineral working through proximal development to the Dorket Head clay quarry. The minerals extractions and progressive restoration is proposed to be complete in the mid-2020s. Phase 1 will limit housing development to the south western part of the site H8 with 65 units which is phased to commence in 2020/21 progressing northwards and completed by 2021/22. The second phase will commence during 2022/23 progressing northwards.
(H9) Gedling Colliery/ Chase Farm	Allocated for 1,050 homes (updating the strategic location made in the Aligned Core Strategy). Development brief adopted in June 2008. Planning permission granted for phase 1 of residential development for 506 dwellings plus outline planning permission for a total of 1,050 dwellings. Construction on the site has commenced and as 31 March 2019, 90 plots have been built.
(X1) Daybrook Laundry	Allocated for 50 homes.
(X2) Land West of	Allocated for 70 homes. Full planning permission for 72

A60 A	homes (2016/0854) granted in December 2018 and includes s106.
(X3) Land West of A60 B	Allocated for 150 homes.
(H10) Hayden Lane	Allocated for 120 homes.
(H11) The Sycamores, Bestwood Village	Allocated for 25 homes. Full planning permission for eight homes (2018/0650) granted in September 2018.
(H12) Westhouse Farm, Bestwood Village	Allocated for 210 homes. Outline planning permission for 101 homes (2014/0238) on part of the site allocation granted in March 2019. Reserved matters application (2018/0823) for 101 homes is currently being determined.
(H13) Bestwood Business Park, Bestwood Village	Allocated for 220 homes. Outline planning permission for up to 220 homes (2014/0214) lapsed in March 2018.
(H14) Dark Lane, Calverton	Allocated for 70 homes. Planning permission granted for 72 homes (2012/1503). Full planning application for 54 homes on the majority of the site (southern portion of the site) (2017/1263) granted in March 2019 subject to the signing of the s106. The 3 homes on the remainder of the site (northern portion of the site) remain unchanged. Planning committee has resolved to grant planning permission for 57 homes on site subject to the signing of a S106 agreement. The access point has been constructed.
(H15) Main Street, Calverton	Allocated for 75 homes. Planning committee resolved to grant outline planning application for up to 79 homes (2018/0360) in March 2019 subject to the signing of a S106 agreement.
(H16) Park Road, Calverton	Allocated for 390 homes. Outline application (2018/0607) for up to 365 homes on the majority of the site and full application (2018/0817) for 20 bungalows on the small part of the site (i.e. the car park at North Green) are currently being determined.
(X4) Flatts Lane, Calverton	Allocated for 60 homes. Planning committee has resolved to grant outline planning permission for up to 84 homes (2018/1143) April 2019 (outside the monitoring period) subject to the signing of S106 agreement.
(H17) Longdale Lane A, Ravenshead	Allocated for 30 homes.
(H18) Longdale Lane B, Ravenshead	Allocated for 30 homes. In August 2018, Planning Committee has resolved to grant planning permission for 31 homes (2014/0273) subject to the signing of a S106 agreement.
(H19) Longdale Lane C, Ravenshead	Allocated for 70 homes. Outline planning permission for up to 70 homes granted (2013/0836). Reserved matters application was submitted in October 2017 for 51 homes (2017/1164) and is currently being determined.
(X5) Kighill Lane A, Ravenshead	Allocated for 20 homes. Full planning permission for a new dwelling on the north part of SHLAA site 6/669 (2018/1004) granted in January 2019.

(X6) Kighill Lane B, Ravenshead	Allocated for 30 homes.
(H20) Mill Field Close, Burton Joyce	Allocated for 20 homes. Full planning permission for 14 homes (2018/0613) granted in December 2018.
(H21) Orchard Close, Burton Joyce	Allocated for 15 homes. In February 2019, Planning Committee has resolved to grant planning permission for 15 homes (2018/1034) subject to the signing of a S106 agreement'.
(H22) Station Road, Newstead	Allocated for 40 homes. Uncertainties over delivery (so has not been counted towards housing supply calculations). Discussions ongoing.
(H23) Ash Grove, Woodborough	Allocated for 10 homes. Full planning permission granted for 12 homes (2007/0831). Plot 1 (2016/0888) was built in May 2018.
(H24) Broad Close, Woodborough	Allocated for 15 homes. Two planning applications have been received and validated outside of the monitoring period.

Table 26: New homes (net) completed on allocated, non-allocated and safeguarded sites

	Completions	Allocated (%)	Unallocated (%)	Safeguarded (%)
2011/12	275	134 (49%)	141 (51%)	0 (0%)
2012/13	227	170 (75%)	57 (25%)	0 (0%)
2013/14	321	195 (61%)	120 (37%)	6 (2%)
2014/15	311	154 (50%)	98 (32%)	59 (19%)
2015/16	174	48 (28%)	78 (45%)	48 (28%)
2016/17	198	63 (32%)	135 (68%)	0 (0%)
2017/18	237	91 (38%)	146 (62%)	0 (0%)
2018/19	286	163 (57%)	123 (43%)	0 (0%)
TOTAL	2,029	1,018 (50%)	898 (44%)	113 (6%)

Table 27: New homes completed on previously developed land (PDL) (gross)

	New build	Conversions	Changes of Use	Total	All completions	PDL %
2011/12	117	3	9	129	295	44 %
2012/13	19	3	5	25	233	11 %
2013/14	54	23	12	89	327	27 %
2014/15	31	5	15	51	319	16 %

2015/16	37	5	11	53	192	28 %
2016/17	63	9	31	103	210	49 %
2017/18	101	15	25	141	261	54 %
2018/19	154	6	15	175	303	58 %

Housing Delivery – By Type

5.21. Appendix 1 sets out that the Council will monitor the number of affordable housing completions (and by social, intermediate and affordable rent); the number of housing completions by dwelling type, size, tenure, density and location; the number of planning permissions for specialist accommodation; the number of planning permissions for live work units; and the delivery of self-build and custom homes.

Monitoring Indicators: ACS Policy 8 / LPD Policy 36, 37, 39, 41, 42 & SA 1

- Policy LPD 36 sets out affordable housing requirements of 10%, 20% or 30% dependent on sub-market location. Table 28 shows the overall percentage of housing completions that are affordable, the number of which are social, intermediate and affordable and the figure for commuted sums (where a financial contribution is taken for off-site affordable housing provision). Table 28 provides an indication of the types of tenures completed in the Borough.
- As at 31st March 2019, the total commuted sums balance remaining for affordable housing was £943,622.
- The types of homes (flat/house) and bedroom size of homes completed between 1 April 2011 and 31 March 2019 are set out in Chart 1.
- The density of housing completions is set out in Table 22 above.
- Since 1 April 2011, 5 communal specialist accommodation units have been completed in the Borough and a further 3 currently have planning permission (see Table 29).
- The Council applies policy LPD 42 where it is relevant to do so in determining a planning application.
- The Council maintains a joint self-build and custom build register with the other Greater Nottingham Authorities²⁶. Information from the register has been used to support the determination of planning applications and will inform the implementation of Policy LPD 42 of the Part 2 Local Plan. Self-build homes are exempt from CIL if it is confirmed that the statutory criteria have been met. In 2018/19, 16 planning applications were approved for Self-Build and Custom Build dwellings and 6 CIL refunds were granted (i.e. the 3-year residency period had passed).

Table 28: Percentage of affordable homes delivered 2011-2019

	Net completions	Affordable homes type delivered	Total Affordable
2011/12	275	Social Rent: 42 Intermediate: 12	54 (20%)

²⁶<http://www.gedling.gov.uk/resident/planningandbuildingcontrol/planningpolicy/selfbuildandcustombuildregister>

		Affordable Rent: n/a	
2012/13	227	Social Rent: 7 Intermediate: 12 Affordable Rent: 17	36 (16%)
2013/14	321	Social Rent: 7 Intermediate: 21 Affordable Rent: 28	56 (17%)
2014/15	311	Social/Affordable Rent: 23 Intermediate: 15	38 (12%)
2015/16	174	Social/Affordable Rent: 12 Intermediate: 6	18 (10%)
2016/17	198	Social Rent: 28 Intermediate: 11	39 (20%)
2017/18	237	Social Rent: 28 Intermediate: 24	52 (22%)
2018/19	286	Social Rent: 22 Intermediate: 28	50 (17%)

Chart 1: Type and size of housing completions – 2011-2019

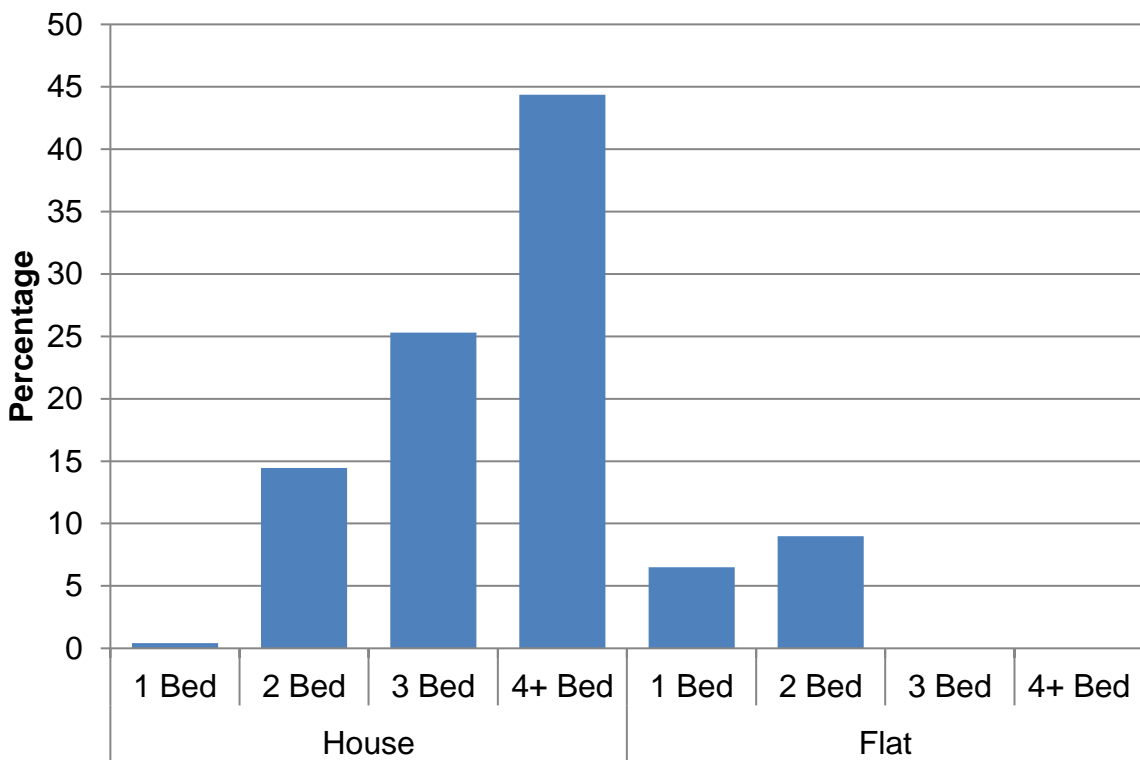


Table 29: Specialist accommodation/ communal uses

Site Name	Type	Net Change	Status/ Date
Mansfield Road (738), Woodthorpe	Dementia care	+31 beds	New development. Completed April 2012.
The Maid Marian (Coppice Road), Arnold	Elderly	+64 beds	New development. Completed June 2012.
Grey Goose, Gedling	Elderly	+52 beds	New development. Completed Nov 2013.

St Andrews House, Mapperley	Elderly	+32 beds	Conversion of sheltered housing to apartments. Completed May 2015.
Braywood Gardens (Millbrook Drive), Carlton	Elderly	+12 beds	Extension of care home. Completed June 2016.
Moriah House, Carlton	Elderly	+16 beds	Extension of care home granted July 2017. Completed November 2018.
Westwolds, Burton Joyce	Elderly	+6 beds	Extension of care home granted October 2017.
Eden Lodge, Bestwood Village	Elderly	64 beds	Demolish and replace existing care home 2018/0318 & 2018/0319 granted September 2018

Accessibility of Homes

5.22. Appendix 1 sets out that the Council will monitor the percentage of households with sustainable access to community facilities.

Monitoring Indicators: ACS Policy 12 & SA 9 / LPD SA 12

- The percentage of households within 800 meters/ 10 minutes' walk of a bus stop with an hourly or better daytime bus service (weekdays 0600-1800) in Gedling Borough is 95% (February 2019)²⁷. By comparison the percentage of such households within 400 meters/ 5 minutes' walk is 75%. The number of total households with access to public transport is not available.

Empty Homes, Homelessness and House Prices

5.23. Appendix 1 sets out that the Council will monitor the number of vacant homes; the number of homelessness acceptances; average house prices; and population by group.

Monitoring Indicators: ACS SA 1 / LPD SA 1

- The number of empty homes (those that are unoccupied for council tax purposes) by ownership type is set out in Table 30. The Council has taken measures to reduce empty homes including reducing the council tax discount that empty homes can benefit from, charging a council tax 100% premium on properties that have been empty for 2 or more years (from 1st April 2019), operating a service to help owners of empty properties to find investors and employing an Empty Homes Officer.
- The number of homelessness acceptances is set out in Table 31. The Council prevents homelessness in the majority of cases by advocating on behalf of tenants; mediating between young people and their parents; and assisting people to find private or social rented housing. The significant rise in acceptances in 2018/19 reflects changes brought about by the Homelessness Reduction Act.
- Population by group is set out in the demographics section.

²⁷ Information from Nottinghamshire County Council Performance, Intelligence and Policy.

- Average house prices for all property types (detached, semi-detached, terraced and flats) have increased from £130,592 in March 2011 to £183,758 in March 2019 (Chart 2)²⁸.

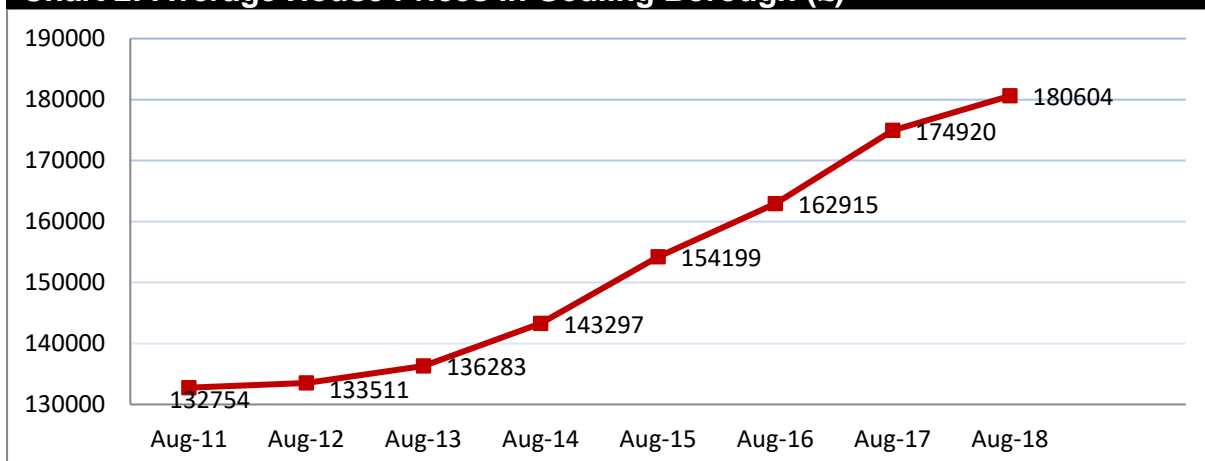
Table 30: Number of empty homes (unoccupied for Council Tax purposes)

	2012	2013	2014	2015	2016	2017	2018	2019
Private	1703	1735	1431	1490	1268	1372	1595	1391
Local Authority	1	3	3	0	1	2	2	5
Registered Social Housing	33	31	53	34	122	108	86	99
Total	1737	1769	1487	1524	1391	1482	1683	1495

Table 31: Number of Homelessness acceptances

2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19
63	56	51	74	75	100	99	351

Chart 2: Average House Prices in Gedling Borough (£)



Gypsy and Travellers Pitches

5.24. Appendix 1 sets out that the Council will monitor the number of pitches granted planning permission and delivered for gypsy and traveller communities.

Monitoring Indicators: ACS Policy 9 & SA 1 / LPD Policy 38 & SA 1

- The South Nottinghamshire Gypsy and Traveller Accommodation Assessment (January 2016) indicated there is a requirement for 3 additional pitches in Gedling Borough between 2014 and 2029. The Part 2 Local Plan sets out that a site for three pitches will be identified in the urban area of Gedling Borough by 2019.
- No pitches have been granted planning permission or delivered in Gedling Borough since April 2011. Background evidence work is under preparation and a review of the Accommodation Assessment is being undertaken as part of the review of the Aligned Core Strategy.

²⁸ <http://landregistry.data.gov.uk/app/ukhpi>

Employment

Employment Sites – Allocations and Supply

5.25. Appendix 1 sets out that the Council will monitor planning progress made on strategic and allocated employment sites and the supply/ availability of employment land by type and area.

Monitoring Indicators: ACS Policy 4 & SA 12, 13, 14 / LPD Policy 71 & SA 13, 14, 15

- The Table 32 shows the progress made on employment allocations in the Part 1 and Part 2 Local Plans.
- The supply of employment land currently with extant planning permissions 7.8 hectares for mixed use B1-B8. Table 33 sets out these sites.

Table 32: Progress made on allocated employment sites	
Allocated Site	Progress & Planning Status
Teal Close	7 hectare site allocated in the Local Planning Document. Outline planning permission (2013/0546) for employment uses (up to 18,000 square metres) granted in June 2014. Reserved matters application (2017/0800) was granted in October 2017 and included a phasing schedule for B1-B8 use which could potentially be delivered within 2019 subject to the provision of access. Reserved matters application (2019/0614) was granted permission in relation to part of the employment area in November 2019.
Top Wighay Farm	8.5 hectare site allocated in the Local Planning Document. No planning permission. The revised Development Brief SPD for this site was adopted in February 2017.
Gedling Colliery/Chase Farm	5 hectare site allocated in the Local Planning Document for employment-led mixed use development reflecting opportunities to incorporate visitor-related facilities associated with Gedling Country Park. Planning committee has resolved to grant outline permission (2017/1571) for a mix of employment units (B1c/B2/b8), and pub/restaurant (A3/A4) unit on the allocated site subject to the signing of a S106 agreement.
Hillcrest Park	1 hectare site allocated in the Local Planning Document. No planning permission.

Table 33: Available supply of employment land, with planning permission (sites above 1 ha site area or 1,000 square meters floor space)		
Site	Area	Use Class
Teal Close	Up to 18,000 sqm on 7 hectares of land	Mixed B1-B8
Colwick Quays	3200sqm on 0.8ha of land	Mixed B1-B8
Colwick Business Park	Net gain 3,449sqm on 0.5ha of land	B1(a)

Employment Development/ completions

5.26. Appendix 1 sets out that the Council will monitor the net addition of new office floor space and industrial and warehouse development (i.e. by type and location); the area of employment land lost to residential and other uses; new industrial and warehouse floorspace taken up on non-allocated sites; the

number of planning permissions granted for rural/employment business development; the percentage of large developments including Local Labour Agreements

Monitoring Indicators: ACS Policy 4 & SA 12, 13, 14 / LPD Policy 44, 45, 47, 48 & SA 13, 14, 15

- There has been no net new office development during the monitoring period (over 1,000 square meters floor space or 1 hectare site size) according to Building Control completions.
- There has been no net new industrial and warehouse development during the monitoring period (over 1,000 square meters floor space or 1 hectare site size) according to Building Control completions.
- The area of employment land (above 0.1 hectares) lost to residential or other uses is set out in Table 34.
- 1 planning permission (2018/0996) was granted for rural employment/business development (policy LPD 47) during the monitoring period.
- A minimum of four developments in Gedling Borough included Local Labour Agreement (Table 35). Some Local Labour Agreements are required by planning condition and are therefore difficult to monitor.

Table 34: Area of employment land (above 0.1 hectares and development commenced) lost to residential or other uses

Year	Losses in employment or regeneration area	Amount lost to residential development only
2011/12	0 ha	0.69 ha
2012/13	0.33 ha	0.33 ha
2013/14	0 ha	0 ha
2014/15	1.40 ha	0 ha
2015/16	0 ha	0 ha
2016/17	0 ha	0.22 ha
2017/18	0 ha	0 ha
2018/19	0 ha	0 ha
Total	1.73 ha	1.24 ha

Table 35: Local Labour Agreements secured in 2018/19

Reference	Agreement
2017/0455	Employment and Skills Plan
2016/0854	Local Labour Agreement
2018/0577	Local Labour Agreement
2018/0549	Employment and Skills Plan

Gedling Borough's Employment Profile

5.27. Appendix 1 sets out that the Council will monitor the overall number of jobs, Borough's employment supply, employment and unemployment rate, earnings by type, employment profile by type and the qualifications by type of the working age population.

Monitoring Indicators: ACS Policy 4 & SA 12, 13, 14 / LPD SA 13, 14, 15

- Employment profile information is from the Office for National Statistics²⁹.
- 78.1% of the working age population of Gedling Borough are qualified to NVQ2 or above. Table 36 shows a breakdown of qualifications by type.
- Table 37 shows the overall number of employee jobs in Gedling Borough.
- The employment and unemployment rate in Gedling Borough is set out in Table 38.
- The employment profile of Gedling Borough residents is shown in Table 39.
- The weekly earnings for full-time workers is shown in Table 40. Whilst wages have risen since 2011 the gap in pay between male and female full time employees has widened.

Table 36: Qualifications of Gedling Borough working age residents by type (Jan-Dec 2018)

Individual Levels	No. residents	Gedling (%)	East Midlands (%)	Great Britain (%)
NVQ4 And Above	24,800	34.2	33.2	39.3
NVQ3 And Above	39,700	54.8	54.0	57.8
NVQ2 And Above	56,600	78.1	72.0	74.9
NVQ1 And Above	65,400	90.2	84.1	85.4
Other Qualifications	N/A	N/A	7.8	6.8
No Qualifications	N/A	N/A	8.1	7.8

Table 37: Employee jobs in Gedling Borough (excluding farm-based agriculture, self-employed, government-supported trainees and HM forces).

Year	(Full-Time Employee Jobs)	(Part-Time Employee Jobs)	Total Employee Jobs
2011	17,000	12,000	29,000
2017	20,000	12,000	32,000

Table 38: Number of working age people (16+) in employment, self-employed and unemployed in Gedling Borough

Year	People in Employment (Including Self-Employed)	Self-Employed Figure	Unemployed
April 2011	56,300 (74.1%)	6,100 (7.0%)	3,700 (6.2%)
April 2018	57,000 (74.8%)	9,200 (11.8%)	2,300 (3.8%)

²⁹ <https://www.nomisweb.co.uk/reports/lmp/la/1946157165/report.aspx>

Table 39: Employment Profile of Gedling Borough – by occupation (working age)

Employment Group	Apr-March 2010/11		Apr-March 2017/18	
	Gedling (%)	Great Britain (%)	Gedling (%)	Great Britain (%)
Managers, directors and senior officials	12.4%	10%	12.9%	10.8%
Professional occupations	17.6%	19.1%	17.5%	20.3%
Associate professional and technical	8.8%	13.9%	20.7%	14.5%
Administrative and secretarial occupations	14.1%	11.1%	10.3%	10.3%
Skilled trades occupations	11.3%	10.7%	8.2%	10.2%
Caring, leisure and other service occupations	11.2%	9.1%	6.6%	9.0%
Sales and customer services occupations	8.0%	8.2%	8.3%	7.6%
Process plant and machine operatives	6.7%	6.5%	7.3%	6.4%
Elementary occupations	9.9%	11.0%	8.2%	10.5%

Table 40: Earnings by residence (Gross Weekly Pay)

	Male Full-Time Workers	Female Full-Time Workers	Full-Time Workers
2011	£501.00	£387.10	£456.70
2018	£610.40	£467.30	£561.10

Retail and Community Facilities

Retail Monitoring

5.28. Appendix 1 sets out that the Council will monitor retail need, the health and diversity of uses of local centres, the proportion of vacant units, the amount of B1 office space created in local centres; the number of planning permissions granted for upper floor uses; the amount of retail floor space approved outside of local centres; and the number of planning applications for A1 uses above 500 square meters with an Impact Assessment.

Monitoring Indicators: ACS Policy 6 / LPD Policy 50, 51, 52 & SA 13, 14, 15

- Retail need has been established in the 'Broxtowe, Gedling, Nottingham City and Rushcliffe Retail Study (2015)', the findings of which for Gedling Borough are summarised in Table 41.
- The health and diversity of each local centre is monitored by measuring the percentages of uses of ground floor frontages (Table 42). The target percentages are set out in Policy LPD 50 of the Part 2 Local Plan.
- Vacancies within each local centre between 2011 and 2019 are shown in Table 42.
- No new B1 office space (over 1,000sqm floorspace or 1 hectare site size) has been completed in Arnold town centre during the monitoring period.
- No planning permissions for new retail development (over 1,000sqm floorspace or 1 hectare site size) were granted during the monitoring period. The amount of retail floor space approved outside of defined centres is set out in Table 43.
- Policy LPD 51 (Upper Floors) has been used to justify at least 5 planning permissions for retail development in the monitoring period.
- Zero applications for A1 uses above 500sqm, and therefore requiring a Retail Impact Assessment under Policy LPD 52, were determined by the Council during the monitoring period.

Table 41: Additional convenience and comparison goods retail floorspace required in Gedling Borough.

Year	Type of retail floor space required	Arnold Town Centre (sqm)	Carlton Square District Centre (sqm)	Local Centres (sqm)	Rest of Borough (residual floor space) (sqm)	Total – Gedling Borough (sqm)
2019	Convenience	285	180	141	-5485	-4879
	Comparison	732	57	75	-2582	-1715
2024	Convenience	543	343	269	-4682	-3527
	Comparison	2091	159	210	-1195	1265
2028	Convenience	761	474	-4682	-4036	-2427
	Comparison	3392	266	345	231	4234

Table 42: Percentage of use classes and vacancies of ground floor units within local centres in Gedling Borough (Aug 2018)

Shopping Centre	% Frontage by Use Class						% Vacancies	
	A1	A2	A3	A4	A5	Other	2011	2019
Arnold Town Centre (Primary Area)	75%	15%	3%	6%	2%	8%	9%	8%
Arnold Town Centre (Secondary Area)	36%	12%	3%	10%	9%	31%	6%	6%
Burton Joyce Local Centre	31%	11%	4%	0%	9%	45%	0%	0%
Calverton Local Centre	37%	0%	9%	0%	12%	42%	5%	0%
Carlton Hill Local Centre	50%	7%	7%	4%	9%	23%	9%	6%
Carlton Square Local Centre	69%	0%	2%	0%	7%	22%	24%	9%
Gedling Village Local Centre	40%	5%	8%	7%	10%	30%	5%	0%
Mapperley Plains Local Centre	55%	11%	10%	8%	6%	10%	3%	5%
Netherfield Local Centre	36%	12%	6%	3%	5%	37%	13%	11%
Ravenshead Local Centre	55%	21%	0%	0%	6%	18%	0%	0%

Table 43: Retail and other town centre use developments permitted since 2011 outside of local centres (over 1,000sqm floorspace or 1 hectare site size)

Site	Status
Victoria Retail Park (Unit 1)	Unit 1 demolished and re-developed for three new retail units (2011/0887). (Implemented)
The White Hart	Former public house demolished and redeveloped for a new retail food store. (Implemented)
Land South of Colwick Loop Road	Planning permission granted for new A4 public house and A3 restaurant or A5 hot food takeaway (2013/0497).
Land South of Colwick Loop Road	Planning permission granted for A1 retail, petrol filling station and B1/B2/B8 employment uses (2013/0500).
Teal Close	Planning permission granted for up to 28,000 square metres of retail, financial and professional services, food and drink, takeaway, non-residential institution and leisure uses. Condition applied to ensure that only 1,500 sqm of A1 floorspace and no single unit to be larger than 750 sqm. (2013/0546)
Former B&Q, 786 Mansfield Road	Planning permission granted for installation of a mezzanine floor to add 1,115 sqm of A1 retail floor space within an existing retail building (2016/0808).

Community Facilities

5.29. Appendix 1 sets out that the Council will monitor the number of community centres, GP practices, health facilities, leisure centres, museums and libraries and the development of major sporting facilities.

Monitoring Indicators: ACS Policy 13 & SA 2, 3, 5 / SA 2, 5

- Community facilities within Gedling Borough include the following (see Table 44 for locations):-
 - 15 community centres – 5 council operated (Brickyard, Burton Road, Killisick, Pond Hills Lane, Westdale,)³⁰ and 10 independently operated (Newstead Centre, Netherfield St Georges Centre, Calverton Core Centre, Colwick Community Centre, Bestwood Village Community Centre, Older Person’s Welfare Arnold, Gedling Memorial Hall, The Beacon Killisick, Eagles Nest, Haywood Road). All community facilities regardless of ownership are equally important assets for improving the wellbeing of the local population.
 - 13 GP practices³¹
 - 6 leisure centres – 5 council operated and 1 operated by Ravenshead Parish Council (table does not include private sector facilities).
 - 2 accredited museums³² (Papplewick Pumping Station and Newstead Abbey). The Borough’s unaccredited museums include Bestwood Winding Engine House; Burton Joyce Centre for Local History and Calverton Folk Museum.
 - 9 libraries³³.
- No major sporting facilities have been developed in Gedling Borough since 1 April 2011.

Table 44: Number of Local Facilities

	Total	Arnold and Carlton	Bestwood Village	Burton Joyce and Stoke Bardolph	Calverton	Lambley	Linby, Papplewick and Newstead	Ravenshead	Woodborough
Community Centres	15	12	1	0	1	0	1	0	0
Leisure Centres	6	4	0	0	1	0	0	1	0
Libraries	9	6	0	1	1	0	0	1	0
GP Practices	13	10	0	2	1	0	0	0	0
Museums	2	0	0	0	0	0	2	0	0

³⁰ <https://www.gedling.gov.uk/resident/community/communitycentres/>

³¹ Nottingham North and East Clinical Commissioning Group

³² <https://finds.org.uk/contacts/accreditedmuseums>

³³ <https://www.inspireculture.org.uk/reading-information/find-a-library/>

Community information

5.30. Appendix 1 sets out that the Council will monitor life expectancy at birth, residents' participation in sport and crime by type.

Monitoring Indicators: ACS Policy 12 & SA 2, 4 / LPD Policy & SA 4

- Life expectancy within the Borough is set out in Table 45³⁴.
- Residents' participation in sport in Gedling Borough is set out in Table 46³⁵ and Table 47³⁶. Sport England changed how they monitor this information in 2015/16 as reflected in the below tables.
- The number of crimes in Gedling Borough has risen since 2014 (Table 48)³⁷

Table 45: Life Expectancy in Gedling Borough

	2013-15	2014-16	2015-17
Male	79.4	80.0	80.1
Female	83.6	83.2	83.0

Table 46: Adult (16+) participation in 3 x 30 minute sessions of moderate intensity activity per week in Gedling Borough

	2011/12	2012/13	2013/14	2014/15	2015/16
Sport participation frequency	23.4%	26.8%	30.1%	24.1%	22.9%

Table 47: Adult (16+) level of activity per week (not including gardening) in Gedling Borough

	Inactive (<30 minutes per week)	Fairly Active (30-149 minutes per week)	Active (150+ minutes per week)	Adults taken part in sport or activity 2+ times in last 28 days
2015/16	25.6%	12.8%	61.7%	N/A
2016/17	29.0%	11.9%	59.2%	74.3%
2017/18	20.7%	13.6%	65.7%	81.3%

Table 48: Number of crimes by type in Gedling Borough

	All crime	Burglary of a dwelling	Criminal damage	Robbery	Violence against the person
2014	5,050	305	825	58	1,226
2019	6,525	389	783	66	2,137

³⁴ <https://fingertips.phe.org.uk/search/expectancy#page/0/gid/1/pat/6/par/E12000004/ati/201/are/E07000173/iid/90366/age/1/sex/1>

³⁵ Active People Survey, Sport England.

³⁶ Active Lives Survey, Sport England

³⁷ Nottinghamshire Police

Transport

Transport – Planning data

5.31. Appendix 1 sets out that the Council will monitor the percentage of planning permissions in accordance with LPD 57; the number of park and ride facilities granted; progress on the delivery of the Gedling Access Road and other schemes promoted in Infrastructure Delivery Plans; the number of major applications approved against County Highways advice; and the number of travel plans agreed.

Monitoring Indicators: ACS Policy 14, 15 / LPD Policy 57, 59, 60, 61

- Policy LPD 57 (and the Parking Provision for Residential Developments SPD 2012) sets out parking standards for developments in Gedling Borough. Parking provision relates to small and large scale developments and the requirement can be influenced by site specific considerations. Conformity with Policy LPD 57 is a planning consideration for all proposals in Gedling Borough.
- Zero planning permissions for major development have been granted contrary to advice from the highways Authority since 2011. Where objections from statutory bodies are received the Council takes due regard and technical matters would be satisfied by a planning condition upon granting permission.
- Zero park and ride facilities have been granted during the monitoring period.
- Progress made on the delivery of transport schemes promoted in Policy LPD60 and ACS 15 is set out in Table 49.
- Zero travel plan agreements were approved by Nottinghamshire County Council Highways in the Borough during the monitoring period.

Table 49: Progress on Local Transport Schemes supported in Policy LPD60

Transport Scheme	Progress
Road	
A60 Larch Farm Crossroads Improvements	The County Council is currently safeguarding a scheme for possible construction during the third Local Transport Plan for Nottinghamshire, 2011-2026. This scheme is included in the LTP3 implementation programme for construction in 2019/20.
A60 Leapool to Sherwood Express Busway	The County Council is currently investigating the feasibility of a scheme for possible construction during the third Local Transport Plan for Nottinghamshire, 2011-2026. This scheme does not however feature in the LTP3 implementation programme for 2019/20.
Gedling Access Road	The County Council and a number of other financial contributors have established a funding package to enable this scheme to be progressed. Planning permission has been granted for Gedling Access Road which is due to commence in January 2020 ³⁸ .
A612 Daleside Road	The County Council is currently investigating the feasibility

³⁸ <https://www.nottinghamshire.gov.uk/transport/roads/gedling-access-road/timeline>

Improvement	of a scheme for possible construction during the third Local Transport Plan for Nottinghamshire, 2011-2026. A first phase is being considered for implementation in 2019/20.
A612 Colwick Loop Road Improvement	The County Council is currently investigating the feasibility of a scheme for possible construction during the third Local Transport Plan for Nottinghamshire, 2011-2026. A first phase is being considered for implementation in 2019/20.
Fourth Trent Crossing	No safeguarded scheme but work is being undertaken to consider the merits of a fourth crossing.
Rail	
Former Gedling Colliery to Nottingham Grantham rail line ("South Notts Rail Network)	The County Council is currently safeguarding a scheme for possible construction during the third Local Transport Plan for Nottinghamshire, 2011-2026. This scheme does not however feature in the LTP3 implementation programme for 2019/20.
Minerals Railway "Robin Hood Line" (near Bestwood Village) to Calverton	The County Council has acquired the former railway line for a possible multi user trail i.e. cycling and walking. The scheme is not however included in a construction programme and is being considered for future implementation within the Local Transport Plan period up to 2026.

Transport Usage

5.32. Appendix 1 sets out that the Council will monitor the proportion of households with hourly or better daytime bus services to local centres; the number of cycling trips, the number of public transport trips, traffic growth, travel to work and railway station usage.

Monitoring Indicators: ACS Policy 14 & SA 11 / LPD Policy & SA 12

- Traffic growth in Gedling Borough by cars and cycling is shown in Table 50³⁹. There has been a 4.3% growth in car usage and 8.4% growth in cycle usage. Data for the number of individual journeys is not available.
- Estimated railway station usage in Gedling Borough is set out in Table 51⁴⁰.
- The main mode of public transport in Gedling Borough is buses. Table 52 sets out the number of bus boardings registered for each service operator. (Data should be treated as indicative as recording depends on the operator).
- In 2011, the proportion of residents who travel to work by bus (9.2%), was lower than 2001 (15%). However, the 2011 level remains approximately twice the county and national average⁴¹.
- The percentage of households within 800 meters/10 minutes' walk of a bus stop with an hourly or better daytime bus service (weekdays 0600-1800) in Gedling Borough is 95% (February 2019)⁴².

³⁹ Information from Nottinghamshire County Council Highways

⁴⁰ <http://orr.gov.uk/statistics/published-stats/station-usage-estimates>

⁴¹ UK Census Data

⁴² Information from Nottinghamshire County Council Performance, Intelligence and Policy.

Table 50: Percentage (compared to 2010 baseline) of cycling and car traffic growth in Gedling Borough

	Car Traffic (%)	Cycling (%)
2010	Baseline	Baseline
2011	-0.1%	+7.6%
2012	-2.6%	-0.2%
2013	-0.7%	+5.8%
2014	+3.1%	+11.2%
2015	+2.8%	+13.1%
2016	+3.0%	+11.9%
2017	+4.3%	+8.4%

Table 51: Estimates of station usage (entries and exits) at railway stations in Gedling Borough

	Burton Joyce	Carlton	Netherfield	Newstead
2011/12	6,786	22,372	7,410	34,750
2012/13	6,928	21,410	6,682	30,872
2013/14	5,302	20,298	5,382	28,624
2014/15	5,372	25,168	6,050	33,938
2015/16	8,228	36,344	6,544	31,932
2016/17	11,542	46,578	7,742	35,868
2017/18	16,270	54,316	8,650	41,802

Table 52: Bus boardings in Gedling Borough by operator

Bus Operator	Bus boardings 2018/19
Nottingham City Transport	5,597,000
Trent Barton	526,497
Stagecoach East Midlands	98,224
Nottinghamshire County Council Fleet Service	8,928
Ravenshead Community Transport	2,214

Infrastructure and Developer Contributions

Infrastructure Delivery

5.33. Appendix 1 sets out that the Council will monitor the implementation of individual schemes in the Infrastructure Delivery Plan and Part 2 Local Plans; that Authority Monitoring reports will be produced and the Infrastructure Delivery Plan periodically updated.

Monitoring Indicators: ACS Policy 18

- Gedling Borough Council updates the Authority Monitoring Report annually reporting on the monitoring indicators of the Local Plan Part 1 and 2 policies and the Sustainability Appraisal Monitoring Framework. The Infrastructure Delivery Plan is updated at each stage of local plan preparation and was last updated to support the Part 2 Local Plan.
- Given the range and number of projects referred to in the Infrastructure Delivery Plans it would be impractical to report on them in detail as part of the Authority Monitoring Report. However the Council does periodically review the status of individual schemes and information held on individual schemes can be provided on request.

Community Infrastructure Levy (CIL) and Section 106 contributions

5.34. Appendix 1 sets out that the Council will monitor the adoption of a CIL charging schedule and Section 106/ CIL funding.

Monitoring Indicators: ACS Policy 19

- Gedling Borough Council adopted the CIL charging schedule on 16th October 2015, which is based on a £/sqm calculation based on the use and location of proposed development. The Regulation 123 List identifies four strategic projects for funding via CIL – the Gedling Access Road (GAR); Secondary School Contributions related to the Gedling Colliery/Chase Farm Strategic Site; Secondary School Contributions related to the Top Wighay Farm Strategic Site; and the Gedling Country Park Visitor Centre. The CIL Monitoring Report is available online⁴³. Table 53 sets out the key figures relating to CIL receipts.
- The Council has published a draft timetable for the reviewing the CIL and is currently in the process of updating its evidence base⁴⁴.
- The Council annually reports its Section 106 contributions, the full details of which are available online⁴⁵. Table 54 sets out the key figures relating to Section 106 contributions.

⁴³ <http://www.gedling.gov.uk/cil/>

⁴⁴ <https://democracy.gedling.gov.uk/ieListDocuments.aspx?Cid=127&Mid=2311&Ver=4>

⁴⁵ <https://democracy.gedling.gov.uk/documents/s20615/Enc.%201%20for%20S106%20Contributions%20201819.pdf>

Table 53: Summary of Community Infrastructure Levy Contributions

Cumulative CIL position from 15 th October 2015 to 31 st March 2019	Amount (£)
Total CIL receipts	£1,122,015.69
Total receipts retained as at 31 March 2019	£1,040,103.78

Table 54: Summary of Section 106 Contributions

Section 106 position as at 31 March 2019	Amount (£)
Contributions spent on projects in 2018/19	£195,164
Total capital contributions (projects)	£1,959,688
Total revenue balance remaining (maintenance)	£191,608
Total contributions due (development commenced)	£2,381,807

Appendix 1 – Monitoring Indicators

Indicator	Target	ACS/ LPD Policy or SA Framework
Climate Change, Flood Risk and Water Management		
Renewable energy – by type (wind turbines and other renewable energy schemes) and amount of installed capacity	No target	LPD1; LPD2; LPDSA10; LPDSA11; ACSSA9; ACSSA10
Energy per meter – by type	No target	LPDSA10; LPDSA11; ACSSA9; ACSSA10
Energy consumed – by type	No target	LPDSA10; LPDSA11; ACSSA9; ACSSA10
Carbon dioxide emissions per capita total	No target	LPDSA10; LPDSA11; ACSSA9; ACSSA10
Department of Energy & Climate Change's 'Carbon dioxide emissions within the scope of influence of local authorities'	To reduce per capita CO2 emissions and increase renewable power generation	ACS1
Area of land and number of households in Flood Zones 2 or 3 and without flood protection measures	No target	LPDSA8; LPDSA9; ACSSA8
Number of planning applications in flood risk areas approved against Environment Agency advice / Number of permissions in flood risk areas implemented against Environment Agency advice	Zero	LPD3; ACS1; LPDSA8; LPDSA9; ACSSA8
Number of planning applications approved against the Environment Agency advice on water quality	Zero	LPD5; LPDSA8; LPDSA9; ACSSA8
Number of planning applications approved against the Environment Agency advice on aquifer	Zero	LPD6; ACSSA8
Number of planning applications approved against the advice of the Lead Local Flood Authority	Zero	LPD4; LPDSA8; LPDSA9
Number of developments incorporating SUDS	LPD = No target. ACS = Increase the number of Sustainable Drainage Systems (SuDS)	LPD4; ACS1; LPDSA8; LPDSA9
New waste management facilities – by type	No target	LPDSA10; LPDSA11; ACSSA9; ACSSA10
Environmental Protection		
Number of planning applications approved against the advice of Gedling Borough Council's Public Protection (Scientific) Officer	Zero	LPD7; LPD10
Number of planning applications approved against the advice of the Coal Authority	Zero	LPD8
Number of planning applications approved against the advice of the Health and Safety Executive	Zero	LPD9
Development to accord with the requirements of the Air Quality and Emissions Mitigation guidance	Zero	LPD11
Air Quality Management	No Target	LPDSA8; LPDSA9
Green Belt		

Indicator	Target	ACS/ LPD Policy or SA Framework
Percentage of planning permissions granted against policy (increase in floorspace over 50%)	Zero	LPD13; LPD14
Status of each area of Safeguarded Land and the reason why, if any, planning permission has been granted	No target	LPD16
Number of homes granted planning permission for rural workers	No target	LPD17
Production of part 2 Local Plan	Green Belt release in line with the needs set out in the Aligned Core Strategies	ACS3
Location and area of land removed from Green Belt	Green Belt release in line with the needs set out in the Aligned Core Strategies	ACS3
Natural Environment		
Net change in Site Special Scientific Interest	No net loss	LPD18; LPDSA6; LPDSA7
Number of SSSIs in a favourable condition	Improve management of biodiversity sites	ACS17
Number, area and net change of Local Nature Reserves	No net loss	LPD18; ACSSA6; ACSSA7; LPDSA6; LPDSA7
Number of Local Nature Reserves with a management plan in place	Increase in quality of open spaces & improve management of biodiversity sites	ACS16; ACS17
Number, area and net change in Local Wildlife Sites (formerly SINCS)	LPD = No net loss. ACS = Retain areas of biodiversity importance.	LPD18; ACS17; ACSSA6; ACSSA7; LPDSA6; LPDSA7
The number and percentage of Local Wildlife Sites with positive conservation management (using Single Data List Indicator 160)	LPD = Increase in percentage. ACS = Increase in quality of open spaces & improve management of biodiversity sites	LPD18; ACS16; ACS17; LPDSA6; LPDSA7
Net change in Local Geological Sites	No net loss	LPD18; LPDSA6; LPDSA7
Woodland area	No target	ACSSA6; ACSSA7
Number of planning permissions granted that result in loss of Ancient Woodland	Zero	LPD18
Net change in woodland and ancient woodland	No target	LPDSA6; LPDSA7
Losses and gains in priority habitat	No net loss	LPD18
Progress on designation and if designated what condition it is in (Special Protection Area)	Designation of and thereafter maintain or improve condition of Special Protection Area.	ACS17
Open Space and Recreational Facilities		
To be set locally (GI assets)	Increase the percentage of population with access to GI assets.	ACS16
Net change in certain types of open space/ area of new open space	No net loss	LPD20; LPDSA2; ACSSA6; ACSSA7; LPDSA6; LPDSA7
Amount of greenfield land lost to housing and other uses / Greenfield loss of new development (ha) in line with the ACS	No target	LPDSA6; LPDSA7; ACSSA6; ACSSA7
Open space managed to green flag award standard	Increase in quality of open spaces	ACS16; ACSSA3
New open space committed from s106 agreements	Increase in open space	LPD21
Number of s106 contributions related to open space	Increase quality of open spaces	ACS16
Net change in local green space	No net loss	LPD22; LPDSA2; LPDSA6; LPDSA7
Number of planning permissions for new tourist accommodation	No target	LPD24

Indicator	Target	ACS/ LPD Policy or SA Framework
Net change in country parks	No target	LPDSA2; LPDSA6; LPDSA7
Historic Environment		
Number of conservation area appraisals	LPD = Increase the number of conservation area appraisals. ACS = Increase quality of open spaces.	ACS11;
Number of and area of heritage assets conservation areas and Parks and Gardens	No target	LPDSA3; ACSSA6; ACSSA7
Number of heritage assets – Listed Buildings, Scheduled Ancient Monuments	No target	LPDSA3; ACSSA6; ACSSA7
Number of planning applications approved against Historic England advice (generally, historic parks and gardens and scheduled monuments)	Zero	LPD26; LPD29; LPD30; LPDSA3
Number and percentage of heritage assets (listed buildings, conservation areas, historic parks and gardens and scheduled monuments) on Heritage at Risk Register	LPD = Zero. ACS = Decrease number of heritage assets at risk	LPD26; LPD27; LPD28; LPD29; LPD30; ACS11; LPDSA3; ACSSA6; ACSSA7
No of s106 obligations to manage and conserve heritage assets	Increase	LPD26
Number of Locally Important Heritage Assets	No loss	LPD31; LPDSA3
Number and percentage of Locally Important Heritage Assets at risk	Zero	LPD31; LPDSA3
Design		
Indicators to be set locally by each Council	Improve the standards of design	ACS10
Density of new development	Burton Joyce, Lambley, Ravenshead and Woodborough = no less than 20 dwellings per hectare. Bestwood Village, Calverton and Newstead = no less than 25 dwellings per hectare	LPD33
Number of homes built on residential garden land	No target	LPD34
Homes		
Progress on the delivery of the sites allocated (housing)	All sites delivered by 2028. Plus LPD64 only = (The Council will closely monitor progress on all allocated sites to identify any significant slippage or risk of no delivery and should this occur the Council will consider whether this warrants an early review of the Local Plan)	LPD64; LPD65; LPD66; LPD67; LPD68; LPD69; LPD70
Net additional homes	7,250 in Gedling	ACS2
Council supply of ready to develop housing sites	5 year (with additional buffer of 5% or 20% as appropriate) supply of deliverable housing sites	ACS2
Planning permissions of strategic allocations	5 year (with additional buffer of 5% or 20% as appropriate) supply of deliverable housing sites	ACS2
Preparation of part 2 Local Plans to meet objective of the Aligned Core Strategies	5 year (with additional buffer of 5% or 20% as appropriate) supply of deliverable housing sites	ACS2
Progress towards an allocation in part 2 Local Plans of Supplementary Planning Document	Delivery of Gedling Colliery/ Chase Farm	ACS7

Indicator	Target	ACS/ LPD Policy or SA Framework
Completion of site (Gedling Colliery) or certain elements of it (e.g. sqm of offices developed)	Delivery of Gedling Colliery/ Chase Farm	ACS7
Number of affordable housing delivered and commuted sums	1,450 affordable provision	LPD36
Affordable housing completions by Social Rent, Intermediate Housing, Affordable Rent	Provision of affordable housing – 1,450 in Gedling	ACS8
Type, size and tenure of new housing development/ completions	LPD = No target. ACS = Maintain an appropriate mix of house type, size and tenure	LPD37; ACS 8
Housing completions – affordable homes, dwelling types, density, location	No target	LPDSA1
Number of housing completions	No target	LPDSA1
Number of housing completions – affordable	No target	LPDSA1
Number of housing completions by dwelling type, size and density	No target	LPDSA1
Number and area of housing completions on previously developed land	No target	LPDSA1
Number of vacant dwellings – by type	No target	LPDSA1
% of households with access to services and facilities by public transport, walking and cycling within 30 minutes travel time with no more than a 400m walk to a stop	Improve accessibility from residential development to key community facilities and services	ACS12; ACSSA9;
Number of new homes with access to key community facilities and services – by walking, cycling and public transport	No target	LPDSA12
Number of pitches delivered (gypsy and travellers)	Three additional pitches provided by March 2019	LPD38
Number of plots/pitches allocated and granted planning permission for gypsy and traveller communities. Total number implemented.	Meet the needs of Gypsies, Travellers and Travelling Showpeople	ACS9; LPDSA1; ACSSA1
Number of planning permissions for specialist accommodation	No target	LPD39
New housing development on windfall sites	No target	LPD40
Number of planning permissions for live work units	No target	LPD41
Delivery of self-build and custom homes	No target	LPD42
Population – by group	No target	LPDSA1; ACSSA1
Average house prices	No target	LPDSA1; ACSSA1
Number of empty homes	No target	LPDSA1
Number of homelessness acceptances	No target	LPDSA1; ASCSA1
Employment		
Progress on the delivery of the sites allocated (employment)	All sites delivered by 2028.	LPD71
Planning permissions (strategic sites)	Delivery of strategic sites in the Aligned Core Strategy	ACS4
Supply of employment land – by type	No target	LPDSA13; LPDSA14; LPDSA15
Overall number of jobs in the plan area	Strengthen and diversify the economy and create 27,900 new jobs (Greater Nottingham)	ACS4
Net addition in new office floor space	Develop 23,000 sq m of office space in Gedling Borough	ACS4; LPDSA13; LPDSA14; LPDSA15
Available supply and net change in supply of industrial and warehouse	Maintain a minimum amount of industrial and warehouse supply of 33.5 hectares (Greater Nottingham)	ACS4

Indicator	Target	ACS/ LPD Policy or SA Framework
Net addition in new industrial and warehouse development	Develop 10 hectares in Gedling Borough	ACS4; LPDSA13; LPDSA14; LPDSA15
% of the working age population with NVQ level 2 or above / skills level of the working age population/ qualifications by type	Improve skill levels of the working age population	ACS4; LPDSA13; LPDSA14; LPDSA15; ACSSA12; ACSSA13; ACSSA14
Area of employment land lost to residential and other uses above (0.1 ha threshold)	No target	LPD44; LPDSA13; LPDSA14; LPDSA15; ACSSA12; ACSSA13; ACSSA14
New industrial and warehouse floorspace taken up on non-allocated sites over 1,000 sq m or 1 hectare threshold	No target	LPD45
Number of planning permissions granted for rural employment/business development	No target	LPD47
Percentage of developments over 10 or more dwellings, 0.5 ha of employment land or those creating more than 15 jobs securing Local Labour Agreement	No target	LPD48
Employment supply	No target	LPDSA13; LPDSA14; LPDSA15
Employment and unemployment rate	No target	LPDSA13; LPDSA14; LPDSA15; ACSSA12; ACSSA13; ACSSA14
Earnings – by type	No target	ACSSA12; ACSSA13; ACSSA14
Employment profile – by type	No target	ACSSA12; ACSSA13; ACSSA14
Area of new floor space and land by type and location	No target	ACSSA12; ACSSA13; ACSSA14
Type and area of employment land availability (ha)	No target	ACSSA12; ACSSA13; ACSSA14
Retail and Community Facilities		
Planning permissions for retail and other town centre use development	Maintain or improve the vitality and viability of the centres within the plan area	ACS6; LPDSA13; LPDSA14; LPDSA15
New retail development	No target	LPDSA13; LPDSA14; LPDSA15
Assessment retail need (from Needs Study)	Maintain or improve the vitality and viability of the centres within the plan area	ACS6
Centre health checks	Maintain or improve the vitality and viability of the centres within the plan area	ACS6
Amount of new B1 office floor space created in town centres	Maintain or improve the vitality and viability of the centres within the plan area	ACS6
Amount of retail floor space approved outside of defined centres	Maintain or improve the vitality and viability of the centres within the plan area	ACS6
Percentage of frontages for individual uses/ diversity of uses in centres	No target	LPD50; LPDSA13; LPDSA14; LPDSA15
Proportion of vacant units	No target	LPDSA13; LPDSA14; LPDSA15
Number of planning permissions granted (upper floors)	None	LPD51
Number of planning applications for A1 uses 500 sq metres or more with an Impact Assessment	100%	LPD52
Life expectancy at birth	Improvements in health	ACS12; ACSSA2

Indicator	Target	ACS/ LPD Policy or SA Framework
Number of major sporting facilities developed	Increase in provision of major sporting facilities	ACS13
Residents participation in sport	No target	ACSSA2
Crime – by type	No target	LPDSA4; ACSSA4
Number of community centres, GP practices, health facilities leisure centres, museums and libraries	No target	LPDSA2; LPDSA5; ACSSA2; ACSSA5; ACSSA3
Transport		
Percentage of planning permissions in accordance with the policy	No target	LPD57
Number of park and ride facilities granted	No target	LPD59
Progress on the delivery of transport schemes promoted in the policy (LPD60)	All schemes delivered by 2028. In particular, the Council will closely monitor progress on the Gedling Access Road to identify any significant slippage or risk of no delivery and a decision made as to whether this warrants an early review of the Local Plan by December 2018.	LPD60
Number of major planning applications approved against Highway advice on road safety matters	Zero	LPD61
Proportion of households with hourly or better daytime bus service to town, district or city centre	Increase modal shift towards public transport, walking and cycling	ACS14; ACSSA11
Number of public transport trips	Increase modal shift towards public transport, walking and cycling	ACS14; ACSSA11
Plan area wide traffic growth	Increase modal shift towards public transport, walking and cycling	ACS14; ACSSA11; LPDSA12
Number of cycling trips	Increase modal shift towards public transport, walking and cycling	ACS14; ACSSA11; LPDSA12
Number of travel plans agreed	Increase in the number of developments supported by travel plans	ACS14
Railway station usage	No target	ACSSA11
Travel to work	No target	LPDSA12
Implementation of individual schemes as in the Infrastructure Delivery Plan (ACS 15)	Delivery of projects promoted in the policy (Gedling Access Road in Gedling)	ACS15
Infrastructure and Developer Contributions		
Implementation of individual schemes as in Infrastructure Delivery Plan and in Part 2 Local Plans	Delivery of infrastructure identified in the Infrastructure Delivery Plan and Part 2 Local Plans	ACS18
Authority Monitoring Reports and the periodic updates to the Infrastructure Delivery Plan	Delivery of infrastructure identified in the Infrastructure Delivery Plan and Part 2 Local Plans	ACS18
Adopt Community Infrastructure Levy charging schedule	Introduction of Community Infrastructure Levy	ACS19
Authority report on s106 contributions and Community Infrastructure Levy funding	Ensure appropriate developer contributions to infrastructure.	ACS19

No indicators for ACS A; ACS5; LPD12; LPD15; LPD19; LPD23; LPD25; LPD32; LPD35; LPD43; LPD46; LPD49; LPD53; LPD54; LPD55; LPD56; LPD58; LPD62; LPD63.



Report to Cabinet

Subject: Forward Plan

Date: 30 January 2020

Author: Service Manager, Democratic Services

Wards Affected

Borough-wide.

Purpose

To present the Executive's draft Forward Plan for the next four month period.

Key Decision

This is not a Key Decision.

Recommendation

It is recommended THAT Cabinet note the contents of the draft Forward Plan making comments where appropriate.

Background

- 1 The Council is required by law to give to give notice of key decisions that are scheduled to be taken by the Executive.

A key decision is one which is financially significant, in terms of spending or savings, for the service or function concerned (more than £500,000), or which will have a significant impact on communities, in two or more wards in the Borough.

In the interests of effective coordination and public transparency, the plan includes any item that is likely to require an Executive decision of the Council, Cabinet or Cabinet Member (whether a key decision or not). The Forward Plan covers the following 4 months and must be updated on a rolling monthly basis. All items have been discussed and approved by the Senior Leadership Team.

Proposal

- 2 The Forward Plan is ultimately the responsibility of the Leader and Cabinet as it contains Executive business due for decision. The Plan is therefore presented at this meeting to give Cabinet the opportunity to discuss, amend or delete any item that is listed.

Alternative Options

- 3.1 Cabinet could decide not agree with any of the items are suggested for inclusion in the plan. This would then be referred back to the Senior Leadership Team.
- 3.2 Cabinet could decide to move the date for consideration of any item.

Financial Implications

- 4 There are no financial implications directly arising from this report.

Appendices

- 5 Appendix 1 – Forward Plan

Background Papers

- 6 None identified.

Reasons for Recommendations

- 7 To promote the items that are due for decision by Gedling Borough Council's Executive over the following four month period.

Gedling Borough Council

FORWARD PLAN

FOR THE FOUR MONTH PERIOD 1 FEBRUARY 2020 TO 31 MAY 2020

This Forward Plan sets out the details of the key and non-key decisions which the Executive Cabinet, individual Executive Members or Officers expect to take during the next four month period.

The current members of the Executive Cabinet are:

Councillor John Clarke – Leader of the Council

Councillor Michael Payne – Deputy Leader and Portfolio Holder for Resources and Reputation

Councillor Peter Barnes – Portfolio Holder for Environment

Councillor David Ellis – Portfolio Holder for Public Protection

Councillor Gary Gregory – Portfolio Holder for Community Development

Councillor Jenny Hollingsworth – Portfolio Holder for Growth and Regeneration

Councillor Viv McCrossen – Portfolio Holder for Young People and Equalities

Councillor Henry Wheeler – Portfolio Holder for Health and Wellbeing.

Anyone wishing to make representations about any of the matters listed below may do so by contacting the relevant officer listed against each key decision, within the time period indicated.

Description of the decision	Date decision is expected to be taken and who will take the decision?	Responsible Officer	Documents to be considered by the decision maker	Cabinet Portfolio	Open / Exempt (and reason if the decision is to be taken in private) Is this a Key Decision?
Quarterly (Q3) Budget Monitoring and Virement Report To update members on financial performance information for the 3rd quarter of the 2019/20 year.	30 Jan 2020 Cabinet	Alison Ball, Service Manager Finance	Officer Report	Portfolio Holder for Resources and Reputation	Open Yes
Gedling Plan Quarter 3 Performance Report To inform Cabinet in summary of the position against Improvement Actions and Performance Indicators in the 2019/2020 Gedling Plan for the most recent quarter	30 Jan 2020 Cabinet	Alan Green, Performance and Project Officer	Officer Report	Leader of the Council	Open No
Prudential Code Indicator Monitoring 2019/20 and Quarterly Treasury Activity Report for Quarter ended 31 December 2019 To inform Members of the performance monitoring of the 2019/20 Prudential Code Indicators, and to advise Members of the quarterly Treasury activity as required by the Treasury Management Strategy.	30 Jan 2020 Cabinet 5 Mar 2020 Council	Sue Healey, Principal Accountant	Officer Report	Portfolio Holder for Resources and Reputation	Open No
Gedling Plan 2020/21 To approve the priorities, objectives and top actions for the Council for the forthcoming year with the associated revenue budget.	13 Feb 2020 Cabinet 5 Mar 2020 Council	Alison Ball, Service Manager Finance	Officer Report	Portfolio Holder for Resources and Reputation	Open Yes
Capital Programme and Capital Investment Strategy To approve the capital investment strategy and capital spending programme for the next financial year.	13 Feb 2020 Cabinet 5 Mar 2020 Council	Alison Ball, Service Manager Finance	Officer Report	Portfolio Holder for Resources and Reputation	Open Yes

Description of the decision	Date decision is expected to be taken and who will take the decision?	Responsible Officer	Documents to be considered by the decision maker	Cabinet Portfolio	Public / Exempt (and reason if the decision is to be taken in private) Is this a key decision?
Prudential and Treasury Indicators and Treasury Management Strategy Statement (TMSS) 2020/21 To present for Members' approval the Council's Prudential Code Indicators and Treasury Strategy for 2020/21, for referral to Full Council.	13 Feb 2020 Cabinet 5 Mar 2020 Council	Sue Healey, Principal Accountant	Officer Report	Portfolio Holder for Resources and Reputation	Open Yes
General Fund Budget 2020/21 For Cabinet to recommend to Council the revenue budget for the next financial year.	13 Feb 2020 Cabinet 5 Mar 2020 Council	Alison Ball, Service Manager Finance	Officer Report	Portfolio Holder for Resources and Reputation	Open Yes

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