

Scrutiny Panel Meeting

**Grand Jury Room, Town Hall, High Street,
Colchester, CO1 1PJ
Tuesday, 11 June 2019 at 18:00**

The Scrutiny Panel examines the policies and strategies from a borough-wide perspective and ensure the actions of the Cabinet accord with the Council's policies and budget. The Panel reviews corporate strategies that form the Council's Strategic Plan, Council partnerships and the Council's budgetary guidelines, and scrutinises Cabinet or Portfolio Holder decisions which have been called in.

Information for Members of the Public

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Scrutiny Panel – Terms of Reference

1. To fulfil all the functions of an overview and scrutiny committee under section 9F of the Local Government Act 2000 (as amended by the Localism Act 2011) and in particular (but not limited to):

- (a) To review corporate strategies;
- (b) To ensure that actions of the Cabinet accord with the policies and budget of the Council;
- (c) To monitor and scrutinise the financial performance of the Council, performance reporting and to make recommendations to the Cabinet particularly in relation to annual revenue and capital guidelines, bids and submissions;
- (d) To review the Council's spending proposals to the policy priorities and review progress towards achieving those priorities against the Strategic and Implementation Plans;
- (e) To review the financial performance of the Council and to make recommendations to the Cabinet in relation to financial outturns, revenue and capital expenditure monitors;
- (f) To review or scrutinise executive decisions made by Cabinet, the North Essex Parking Partnership Joint Committee (in relation to decisions relating to off-street matters only) and the Colchester and Ipswich Joint Museums Committee which have been made but not implemented referred to the Panel pursuant to the Call-In Procedure;
- (g) To review or scrutinise executive decisions made by Portfolio Holders and officers taking key decisions which have been made but not implemented referred to the Panel pursuant to the Call-In Procedure;
- (h) To monitor the effectiveness and application of the Call-In Procedure, to report on the number and reasons for Call-In and to make recommendations to the Council on any changes required to ensure the efficient and effective operation of the process;
- (i) To review or scrutinise decisions made, or other action taken, in connection with the discharge of functions which are not the responsibility of the Cabinet;
- (j) At the request of the Cabinet, to make decisions about the priority of referrals made in the event of the volume of reports to the Cabinet or creating difficulty for the management of Cabinet business or jeopardising the efficient running of Council business;

2. To fulfil all the functions of the Council's designated Crime and Disorder Committee ("the Committee") under the Police and Justice Act 2006 and in particular (but not limited to):

- (a) To review and scrutinise decisions made, or other action taken, in connection with the discharge of those functions by the responsible authorities of their crime and disorder functions;
- (b) To make reports and recommendations to the Council or the Cabinet with respect to the discharge of those functions.

COLCHESTER BOROUGH COUNCIL
Scrutiny Panel
Tuesday, 11 June 2019 at 18:00

The Scrutiny Panel Members are:

Councillor Beverly Davies
Councillor Kevin Bentley
Councillor Tina Bourne
Councillor Paul Dundas
Councillor Chris Hayter
Councillor Mike Hogg
Councillor Sam McCarthy
Councillor Lorcan Whitehead

Chairman
Deputy Chairman

The Scrutiny Panel Substitute Members are:

All members of the Council who are not Cabinet members or members of this Panel.

AGENDA
THE LIST OF ITEMS TO BE DISCUSSED AT THE MEETING
(Part A - open to the public)

Please note that Agenda items 1 to 5 are normally dealt with briefly.

1 Welcome and Announcements

The Chairman will welcome members of the public and Councillors and remind everyone to use microphones at all times when they are speaking. The Chairman will also explain action in the event of an emergency, mobile phones switched to silent, audio-recording of the meeting. Councillors who are members of the committee will introduce themselves.

2 Substitutions

Councillors will be asked to say if they are attending on behalf of a Committee member who is absent.

3 Urgent Items

The Chairman will announce if there is any item not on the published agenda which will be considered because it is urgent and will explain the reason for the urgency.

4 Declarations of Interest

Councillors will be asked to say if there are any items on the agenda about which they have a disclosable pecuniary interest which would prevent them from participating in any discussion of the item or

participating in any vote upon the item, or any other pecuniary interest or non-pecuniary interest.

5 Minutes of Previous Meeting

The Councillors will be invited to confirm that the minutes are a correct record of the meetings held on 19 March 2019 and 22 May 2019.

Minutes of Scrutiny Panel meeting 19 March 2019

7 - 14

Minutes of Scrutiny Panel meeting 22 May 2019

15 - 16

6 Have Your Say!

The Chairman will invite members of the public to indicate if they wish to speak or present a petition on any item included on the agenda or any other matter relating to the terms of reference of the meeting. Please indicate your wish to speak at this point if your name has not been noted by Council staff.

7 Decisions taken under special urgency provisions

The Councillors will consider any decisions by the Cabinet or a Portfolio Holder which have been taken under Special Urgency provisions.

8 Cabinet or Portfolio Holder Decisions called in for Review

The Councillors will consider any Cabinet or Portfolio Holder decisions called in for review.

9 Items requested by members of the Panel and other Members

(a) To evaluate requests by members of the Panel for an item relevant to the Panel's functions to be considered.

(b) To evaluate requests by other members of the Council for an item relevant to the Panel's functions to be considered.

Members of the panel may use agenda item 'a' (all other members will use agenda item 'b') as the appropriate route for referring a 'local government matter' in the context of the Councillor Call for Action to the panel. Please refer to the panel's terms of reference for further procedural arrangements.

10 North Essex Garden Communities Project

17 - 94

The Scrutiny Panel will consider a report provided as an update on the North Essex Garden Communities Project and budget.

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|----|--|-----------|
| 11 | Year End 2018/19 Performance Report including progress on the Strategic Plan Action Plan 2018-21 | 95 - 146 |
| | The Scrutiny Panel will examine the performance report for the 2018/2019 year-end. This includes progress of the Council's performance measures and an update on the Strategic Plan Action Plan | |
| 12 | Financial Monitoring Report – End of Year 2018/19 | 147 - 166 |
| | The Scrutiny Panel will consider the financial performance of General Fund Services and the Housing Revenue Account (HRA) for the year 2018/19. | |
| 13 | Capital Expenditure Monitor 2019/20 | 167 - 178 |
| | The Scrutiny Panel will consider the Council's capital programme, including capital expenditure in relation to the delivery of General Fund services, as well as in respect of the Housing investment Programme, including expenditure on housing stock. This programme also includes capital schemes which form part of the Revolving Investment Fund (RIF). | |
| 14 | Work Programme 2019-20 | 179 - 188 |
| | The Scrutiny Panel to consider and approve the Work Programme 2019-2020. This provides details of the reports that are scheduled for each meeting during the municipal year. | |
| 15 | Exclusion of the Public (Scrutiny) | |
| | In accordance with Section 100A(4) of the Local Government Act 1972 and in accordance with The Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 (as amended) to exclude the public, including the press, from the meeting so that any items containing exempt information (for example confidential personal, financial or legal advice), in Part B of this agenda (printed on yellow paper) can be decided. (Exempt information is defined in Section 100I and Schedule 12A of the Local Government Act 1972). | |

Part B
(not open to the public including the press)

SCRUTINY PANEL

19 March 2019

Present: - Councillor Davies (Chairman), Councillor Bentley,
Councillor Coleman, Councillor Luxford Vaughan,
Councillor Scordis, Councillor Wood

Substitutions Councillor Willetts for Councillor Hayter

Also present:- Councillor King, Councillor Laws, Councillor T. Young

203. Minutes

The Chair noted that the minutes for 11 December 2018 detailed that Councillor King, Portfolio Holder for Resources, had agreed to provide further information to the Panel on a range of topics. Councillor King, being in attendance, affirmed that he would ensure this information is provided to the Panel. The Panel further requested an update from Councillor King on his investigation of potential policies to require charging points on new developments, as noted in the minutes of that meeting.

RESOLVED that the minutes of the meetings held on 11 December 2018, 29 January 2019 and 22 February 2019 be confirmed as a correct record.

204. North Essex Garden Communities Project

The Panel were due to consider an update on the North Essex Garden Communities project and budget.

The Chair informed the Panel that she had been informed that the Chief Executive of North Essex Garden Communities Ltd (Mr Richard Bayley) was not present at this meeting. In light of this, the Chair proposed that this item should be deferred and added to the agenda of the first meeting of the Panel in the coming Municipal Year. This would allow the Panel to invite the Chief Executive to attend that meeting and answer any questions from Panel Members. The member of the public who wished to address the Panel on this item was invited to speak under the general 'Have Your Say' item.

RESOLVED that this item be deferred for consideration at the first substantive meeting of the new municipal year.

205. Have Your Say!

Mr Sunnocks addressed the Panel pursuant to the provisions of Meetings General Procedure Rule 5(1). He detailed his concerns regarding North Essex Garden Communities Ltd. The first was a lack of financial transparency and of publicly-available information to account for the money spent on this company from the restricted reserves of the Council. A breakdown of the 2017-18 expenditure on this project should be requested and scrutinised. Secondly, there was a risk that the company would take money from the Council, but would

not be accountable to it, with only 25 percent of shares being held by this local authority, by one politically-appointed director who may not have the expertise to oversee the spending of millions of pounds. The need for the company was questioned as private companies would be eager to carry out development work themselves. Thirdly, concern was raised that the company would fail to deliver any housing, and the view given that the majority of its budget was being spent on legal advice, public relations and administration. No money was available for infrastructure provision. The Panel was asked to insist that a financial appraisal accompany the business plan, due to be approved by Cabinet on 5 June 2019.

Councillor Bentley (by reason of being an Essex County Council Cabinet Member for Infrastructure, and a Board Member of the South East Local Enterprise Partnership) and Councillor Tim Young (by reason of being a Trustee of Firstsite) declared non-pecuniary interests in the following item pursuant to the provisions of Meetings General Procedure Rule 7(5).

206. Review of Colchester Borough Council's partnership arrangements with The Mercury Theatre, Colchester Arts Centre and Firstsite

The Panel considered a report which detailed the work done by the organisations in receipt of a Strategic Arts Grant from the Council: The Mercury Theatre, Colchester Arts Centre and Firstsite. Members of the Panel were also given presentations by representatives of the three organisations:

- Mercury Theatre: Steve Mannix, Executive Director and Tracey Childs, Executive Producer
- Colchester Arts Centre: Anthony Roberts, Director
- Firstsite: Sally Shaw, Director

In addition the Chair of Trustees of each organisation also attended the meeting: Kathleen Hamilton (Mercury Theatre), (Nigel Hildreth (Colchester Arts Centre) and Rosie Millard OBE (Firstsite) Each organisation presented the highlights of the work that they had undertaken in the past year, and details of the impact made by the Strategic Arts Grants.

Steve Mannix emphasised the contributions made by the Arts Sector to the local area, including direct employment and collective economic impact of £9.9 million, and the placement of Colchester as the eighth most significant centre for artistic activity in the UK.

Anthony Roberts explained to the Panel how the approach of Arts Council England had developed to now focus on the reporting of data and statistics by organisations in receipt of their funding. These figures are also made available to Colchester Borough Council. The Borough Council's grant of £55,950 to the Arts Centre was shown as seven percent of its turnover of £830,000 for 2017-18. It was emphasised that this grant was vital to allow the Arts Centre to successfully apply for funding from Arts Council England, whose grants to the Centre total £190k per year until 2022. Total capital investment in the three organisations from Arts Council England of £500,000 was likewise only obtainable because of the initial Strategic Arts Grants they receive from Colchester Borough Council.

The spending and costs of the Arts Centre were detailed, and Panel received a summary of the Centre's output over the year. This was then followed by statistical analysis to show a breakdown of the demographics of those who use the Arts Centre. The analysis of ticket sales showed that the Centre drew more users from the less well-off parts of the Borough than from its more affluent areas. Almost forty percent of ticket sales were to people in the

two poorest sectors of Colchester's communities. This addressed and challenged the idea that the arts can be elitist and out of reach for people and the Panel was given a summary of the work done by the Arts Centre to draw in residents from across all demographics, including those with limited incomes.

The Panel were briefed on the environmental work done by the venues to minimise their effect on the environment and to help their patrons to do the same. The largest environmental impact caused by the Arts Centre was identified as the estimated carbon footprint from audiences travelling to the venue. Statistics were provided to show the Arts Centre's communications and online engagement with the public, including work done in alternative venues across the UK and beyond. In addition to the statistical analysis given, Panel were reminded that the arts provided numerous intangible benefits to communities and individuals which could not be measured.

Sally Shaw briefed the Panel on the 'Creative Together' approach adopted by Firstsite in its approach to work with individuals, partner organisations and communities. Firstsite celebrates the 'People, Places and Priorities of Essex and East Anglia.' This is embedded into the programme of work ongoing at the gallery and informed the outreach efforts made to engage with communities and bring in new people to visit and use the gallery. Inclusivity is key, and it continues to be a priority for Firstsite to be relevant for people across society and to foster equality and diversity in its appeal. Examples of this approach were provided to the Panel, including opportunities for visitors to participate in the artistic activity at Firstsite, support for artists and some of the highlights from the current and recent artistic programme.

Firstsite is forecasting that they will receive around 130,000 visitors in the coming year, which would be third-highest annual total since the gallery opened. The average age of visitors has reduced following efforts to attract more young people. The use of the gallery by Black and Minority Ethnic members of the community has increased and now over-indexed by two percent in comparison to the local population.

A significant profit was reported for the last financial year, with a small profit being forecast by the end of 2018-19. A positive effect has been experienced by the opening of the Curzon Cinema which has actually been followed by an increase in film ticket sales at Firstsite. The commercial efforts made at Firstsite have shown success and the gallery is exploring the potential for reopening the on-site restaurant. Support is now being provided by a range of partners, including the NHS and BBC Children in Need, in addition to the £500,000 grant to Firstsite by Arts Council England to support additional work on inclusivity and equality and diversity. This grant will help to fund a project to include local groups and communities in the process of deciding content and planning exhibitions. A target has been set to see at least fifty percent of exhibitions being co-curated by groups from outside the organisation. The remaining fifty percent of content will be produced in response to consultations carried out.

Governance at Firstsite has been strengthened, with Rosie Millard OBE now appointed as new Chair of the Board of Trustees, taking over from the interim Chair, Professor Atul Shah who had held the role following the standing down of Dr Noorzaman Rashid.

Panel's attention was particularly drawn to the Holiday Fund Programme run by Firstsite. This programme was developed to encourage use of the gallery by young families, often from lower-income sections of the community. A key element of this was to provide free lunches during school holidays, utilising the on-site restaurant. 1,500 individual meals have

been served and over 12,000 interactions with different individuals carried out. The Programme involves physical activities for children, who are then provided with a meal which is followed by artistic activities at the gallery. Tendring District Council have now requested that this programme be launched in Harwich, with NHS and Arts Council England funding helping to meet the cost of this. Term-time activities are also being planned to help both young children and parents, addressing problems experienced with isolation. Help is being provided for families without a stigma being attached to it.

Tracey Childs presented the strategic objective of the Mercury Theatre, to 'create exceptional shared live experiences, accessible to all.' This is tied in to the Mercury's work to help create a sense of place, operating locally and nationally to serve diverse communities. Highlights of this work were covered, including plans for an 800-seat tent for events and performances on Abbey Field, spanning operatic, theatrical and pantomime performances between September and January.

New income streams, partnerships and operational efficiencies are being developed. The average review rating was 4.7 out of 5 and a breakdown of attendance demographics and touring activities was provided to the Panel.

Detail was given regarding some of the partner organisations with which the Theatre works which involved outreach work with vulnerable and hard to reach groups. Skills and training programmes are in operation and were detailed. 38 paid internships and work placements are in place, a 300 percent increase on the previous year.

Recent awards and nominations were noted, including for stage work, touring productions and pantomime.

The redeveloped theatre will feature more spaces for sessions with community groups. Steve Mannix described the planned new building and its additional capacity and amenities. These plans have been developed in partnership with Colchester Borough Council and Colchester Borough Homes and include a new dance studio on-site, with links to local dance companies already set up. Current problems with a lack of on-site capacity for storage, rehearsals, production offices and meetings have been addressed. £9,150,000 has been raised thus far, of which £8 million comes from outside the Borough. A remaining £662,000 remains to be sourced, with a public campaign planned to raise £500,000. Finances were noted, with an income of £3.5 million in 2017-18, and a forecast outturn income of £3.9 million expected for 2018-19. The vital nature of local authority funding was repeated, it being necessary for the unlocking of further funding streams.

Outcomes from funding received include the attracting of international performers, and the development of home-grown skills and training in Colchester, including backstage and technical skills. Revenue changes have seen grant funding reduce and earned income increase. For every £1 of grant received, the Mercury has generated £3.5 in return. Of those attending events and performances at the theatre, 39 percent come from less-affluent demographic groups. Audience satisfaction levels continue to be high, with data captured to build in-depth profiles of audiences.

The Panel thanked those who had given presentations and underlined the positive nature of the work being undertaken by the three organisations, both for local residents and on the national and international stage. Panel members highlighted the positive impact of outreach services provided, specifically in the savings these entail for social services and, by extension, taxpayers. In response to a question regarding what calculations were being

made to assess this impact, Steve Mannix informed the Panel that the Mercury had run two pilot schemes for calculating and tracking health and wellbeing of participant groups, which are to be compared to national standards and the effect of activities assessed. The Holiday Fund Programme run by Firstsite had received NHS funding as the Health Service recognised the contribution this could make to preventative care.

The importance of reaching as many individuals as possible was emphasised by a member of the Panel, who requested further detail regarding the figures provided, specifically whether a measure could be applied to identify the number of individuals engaging with the three organisations per year, rather than the total number of individual visits. The number of individuals using an organisation's services would have a bearing on the likely success of future applications for grant funding. Tracey Childs and Steve Mannix explained that the Mercury compiles statistics and demographic data relating to first-time users and repeat attendees. These could be provided, should Panel members wish to examine them. Different events at each venue attracted a range of different audiences and participants from across the Borough and beyond. The Panel were informed that all organisations in receipt of Arts Council England grants were required to carry out scoping on audiences and participants. The need to attract a wide range of people necessitated the existence of a wide range of 'entry points' to each organisation. These included a variety of activities, and a range of pricing options to allow individuals across the income spectrum to take part in these activities and enjoy performances.

In response to a question regarding sensitivity testing, and likely effects of reductions or increases to the amount of Strategic Arts Grant funding from the Borough Council, Steve Mannix explained that the 12.5 percent funding received across the organisations in the current year had resulted in the Arts Council awards being capped. This has led to apprehension regarding further investments until agreements have been confirmed. The Arts Council have offered an indicative award spanning four years, but the current actual funding award has been for the span of two years. Councillor T. Young, Portfolio Holder for Business and Culture, described the difficult process which had been undertaken to reduce Borough Council funding over two years in response to budgetary pressures. It was his view that this funding could not be reduced any further without this becoming counter-productive, and that the opportunities for art, education, training and gaining experience needed to be spread throughout communities.

A follow up question was asked by a Panel member who wished to know what evidence could be presented by arts organisations to make the case for additional funding from Colchester Borough Council, especially where outreach work was being planned or carried out to provide additional benefits within communities. The representatives of the arts organisations present praised the continuing willingness of the Borough Council to provide funding to arts organisations and repeated the important role of local authority funding in allowing organisations to then successfully bid for large-scale funding from Arts Council England. An increase in local authority funding would likely raise or remove the cap placed by Arts Council England on the level of funding it then provides. Steve Mannix noted that the organisations could apply for funding from sources which the Borough Council could not themselves access. These include charitable foundations and individual donors. He tied the importance of investment in the arts in to the inclusion of Arts, Culture and Heritage as a key component needed for a local area to bid for a grant from the Government's Future High Streets Fund. This included the footfall generated in the town centre by arts organisations and venues in Colchester.

Councillor King, Portfolio Holder for Resources, praised the work of the organisations represented at the meeting and informed the Panel and its guests that, should he remain Portfolio Holder for Resources following this year's Borough elections, he would enter discussions with the Portfolio Holder for Business and Culture to ascertain whether additional funding would be possible, and to attempt to give long-term certainty as to the level of Strategic Arts Grants in future years. A further member of the Panel requested information as to what commitments could be made for multi-year funding, to give this long-term certainty and provide stability. The representatives of Firstsite and The Mercury Theatre emphasised the impact of having certainty of funding in relieving pressure and allowing organisations to concentrate on pursuing their aims and projects, as well as pursuing additional funding from elsewhere. If local authority funding could move to a three- or four-year cycle, this would mirror Arts Council England and would build confidence in the organisations, making it more likely that applications for funding from other sources to be successful. Councillor T. Young indicated that he would lobby for such certainty to be given, following this year's Borough elections. Councillor King voiced his agreement that, if possible, the provision of Strategic Arts Grants should move to a longer cycle, in line with that of Arts Council England.

A member of the Panel drew the distinction between 'investing in the arts' and 'investing in order to save money', and the difference in approaches and mindsets these engender. The organisations were urged to promote heavily the outreach and community work that they do, and the positive externalities which they create. Emphasising the return which he Borough Council will see for each £1 it invests will help organisations to be successful bidding for funding. Councillor T. Young re-emphasised the intangible benefits which arts organisations are producing within the Borough but gave caution that it was often impossible to quantify these or identify to what extent the work done by these organisations had led to improvements. Statistics would often be difficult to obtain.

A Panel member drew the Panel's attention to the positive effect engagement with the arts often had on wellbeing and mental health, citing the concern regarding high rates of depression being identified in young men.

A question was asked by the Panel as to whether the increase in promotion of events and performances hosted by the Borough Council had had an impact on the existing arts organisations in Colchester. Steve Mannix confirmed that The Mercury Theatre carried out ticketing functions for Charter Hall and most of the events in Castle Park. This leads to larger profits on Borough events, avoiding the need for the Council to set up a stand-alone ticketing service. The consensus view was that the more artistic activities are held, the greater the increase in use of all venues would be.

A Panel member recounted their experience of using Firstsite over the years, and the change in the venue's attitude over the years, praising the current approach to engaging with people and making it welcoming for families and children from across all demographics. This in turn helps increase the footfall in the town centre in general.

In response to questions about aspirations for the future, Steve Mannix identified better venue toilet facilities, parking and other ancillary facilities in the Borough as being areas where improvements could help. Anthony Roberts expanded on this to say that additional income could be used to improve the holistic experience of visiting the venues, improving a multitude of elements

RESOLVED that

(a) the representatives of Colchester Arts Centre, Firstsite and the Mercury Theatre be thanked for their presentation;

(b) the Panel reviewed the range of programmes delivered by each organisation and considered that they effectively and admirably supported the Council's strategic priorities and provided value for money for the funding provided.

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207. Work Programme 2018-19

The Panel considered the draft work programme and noted that this being the final meeting of the Panel in this municipal year, the new Work Programme would be populated and presented to the Panel in the new municipal year. This would include the item on North Essex Garden Communities, which would be scheduled for the first meeting of the new municipal year.

RESOLVED that the work programme 2018-19 be noted.

Scrutiny Panel

Wednesday, 22 May 2019

Attendees: Councillor Kevin Bentley, Councillor Tina Bourne, Councillor Beverly Davies, Councillor Paul Dundas, Councillor Chris Hayter, Councillor Mike Hogg, Councillor Sam McCarthy, Councillor Lorcan Whitehead

Substitutes: No substitutes were recorded at the meeting

Also Present:

208 Appointment of Chairman

RESOLVED that Councillor Beverly Davies be appointed Chairman for the ensuing Municipal Year.

209 Appointment of Deputy Chairman

RESOLVED that Councillor Kevin Bentley be appointed Deputy Chairman for the ensuing Municipal Year.

11 June 2019

Report of	Strategic Director of Policy & Place	Author	Ian Vipond ☎ 282992
Title	North Essex Garden Communities Project		
Wards affected	All		

1. Executive Summary

- 1.1 The North Essex Garden Communities Project was created by Braintree, Colchester, Tendring and Essex County Councils to facilitate the Councils' shared ambition to promote, plan and deliver sustainable strategic growth in North Essex in the emerging Local Plans via Garden Communities at a scale and over the long-term; providing the housing, employment and necessary supporting infrastructure required to ensure the best outcomes for current and future communities of North Essex.
- 1.2 This report provides the Panel with an update on the North Essex Garden Communities project and budget.

2. Action Required

- 2.1 The Panel is asked to consider and note the contents of this report.

3. Background Information

- 3.1 Colchester Borough Council, Braintree District Council, Tendring District Council and Essex County Council have been working collaboratively to facilitate their shared ambition to develop Garden Communities in the district council's emerging local plans and created the North Essex Garden Communities project. Each of the four authorities have contributed equally to the cost of the project. These contributions have been the subject of formal decisions made by the respective Councils' Cabinets or Portfolio Holders. Colchester Borough Council holds and manages the project budget on behalf of the four authorities.
- 3.2 The four authorities established North Essex Garden Communities Ltd (NEGC Ltd). As shareholders for NEGC Ltd the four authorities have been working on an agreed strategic approach to the allocation and distribution of large scale, mixed use development, including employment opportunities and infrastructure provision in the proposed Garden Communities.
- 3.3 As shareholders the four authorities exercise control over NEGC Ltd by means of a required approved business plan for the company. Cabinet at its meeting on 21 November 2018 considered and approved a report entitled "North Essex Garden Communities Ltd – Shareholder Approvals and update" a copy of which is attached to this report at Appendix A. This report also contained the North Essex Garden Communities Limited's Interim Business Plan and budget for 2018 /19 which was also approved by Cabinet.

- 3.4 The Council manages the North Essex Garden Communities project budget on behalf of the four authorities. The project budget will only be transferred from Colchester to NEGC Ltd when the four authorities agree that it is appropriate to do so. Details of the project budget are included at paragraph 5.
- 3.5 NEGC Ltd Board has considered a draft Business Plan for 2019/20 which will be submitted to the four authorities later in the year for them to approve as Shareholders.

4. Strategic Plan References

- 4.1 Strategic planning supports all four of the strategic goals in the 2018-21 Strategic Plan, including Growth, Responsibility, Opportunity and Wellbeing.

5. Financial Implications

5.1 NEGC Project Position for 2018/19

The table below summarises the budget position on the NEGC project for 2018/19 with actuals and accruals to end of January 2019.

This showed that based on forecast spend for the year there will be c£84k left to carry forward into financial year 2019/20.

	Actual	Accruals to end January 2019	Total to date	Forecast for year
BUDGET AREA:	£'000	£'000	£'000	£'000
Delivery Team	340	146	486	575
Legal Support:				
Delivery Vehicle	67	64	131	231
Planning	NIL	86	86	86
Other	242	(185)	57	138
Delivery Support:				
Corporate Finance	243	99	342	410
Project Management	60	12	72	85
External Audit	6	8	14	19
Specialist Delivery Advice	346	76	422	515
Property Consultants	53	93	146	180
Infrastructure	NIL	120	120	146
Other	115	173	288	365
Planning	(23)	90	67	95
Community & Comms	101	88	189	217
Contingency	3	15	18	35
TOTAL EXPENDITURE	1,553	885	2,438	3,097
FUNDED BY:				
Reserves b/fwd	1,526	NIL	1,526	1,526
Government Grant	190	NIL	190	1,190
Contributions from Essex Councils	465	NIL	465	465
TOTAL FUNDING	2,181	NIL	2,181	3,181
Reserves c/fwd	628	(885)	(257)	84

Notes:

- Figures shown are on an accruals basis and not 'cash'.
- Accruals are based on best view of value of work to end of January.
- NEGC have commented that the accruals are prudent.
- The 'Contributions from Essex Councils' are based on amounts invoiced.

5.2 Movement from end of January to end of March 2019

The forecast cost for the remainder of this year is £660k. Of this:-

- c£180k is staff cost (incl. interim operational cost)
- c£250k is for legal and financial consultancy
- c£140k is for consultant support on property

Subject to actual accruals and final cost definition the carry forward to next year could be greater than forecast.

6. Consultation and Publicity Implications, Health, Wellbeing and Community Safety and Implications and Health and Safety Implications

6.1 No direct implications.

List of Appendices

Appendix A – Cabinet report 21 November 2018 and NEGC Ltd Interim Business Plan and Budget 2018/19

21 November 2018

Report of	Strategic Director of Policy & Place	Author	Ian Vipond ☎ 282992
	Section 151 Officer		Sean Plummer ☎ 282347
	Monitoring Officer		Andrew Weavers ☎ 282213
Title	North Essex Garden Communities Ltd – Shareholder Approvals and update		
Wards affected	All		

1. Executive Summary

- 1.1 North Essex Garden Communities Ltd (NEGC Ltd) was established in January 2017 by Braintree, Colchester, Tendring and Essex County Councils (the company shareholders) and is the strategic delivery vehicle for the North Essex Garden Communities project. The basis for this is the Councils shared ambition to promote, plan and deliver sustainable strategic growth at scale and over the long-term; providing the housing, employment and necessary supporting infrastructure required to ensure the best outcomes for current and future communities of North Essex.
- 1.2 In the period to date NEGC Ltd has developed its strategic rationale and operational capacity with the support of both its' shareholder Councils, the Ministry of Housing, Communities & Local Government (MHCLG) and key national agencies such as Homes England. The North Essex Garden Communities project is part of the national Garden Towns Villages & Cities programme run by MHCLG which provides direct access to other Garden Towns with associated learning and knowledge/information sharing opportunities, and resources. NEGC Ltd is the largest and most ambitious project in the programme.
- 1.3 The role of NEGC Ltd has been successfully developed to the point where it is a fully operational company recognised by the public, private sectors, and local communities, as the focal point for the North Essex Garden Communities project. This includes developing a strategic proposition for the North Essex Garden Communities which has gained significant traction with key government departments and the development industry. This report provides an update on overall progress to date and seeks approval of key documents and resources which are required to ensure the effective operation of the company moving forward.
- 1.4 This report overall seeks the Council, as one of the 4 shareholders, to continue to support North Essex Garden Communities Ltd as the strategic delivery vehicle for the North Essex Garden Communities projects through approval of both an Interim Business Plan, Budget and Financial Procedures.

- 1.5 The Board of NEGC Ltd as agreed an Interim Business Plan for 2018-19 for approval by its shareholders setting out the vision, objectives, workstreams and funding requirements for the company in order to continue to support delivery of North Essex Garden Communities. Key tasks during the year are to evolve the approach to master-planning, innovation, economic development, programme funding, governance and delivery including consideration of transition towards a locally led development corporation style of approach to delivery of the NEGC project. The potential for the establishment of a Development Corporation will form part of an options appraisal of a range of options for future delivery of the NEGC programme.
- 1.6 The Interim Business Plan is a precursor to the future preparation of a 5 year Business Plan which will be progressed when further progress is made with the Local Plan. This is considered to be the best, and most prudent, approach to ensuring that NEGC Ltd continues to deliver positive outcomes on behalf of shareholders and grant funders as the overall North Essex Garden Communities project progresses.
- 1.7 The Interim Business Plan includes a draft budget for 2018/19 which requires agreement of shareholders (as part of agreeing the Interim Business Plan). The budget is based on an expenditure of £2.967m against an income of £3.216m. The assumed income includes an additional £100k contribution from shareholder Councils within 2018/19. The budget currently assumes an additional £1m from Government in 2018/19. A final determination is still awaited on the exact amount of Government support; however, in the event that this support is less than is assumed, NEGC Ltd will scale back and/ or cease certain activities contained within the interim business plan, commencing from the beginning of January 2019, so as to mitigate the budget shortfall. In these circumstances Councils will also be provided with a further update. The forecast end of year balance is £249k which is assumed will be carried forward to future years. This report therefore seeks agreement to commit £100k from the Council subject to a formal request from NEGC Ltd.
- 1.8 To date the funding and spending for NEGC Ltd has mostly taken place through Colchester Borough Council's accounts. The Interim Business Plan assumes that in future is that a significant part of the 2018/19 budget will pass to NEGC Ltd, although with some project costs being retained within the Council's account. The allocation of costs will be based on assumptions of which costs should be appropriately met by NEGC Ltd. It is proposed that the allocation between the authority accounts and NEGC Ltd will be determined by the shareholder council's Section 151 officers.
- 1.9 Alongside the Interim Business Plan NEGC Ltd is required to conduct its business efficiently and to ensure that it has sound financial management policies in place, which are strictly adhered to. Part of this process is the establishment of Financial Regulations, which set out the framework which NEGC Ltd will use to manage its financial affairs, and this requires the approval of shareholders.
- 1.10 Note that this report does not, other than for information, address any Local Plan issues. Decisions relating to the Local Plan and any wider planning functions are dealt with separately. Any decisions made in relation to, or by, NEGC Ltd cannot predetermine or prejudge the outcome of the proper Local Plan process.

2. Recommended Decisions

- 2.1 To approve the implementation of an Interim Business Plan (subject to confirmation of government funding) for NEGC Ltd for 2018/19 including the associated Budget as set out in Appendix A;
- 2.2 To approve the Financial Procedure Rules for NEGC Ltd as set out in Appendix B;
- 2.3 To authorise the Section 151 Officers to agree any future allocation of the project funds held by Colchester Borough Council between NEGC Ltd and the North Essex Authorities;
- 2.4 To approve committing £100k from the Garden Communities Budget upon a formal request by way of a NEGC Board resolution.
- 2.5 To note that a report will be considered at a future Cabinet meeting in respect of funding assumptions for 2019/20; and
- 2.6 To agree the preparation of a full options appraisal of the Garden Communities delivery options to enable members to take future decisions on potential Development Corporation proposals, with linked oversight arrangements between the North Essex Authorities.

3. Reasons for Recommended Decision

- 3.1 To seek Cabinet's on-going support, working together with Braintree District Council, Essex County Council and Tendring District Council, to progress the concept of 'garden communities' and to approve the interim business plan for 2018/19 for NEGC Ltd and governance arrangements for the project.

4. Alternative Options

- 4.1 No further options are being presented within the context of this report, as the alternative decision would be not to approve the Interim Business Plan, Budget and Financial Procedure Rules.

5. Background Information

- 5.1 Colchester Borough Council, Braintree District Council, Tendring District Council and Essex County Council (the North Essex Authorities) as Shareholders for NEGC Ltd have been working on an agreed strategic approach to the allocation and distribution of large scale, mixed use development, including employment opportunities and infrastructure provision, in the form of Garden Communities.
- 5.2 As part of this agreed approach, Cabinet of each of the Authorities agreed in December 2016 to establish a dedicated delivery structure and special purpose vehicle for the Garden Communities. This included:
 - The setting up of NEGC Ltd, being a corporate entity wholly owned by all the four Authorities; and
 - To approve the NEGC Ltd Shareholder Agreement, with each Authority holding an equal shareholding.

- 5.3 Since this approval, NEGC Ltd has been formally established with Directors being appointed by each of the North Essex Authorities. The Board of NEGC Ltd is currently chaired by Essex County Councillor, John Spence and since January 2017 has been meeting regularly.
- 5.4 In September 2017, the Cabinet of each Authority supported the approach of NEGC Ltd and its Directors to actively engage with Government to promote the positioning of the NEGC Ltd as a “Responsible Body” for the establishment of a single new locally controlled Development Corporation across all three of the proposed North Essex Garden Communities – subject to the consideration of this approach by Members after the publication of the Regulations.
- 5.5 In order to enable NEGC Ltd to move forward it is required to adopt a number of key documents, procedure rules and approve its budget for the 2018/19 financial year. Under the terms of the Shareholders Agreement, the Shareholders prior written consent is required for a number of reserved matters. This includes the adoption of the Interim Business Plan, Budget and Financial Procedure Rules.

Interim Business Plan

- 5.6 NEGC Ltd is required to have in place a Long-term Business Plan, which is defined within the Shareholder Agreement as including a high level 5 year business plan in relation to NEGC Ltd and that such business plan shall cover, infrastructure requirements, finance, planning and such other matters as NEGC Ltd determines, and take into account the aims and requirements of the Master Plan.
- 5.7 The Shareholder Agreement requires the Long Term Business Plan to be submitted to the Shareholders within three months of the full board being appointed NEGC Ltd. The full Board was established in January 2017. The production of the Long Term Business Plan has not been possible to date, due to ongoing discussions around the future delivery model.
- 5.8 However, the Board are able, in accordance with the Shareholder Agreement, to operate under an Interim Business Plan until such time as a Long-term Business Plan is developed. Accordingly the NEGC Ltd Board determined at its meeting on the 29th March 2018 that the Company may operate under an Interim Business Plan for 2018/2019. The Board approved a revised Interim Business Plan on 16 July 2018.
- 5.9 The Shareholder Agreement does not require the Authorities to provide approval of the Interim Business Plan prior to its adoption by the Board. The proposed Interim Business Plan (Appendix A) for NEGC Ltd has been produced for the 2018/19 financial year largely to enable NEGC Ltd to provide support to the Local Planning Authorities in progressing Section 1 of their Local Plans and to develop proposals for a locally led development corporation.
- 5.10 The Interim Business Plan provides an overview of the vision, objectives, necessary workstreams, governance, funding and actions required to deliver NEGC Ltd’s scope of work and bringing forward a number of priorities during 2018/19 to move the Garden Communities towards the delivery phase. The key operational priorities include:
- Continuing to advocate and work with Government for the establishment of a locally led Development Corporation in North Essex including the preparation of a Development Corporation operating structure and funding requirements for testing with Government;

- Undertaking initial work with the Councils to prepare a mandate in support of a designation for a locally led Development Corporation that is financed and supported by all NEGC Ltd's directors and shareholders;
- Stepping up engagement with the existing and proposed new communities to give them a strong sense of ownership of the emerging new Garden Communities;
- Assisting the Councils as planning authorities by carrying out further work in relation to the Local Plan evidence base including: additional infrastructure, delivery and phasing work; demonstrating the viability of the Garden Communities; and input into the Rapid Transit System work;
- Assisting in the creation of a North Essex Economic Strategy, and ensuring that it maximises the benefits to Garden Communities;
- Preparing a costed Business Plan for approval by the Board by January 2019;
- Exploring the approach to secure an interest in land either via negotiation or compulsory purchase;
- Evolving the optimum approach to delivery including the corporate delivery and financing structure, exploring finance agreements with potential external funding and delivery partners;
- Engaging with Infrastructure and Utility providers to confirm anticipated infrastructure demand and how it may be provided (considering the benefit of public/private ownership options), over the proposed NEGC development period.

5.11 Key tasks during the year are to evolve the approach to master-planning, innovation, economic development, programme funding, governance and delivery including consideration of transition towards a locally led development corporation style of approach.

5.12 NEGC Ltd will present options to the North Essex Authorities in 2019 to consider and decide upon the future operating model(s) for the delivery of the garden communities.

5.13 The Interim Business Plan will act as a precursor to the preparation of a 'Long-term Business Plan', which NEGC Ltd will be in a position to begin preparing.

5.14 The Interim Business plan sets out the Vision, Strategic Objectives and key operational priorities for NEGC Ltd during 2018/19:

5.15 Key activities for each of the work streams and activities that will be undertaken by NEGC Ltd during 2018/19 are included within the document, together with details of its Programme Management. In common with all business plans this document will be kept under review.

6. 2018/19 Budget

6.1 In March 2018 NEGC Ltd altered its financial year to enable it to end on 31st March in each year, rather than 31st August. This allows for NEGC Ltd's accounting period to follow that of the North Essex Authorities and will make it easier to administer in the long

term. Accordingly, the 2018/19 NEGC Budget has been produced by NEGC Ltd and is included within the Interim Business Plan.

6.2 The Shareholder Agreement provides that the draft Budget must be approved by the Authorities prior to its adoption by NEGC Ltd. It further provides that the Board shall submit any draft Budget to the Authorities no later than two months before the start of each financial period of NEGC Ltd. However, the change to the accounting period occurred immediately prior to the new accounting period commencing and therefore it was not possible for the two months' notice to be provided on this occasion.

6.3 The following table sets out a summary of the budget for 2018/19 by work stream, including key sources of funding. The budget includes provision for the additional work required to progress the locally led development corporation proposition in conjunction with Government.

	2018/19
	£'000
Workstreams:-	
Project Resource / Delivery Team	689
Legal Support	330
Delivery Support	1,437
Planning	190
Community & Communications	130
Contingency	191
Total expenditure	2,967
Funded by:-	
Assumed balance of funding b/f April 2018	1,526
Local Authority contributions	500
Government Funding	1,190
Total Funding	3,216
End of Year balance (c/f)	249

6.4 There are a number of key assumptions to note in the budget forecast:-

Expenditure

- The project resource and delivery team includes the managing director of NEGC Ltd and staff resources seconded to the project. This budget also includes an allowance for support services provided to NEGC Ltd such as HR, finance, ICT and accommodation.
- Provision for specialist advice and support across legal, finance and land and property matters is included.

Income

The Government Grant funding includes two amounts:-

- £190k – additional funding received from Government earlier in the 2018/19 financial year.

- The budget currently assumes an additional £1m from Government in 2018/19. A final determination is still awaited on the exact amount of Government support; however, in the event that this support is less than is assumed, NEGC Ltd will scale back and/ or cease certain activities contained within the interim business plan, commencing from the beginning of January 2019, so as to mitigate the budget shortfall. In these circumstances Councils will also be provided with a further update.

Local Authority Contributions

- 6.5 The Interim Business Plan and associated budget includes the assumption that the North Essex Authorities will commit additional funding of £100,000 each in 2018/19. The request from NEGC Ltd is that this funding is set aside by each authority for future drawdown from NEGC Ltd should it be required. In addition, NEGC Ltd is seeking a further £40k from third parties including Uttlesford District Council.
- 6.6 It should be noted that in total there is a forecast budgeted surplus and it is assumed that this will be carried forward into 2019/20.

Transfer of the Project Budget

- 6.7 In February 2016 the North Essex Authorities agreed to commit £250,000 to support the joint work on the garden communities project. An additional £250,000 from each North Essex Authority was approved in September 2017 to fund further work undertaken by NEGC Ltd in the development of the project. In addition to the contributions from the North Essex Authorities grants from the Government of just over £2m have been received to support the project.
- 6.8 To date the funding and spending has mostly taken place through Colchester Borough Council's accounts. At the end of 31 March 2018 the balance held was c£1.526m.
- 6.9 The Interim Business Plan assumes that in future part of the 2018/19 budget will pass to NEGC Ltd, with some costs retained in the Council's accounts. The allocation of costs will be based on assumptions of which costs should be appropriately met by NEGC Ltd. It is proposed that the allocation between the authority accounts and NEGC Ltd will be determined by the North Essex Authorities Section 151 officers.

7. Financial Procedure Rules

- 7.1 The Shareholder Agreement identifies the approval of NEGC Ltd's Financial Procedure Rules as a reserved matter, and therefore they must be approved by the Shareholders prior to implementation by NEGC Ltd.
- 7.2 NEGC Ltd is required to conduct its business efficiently and to ensure that it has sound financial management policies in place, which are strictly adhered to. Part of this process is the establishment of Financial Regulations, which set out the framework which NEGC Ltd will use to manage its financial affairs. They set out levels of responsibility and gives clearly identified financial authority to the Board, Group Managing Director and Responsible Finance Officer and are intended to promote good practice in the use of public funds.

- 7.3 The proposed Financial Procedure Rules have been prepared in consultation with the S.151 and Monitoring Officers of each of the North Essex Authorities.
- 7.4 Rule 3.3 of NEGC Ltd.'s Financial Procedure Rules requires the Board to consider and approve its annual budget no later than two months before the start of the financial year. To facilitate the Councils supporting NEGC Ltd, a high level budget will be tabled in October each year which will allow any financial requirements (of the Councils) to be incorporated into the timing of the LA partners budget setting process.

8. Locally Led New Towns (Development Corporation) ("LLNTDC")

- 8.1 Each of the North Essex Authorities submitted a response to the Government's consultation on the New Towns Act 1981 (Local Authority Oversight) Regulations 2018 in December 2017. The new Regulations came into force earlier this year and Guidance has been issued that outlines the way in which LLNTDCs will work.
- 8.2 The New Towns Act 1981 allows the Secretary of State to designate a new town and to incorporate a New Town Development Corporation. Normally the Secretary of State then takes responsibility for all oversight of the Development Corporation. Further detail on the LLNTDCs are included within Appendix C.

9. Future Decisions and work programme

- 9.1 The North Essex Authorities remain committed to using Garden Community principles to secure the future housing requirements in the North Essex Authorities area. In light of the Inspector's initial comments following the examination in public, the local planning authorities are carrying out further work to ensure that the Local Plan is sound.

One of the issues that the Inspector will be considering will be the deliverability of the proposed garden communities. One of the options for delivery is a Locally Led New Town Development Corporation (LLNTDC) (see Appendix C)

No decision has been made about the use of an LLNTDC to deliver garden communities for North Essex. It is recognised that a substantial amount of work is required to review potential options for the Councils to consider a proposal at a later date and, if agreed, for a submission to be made to the Secretary of State. One of the substantive tasks for NEGC Ltd is therefore to prepare a full options analysis that can be considered by the North Essex Authorities.

- 9.2 Throughout the Interim Business Plan reference is made to NEGC Ltd working in conjunction with the Councils in a number of areas, this highlights the internal resource requirements over the same period, sharing resources with NEGC Ltd where it is reasonable and efficient to do so.
- 9.3 In parallel, but separate to the work required to respond to the outcome of the Section 1 of the Local Plan, the Councils will need to consider the form of Oversight Authority arrangements which could be put in place.
- 9.4 The North Essex Authorities will need an agreement in place to regulate their collective operation as an Oversight Authority. The contract will need to be in place ahead of any request to the Secretary of State to designate the three locations as locally led new towns and to incorporate a development corporation. Consequently, in addition to the work as set out in NEGC's Ltd.'s Interim Business Plan, over the forthcoming months, the

Councils will have to commence discussions on the potential oversight body arrangements, in readiness for any submission to request a Development Corporation, should the Councils decide to do so.

9.5 The following issues will need to be addressed in any agreement between the authorities:

- Agreement of controls on Development Corporation
- Changes to Development Corporation
- Delegation of responsibility
- Local Authority support for Development Corporation
- Process for terminating Development Corporation
- Dispute resolution
- Miscellaneous issues

9.6 On the current NEGC Ltd programme timetable the North Essex Authorities will be asked to approve the draft mandate for a Development Corporation following the Board's recommendation in September 2019. Subject to their approval, the Councils will submit the request for the appointment of the Oversight Authority and designation of Development Corporation in December 2019.

Schedule of milestone – key decisions

<i>SUBJECT</i>	<i>DECISION BODY</i>	<i>TIMESCALE</i>
<i>Local Plan (for information):</i> <ul style="list-style-type: none"> • <i>Review of additional evidence base and Sustainability Appraisal work</i> • <i>Major modifications requiring approval and consultation</i> • <i>Consultation feedback to the Inspector to make final decision following re-examination</i> • <i>Section 1 Adoption in 2019</i> 	<i>LOCAL PLAN COMMITTEE & COUNCIL</i>	<i>FEBRUARY 2019</i> <i>Section 1 modifications process completed by Summer 2019 after consultation and further examination</i>
<i>NEGC longer term Business Plan</i>	<i>CABINET</i>	<i>JANUARY 2019</i>
<i>Development Corporation</i> <ul style="list-style-type: none"> • <i>Approval of an agreement between the Councils to work collectively as Oversight Authority</i> • <i>Consideration of preferred structure for the future delivery of Garden Communities</i> <ul style="list-style-type: none"> - <i>including NEGC Ltd recommended option;</i> - <i>Consideration of alternative options, risks and liabilities</i> - <i>Funding decisions</i> 	<i>CABINET & COUNCIL</i>	<i>SEPTEMBER TO DECEMBER 2019</i>

10. Financial implications

- 10.1 This report set out the proposed budget for NEGC Ltd for 2018/19 and associated funding. The proposals include the allocation of £100,000 in 2018/19.
- 10.2 A budget carry forward of £43k was made into 2018/19 in relation to early garden communities work and this is available to part fund the required contribution. In addition, an allocation of £100k made in respect of land acquisition funded from New Homes Bonus is no longer required as the matter has been dealt with through Section 106 funding and therefore it is proposed that the balance of funding of £57k is funded in this way.
- 10.3 It is worth highlighting that based on current assumptions there is likely to be an ongoing commitment by the North Essex Authorities to fund the Oversight Authority arrangements required for a Development Corporation model. This will also be in addition to funding required to develop the project in the medium term before potential alternative private sector funding becomes available. Therefore, the £100,000 should not be viewed in isolation as it is likely that the North Essex Authorities will be required to consider further financial support of the project until such time as a more clear investment opportunity is presented where long term returns are anticipated.
- 10.4 Consideration of this further funding will be made when the NEGC Ltd.'s business plan for 2019/20 is presented to the North Essex Authorities and will be considered as part of the Council's 2019/20 budget proposals.

11. Legal implications

- 11.1 The General Power of Competence provided for by the Localism Act 2011 was relied upon as the authority for the District/Borough/County Council to establish and subscribe to North Essex Garden Communities Limited. Consequently, a Shareholders Agreement was entered into and the relevant provisions and requirements of the agreement are referred to within the context of this report.
- 11.2 In exercising the General Power of Competence Local Authorities must do so in a way which does not contravene any pre-existing statutory limitations. The actions identified in this report do not contravene any such restrictions.
- 11.3 The New Towns Act 1981 (Local Authority Oversight) Regulations 2018 came into force earlier this year, making provision for the local oversight of new town development corporations. Guidance has been issued that outlines the way in which LLNTDCs will work.
- 11.4 The 2018 Regulations apply where the Secretary of State, pursuant to section 1A(2) of the New Towns Act 1981 ("the Act") makes and order under section 1 of the Act appointing one or more local authorities to oversee ("an oversight authority") the development of an area as a new town ("locally led new town").
- 11.5 Further decisions will be required from both Cabinet and Council following consideration of an options appraisal before any request can be made to the Secretary of State for the North Essex Authorities to be appointed as oversight authorities and for LLNTDC's to be designated.

12. Risk Management Implications

Local Plan - Section 1

- 12.1 Section 1 was the subject of an Examination in Public for two weeks during January and a further session was heard on 9th May 2018, the Inspector issued a Post-Hearing letter on 8th June 2018 providing advice on the further steps considered necessary in order for the Section 1 Plan to be made sound and legally-compliant. 12.2. The Inspector also set out his views on the three main options available to the North Essex Authorities on how to proceed, acknowledging the local planning authorities will evidently need to take into account of the views, expressed within the letter, on the scope of the main modifications and further work that is needed.
- 12.3 The North Essex Authorities have decided to undertake further work to address the Inspector's concerns about Garden Communities and complete the examination of Section 1 before proceeding to Section 2. This work follows Full Council's agreed policy for long term housing growth.
- 12.4 This approach relies on satisfying the Inspector that:
- (i) The timetable for the additional evidence base and Sustainability Appraisal work is considered realistic. Failure to do so risks a delay in the examination process.
 - (ii) The Sustainability Appraisal adequately addresses the Inspector's concerns including obtaining initial agreement from the Inspector that the methodology is robust. Failure to do so risks the plan being found not legally compliant; failure to obtain initial agreement on the methodology risks delay in the examination process. There is also a risk that the North Essex Authorities, as planning authorities, decide, in light of the additional Sustainability Appraisal work, to pursue an alternative spatial strategy for large-scale growth.
 - (iii) The North Essex Authorities carry out the required work on the evidence base to address the Inspector's concerns including adequately addressing any subsequent concerns raised through consultation and at further hearing sessions. Failure to do so risks the plan being found unsound.
- 12.5 The above risks to the Local Plan process are being mitigated by the following respective measures:
- (i) The North Essex Authorities have carefully considered the scope of work required to address the Inspector's concerns. This has included working closely with relevant statutory bodies and consultants to devise a work programme which allows sufficient time to secure further commitments from infrastructure providers and the carrying out of further evidence base work (and Sustainability Appraisal work).
 - (ii) The North Essex Authorities have been working closely with new Sustainability Appraisal consultants to ensure the Inspector's concerns are adequately addressed and a revised methodology properly takes account of alternative sites and alternative spatial strategies.
 - (iii) As above, the North Essex Authorities have carefully considered the Inspector's concerns and have subsequently either commissioned new studies or are amending existing studies to ensure the Local Plan is sound. This mitigation includes working with the relevant statutory bodies and consultants to ensure the North Essex Authorities are suitably represented at further hearing sessions.
- 12.6 The North Essex Authorities / wrote to the Inspector on 22nd October 2018 to advise him that the Councils remained committed to using Garden Communities principles to secure

future housing requirements in the North Essex Authorities areas and will provide further evidence requested by the Inspector. A response from the Inspector is awaited/received to the North Essex Authorities letter but work has already commenced on the various pieces of evidence required, including the Sustainability Appraisal.

13. Equality and Diversity Implications

- 13.1 The Public Sector Equality Duty applies to the Council when it makes decisions. The duty requires us to have regard to the need to:
- (a) Eliminate unlawful discrimination, harassment and victimisation and other behaviour prohibited by the Act. In summary, the Act makes discrimination etc. on the grounds of a protected characteristic unlawful
 - (b) Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - (c) Foster good relations between people who share a protected characteristic and those who do not including tackling prejudice and promoting understanding.
- 13.2 The protected characteristics are age, disability, gender reassignment, pregnancy and maternity, marriage and civil partnership, race, religion or belief, gender, and sexual orientation. The Act states that 'marriage and civil partnership' is not a relevant protected characteristic for (b) or (c) although it is relevant for (a).
- 13.3 The proposals are for the approval of a range of key documents which will enable NEGC Ltd and its Shareholders to create an inclusive community which meets the needs of all residents regardless of whether or not they have a protected characteristic. The differing needs of people, including those with different protected characteristics, will need to be considered during the design and planning stage of the development and kept under review as the project progresses.

14. Strategic Plan References

- 14.1 Strategic planning supports all four of the strategic goals in the 2018-21 Strategic Plan, including Growth, Responsibility, Opportunity and Wellbeing.

15. Consultation and Publicity Implications, Health, Wellbeing and Community Safety and Implications and Health and Safety Implications

- 15.1 No direct implications.

List of Appendices

Appendix A - NEGC Ltd Interim Business Plan and Budget 2018/19

Appendix B - NEGC Ltd Financial Procedure Rules

Appendix C - Locally Led New Towns (Development Corporation)

List of Background papers

Cabinet Report – Establishment of the North Essex Garden Communities Local Delivery Vehicles and funding requirements– 30 November 2016

Cabinet Report – North Essex Garden Communities- Progress to date and key developments – 6 September 2017
NEGC Ltd Board papers insofar as published <https://www.ne-gc.co.uk/about/>

North Essex Garden Communities Ltd

Interim Business Plan

(Draft August 2018)



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1. Executive Summary

North Essex is a key location in the UK, well related to London, with international sea and air connections, as well as links to wider growth corridors across the South East.

Braintree District Council, Colchester Borough Council, Tendring District Council and Essex County Council have developed a shared vision for the future across North Essex, as set in their emerging Local Plans, The North Essex Garden Communities Charter and Prospectus.

The Councils have a shared desire to promote, plan and deliver sustainable strategic growth at scale and over the long-term; providing the housing, employment and necessary supporting infrastructure required to ensure the best outcomes for current and future communities of North Essex.

The centrepiece of the NEGC Programme is the creation of three new Garden Communities. These new settlements will act as the catalyst for economic growth and address the aspirations of the wider UK's population, making North Essex an attractive place to live, work and spend time for future generations to come.

These proposed Garden Communities will be key to creating a more prosperous North Essex through inclusive economic growth, with new businesses able to compete successfully in national and international markets. The intention is for North Essex to have a diverse and thriving economy, a great choice of job opportunities across many sectors, and growing prosperity and improving life chances for all its citizens, today and into the future.

The Councils have come together to create 'North Essex Garden Communities Ltd' (NEGC Ltd) as a private company wholly owned by The Councils with an overall mission to "lead, create, inspire and develop exemplar self-sustaining Garden Communities across North Essex through working proactively and effectively in partnership with local communities and key stakeholders."

This document has been produced to set an Interim Business Plan for NEGC Ltd for the 2018/19 financial year. It provides an overview of the vision, objectives, necessary workstreams, governance, funding and actions required to deliver NEGC Ltd's scope of work and bring forward a number of priorities for 2018/19 to move the Garden Communities towards delivery phase. A key task during the year will be to evolve the approach to masterplanning, innovation, economic development, programme funding, governance and delivery, including consideration of transition towards a locally led development corporation style of approach.

This Interim Business Plan will act as a precursor to the preparation of a 'Long-Term Business Plan' as defined within the NEGC Shareholders Agreement, which will align with the preferred delivery model approach and preparation of associated business case/s and set the basis for 2019/20 onwards.

2. Introduction

2.1 Introduction to North Essex

North Essex is a key location in the UK; it is well related to London, includes the country's largest deep sea freight port at Harwich and the third-largest air bound freight gateway at London Stansted Airport, as well as being related and linked to the growth areas of Cambridge and the economic growth corridors of Cambridge – Stansted – M11 and Cambridge – Milton Keynes – Oxford.

As a result, the area has seen significant growth in housing and employment over recent years, in particular around the key existing towns and settlements.

However, North Essex is a part of the UK economy that is currently underperforming in the context of the South East of England. Initial research has identified that the current GVA for North Essex is 0.8% pa compared to the UK national level of 1.3%. Furthermore, the North Essex area lags behind comparable GVA per capita in the South East with North Essex currently at £18k compared to at least £25k for comparator areas and £44k for Milton Keynes.

The North Essex Councils (Essex County Council, Braintree District Council, Colchester Borough Council and Tendring District Council – thereafter referred to in the remainder of this document as 'The Councils') are determined to work together to not only reverse this trend but to put North Essex on the international map.

To address this, The Councils have therefore developed plans to provide a catalyst for its economic ambition by creating what is currently the largest scale housing, employment and infrastructure project in the UK.

2.2 The North Essex Garden Communities Programme

The North Essex Garden Communities (NEGC) programme comprises a coalition of The Councils, established because of their shared desire to promote, plan and deliver sustainable strategic growth at scale and over the long-term; providing the housing, employment and necessary supporting infrastructure required to ensure the best outcomes for current and future communities of North Essex.

The centrepiece of the NEGC Programme is the creation of three new Garden Communities. Subject to examination through the Local Plan process, these new settlements will act as the catalyst for economic growth and address the aspirations of the wider UK's population, making North Essex an attractive place to live, work and spend time for future generations to come. This growth will require an appropriate response from The Councils to ensure that a broad range of new homes, employment opportunities, and supporting social and other infrastructure are provided in an effective and timely manner.

The Garden Communities concept is ideally suited to deliver on this local ambition because it can:

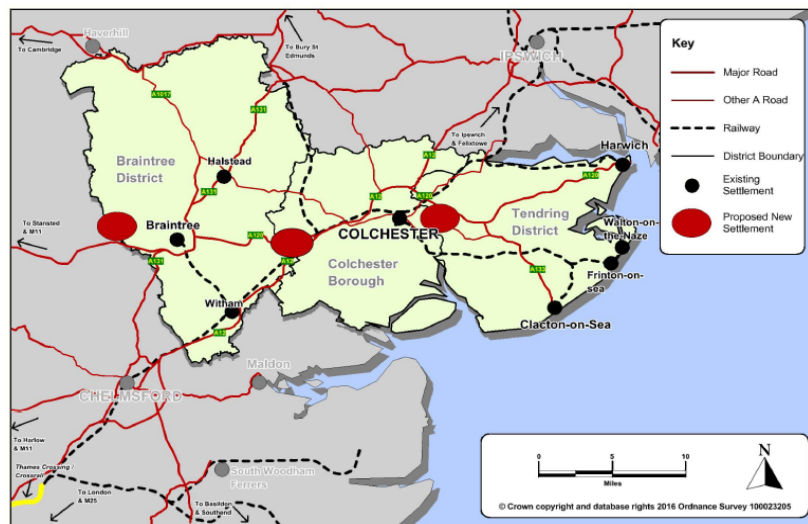
- Respond positively to the context of North Essex - providing the best of town and country;
- Be planned comprehensively with timely delivery of infrastructure;

- Provide a key role in promoting local economic development, both within the Garden Communities but also across the wider North Essex corridor, creating and attracting new jobs and businesses into the area;
- Place the concept and function of community at the heart of place making with active local engagement and long-term stewardship of community assets;
- Enable the provision of integrated and sustainable transport options, reducing reliance on the private car;
- Enable public sector leadership and a long-term approach to investment and community development; and
- Overall create a great place to live, work and spend leisure time.

Figure 1.1 shows the location of the three new Garden Communities that are proposed. These will accommodate a substantial amount of the housing and employment growth planned for North Essex within the Local Plan period, up to 2033, and well into the future:

- Tendring Colchester Borders, a new garden community will deliver between 7,000-9,000 homes (with at least 2,500 homes within the Local Plan period to 2033).
- Colchester Braintree Borders, a new garden community will deliver between 15,000-24,000 homes (with at least 2,500 homes within the Local Plan period to 2033).
- West of Braintree in Braintree DC, a new garden community will deliver between 7,000-10,000 homes (with at least 2,500 homes within the Local Plan period to 2033).

Figure 2.1: North Essex and locations of proposed Garden Communities



Each of the Garden Communities will be holistically planned new settlements that respond directly to their regional, local, and individual site context and opportunities, to create developments underpinned by a series of interrelated principles which are based on the Town and Country Planning Association (TCPA) Garden City Principles, adapted for the specific North Essex context through the NEGC Charter and NEGC Prospectus. Refer to Chapter 3 for further information.

The Garden Communities will be designed and delivered to attract residents and businesses who value innovation, community cohesion and high-quality environment, and who will be keen to take an active role in managing the garden community to ensure its continuing success. Residents will live in

high quality innovatively designed, contemporary homes, accommodating a variety of needs and aspirations. These will be set within a network of leafy streets and green spaces, incorporating and enhancing existing landscape features, and providing areas for leisure and recreation. The level of ambition is set out comprehensively in the ‘North Essex Garden Communities Charter’, produced in 2016 as part of initial work to inform and support the preparation of Local Plans. A North Essex ‘Strategic Narrative’ has subsequently been produced by The Councils to set out the strategic approach and rationale.

2.3 North Essex Garden Communities Ltd

In order to progress the delivery of the programme’s key objectives and ensure the delivery of the three Garden Communities, a new dedicated delivery structure has been put in place to take the proposals forward.

This delivery structure was approved by The Councils’ respective Cabinets and Council Committees in November and December 2016 with North Essex Garden Communities Ltd (NEGC Ltd) formally established on 30th January 2017 (Company No: 10319743).

In addition, site specific ‘Local Delivery Vehicles’ (LDVs) were also created on 30th January 2017 to potentially act as separate operating companies tasked with the delivery of each individual Garden Community.

NEGC Ltd was established as a wholly owned public entity between The Councils to act as the body to guide the proposed Garden Communities through the design process and into implementation, providing ultimate oversight and scrutiny of the delivery.

The Shareholders of NEGC Ltd are Essex County Council (Essex), Braintree District Council (Braintree), Colchester Borough Council (Colchester) and Tendring District Council (Tendring) (together referred to as “The Councils”) with each holding a 25% shareholding.

As approved by each of The Councils (as shareholders of the Company), the Directors of NEGC Ltd are currently nominated as:

- Cllr Tim Young (representing Colchester Borough Council);
- Cllr Neil Stock OBE (representing Tendring District Council);
- Cllr John Spence CBE (representing Essex County Council); and
- Cllr Graham Butland (representing Braintree District Council).

In addition to the Directors, there are nominated Alternate Directors in place for each of the shareholders as follows:

- Cllr Carlo Guglielmi (representing Tendring District Council in the absence of Cllr Neil Stock OBE);
- Cllr David King (representing Colchester Borough Council in the absence of Cllr Tim Young);
- Cllr David Finch (representing Essex County Council in the absence of Cllr John Spence CBE); and
- Cllr Lynette Bowers-Flint (representing Braintree District Council in the absence of Cllr Graham Butland).

Cllr John Spence OBE currently acts as the Chairman of the NEGC Ltd Board, a position that the Board has agreed should continue until the end of the 2018/19 financial year, or until such point as a Development Corporation is established in North Essex.

The Purpose of NEGC Ltd is set out in Schedule 1 of the NEGC Shareholders Agreement as follows:

The purpose of the Company is to coordinate the funding of the LDVs and to oversee and hold to account the LDVs in order to develop each of the Properties as Garden Communities, being self-sustaining communities which secures the future stewardship of public assets for community benefit, the design, development and delivery of which is underpinned by local public sector leadership, a strong vision and long term planning and effective engagement.

In addition to the above, and in August and September 2017, all four councils approved the ability for NEGC Ltd to explore with Government the potential for creating a locally led development corporation for North Essex. This is currently the primary focus of the work that NEGC Ltd will undertake ahead of progressing the Local Delivery Vehicles.

Alongside the Purpose, Schedule 1 of the NEGC Shareholders Agreement also sets out 11 objectives that a Garden Community should achieve. Refer to Chapter 3 for further information.

NEGC Ltd will operate to deliver its services in a commercial way, while maintaining high standards of integrity and social purpose. As a private limited company, it is controlled by Board Members who have a duty to promote the success of the company for the benefit of its shareholders as a whole.

The Board has an overall responsibility for overseeing the successful delivery of the Garden Communities across the area in accordance with Business Plans, planning frameworks and Local Plans.

The Board meets at least quarterly to carry out this work and receives regular reports on progress against operational matters and programme budgets.

2.4 Progress so far

The Councils have been working jointly for several years to plan effectively for long-term growth across the area. This has involved joint work prior to NEGC Ltd being formally set up. Considerable progress has therefore been made over recent years, including:

- Council commitment to funding the delivery vehicle to deliver the Garden Communities, (subject to Business Plans being agreed, affordability and value for money)
- Council commitment to leading the delivery of the Garden Communities including approvals for and the subsequent establishment of NEGC Ltd.
- Exploring the potential establishment of a locally led development corporation – which could become the first in the UK.
- In principle support from The Councils to long term public sector funding to enable delivery (subject to future business cases and being able to demonstrate affordability and value for money).

- Becoming part of the Garden Towns Villages & Cities programme run by the Ministry of Housing, Communities & Local Government (MHCLG). North Essex Garden Communities is the largest and most ambitious project in the programme. Being part of this programme provides direct access to other Garden Towns with associated learning and knowledge/information sharing opportunities.
- Since 2015, securing over £2m of capacity funding and support from MHCLG to support in bringing forward the design, planning and technical work necessary to evolve and bring forward the proposals. This is in addition to £2m of capacity funding that the partnership Councils have also contributed to the programme.
- Securing funding and in kind commitment from each of The Councils to provide necessary resources to lead on project management, planning, programming and communications, and evolving work on operational readiness.
- Coordinating the Council's approach to Local Plans, including the confirmation, publication and Examination in Public of a joint 'Part 1' of the Local Plans which sets out a shared strategy to growth in North Essex and preferred locations for new Garden Communities.
- Council preparation of Issues and Options strategic site Development Plan Documents (DPDs) for each Garden Community.
- Building relationships with land owners and promoters and establishing necessary structures to lead on the delivery of the proposals.
- Development of a community engagement programme, including providing community enablers for the benefit of each proposed community.
- Developing stewardship arrangements for the long-term maintenance of public amenities.
- Progressing work on a financial model, initiating discussion with Government over long term funding, soft market testing, and testing finance and scheme funding parameters.
- Increasing and direct high- level engagement with Government on the potential for direct infrastructure investment, the use of new delivery powers such as those enabled via the Neighbourhood Planning Act in respect of locally led development corporations, and opportunities for comprehensive land assembly.
- Two Forward Funding Housing Infrastructure Funding bids that were submitted by ECC for approximately £165m in total have been successful and have made it through to Round 2 which is a period of co-development of a potential business case.

A peer review of the programme has been undertaken by a team of experts led by Lord Kerslake. The report's recommendations can be found here [http://www.essex.gov.uk/News/Documents/Garden_Communities.pdf]. Since the review was conducted NEGC Ltd and The Councils have responded as follows:

- Preparing individual 'concept frameworks' for each community and a 'Prospectus' that sets out the vision for the programme as a whole
- Appointed a full time Group Managing Director for NEGC Ltd and dedicated project team.
- Strengthened engagement with Government including a number of high profile visits from Government officials to North Essex, including the MHCLG Permanent Secretary, Melanie Dawes, and adding Homes England representation to the NEGC Ltd Board

2.5 The Local Plan Process

The Local Plan process is clearly relevant to the work that NEGC Ltd will be undertaking in 2018/19. For the sake of clarity, it is therefore worth setting out the different roles that the Councils have in their function as planning authorities and their roles with respect to the operation and ownership of NEGC Ltd.

The three Local Planning Authorities (Colchester, Tendring and Braintree) are responsible for taking forward their respective Local Plans and are currently promoting the allocation of the Garden Community sites through their Draft Local Plans. The soundness of the Local Plans will ultimately be determined by an independent Inspector appointed by the Secretary of State.

However, it is clear that the work undertaken by NEGC Ltd to help to deliver the Vision is separate to, and will not pre-judge, the outcome of the Local Plan processes. Indeed, the work of NEGC Ltd does not propose to adjust or alter the approach to the Local Plan provisions regarding these communities.

Following the conclusion of the Section 1 Examination in Public (EiP) sessions, the Local Planning Authorities received two letters from the Planning Inspector during the course of June 2018. One letter concluded that the Local Planning Authority's approach to housing need was sound. This first letter set out his considerations and thoughts on the broad matters covered in the Section 1 evidence.

This first letter outlined some areas where the Inspector considers further work would need to be undertaken in order that the Garden Communities proposals contained in Section 1 could be found sound. The Inspector also provided three options for the Local Planning Authorities to consider in terms of moving forward: Option 1 which was to temporarily remove the Garden Communities from Section 1 and proceed with Section 2 Local Plans prior to reinstating Garden Communities proposals in the development plan subject to later decisions by the Local Planning Authorities; Option 2 which was continue with Section 1 and present further evidence for consideration at a future EiP; Option 3 was to start the Local Plan process again.

The Local Planning Authorities have considered those options and all three have decided to proceed by collecting the additional evidence required by the Inspector and asking the Inspector to continue with the Local Plan Examination. The Planning, transport/infrastructure and viability work that NEGC will need to do to support the Local Planning Authorities with progressing the evidence base therefore forms a significant part of the revised 2018/19 Interim Business Plan for NEGC Ltd

At midnight on Tuesday 24 July 2018, New Towns Act 1981 (Local Authority Oversight) Regulations 2018 came into force. In June 2018, MHCLG issued Guidance for the implementation of locally led development corporations. Taken together, these Regulations and Guidance enable Local Authorities to present a proposal to Government for the creation of a locally led development corporation in their area(s). NEGC is undertaking work to evaluate and develop a proposal for a locally led development corporation to deliver the three garden communities in North Essex. This delivery work therefore forms a significant part of the revised 2018/19 Interim Business Plan for NEGC Ltd. The aim is to prepare options for consideration by the Board and the Shareholder Councils during 2019.

2.6 Role & Purpose of this document

This document has been produced to set an Interim Business Plan for NEGC Ltd for the 2018/19 financial year to enable it to provide support to the Local Planning Authorities in progressing Section

1 of their Local Plans and to develop proposals for a locally led development corporation. It has been prepared in accordance with Section 5 of the NEGC Ltd Shareholders Agreement that says:

5.1 Interim Business Plans

Until such time as a Long-term Business Plan is adopted in with this Clause 5, the Company may operate under such business plan as the relevant Board shall determine.

This Interim Business Plan provides an overview of the vision, objectives, necessary workstreams, governance, funding and actions required to deliver NEGC Ltd's scope of work and bring forward a number of priorities for 2018/19 to move the Garden Communities towards delivery phase. Given the early stage of the wider project, and continual evolution of the programme's delivery approach, it is recommended that this document is kept under constant regular review.

This Interim Business Plan will act as a precursor to the preparation of a 'Long-Term Business Plan' as defined at Section 5.2 of the NEGC Shareholders Agreement. It is envisaged that this Long-Term Business Plan will be submitted to the Board for approval in January 2019 (noting that this may need to be reviewed should a decision be made on whether to proceed with a locally led development corporation).

3. Strategic Outline Case

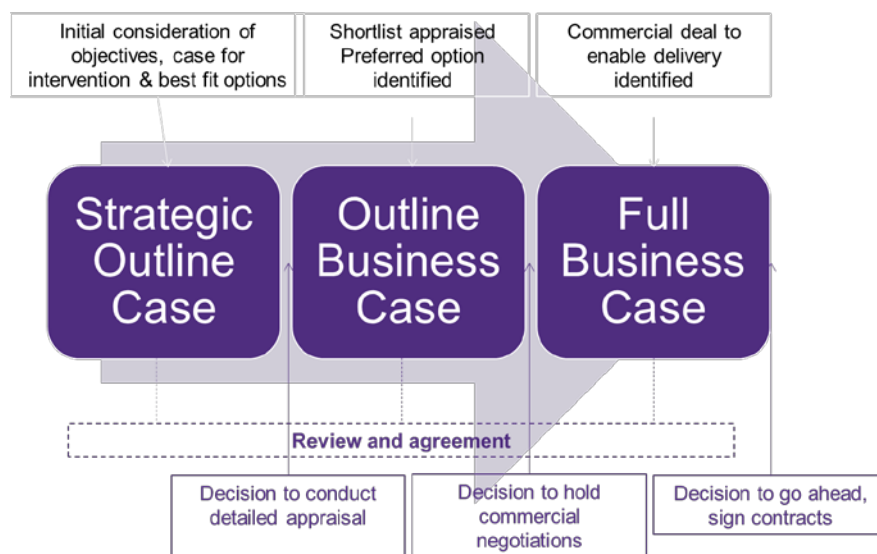
3.1 Introduction

The Councils have been evolving the approach to the NEGC programme for some time, including detailed consideration of the spatial approach to development across the local area (through the preparation of Local Plans), and associated consideration of delivery and implementation mechanisms.

Given the scope and scale of the anticipated public sector role in delivery, potential financing and the wider achievement of garden community ambitions, the approach that is adopted will need to accord with the process of preparing an appropriate ‘Business Case/s’ in line with the HM Treasury Green Book. This will be separate to but closely associated and aligned with wider business planning activity related to the operations of NEGC Ltd as set out in this document, and as required by the Company Articles of Association.

The overall process map relating to the preparation of such HM Treasury Green Book Business Case/s is set out at Figure 2.1, providing an overview of how the project progresses from outline to full detail stages.

Figure 3.1: Business Case Development Process Map



Work undertaken by The Councils to date has advanced work pertaining to several key components of the Strategic Outline Case stage of the process, most notably in defining the strategic need and partner objectives, and beginning to consider the associated management, commercial, financial and economic considerations.

The approach going forward through 2018/19 will further evolve and refine the way forward and lead to the preparation of a subsequent Outline Business Case/s in line with the Green Book methodology. This will enable The Councils and other partners to make decisions on the scope and scale of public sector direct involvement in the delivery process. This will focus on the planning (pre-procurement)

phase to better define the preferred option, value for money assessment, affordability and achievability. It will set out further information across:

- the Strategic Case – further evolving the business strategy aims and objectives;
- the Economic Case – a full review of business options, their economic appraisal (including consideration of benefits, risks and sensitivities);
- the Commercial Case – outlining the envisaged structure/s, key contractual terms/operational and implementation considerations;
- the Financial Case – a detailed analysis of funding needs, affordability and net impacts on income/expenditure and balance sheets; and
- the Management Case – setting out how the scheme will be delivered with an outline of the proposed programme/project management plan and procurement.

The final stage will be to draw together the approach into a Full Business Case/s, which will define and select the preferred service solution, fully define the implementation arrangements and funding requirements. This can follow relatively quickly from the outline stage.

Appendix B provides an overview of the key rationale for intervention and decision making to date, including the strategic context to the proposal, the case for change and an indication of the proposed way forward. It sets out information pertaining to several key components of the ‘Strategic Outline Case’ as per the HM Treasury Green Book and forms the basis of subsequent work in 2018/19, which will feed into the development of the ‘Outline Business Case/s’.

4. NEGC Vision & Strategic Objectives

4.1 Introduction

A mission statement, a vision and a set of objectives provides the strategic framework within which the company will operate and which emerging proposals can be evaluated over time. The strategic context will continue to evolve over time and new influences will undoubtedly emerge. This interim Business Plan for NEGC Ltd therefore represents a ‘starting point’.

4.2 Mission Statement for North Essex Garden Communities Limited

The overall Mission Statement for NEGC Ltd sets out in high level terms what the company will do:

To lead, create, inspire and develop exemplar self-sustaining Garden Communities across North Essex through working proactively and effectively in partnership with local communities and key stakeholders.

4.3 Vision for North Essex Garden Communities Ltd

The overall Vision Statement for NEGC Ltd sets out in high level terms why and how the company is pursuing its mission statement.

There have been a number of vision statements prepared for the individual North Essex Garden Communities projects including those set out in the Local Plan and NEGC Prospectus. The following overall Vision Statement for NEGC Ltd is consistent with both of these documents as well as the NEGC Charter.

Our vision is to establish an area for growth across North Essex that is of strategic national importance. At the heart of our vision are the creation of new Garden Communities where people want to live, work and play.

Our vision has three interconnecting strands: jobs, sustainable communities and a supportive infrastructure:

- **Jobs**: *to achieve our vision, we will strive to make North Essex an area of inclusive economic growth and prosperity, of strategic importance to the economy of the UK, with businesses capable of competing on a national and international stage. To make this happen we will help North Essex create a diverse and thriving economy, with a great choice of job opportunities across many sectors, and growing prosperity and improving life-chances for all its citizens, today and into the future;*
- **Communities**: *sustainable development principles will be at the core of the Garden Communities, balancing social, economic and environmental issues. The garden communities will attract residents and businesses who value innovation, community cohesion and a high quality environment, and who will be provided with opportunities to take an active role in managing the garden community to ensure its continuing success;*
- **Infrastructure**: *within the new garden communities, there will be a focus on providing the right level of infrastructure (roads, utilities, education, health, green areas, community and leisure centres etc.) at the right time to in a manner that supports the development of substantial new growth whilst ensuring that the countryside and heritage assets are protected and enhanced. Surrounding the garden communities, there will be a focus on ensuring that improvements to the supporting strategic infrastructure will be planned and implemented alongside the development of the new garden communities.*

4.4 Strategic Objectives for North Essex Garden Communities Ltd

The following strategic objectives have been derived from the objectives as set out in Schedule 1 of the NEGC Shareholders Agreement. They have been designed to deliver the mission statement and vision for NEGC Ltd. They have not been set in any order of priority on the basis that the delivery of Garden Communities requires a holistic approach that ensures the key strands are delivered in an inter-connected manner.

NEGC Ltd.'s overarching mission is to make North Essex a place where people want to live, work and play by delivering new Garden Communities. We will achieve that goal by delivering the following objectives:

- Undertaking consistent and meaningful engagement with existing and proposed communities to ensure they are at the heart of the Garden Communities' evolution.
- Fostering economic development within the Garden Communities in order to create a resilient and self-sustaining economy, and also offering access to a strong local jobs offer in North Essex in order to help achieve a better balance between the location of jobs and housing.
- Providing connectivity to and within the new Garden Communities to be achieved through the timely provision of physical and social infrastructure in an integrated manner to ensure ease of access and movement across the North Essex area.
- Focusing on innovation within the Garden Communities to future proof them by securing the delivery of a smart and sustainable approach to the design and management of services, infrastructure and utilities through the application of the highest standards of technology.
- Ensuring that the quality and design of place in the Garden Communities are seen to be exemplar and can create great places to live, work and play with access to great green spaces; in a manner that attracts both existing and future residents in North Essex as well as those from further afield, including the provision of different types of tenure.
- Establish and implement suitable models for the long term stewardship of community and place making assets that are structured and funded in a manner that provides long term management and governance of those assets.
- Achieve sustainability in its widest sense not only because the new Garden Communities are places that excel in their environmental quality and performance including healthy living, but also because the places are commercially sustainable in a manner that supports delivery and is capable of providing ongoing revenue receipts for reinvestment by the respective shareholders.

4.5 The North Essex Garden Communities Prospectus

A prospectus has been produced to set out and illustrate the strategic potential, with an ambition to establish North Essex as a key corridor of growth of national significance. The prospectus focusses on two key strands:

- creating a corridor of economic growth and prosperity, with North Essex having a diverse and thriving economy; and
- securing investment in all supportive infrastructure, ranging from transport through to green infrastructure, innovation, skills and social & community development.

The prospectus also sets out 10 strategies that will ensure that the objectives are delivered and these are listed below:

- Strategy 1: “Good Design” – the very best in Garden Community planning and design*
- Strategy 2: “Employment Opportunity” – growing the productive economy of North Essex*
- Strategy 3: “Green Infrastructure” – blue and green spaces all*
- Strategy 4: “Integrated and Sustainable Transport” - mobility for all*
- Strategy 5: “Smart and Sustainable Living” – community infrastructure*
- Strategy 6: “Living Environment” – new homes to support growth*
- Strategy 7: “Community Engagement”*
- Strategy 8: “Active Local Stewardship”*
- Strategy 9: “Strong Corporate and Political Public Leadership”*
- Strategy 10: “Innovate Delivery Structure”*

These strategies are consistent with NEGC Ltd mission statement, vision and objectives outlined in sections 4.1 – 4.4 above.

5. NEGC approach

5.1 Overarching approach

The delivery of this ambitious vision of the Garden Communities will require a positive and active approach by both the public and private sectors.

Notably, and different from standard development approaches, The Councils are taking a proactive approach to delivery of the Garden Communities – their masterplanning, promotion and development.

The approach reflects an anticipated need for strong public-sector leadership, but with flexibility to integrate appropriate partnership approaches and sharing of project risk and reward where these can deliver on the programmes objectives.

The active involvement of the public sector in supporting the delivery of the Garden Communities will be rewarded not just by the creation of great places for the residents of North Essex to live and work in, but also through unlocking a share of the value created through this endeavour.

For the delivery structure to succeed, deliver on the vision and realise the potential, there will need to be close working between The Councils, Government, landowners, developers, funding & delivery partners as well as local communities.

From the outset NEGC Ltd has been established to oversee and coordinate this activity.

It is also recognised that the delivery structure will need to adapt to local circumstances and adopt the most appropriate structure to deliver on the vision and objectives.

The Councils have agreed that NEGC Ltd should explore the establishment of a locally led new town style ‘Development Corporation’ as enabled by the Neighbourhood Planning Act 2017. A locally led Development Corporation has great potential to provide a strong and focussed body responsible for delivery with wide ranging powers in terms of land acquisition, funding and planning.

- Secure appropriate control and/or take ownership of the land through whatever means necessary (via negotiation or compulsory purchase);
- Bring forward proposals in line with an approved masterplan and secure necessary approvals);
- Undertake pre-development and facilitating works;
- Deliver infrastructure works to meet requirements of the masterplan, planning application/s and conditions;
- Create serviced development plots;
- Market the development sites and seek the best price achievable in the open market, consistent with the achievement of desired design and quality standards;
- Arrange development agreements with the successful bidders;
- Supervise the construction to ensure standards are achieved;
- Distribute the receipts in accordance with the terms of and associated land, funding or delivery partner agreements; and

- Ensure that public facilities and assets are adopted and/or transferred to appropriate bodies to secure their long term stewardship.

Funding arrangements would be agreed for each operational delivery body in liaison with NEGC Ltd. The operational delivery bodies would be responsible for identifying and securing appropriate funding to enable the provision of services and infrastructure at the time when it is needed by the community.

5.2 Approach to Planning & Infrastructure

The proposed Garden Communities will need to be planned carefully, be appropriately located, and accessible by a wide range of sustainable forms of transport. Provision will need to be made to provide the full range of supporting services and facilities. Job creation would need to go hand in hand with population growth to provide new and enhanced economic opportunities for existing and new residents.

Future growth at scale will undoubtedly create demand for additional road and rail use with the associated need for new and upgraded infrastructure, both within and outside the Garden Communities. The education needs of a growing population must also be addressed, requiring careful planning to assess future pupil numbers and address further education needs. Opportunities must be provided for local affordable housing, helping all on to the property ladder. The ageing profile of residents also requires a proactive response to provide the right type and mix of homes, including independent living and supporting services; as well as sufficient healthcare facilities to support both older residents and the population as a whole. It will also be important to ensure a housing mix that encourages older people to live in the Garden Communities from day one.

To facilitate this, NEGC will need to lead a programme of masterplanning work to enable progression once Section 1 of the Local Plan has been agreed. This masterplanning will enable the local Planning Authorities to progress further iterations of the Development Plan Documents for the three sites, a process that could evolve into the preparation of Local Development Order(s) should a Development Corporation designation be forthcoming.

In relation to Infrastructure, the timely delivery of this will be a central element of the work that NEGC will need to undertake in order to ensure effective delivery of well-planned Garden Communities. Infrastructure includes on-site (e.g. roads, utilities, energy, green spaces, education, health, community centres) and off-site (e.g. roads, public transport). The benefit of this 'infrastructure led' approach is that there can be more confidence by existing communities that the appropriate level of supporting infrastructure is planned, delivered and financed at the right times during the phasing of the future development of the Garden Communities.

5.3 Approach to Delivery & Finance

In order to give The District Councils as planning authorities, and the public, confidence that the communities will be delivered as intended, it is proposed that the public sector will take the primary responsibility – setting up and funding the delivery structure and ensuring the Garden Communities can deliver on their ambition.

The proposed approach is one of a public sector led delivery structure as set out above, with responsibility for bringing the projects forward through further design and planning stages, and into

implementation through the direct delivery of infrastructure alongside the generation of income from serviced land sales. The structure would facilitate the delivery of infrastructure and disposal of serviced plots to house builders/commercial developers who would be responsible for physical building construction costs and property sales, within approved design parameters. The approach does not preclude the opportunity for public sector stakeholders to directly deliver development should they wish, however it does enable The Councils and the delivery project vehicles to manage their risks.

In accordance with approved Cabinet decisions across The Councils, ‘in principle’ commitment has been given to consider funding. Subsequent business cases will determine a detailed set of funding requirements; including the scale of funding required and the timescales which will be relevant to each block of funding. This further work will be presented back to The Councils and will consider the appropriate future funding mix including opportunities for leveraging in private sector and other sources of funding.

5.4 Approach to Economy, Engagement & Communications

The development of three substantial Garden Communities amounting to around 45,000 homes requires an ambitious economic strategy for North Essex to ensure that the new settlements don’t just become dormitory towns but more importantly have a catalytic effect in the wider economy. At the heart of the economic offer for the Garden Communities will be the creation of an ambitious economic strategy for North Essex involving The Councils, the university, economic partnerships and NEGC. As this work progresses, key business representatives will also play an important role, ultimately becoming advocates for the strategy.

As NEGC moves more to the delivery phase, it will also need to focus on its PR and Communications activity. In particular, the masterplanning work (including infrastructure aspects as a key theme) will require a more in depth and sophisticated public engagement programme than has taken place to date – moving it away from being a statutory and Local Plan issue. In addition, the North Essex economic strategy will need to be communicated and ‘marketed’ both across the region and internationally.

5.5 Approach to Innovation

Given the long term nature and overall scale of the ambition, it will be important to ensure that the Garden Communities embed a forward thinking approach, including full and active consideration across new and innovative aspects of community life and place management. It will also be important to ensure that opportunities for innovation across the Garden Communities should support Garden City Principles and improves the quality of life for both new and existing residents.

Opportunities for innovation across the North Essex Garden Communities will be explored under three themes of ‘People; Place; & Operation’ to ensure they can accommodate and make full advantage of new and modern approaches that can add value. Opportunities could range from new forms of transport including accommodating future anticipated trends in movement, through to implementing the ‘Smart City’ agenda such as via technology and sensors to ensure the new places and associated utility infrastructure are run effectively and efficiently to achieve sustainability gains.

The approach will need to draw from the very best innovators from local, national and international realms. It will consider key opportunities and involve horizon scanning to ensure that NEGC Ltd is at the forefront of both thinking and implementation.

A key part of the approach will be the need to define the inter-relationships and pre-conditions needed to encourage and facilitate innovation across a variety of topics and themes and ensure these are embedded in the approach to related activity such as masterplanning and economic strategy development.

5.6 Approach to Legacy & Stewardship

The Garden Communities will be developed and managed in perpetuity with the direct involvement of their residents and businesses.

Residents will be directly engaged in the long-term management and stewardship, fostering a shared sense of ownership and identity. The legacy and stewardship approach will develop over many years, but from the outset will be planned to create the conditions needed to place people, community, identity and belonging at the heart of successful and healthy place making.

The development of community assets such as parks, allotments, community centres, other forms of communal space, schools, local centres and opportunities for formal and passive recreation will form guiding principles of the development.

An organisation, such as a community trust, Parish/Town Council or similar, could be set up and funded to maintain and develop community assets over the long term. The new community will be empowered from the start, secure community benefits in perpetuity and be provided with sufficient financial resources to deliver on this role. Although the approach to legacy and stewardship hasn't been settled yet, its remit might include:

- Provision and maintenance of parks, other open space & community assets;
- Generate revenue streams from endowments & community assets;
- Reinvest income for the benefit of the community;
- Advance public education, especially environmental awareness;
- Promote health and wellbeing, provide facilities for leisure and recreation; and
- Lead and coordinate local community development, including community events.

6. NEGC Ltd - Priorities & Deliverables for 2018/19

6.1 Operational Priorities for 2018/19

It is envisaged that the key operational priorities for NEGC Ltd during 2018/19 will be:

- Continuing to advocate and work with Government for the establishment of a locally led Development Corporation(s) in North Essex including the preparation of a Development Corporation operating structure and funding requirements for testing with Government.
- Undertaking some initial work with The Councils to prepare a mandate in support of a designation for a locally led Development Corporation in North Essex that is financed and supported by all NEGC directors and shareholders.
- Stepping up engagement with the existing and proposed new communities to give them a strong sense of ownership of the emerging new Garden Communities.
- Assisting The Councils with work required to progress their Local Plans including: additional infrastructure, delivery and phasing work; demonstrating the viability of the Garden Communities; and input into the Rapid Transit System work.
- Assisting in the creation of a North Essex Economic Strategy, and ensuring that it maximises the benefits to the Garden Communities.
- Preparing a costed Business Plan for approval by the Board by January 2019 (noting that this may need to be reviewed should a decision be made on whether to proceed with a locally led Development Corporation).
- Exploring the approach to secure an interest in land either via negotiation or compulsory purchase.
- Evolving the optimum approach to delivery including the corporate delivery and financing structure, exploring finance agreements with potential external funding and delivery partners.
- Engaging with Infrastructure and Utility providers to confirm anticipated infrastructure demand and how it may be provided (considering the benefit of public/private ownership options), over the proposed NEGC development period.

These priorities, along with the key Council dates, are set out in the table below:

NEGC Date	Council Date	Activity
July 2018	N/A	Development Corporation Regulations Laid in Parliament
Autumn 2018	N/A	Engagement on high level issues and opportunities with existing and proposed communities
September 2018	December 2018	Delivery of North Essex Economic Strategy
November 2018	December 2018 / January 2019	Development Corporation operating structure and funding requirements
January 2019	March 2019	Board to approve NEGC Ltd Full Business Plan with potential land deal(s)

Further detail on the sequencing of these milestones and the NEGC priorities is set out in **Appendix A** of this Business Plan.

Clearly, the creation of the Garden Communities is a long term programme. During the first few years of operation NEGC Ltd will be engaging and working with partners and local communities to further evolve the vision for the area, develop the forward strategy and agree longer term delivery plans.

6.2 Key Workstreams & Activities for 2018/19

It is envisaged that the operating structure will continue to be reviewed through 2018/19 and informed by a number of workstreams, to ensure that an appropriate approach is in place to deliver on the projects vision and objectives, and level of local ambition.

For NEGC Ltd to achieve the objectives, deliverables and targets set out in this document, there will need to be sufficient resources in place to take proposals forward.

Notwithstanding the above, key activities for each of the NEGC workstreams are set out below:

1. Development Corporation Mandate

The Councils agreed (through Cabinet resolutions in late 2017) that NEGC explores the potential for creating a locally led Development Corporation in North Essex. Since that time, NEGC has been helping and advising Government on amendments to the New Towns Act 1981 to facilitate locally led Development Corporations and how that might apply and benefit the North Essex Garden Communities programme. Government laid revised regulations in Parliament in July 2018. This now enables NEGC to develop an operating structure and funding requirements for a potential North Essex Development Corporation(s) and begin to work with The Councils to prepare a ‘mandate’ which will include a request for those powers to be devolved as part of any designation. The submission of this mandate would be subject to Section 1 of the Council’s Local Plans being found sound sometime during 2019.

During 2018/19 NEGC Ltd will:

- Develop an operating structure and funding requirements for a potential locally led Development Corporation in North Essex.
- Undertake some initial work on a draft Mandate for a potential Development Corporation in conjunction with The Councils.
- Continue to engage closely with Government to consider the scope and scale of Government involvement and support for a locally led Development Corporation in North Essex.

2. Business Strategy & Plan

This Interim Business Plan will act as a precursor to the preparation of a financed ‘long-term Business Plan’ as defined at Section 5.2 of the NEGC Shareholders Agreement.

During 2018/19 NEGC Ltd will:

- Work with The Councils to consider their ‘hard’ and ‘soft’ ambitions and wider objectives for the Garden Communities.
- Evolve the corporate delivery and financing structure to best achieve the aims and objectives of The Councils.
- Evolve outline business cases as necessary in relation to funding needs and financing proposals.
- Prepare a costed Long-Term Business Plan that will be submitted to the Board for approval in January 2019 and thereafter to The Councils for their approval.

3. Planning & Transport

- Undertaking Planning and Transport studies that assists The Councils with work required to progress their Local Plans including: additional infrastructure, delivery and phasing work; demonstrating the viability of the Garden Communities; and input into the Rapid Transit System work.

During 2018/19 NEGC Ltd will:

- Continue to provide assistance and advice to The Councils Local Plan teams in relation to the Local Plan (Section 1) process including the preparation of relevant key additional evidence and technical studies such as.
 - additional infrastructure, delivery and phasing work;
 - work to demonstrate the viability of the Garden Communities;
 - input into the Rapid Transit System work.

4. Infrastructure & Utilities

Extensive work has already been undertaken by Essex County Council working with Highways England on the route options for the A12 and A120 and also by all of four councils on the North Essex rapid transit proposals. It is envisaged that this work will be connected to the Planning and Transport workstream outlined above.

During 2018/19 NEGC Ltd will:

- Evolve demand and capacity studies for strategic on site infrastructure works, including opportunities to accelerate infrastructure delivery and benefit from Government funding initiatives.
- Continue to work with Essex County Council, Highways England, the Department for Transport, Government, and other relevant stakeholders to advocate for, and assist in, the delivery of the A12 and A120.
- Engage with Network Rail and other relevant stakeholders to consider and evolve wider infrastructure opportunities such as those presented in relation to access to the Greater Anglia network.

- Evolve the feasibility of the North Essex Rapid Transit System proposals in partnership with The Councils.
- Engage with utility providers to ensure their best co-operation and wherever possible the inclusion within their capital programmes of the relevant infrastructure demand from the proposed NEGC development.

5. Commercial Delivery

As part of the consideration of the locally lead Development Corporation, by both NEGC and The Councils, it will be necessary to consider the optimum approach to delivery, including the corporate delivery structure, funding options and sources to support the programme.

The delivery workstream will also need to consider whether commercial deals that meet the Development Corporation's objectives can be agreed with the existing landowners across the Garden Community sites or, alternatively, whether there is sufficient evidence to progress Compulsory Purchase Orders to gain control of the land once the Development Corporation is in place.

During 2018/19 NEGC Ltd will:

- Consider options for land control and securing appropriate infrastructure to enable a start on site within the required timescale.
- Fully investigate and identify the optimum approach to funding – both for short term revenue needs and longer-term infrastructure/land purchase.
- Fully assess the implications and opportunities offered via fully public sector funded route, including discussions with HMT, MHCLG and the HCA over their potential roles and potential for financial flexibilities.
- Identify and develop proposals for the financing and delivery of the development including infrastructure (e.g. master developer company) to ensure quality and deliver value for money.
- Investigate further the mechanism and opportunities presented by compulsory purchase powers.
- Investigate the potential for collaboration with partners in relation to cost synergies, for example the related commercial opportunities that the Garden Communities could bring to the 'peripherals' of the programme.

6. North Essex Economic Strategy

Work is currently underway and will continue throughout 2018/19 to develop an ambitious economic strategy for North Essex. This work involves NEGC, The Councils, the university, economic partnerships as well as other key economic stakeholders. This Strategy will aim to leverage economic growth from the Garden Communities for the benefit of North Essex as well as seeking to attract major employers to North Essex.

NEGC will play a pivotal role in the evolution and delivery of the North Essex Economic Strategy.

During the 2018/19 NEGC Ltd will:

- Work with The Councils and key partners to deliver the North Essex Economic Strategy, ensuring that it maximises the benefits of Garden Communities.
- Work closely with partner marketing and communications team to ensure that the North Essex Economic Strategy is communicated and ‘marketed’ both across the region, nationally and internationally.

7. Public Relations & Communications Strategy

As NEGC moves into facilitating the delivery of the Garden Communities, it requires an increase in its public relations and communications activity. This will be distinct and separate to The Councils engagement and consultation processes associated with the statutory Local Plan making process.

During 2018/19 NEGC Ltd will:

- Step up engagement with a programme to discuss high level issues and opportunities with the existing and proposed communities.
- Ensure that, the North Essex economic strategy is communicated and ‘marketed’ both across the region and internationally.
- Continue and advance the work already underway with partners and local communities to refresh the vision for the area and develop a strategy to market and deliver it.
- Continue to engage with the main areas of Government including MHCLG, Homes England, Department for Transport, Highways England and HM Treasury.
- Regularly brief and update all affected MPs on the Garden Communities.
- Engage in lobbying within Parliament, especially in relation to the Development Corporation proposal.

8. NEGC Company Matters

Work has been undertaken to enable NEGC Ltd to manage the key workstreams and activities. This work has investigated the potential for NEGC to undertake more of the processing for the financing and procurement activities utilising The Councils finance and procurement systems. This will remove the requirement for NEGC to have to rely exclusively on support from The Councils.

During the period, NEGC Ltd will:

- Create a suite of financial and contract policies to enable NEGC to operate and function more independently.
- Evolve and refine the in-house project management approach to include dedicated contract and budget management resources.
- Establish a NEGC company management structure.

6.3 Programme Timeline & Key Milestones

This 2018/19 period reflects the current position of the NEGC Ltd as a relatively new organisation. Engagement with partners and stakeholders is underway in order to develop a longer term detailed plan. Future long term business plans will provide more detailed information on workstreams, activities, outputs, performance measures and outcomes.

7. Programme Management

7.1 Operating Model

For NEGC to achieve the objectives, deliverables and targets set out in this document, there will need to be sufficient structures and staff resources in place to take proposals forward.

The NEGC operating model is based on a small core team which has responsibilities for:

- Project leadership and vision.
- Business strategy and structure.
- Programme and project management, including the coordination of workstreams and commissioned work.
- Concept development through the evolution of site specific masterplans.
- Planning for infrastructure, identifying and lobbying for funding.
- Evolving the economic strategy and exploring opportunities for innovation.
- Community outreach and engagement to make resources available to local Parish Councils and interest groups to help engagement in the process.
- Communications, engagement and marketing to ensure proposals evolve with local community involvement and are understood by wider audiences.

The operating structure will become more self-sufficient as time goes on but will continue where appropriate to draw on the support of a range of specialists across the other partners, including on planning, legal and financial officers within each of The Councils. A service level agreement will be put in place to provide support services for NEGC such as accommodation, ICT, human resources and payroll. Other specialist services like Planning, Engineering, Architects, Strategic Finance, Tax, Commercial Delivery, and Property Agents will be provided by external consultants.

7.2 Staffing Structure

The team scope and remit will evolve and expand considerably over the first few years as the locally led development corporation structure and individual project vehicles require more detailed support in terms of design and planning, including the need for multi-disciplinary technical inputs.

During the course of 2018/19, the current staff team at NEGC Ltd is likely to remain in place and be supplemented by specific experts, either employed as contractors or through consultancy contracts:

- Employees: Group Managing Director (currently directly employed by NEGC Ltd); Head of Programme; Programme Manager; Communications Manager; Delivery Team Administrator (currently employed by Colchester Borough Council and seconded to NEGC Ltd).
- Expert contractors¹: Commercial; Procurement; MMC/Construction; Finance; Engagement & Marketing.

¹ Rates commensurate to Living Wage levels.

- Consultants: Economic Strategy; Delivery & Financial; Tax; Planning & Property; Legal; Land & Valuation; Masterplanning & Transport; PR & Communications; Company Secretary.

7.3 Governance

The NEGC Ltd Board oversees and provides strategic direction to the overall programme.

The day-to-day working of NEGC Ltd will be overseen by the company's Group Managing Director and supported by a dedicated Programme Delivery Team who will coordinate all work and programme-related activity, including overall project programming and budget management.

The work of the core NEGC team will also involve some close joint working with a range of internal and external stakeholders, including officers from The Councils across a number of key areas.

The Programme workstreams will focus on the following specific areas:

- **Planning & Infrastructure:** to advance masterplanning and project infrastructure requirements and dependencies.
- **Commercial & Delivery:** to evolve the commercial delivery and land model, financial analysis, legal and corporate financing and tax considerations, including input to the evolution of associated Business Cases.
- **Economic & Engagement:** to evolve the economic strategy and manage programme-wide external engagement, communications and public relations activity.

It is anticipated that Task & Finish groups will be set up, as appropriate, and will report into the workstreams to take forward specific pieces of work. Other cross cutting related activity, such as Innovation and Legacy/Stewardship, will be integrated into this workstream structure. An overarching Steering Group will oversee and monitor the work across the workstreams, including the budget, on behalf of the NEGC Board. This will be led by the Group Managing Director of NEGC Ltd and comprise of Senior Officers from The Councils, together with key staff in NEGC Ltd and external stakeholders, including representatives from Homes England.

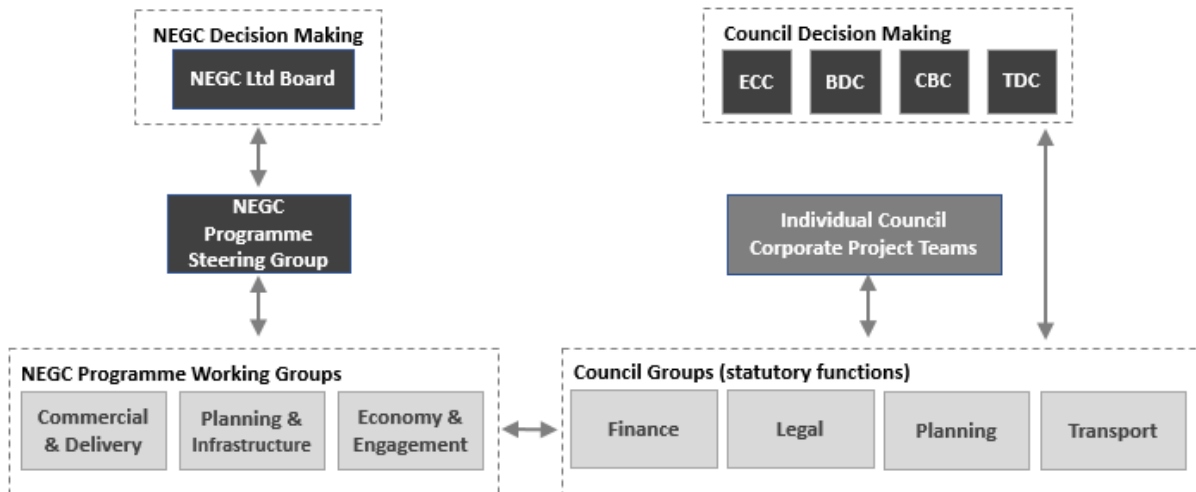
Additionally, a number of specialist Groups formed by the Council leads on key statutory functions will also be in place to ensure there is close working between the NEGC programme and the wider statutory functions of The Councils. This approach will ensure there is distinction between the operational activities of NEGC Ltd, such as in relation to the evolution of land use proposals and its business model, and the statutory functions/duties and wider roles of The Councils. The statutory function groups will enable close communication, regular structured liaison and effective joint working between NEGC Ltd and The Councils across the following themes:

- **Finance:** to establish regular liaison between the programme and Council finance representatives (s151 Officers).
- **Legal:** to establish regular liaison between the programme and Council legal representatives (Monitoring Officers).
- **Planning:** to consider the approach alongside statutory planning functions of The Councils with respect to plan making and development management.

- **Transport:** to consider the approach alongside statutory transport functions and initiatives.

Each Council will also draw together specific inputs to the programme via internal project groups to ensure coordination across separate Council officers who are working with NEGC Ltd.

Figure 7.1: Workstreams & Governance



8. Finance

8.1 Overview

The project to date has been supported through a combination of MHCLG capacity funding (grant) and equal contributions from the four Councils. It is however also clear that The Councils are working within a climate of reducing general financial support, revenue pressures and the need to find savings.

As set out in this document, taking the programme forward during 2018/19 is resource intensive as the workload steps up to fund all necessary technical and design work to progress the Local Plan (Section 1) process and to develop a locally led development corporation proposition including bringing the schemes to delivery ready status. As such, 2018/19 is a year of transition towards the establishment of a locally led development corporation in North Essex. It should be noted that whilst this Interim Business Plan reflects the work that needs to be done by NEGC Ltd during 2018/19, The Councils will separately directly fund work associated with the Local Plan process and documentation.

8.2 2018/19 Budget

Appendix C sets out the budget for 2018/19 by workstream. The expenditure is be funded by a mix of Councils and Government funding. A request has been submitted to Government (specifically the MHCLG Garden Towns Villages Fund) by NEGC Ltd on behalf of all of The Councils for £1.035m capacity funding for 2018/19 to support both the Pre-Development Corporation and Development Corporation activities contained in the budget. The MHCLG Garden Towns Villages fund exists to support local authorities develop Garden Community proposals for their areas and has already provided £2.19m funding to the project. North Essex is the largest project in that programme. The Government funding is expected to be confirmed during Autumn 2018 and if this was not forthcoming then activities will need to be stopped or substantially scaled back from the end of December 2018. Further detail on the budget can be found at Appendix C of this Plan. The progress of the activity to deliver the Interim Business Plan, together with a reconciliation of spend against budget, will be monitored monthly via a programme report and presented as a standing item at future NEGC Ltd Board meetings.

9. Risk

9.1 Overview

To support the successful delivery of the NEGC Programme, the Programme Team maintains a high level Strategic Risk Register for the NEGC Ltd Board.

The Strategic Risk Register focuses on the key risks the Board have identified as the most significant areas that need to be monitored and reported to them on a regular basis. These risks are set out in accordance with the Treasury Green Book approach to risk appraisal and are categorised as follows:

- Strategic;
- Economic;
- Commercial;
- Financial Case; and
- Management.

The Register uses a RAG (red, amber, green) rating system to highlight the total score of the recommended probability and impact of these strategic risks and also details the mitigation that has been put in place to manage these concerns. The programme's workstreams have contributed to the validity of these ratings to ensure they reflect the current position.

These key risks will continue to be monitored and updated as the programme progresses and will reflect the impact of the key workstreams and activities of NEGC Ltd. Any changes to the status of each of the risks will be reported to the Board in a timely fashion, as appropriate.

APPENDIX A: NEGC PRIORITIES AND MILESTONES

	PRIORITY	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	
1	Development Corporation Structure					Dev Corp Regs laid in Parliament				Board Approval of Structure					
2	Business Strategy & Plan	Board to agree interim Plan				Board to agree revised Interim Business Plan	★			Board to agree Long-Term Business Plan					
3	Planning & Transport		Drafting and agreement of Masterplanning Briefs			Procurement of Masterplanners									
4	Infrastructure & Utilities					Transportation Procurement									Produce Infrastructure Strategy
						Confirm project phases									
						Phasing, Infrastructure and Delivery work									
5	Commercial Delivery					NEGC input into viability modelling and evidence for Section 1				Engage Board in NEGC and Dev Corp funding solutions		1 Land or Joint Venture deal to be agreed			
6	North Essex Economic Strategy					Strategy & Workplan presented to Board				Delivery of North Essex Economic Strategy (Councils)					
						Creation of Strategy & Plan to support North Essex attendance at MIPIM UK and NEGC launch of draft North Essex Economic Strategy (September)			NEGC to be represented at MIPIM UK						
7	PR & Communications Strategy	Appointment of Communications Agency							Creation of campaign plan to support Dev Corp Structure						
						Creation of Communications & Engagement Strategy and Plan		Targeted engagement activities with key internal/external stakeholders							
8	NEGC Company Matters					LDV change of accounting reference date			Internal Audit Work Plan		Internal Audit Board Paper				
		Board to approve actions for implementation						★						NEGC operational capability increased	

KEY

- ★ Full Council
- ✕ Cabinet
- Local Plan Committees
- ▲ NEGC Board

APPENDIX B: RATIONALE AND STRATEGIC BUSINESS CASE CONTEXT

This Appendix sets out information pertaining to several key components of the ‘Strategic Outline Case’ as per the HM Treasury Green Book and forms the basis of subsequent work in 2018/19 which will feed into the development of the ‘Outline Business Case/s’.

The Rationale: Key Issues – Opportunities and Challenges

North Essex will be an area of significant growth over the period to 2033 and beyond, embracing positively the need to build well-designed new homes, create jobs and improve and develop infrastructure for the benefit of existing and new communities.

Future growth at scale across North Essex will need to address a number of key issues. It will be challenging and require a robust response to ensure proposals come forward that can meet the overall scale of ambition, vision and a clear set of defined local objectives. Sustainable development principles will be at the core of the strategic area’s response to its growth needs, balancing social, economic and environmental issues.

The future response will need to address the following key components.

Meeting the need for new housing

The North Essex authorities are committed to plan positively for new homes and to significantly boost the supply of housing to meet the needs of the area. To meet the requirements of national policy to establish the number and type of new homes, the authorities commissioned an Objectively Assessed Housing Need Study.

The study has identified the objectively assessed need across the Housing Market Area (which includes Braintree, Colchester, Tendring and Chelmsford) and sets a challenging context to The Councils in needing to plan positively for future growth in a sensible and sustainable manner.

The Councils are also taking a long-term approach to ensure that new development can be planned in a thorough and holistic way to set the basis for future growth and infrastructure planning across North Essex for many years into the future. This in turn helps to consider and define appropriate strategic infrastructure needs in response to the overall scale of growth.

Providing for Employment

A key objective for the area is to strengthen and diversify local economies to provide the capacity and opportunity to enhance and diversify local employment; and to achieve a better balance between the location of jobs and housing, which will reduce the need to travel and promote sustainable growth.

Braintree District’s employment is relatively focused on industrial-type sectors, including construction and manufacturing. London Stansted airport plays a significant role in not only employing residents of the District, but through the indirect economic benefits associated with proximity with such a large employment hub. Retail is the second largest sector by employment and plays an important role in sustaining the District’s three key town centres. The financial and insurance sector, where Braintree District traditionally has a relatively small proportion of employment, has seen some strong employment growth in recent years.

Colchester is the dominant town within the Essex Haven Gateway and will accommodate much of the future growth in the sub-region. It is one of the UK's fastest growing towns and has developed a strong economy, linked to the town's historic character, cultural activities, and its university.

Tendring District has a diverse economy with local employment across a range of activities. Health, retail and education are the largest sectors in terms of the number of jobs and together represent 45% of the District's total employment.

The employment offer will need to provide new opportunities, taking care to ensure that these supplement and complement existing employment areas, settlement hierarchies, and the role and function of existing centres of activity.

Infrastructure and Connectivity

A growing economy requires good accessibility and has impacts on travel demand. The challenge is to provide a sustainable transport system, while providing good access to jobs and services, to support economic growth.

The new Garden Communities will need to be supported by appropriate transport infrastructure. Braintree, Colchester and Tendring will continue to work closely with Essex County Council, Highways England, and other partners to improve roads and public transport and to promote cycling and walking, and to better integrate all forms of transport.

The A12 is set to have major improvements as part of the Government's Roads Investment Strategy (2015-2020) (RIS), with the aim of improving capacity and relieving congestion. The plans were announced in December 2014 and will represent the largest investment in road infrastructure received by Essex.

The A120 is a key east-west corridor across Essex providing access to London Stansted Airport in the west to Harwich Port in the east and serving the economies of Colchester, Tendring and Braintree, with links to Chelmsford via the A130. The road is dualled between the M11 and Braintree, but the section from Braintree to the junction of the A120/A12 is of a low standard with heavy congestion, high accident risk and poor journey reliability. Highways England and Essex County Council are working together to study options for dualling the A120 between Braintree and A12 junction, with the County Council taking the lead.

The aim is to ensure that the work on both the A12 and A120 are directly linked and informed by the planned growth across North Essex through partnership working between all parties. In addition, such projects are essential in enabling planned growth to come forward supported by the necessary strategic infrastructure. The scale of new development envisaged will also need to deliver public transport improvements, including improved rail infrastructure and potential for rapid transit services.

The rail network is heavily used by passenger trains and through freight from the Haven Ports. The Great Eastern Main Line provides services to London Liverpool Street. The Anglia Route Study shows that while capacity varies along the line, capacity to accommodate growth is limited and is particularly constrained in peak times from Chelmsford to London. Improvements are required along the line to accommodate growth and provide a faster more competitive service across the region. A package of improvements will be necessary to respond to the need for increased capacity, which are seen as priorities to enable growth, improve services and journey reliability.

Promoting sustainable transport opportunities

Alternative forms of transport to the private car (walking, cycling and public transport including rapid transit) to travel will be key to managing congestion and to accommodating sustainable growth. By promoting travel by sustainable modes there are wider benefits to local people such as personal health, less pollution and using less resources (including land), and they are cost effective.

The levels of growth will require proactive travel planning and management. Travel planning and smarter choices initiatives will be promoted to ensure that all residents have good access to local jobs, services and facilities, preferably by either walking or cycling. For longer trips and in rural areas where there are fewer local services and employment opportunities, public transport will be promoted.

Education and Healthcare

New development must provide for the educational needs of new communities. A range of educational opportunities will need to be addressed as part of a sustainable growth strategy, including practical vocational training and apprenticeships.

NEGC will need to work with the NHS and key local health providers to ensure the provision of healthcare facilities to support new and growing communities. This will be particularly important given the ageing profile of existing and future residents. There is already a need for more and better quality health care facilities across the region.

Broadband

High quality communications infrastructure is crucial for sustainable growth. The availability of high speed and reliable broadband is a key factor in unlocking new development opportunities and ensuring that people can access services online and work from home. Fast broadband connections and telecommunications are an increasingly important requirement to serve all development. The priority is to secure the earliest availability for universal broadband coverage and fastest connection speeds for all existing and new developments.

Creating Quality Places

New development must reflect high standards of urban and architectural design. It must also be functional and viable. The new Garden Communities will be planned carefully with the use of masterplans and design codes, and potentially independent design panels, to further evolve the approach set out in Local Plans and emerging Concept Frameworks.

This requirement for high design standards will apply to public and private buildings across all scales of development as well as to infrastructure projects. Enhancements to the public realm, landscaping measures and attention to architectural detail will be important features that the authorities will wish to see included in new developments.

At new Garden Communities, there will be a particularly strong emphasis on strategic scale and local green infrastructure, creating a strong natural environment for living, working and leisure whilst also making a vital contribution to quality of place, biodiversity and health outcomes.

The Councils Response: Spatial Planning for North Essex

Local authorities are required to set out the strategic priorities for the area and be ultimately responsible for ensuring such plans come to fruition. The Councils through Local Plans, a North Essex Garden Communities Charter, and Prospectus have come together to establish a strategic context which establishes the case for change and starts to inform a potential way forward.

The approach is being evolved to enable a joined up and effective approach that can:

- Deliver the homes and jobs needed in the area over the long term;
- Secure the provision of infrastructure for transport and telecommunications, education, health, community and cultural infrastructure; and
- Ensure the creation of quality places including the conservation and enhancement of the natural and historic environment, including landscape, together with an affective long term approach to effective local stewardship.

Braintree, Colchester and Tendring have all been evolving new Local Plans which have been brought forward through separate decision-making structures within the respective Councils. Alongside this and in accordance with the Duty to Cooperate, The Councils have worked closely to plan effectively for the long term.

The Local Plan making processes have considered the most appropriate spatial approach to future development, including formal consideration and consultation on initial issues & options, and identification and consultation on preferred options, leading to the proposed joint approach being agreed and submitted to the Planning Inspectorate for examination.

The approach has evolved into the consideration of cross boundary strategic matters (including the potential location of 3 proposed Garden Communities) through a joint “Part 1” component of the plan, together with separate “Part 2” components which address local matters for each separate Council. The Plans are accompanied by a broad evidence base which has informed decision making, have included formal stages of public and stakeholder consultation and strategic environment assessment, which included evaluation of potential alternatives.

The vision for North Essex at a strategic level has been set out by the local planning authorities within Part 1 of the Preferred Option Local Plans. This addresses both an agreed joint spatial vision for the wider area together with the role and significance of the proposed Garden Communities. The vision sets out a clear statement of local ambition and establishes a strategic basis from which to move forward. It enables The Councils to plan positively for the future homes and jobs needed across the area, the provision of high quality infrastructure (transport, telecommunications, education, health, community and cultural infrastructure); and the creation of quality places including the conservation and enhancement of the natural and historic environment, including landscape.

Corporate Consideration of the Delivery Approach

The Local Plans have been brought forward through respective plan making committees and decision making structures, which has considered the spatial approach and evidence underpinning the consideration of options leading to a preferred spatial scenario including the 3 proposed Garden Communities.

Cabinet Meetings for each of the Councils in January/February 2016 specifically considered the progress of joint work relating to Local Plans, with specific reference to the potential for cross-boundary sites to come forward, and the Councils role in their further consideration and potential delivery.

The Councils agreed to formalise the joint working into a joint working governance structure including representation on a Shadow Joint Delivery Board, project Steering Group and topic based working group structures. Initial advice had been provided in respect of potential delivery options and implications, and further advice was to be commissioned. The Shadow Delivery Board was established to provide overall direction in respect of the project and an appropriate delivery structure should the partners decide to progress with strategic cross boundary Garden Communities, subject to the plan-making process.

At the meetings, The Councils agreed to the continued joint working and further consideration of proposals including scope to take an active role in the development and construction of the new proposal Garden Communities. Following this the Council committed resources both in relation to officer time and a financial contribution to support the joint work alongside grant funding secured from the Department for Communities and Local Government to support the evolution of further feasibility studies.

Reports were subsequently brought back to respective Council Cabinets in November/December 2016 to seek approval for The Councils to enter into joint arrangements with the other Councils to create an overarching body to be known as North Essex Garden Communities Limited (NEGC) to coordinate the development of the sites and establish further companies (Local Delivery Vehicles (LDVs) for each proposed garden community. The Councils were asked to give in principle agreement to provide proportionate funding to enable the initiative to proceed.

Further papers were considered at Council Cabinet meetings in August/September 2017 which provided an update on the general approach, and secured endorsement to promote the positioning of NEGC Ltd with respect to the potential establishment of a single new locally led development corporation, as well as support to the principle of using compulsory purchase orders to secure control of land if voluntary agreements could not be achieved in a reasonable time. The Councils committed further revenue contributions to continue working on the initiative.

Importantly, the decisions made clear that the corporate decision relating to delivery did not commit any council to allocate any sites within the Local Plan, as this has been subject to separate decision-making processes in accordance with the statutory requirements and material considerations at the relevant time.

The Commercial Case & Options Considered

The Councils have considered a wide range of alternative delivery mechanisms and structures.

The principal alternative options would be to allow for the development of the settlements, namely:

1. by the private sector under traditional approaches to such development;
2. via some form of public/private partnership/joint venture; or
3. via a public sector led delivery structure.

Current and past experience provides evidence of the difficulty of relying upon a solely private sector approach, and weaknesses in relying purely on planning policy to secure suitable outcomes. Multiple issues have hindered the progress of such large-scale sites, be it due to the nature of land promoters/developers, their ability to deliver and raise suitable finance, and often a reliance on the public sector to ultimately intervene and/or provide some form of funding support. In addition, planning policy can be open to interpretation and a degree of flexibility, most notably in respect of viability concerns, meaning that full policy objectives have potential to not be achieved.

Given the level of local policy and place-making ambition and choice that has been made to bring forward schemes along true ‘Garden City’ principles, their scale and timescale of delivery, complexity and landownership position of the sites being considered, it was considered that neither private sector led or joint public/private approaches (whereby the private sector retains a controlling stake) would offer the same level of confidence that over a development programme of 30 years that the garden community objectives would be met throughout different economic cycles.

The approach has therefore focussed on adopting a positive and proactive public sector leadership role from the outset, with a strong planning policy basis and direct role in delivery. This was considered to offer sufficient certainty about ambition and eventual delivery.

The projects will take in the order of 30 years to deliver; infrastructure which supports the development of the whole project will necessarily have a long payback period, the public sector is well placed to act as a patient investor taking a long-term approach to payback enabling higher levels of investment at early stages.

It was originally envisaged that land would be acquired via the LDV’s in the governance structure created by The Councils and through successful negotiations with existing landowners, or via a CPO made by the planning authorities if necessary. Negotiations have as yet not been able to conclude to a satisfactory outcome.

Changes to the law made by the Neighbourhood Planning Act 2017 has meant that the prospect of a New Town style, locally led Development Corporation (LLDC) with local accountability has emerged as a realistic option for the onward development of the project. Whilst this would change the currently formulated delivery model, it would be based on the same vision and delivery principles as outlined above; particularly early development of infrastructure and it being public sector led.

If a LLDC was created, the use of LLDC planning powers would be supported by land ownership to provide a stronger mechanism than traditional planning agreements or Community Infrastructure Levy (CIL) for the recovery of investment and a safeguard against opportunistic planning applications that are contrary to the agreed plans.

Initial consideration of the key issues indicated that speedy establishment of an LLDC could provide major advantages, both in terms of ensuring effective delivery in line with the aspirations of The Councils through the Vision, and in respect of delivering effective funding arrangements.

The project was reviewed by Lord Kerslake in January 2017, which identified a series of recommendations that have an influence over project resourcing, risk management and appropriate timescales. This has informed the approach. The proposals will enable the Council to have a significant role in ensuring that there is a sustainable environment with strong community facilities

including green spaces. This focus on a sustainable community with strong infrastructure will also include both education and health facilities which meet the needs of all sectors of the community.

Clearly within the proposals there is the potential for a significant investment by The Councils. This would need to be managed in such a way as to ensure that this is viable. The Council's will be looking at this as a long-term investment and therefore there may need to be careful consideration of the details of future funding agreements and their impacts on The Council's budgets, while also recognising affordability within budget envelopes.

Such matters will evolve further and be encapsulated into the progression of related Business Cases, prepared to align with HM Treasury Green Book approaches. This Interim Business Plan sets out information aligned to elements of the initial scoping and Strategic Outline Case stage of the process.

Working with Stakeholders

The existing stakeholder picture is a complex one. NEGC is currently working together with The Councils, along with a number of statutory organisations and local business groups such as the Haven Gateway and South East Local Enterprise Partnership. In addition, the future delivery at the scale envisaged through the NEGC programme interfaces with the expansion plans for many key bodies such as the University of Essex, Stansted Airport, Harwich/Felixstowe ports, and the opportunity and ambition for economic growth as set out in the NEGC Prospectus.

The focus will need to be placed on NEGC having a key focus on delivery, distinct from the wider roles of the founding Councils. This refocussing will provide an opportunity for a wider discussion with key individuals / groups and an emphasis on aligning the work to achieve broader aims and objectives across the North Essex area.

Having a structured approach to stakeholder management will help to identify quick wins to progress or where there are stakeholder issues that may take longer to fix. It can also help to identify issues, where there are gaps in relationship management or where additional support is needed to facilitate new relationships.

An initial list of stakeholder groups is set out below. All will need to continue to be effectively engaged in the programme for it to be a success, and deliver on wider ambitions:

- Political (national/local MPs / Members / parish and town councils);
- Officials (key Government Departments and organisations, Civil Servants / Senior Officers);
- Local Interest & Pressure Groups (national/local);
- Social & Community Groups (local authority area);
- Business Groups (national/local);
- Education & Skills (sub region/local authority area);
- Health (sub region/local authority area);
- Statutory groups (Police/Fire, Transport, Utility, Environment, Heritage etc.);
- Housing & Construction sector (national/local);
- Economic (national/regional (LEPs & corridors)/local).

NEGC will need to continue to interface with key stakeholder groups so that joint initiatives can be progressed and delivered. To do this successfully, responsibilities need to be refined between the key partners and then allocated accordingly.

It is important to recognise that stakeholders directly (or indirectly) interface across a number of relationship owners. For example, they may have an interest in multiple issues or areas of control. Their influence may change over time. Stakeholders can ‘wear different hats’ for different scenarios and issues (and may behave differently with different situations or audiences). Continuing to be aware of these interfaces and multiple interests is important, plus knowledge of stakeholder networks and cross- connections will be key.

It will be important for NEGC to consider how it expands its existing engagement programme and continues to raise its profile in the future. Further detailed analysis, building on the work done to date, will be undertaken on comprehensive stakeholder mapping as part of a wider approach to publicity and & communications and as work on a North Essex Economic Strategy and site specific masterplans begin to take shape.

Stakeholders and relationships will change over time and any stakeholder analysis can only provide a snapshot in time. Therefore, it will be important to continue to regularly monitor and measure stakeholder views, interfaces and associated influencing factors.

APPENDIX C: NEGC SHORT TERM BUDGET FORECAST 2018/19

WORKSTREAM / BUDGET AREA	18-19				18-19
	Q1	Q2	Q3	Q4	
	Apr-Jun	Jul-Sept	Oct-Dec	Jan-Mar	All
Project Resource / Delivery Team					
Sub Total	188.0	163.5	169.5	167.5	688.5
Legal Support	Q1	Q2	Q3	Q4	18-19
Sub Total	75.0	90.0	80.0	85.0	330.0
Delivery Support	Q1	Q2	Q3	Q4	18-19
Sub Total	235.5	519.7	372.3	309.3	1,436.8
Planning	Q1	Q2	Q3	Q4	18-19
Sub Total	0.0	70.0	45.0	75.0	190.0
Community & Communications	Q1	Q2	Q3	Q4	18-19
Sub Total	30.0	40.0	30.0	30.0	130.0
Contingency @ 10% of original budget fixed at £253.4k	0.0	66.8	62.4	62.0	191.2
Total All	528.5	950.0	759.2	728.8	2,966.5
Total Cumulative	528.5	1,478.4	2,237.7	2,966.5	
Total Funding Sources	All 18/19				
MHCLG	1.035				
Local Authorities	500				



Financial Regulations

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1. Introduction

- 1.1. North Essex Garden Communities Ltd (the Company) is required by the Companies Act 2006 (as amended) to conduct its business efficiently and to ensure that it has sound financial management policies in place, which are strictly adhered to. Part of this process is the establishment of Financial Regulations, which set out the financial policies of the Company.
- 1.2. Financial Regulations provide clarity about the accountabilities of individual employees/contractors, the Group Managing Director (GMD), the Responsible Finance Officer (RFO) and the Board.
- 1.3. Employees should link the Financial Regulations with other documents which form part of the Company's Constitution, e.g. Articles and Shareholders Agreement.
- 1.4. These Financial Regulations may only be amended by approval of the Board which in turn requires resolution of its shareholders.
- 1.5. The RFO is responsible to the Board for the overall control of NEGC's financial affairs and the continuous provision of financial information.
- 1.6. The RFO is responsible for maintaining the integrity of the financial control systems of NEGC. He should be consulted, as required, over any proposed change to accounting and financial operations wherever they are performed.
- 1.7. As NEGC is formed of Braintree District Council (BDC), Tendring District Council (TDC), Essex County Council (ECC) and Colchester Borough Council (CBC), NEGC will make use of the existing policies and procedures from CBC as an interim arrangement until such time as NEGC's policies and procedures have been created and are formally approved by the NEGC Board and its shareholders.

2. Internal control

- 2.1. The Board has ultimate responsibility for establishing proper systems of internal control, whether financial or otherwise. Day-to-day responsibility for internal control is delegated to the RFO who shall provide the Board with an annual statement of assurance that the appropriate controls are in place and working effectively.
- 2.2. The RFO is responsible for ensuring that appropriate and effective systems of internal assurance and control (including proper segregation of duties, where applicable) are established, monitored and maintained.

3. Budget preparation, monitoring and control

- 3.1 Preparation of budgets for expected income and expenditure shall be co-ordinated by the RFO.

- 3.2 The budget is to be prepared in a form agreed by the Board in a manner that is consistent with the objectives of NEGC and its Long-Term Business Plan (or Interim Business Plan). When being considered by the Board, the annual budget should be accompanied by recommendations on its acceptability and its impact on overall finances.
- 3.3 The Board will consider and approve the annual budget no later than two months before the start of the financial year. Once approved by the Board and the Shareholders, the annual budget is to be used as the basis for authority to incur expenditure on individual headings up to the agreed levels and for comparisons between budgeted and actual results, until it is revised. To facilitate the Councils supporting NEGC, a high level budget will be tabled in October each year which will allow any financial requirements (of the Councils) to be incorporated into the timing of the LA partners budget setting process.
- 3.4 If, at the end of any financial period, the Budget for the next financial period has not been agreed by the Shareholders, NEGC will operate on the basis of the budget approved for the preceding year until such time the Budget for the next financial period has been approved by the Shareholders.
- 3.5 The GMD has authority to approve virements or transfers between budget headings, up to an amount of £50,000 or such other agreed amount as determined from time to time in consultation with the Chairman (up to a maximum of £100,000) or in consultation with the Board (above £100,000). Any such variations in budget headings initiated by the GMD or the Chairman shall be reported to the next meeting of the Board.
- 3.6 If during the financial year it becomes apparent that expenditure on a budget heading is likely to exceed the approved budget by an amount in excess of any allowable virement, the GMD, in consultation with the Chairman of the Board, will have authority to agree a budget virement or adjustment. Such an adjustment must be limited to a maximum of £100,000 and must be reported to the next meeting of the Board together with an indication of other areas of expenditure where compensatory savings could be made. The total approved budget for the year may not be exceeded without the approval of the Board and the Shareholders.
- 3.7 Nothing in these Financial Regulations will prevent GMD from incurring expenditure that is essential to meet any immediate needs created by an emergency, subject to such action being discussed beforehand with the Chairman of the Board whenever possible and being reported as soon as possible to the Board.
- 3.8 Inclusion of approved budgeted expenditure will constitute authority to incur such expenditure except where the Board has placed a condition on any item.
- 3.9 The RFO will present to the Board a quarterly report on the state of NEGC's finances and will report on the draft accounts of each financial year within one month of the financial year end and provide audited year-end accounts within three months of the year end.
- 3.10 The RFO will provide the Steering Committee with monthly reports as appropriate, of income and expenditure under each heading or approved budget and such other relevant information which is available; for example transaction listings..

4. Business Plan

- 4.1 The GMD will ensure that a business plan covering a period of five years, in accordance with 5.2 of the Shareholders' Agreement, and related financial projections are prepared and are reviewed and updated at least annually before the start of each financial year. The financial projections should be based on the approved budget and incorporate suitable assumptions.
- 4.2 The RFO will arrange for sensitivity testing of the projections and assumptions by reference to key risks identified in the strategic risk analysis. The RFO will arrange for the business plan and projections to be independently audited periodically and if required by the Board, any lender/investor or the Regulator.
- 4.3 The financial projections, including sensitivity testing analysis, will be considered in detail by the Steering Group and Statutory Finance Group before recommendation for approval by the Board. The business plan will be considered by the Board before the start of each financial year. The RFO will prepare a suitable timetable and plan to allow for the budget, business plan and stress testing to be considered and approved appropriately.
- 4.4 The RFO will prepare quarterly monitoring reports of performance against the financial projections.

5. Accounting

- 5.1 The RFO will provide guidance and training on the accounting principles and procedures to be used throughout NEGC by employees in all financial matters.
- 5.2 The RFO, subject to consideration and approval by the Board, will determine all accounting procedures and records of NEGC and its employees in accordance with the requirements of statutory agencies and regulatory authorities. Where appropriate, the RFO will seek guidance from NEGC's auditors or the Shareholders statutory finance officers.
- 5.3 All accounts and accounting records of NEGC shall be compiled under the direction of the RFO, who will be responsible for ensuring their accuracy.
- 5.4 The RFO will make sure that a proper segregation of duties exists between those employees responsible for collection of income or making payments and those employees responsible for providing information or examining and checking transactions relating to income or payments. As such, Contracts shall be signed by the GMD or in the GMD's absence, a NEGC Board member. Invoices will be authorised by the GMD and the NEGC Commercial Manager.

6. Audit requirements

External audit

- 6.1 The Board will appoint external auditors as required by company law and in a way consistent with the requirements of current guidance and codes of practice.
- 6.2 The Board will carry out an annual review of the auditors' performance before any recommendation that the Board reappoint the same auditors for a further period.
- 6.3 The RFO will arrange for the completion of external audits and will liaise with the external auditor. The timetable will make sure that draft accounts are considered by the Board before the Annual General Meeting, and that the financial statements are available for adoption at the Annual General Meeting, which will be held within six months of the end of the financial year.
- 6.4 The external auditors will be invited to present their annual final management letter to the Board and to discuss issues that have arisen during their work, including highlighting areas of concern and recommendations for improved efficiency and control.

Internal audit

- 6.5 The Board has ultimate responsibility for ensuring that an adequate system of internal control is implemented for safeguarding the assets of NEGC. The Board will make sure that adequate and effective internal audit takes place for the governance, financial and operational systems employed in the effective delivery of services.
- 6.6 At the RFO's discretion, an internal audit function may be provided either by any of the Shareholders acting independently or together or procured from an external agency.
- 6.7 Internal and external audit services will not be provided by the same organisation.
- 6.8 The internal and external auditors have direct access to the Chair of the Board to ensure the independence of the audit functions. Similarly, the Chairman of the Board will have a right of access to internal audit where he/she considers this necessary.
- 6.9 Internal auditors shall have authority to:
- enter at all reasonable times any of NEGC's premises or land
 - have access to all records, documents and correspondence relating to any financial and other transactions of NEGC
 - require and receive without delay such explanations as are necessary concerning any matter under examination
 - require any NEGC employee to produce cash, or any other property under their control.

7. Expenditure authorisations

- 7.1 The Board has delegated authority for the authorisation of expenditure commitments and approving invoices for payment in line with the approved

budget to the GMD. The GMD may from time to time, issue specific delegated responsibilities to another NEGC Officer in accordance with the thresholds set in Appendix E hereto.

- 7.2 The purchase of land or property can only be enacted by the GMD, following approval by the Board.
- 7.3 The purchase of Contractors (Interim Resource) shall be capped at £700 per day up to a maximum of £50,000 per annum at the GMDs discretion. Any engagement valued at between £50,000 and £100,000 per annum will require approval by the Chairman or the Board (above £100,000 per annum).
- 7.4 The GMD may write off bad-debt up to a maximum of £5,000 at his sole discretion. Any bad-debt above £5,000 will however require consultation with the Chairman and Board approval before being considered obsolete and being duly removed from the NEGC accounts.

8. Contracts, Purchase orders and certificates

- 8.1 Official contracts and purchase orders will be issued for all works, goods or services to be supplied to NEGC, except for supplies of public utility services, periodical payments such as rent or rates, petty cash purchases or sundry payments or such other exceptions as the GMD may approve.
- 8.2 Orders will only be raised where there is specific budget provision to cover the estimated cost of the order. The GMD has authority to approve virements or transfers between budget headings, up to an amount up to an amount of £50,000 or such other agreed amount as determined from time to time in consultation with the Chairman (up to a maximum of £100,000) or in consultation with the Board (above £100,000)..
- 8.3 The GMD has NEGC Board Authority to enter into and execute contracts on the NEGC Boards behalf as an authorised signatory and to manage their execution.

9. Purchasing cards

- 9.1 The use of Purchasing cards is not currently permitted and NEGC will instead adopt Colchester Borough Council's Expenses Policy as and when appropriate.

10. Payments of accounts

- 10.1 Each application for payment must be approved by both the GMD and the Commercial Manager Such certification may be in manuscript or by secure electronic authorisation by each employee.
- 10.2 The Commercial Manager is responsible in the application approval for ensuring that:

- the prices, extensions, calculations, trade discounts, other allowances, credits, tax and allocation (i.e. coding) are correct
 - the relevant expenditure has been properly incurred and is within the relevant budget provision
 - appropriate entries have been made and in inventories, store records or stock books as required
 - the account has not been previously passed for payment and is a proper liability of NEGC.
 - the invoice identifies the purchase order or contract certificate to which it relates (which should be marked off against that order)
- 10.3 The GMD is responsible in the application approval for ensuring that:
- the work, goods or services to which the account relates have been received, carried out, examined and approved
- 10.4 The Responsible Finance Officer is responsible for ensuring:
- the expenditure is charged to a financial budget code for which that employee has authority
 - the financial budget codes are correctly stated and appropriate for that expenditure
 - adequate budget remains for the expenditure.
- 10.5 Once accounts have been correctly certified and authorised, they will be processed through NEGC's payments system under the direction of the RFO. The RFO will be entitled to make such enquiries and to receive such information and explanation as he/she may require about any payment.
- 10.6 Incorrect invoices should be resolved with the supplier by the Commercial Officer and either returned for amendment or appropriate credit agreed.
- 10.7 Each Budget Holder that has been delegated authority by the GMD to manage one or more Budget Headings shall, as soon as possible after the financial year end in each year, agree with the RFO any outstanding expenditure in relation to the previous financial year.
- 10.8 Apart from petty cash and other payment from advance accounts, the normal method of payment of money due from NEGC shall be by cheque or electronic transfer drawn on NEGC bank accounts and signed and approved by signatories duly authorised by the Board for the NEGC bank accounts.
- 10.9 The general rule is that invoices are paid within 30 days of receipt or subject to variations as agreed with the individual supplier of goods and services. NEGC will be sensitive to the needs of small local traders in particular.

11. Employment status of suppliers

- 11.1 It is necessary to consider the circumstances of each supplier and determine whether that supplier should be treated as self-employed or as an employee of NEGC. The nature and amount of work that a supplier, typically a sole trader or small unincorporated business, carries out for NEGC can mean that they should be treated as employees of NEGC and taxed accordingly.

- 11.2 An assessment of employment status must be completed for all suppliers before first payment is made. The assessment should be completed by the RFO. The assessment checklist describes features that may indicate self-employed status and the decision will be a balanced judgement based on the evidence collected. Completed assessments will be retained.
- 11.3 Assessments of unincorporated organisations/suppliers that have been assessed as self-employed should be reviewed annually to make sure that this judgement remains appropriate.
- 11.4 If the assessment indicated that a supplier ought to be considered as an employee then the supplier should be informed of the assessment and either invited to become an employee or required to withdraw as a supplier.

12. Salaries, wages and pensions

- 12.1 NEGC pay levels (excluding the GMD) will be consistent with market principles and be kept under review by the GMD
- 12.2 Items to be included in pay (including variable hours, overtime etc.) must be authorised by the GMD. In terms of the GMD remuneration will be set by the NEGC Board.
- 12.3 Employees of NEGC Ltd will be paid on the 28th of each month or, if this is not a banking day, on the immediately preceding banking day. Payments will be made under arrangements approved and controlled by the RFO. Payments will be made by bank transfer to the employee's nominated account unless otherwise agreed by the RFO in exceptional circumstances.

13. Travel and business expenses

- 13.1 All claims for payment of business expenses, travelling and incidental expenses will be approved by the GMD or may be approved by Commercial Manager up to the value of £250. All expense/petty cash claims for payment of travel/business expenses must be in accordance with the NEGC Travel and Expenses Policy.

Expenses claimed on behalf of the GMD may only be authorised for payment by the Chairman of the Board.

- 13.2 All claims for a financial year are to be submitted within one month of the financial year-end.
- 13.3 Employees' claims submitted more than three months after the expenses were incurred will be paid only with the approval of the RFO.

14. Income

- 14.1 The collection of all money due to NEGC will be under the supervision of the RFO.

- 14.2 All employees are responsible for providing the RFO with such information concerning work done, goods supplied or services rendered – including contracts, leases and other agreements – to enable the determination of income due to NEGC.
- 14.3 The RFO will ensure that income due to NEGC is pursued and that all reasonable efforts are made for full recovery.
- 14.4 All money received by employees of NEGC will, without delay, be paid to the RFO or as directed into NEGC bank account. No deduction will be made from the income without authority of the RFO.
- 14.5 No amount can be written off unless all practical procedures for recovery have been tried.

15. Fixed assets

Asset Register

- 15.1 The GMD and Responsible Finance Officer will be responsible for maintaining a fixed asset register for all items above £500, recording an adequate description of furniture, fittings and equipment, plant and machinery and other equipment owned by NEGC.
- 15.2 NEGC's property will not be removed other than in the ordinary course of business.
- 15.3 Employees responsible for individual assets shall ensure that property and equipment is maintained in good working order.

Asset and Liabilities Register

- 15.4 An Asset and Liabilities Register is to be maintained by the RFO.
- 15.5 This will maintain a register of documents, for example, deeds, which will incorporate a record of the location of individual documents.

Disposals

- 15.6 Any fixed asset owned by NEGC may be disposed of or scrapped by the RFO, where he/ she is satisfied that that asset has exceeded its useful economic life or is no longer required for the continuing business.
- 15.7 Where an asset is disposed, the RFO must obtain its current value before agreeing any disposal and must obtain the best value available.
- 15.8 Losses written off as a result of disposal of assets will be reported to the next meeting of the Board.
- 15.9 The RFO will ensure that the Asset Register is updated accordingly.

- 15.10 The RFO is responsible for ensuring that no confidential information is left on the item to be disposed.

16. Control of stocks

- 16.1 If a stock of any item is kept the RFO will ensure that there are proper procedures for the issue and control of the stock, including carrying out regular stock takes.
- 16.2 If a loss arises as a result of a stock take or other stock adjustment, the GMD has delegated authority to write off such losses. Such write offs will be reported to the next meeting of the Board.
- 16.3 All amounts written off must be recorded in the Register of Losses held by the RFO.

17. Investments and borrowings

- 17.1 It is essential that NEGC's investments and borrowing are properly and professionally managed, and to this end NEGC Ltd will follow CIPFA's Treasury Management in the Public Services – Code of Practice and Cross Sectorial Guidance Notes.
- 17.2 A Treasury Management Policy and an annual treasury strategy will be agreed by the Board and the Shareholders, and thereafter its implementation and monitoring will be delegated to the RFO.
- 17.3 All investments of money under its control will be made in the name of NEGC.
- 17.4 All securities which are the property of (or in the name of) NEGC will be held in the custody of NEGC's bankers or custody agents, as appropriate, except where held by a lending authority.
- 17.5 All borrowings will be within the limits authorised and will be effected in the name of NEGC.
- 17.6 The RFO will maintain adequate records of all borrowings of money by NEGC.
- 17.7 The RFO will report to the Board no less than twice in each financial year on the activities of the treasury management operation and on the exercise of treasury management powers that have been delegated.
- 17.8 The RFO will present an annual report to the Board on treasury management within three months of the financial year end.

18. Banking

- 18.1 Bank accounts will only be opened with the approval of the Board. All arrangements with NEGC bankers will be made by the RFO who shall be authorised to operate such bank accounts.

- 18.2 Payments from NEGC's bank accounts can only be made upon the authority of two authorised signatories. Authorised signatories for the issue of cheques and giving of other instructions will be as approved by the Board from time to time.
- 18.3 All blank cheques and cheque books will be ordered only on the authority of the RFO, who will make sure that proper arrangements are made for their safe custody.

19. Control of cash

- 19.1 The RFO will be responsible for maintaining a petty cash float or floats for the reimbursement of minor items of expenditure up to £30 for each item.
- 19.2 The amount of petty cash imprests will be determined by the RFO from time to time.
- 19.3 Receipted vouchers (which should include a VAT registration number) will be needed to support the petty cash forms,
- 19.4 The petty cash float will be agreed at the end of each month and be kept locked in a secure place.

20. Insurances

- 20.1 The RFO will be responsible for procuring and administering all insurances for NEGC, which will be arranged following the approval of the Board. The RFO will be responsible for determining the procedures for the reporting, recording and recovery of insured losses.
- 20.2 Employees must immediately notify the RFO in accordance with the appropriate procedure, of any loss, liability or damage or any event likely to lead to a claim (informing the Police where appropriate unless otherwise directed).
- 20.3 The RFO will be responsible for arranging, no less than annually, a review of all insurance cover and reporting on that review to the Board.
- 20.4 Employees must agree the terms of any indemnity which NEGC is requested to give with the RFO.

21. Taxation

- 21.1 The RFO is responsible for submitting all statutory and other returns to HM Revenue & Customs relating to VAT and other taxation matters, and for obtaining and giving advice and guidance to employees on taxation matters.

22. Security procedures

- 22.1 The RFO is responsible for ensuring that proper security arrangements are maintained at all times for buildings, stocks, furniture, equipment, cash, books and records, and so on.

- 22.2 Every employee has a responsibility to consult the RFO in any case where security is thought to be defective or where special security arrangements may be needed.
- 22.3 The RFO will agree the maximum limits for any cash held, which will not be exceeded without authorisation. All cash held will comply with the limits and other requirements for the time being of NEGC insurers.
- 22.4 Keys to safes or similar containers should be carried by the authorised employee(s) at all times. Loss of any such keys should be reported to the RFO immediately. Duplicate keys will only be issued in exceptional circumstances on satisfaction that all reasonable efforts have been made to recover lost keys. No keys should be marked in such a way as to make them identifiable to any person who is not authorised to hold that key.
- 22.5 The RFO will make sure that suitable arrangements are in place for back-up usage of computer facilities in the event of a serious malfunction.
- 22.6 The RFO will ensure that NEGC is registered with the Information Commissioner under the Data Protection Act 1998 or any other legislation as from time to time enacted

23. Retention of documents

- 23.1 The RFO is responsible for ensuring that all financial and other records are retained for such periods as are required by HMRC and Companies House,

Appendix A – Definitions

In case of conflict between the Financial Regulations and the Shareholders Agreement and the Articles of Association, the order of precedence shall be:-

1. Shareholders Agreement
2. Articles of Association
3. Financial Regulations
4. Other policies as required in clause 1.8

In these Financial Regulations reference to:

Amendment: These financial rules may not be amended, change, altered, waived or, save as provided for in Regulation 3.8, without the consent of the NEGC Board.

Articles of Association means the NEGC **Articles of Association** dated/signed 30th January 2017.

The Board means the full Board of North Essex Garden Communities Limited or any committee of the Board or individual Board Member that the full Board has duly authorised to act for it in the matter under consideration.

The NEGC Budget Headings include the following sections, as approved by the Board:

- Development Corporation Mandate
- Business Strategy and Plan
- Masterplanning
- Infrastructure & Utilities
- Commercial delivery
- North Essex Economic Strategy
- Public Relations & Communications Strategy
- NEGC Company Matters

The NEGC Budget categories that apply within each of the Budget Headings include the following sections, as approved by the Board:

- Project Resource / Delivery Team
- Legal Support
- Delivery Support
- Planning
- Community & Communications
- Contingency

The Council/s refers to either Braintree District Council (BDC), Essex County Council (ECC), Tendring District Council (TDC) and/or Colchester Borough Council (CBC).

Commercial Manager (CM) means the NEGC Commercial Manager or alternate employee as nominated by the GMD, to hold this area of responsibility

Director means a Director of the Company from time to time

Group means NEGC and its subsidiaries from time to time.

Group Managing Director (GMD) means the NEGC Group Managing Director, appointed by the Board from time to time.

NEGC means North Essex Garden Communities Ltd;

NEGC Officer means any employee or consultant of NEGC

Responsible Finance Officer (RFO) means the NEGC Finance officer, appointed to enable the GMD to manage the financial controls effectively; or in the absence of such an appointment, a nominated Council officer appointed by the Board from time to time.

Shareholders Agreement means the Shareholders agreement dated/signed 30th January 2017

Appendix B - Document Control Sheet

Title:	Financial Regulations		
Electronic File Name & location:	NEGC Financial Regulation Sept 2018 v1.11		
Consultation with stakeholders:	Monitoring Officers and section 151 officers from (i) Braintree District Council (BDC), (ii) Essex County Council (ECC), (iii) Tendring District Council (TDC) and (iv) Colchester Borough Council (CBC).		
Approved:	NEGC Board, May 2018		
Circulation Date:	September 2018	Implementation Date:	November/December 2018
Circulation method:	Email		
Next Review date:	TBA		
Equality Impact Assessment:	N/A		

Document amendment history

Version	Type (new/major revisions/minor revisions)	Date	Brief Description of changes
1.10	New	May 2018	Original Document
1.11	Minor revision	Sept 2018	Paragraph 3.3 amended to bring in line with NEGC Ltd Articles of Association & Shareholders Agreement

Appendix C – NEGC Financial Limits / Delegations

The GMD may formally delegate financial authority from time to time, in agreement with the Chairman and / or the Board; where the Chairman's authority is exceeded.

In so doing, formally in writing, the following contract / order thresholds must not be exceeded:

Role	Maximum Financial Authority
NEGC Officer	£1,000 per transaction
NEGC RFO	£5,000 per transaction
NEGC CM	£10,000 per transaction
NEGC GMD	£50,000 per transaction
NEGC Chairman	£100,000 per transaction
NEGC Board	£500,000 per transaction
NEGC Shareholders	Above £500,000 per transaction

Locally Led New Towns (Development Corporation) (“LLNTDC”)

The New Town Act 1981 (Local Authority Oversight) Regulations 2018 came into force earlier this year and Guidance has been issued that outlines the way in which LLNTDCs will work.

The 1981 New Towns Act allows the Secretary of State to designate a new town and to incorporate a New Town Development Corporation. Normally the Secretary of State then takes responsibility for all oversight of the Development Corporation.

The 2017 Neighbourhood Planning Act introduced a provision that allowed the Secretary of State, as an alternative, to designate a Locally Led New Town Development Corporation in which the majority of the Secretary of State's functions under the 1981 Act can be transferred to identified local authorities.

An LLNTDC can only be established at the request of a local authority or group of local authorities. The Guidance notes that before designating a new town and incorporating a Development Corporation the Secretary of State will have to be satisfied that it is in the national interest to do so. The Guidance sets out six criteria on which the Secretary of State will need to be satisfied.

The Secretary of State will consult on any proposal. If agreed, an Order will be laid in Parliament for approval of both houses that will both designate the new town and will create the Development Corporation.

If approved, the Secretary of State will then appoint an "Oversight Authority". This will be the local authorities who requested the designation. They will be responsible for managing, monitoring and overseeing the way in which the Development Corporation operates. Before requesting an LLNTDC the authorities will need to agree between themselves how the oversight authority will be managed and the decision making processes.

An Oversight Authority has specific statutory responsibilities to:

- plan for the creation of a high quality settlement which is a sustainable community;
- support sustainable development and good design;
- plan from the outset for:
 - the long term stewardship of the assets and new town;
 - the participation of the community; and
 - the legacy arrangements following the dissolution of the new town.

The Oversight Authority will do this using a number of mechanisms including the appointment of Board members of the Development Corporation, the approval of business plans and debt limits, the approval of masterplans and other specified tasks. A number of powers continue to be reserved to the Secretary of State. Any Compulsory Purchase Order made by the Development Corporation has to be

confirmed by, and any distribution of surpluses needs the consent of, in each case the Secretary of State.

The dissolution of the Development Corporation can only take place on request of the local authority. When making a request there is ability (but not an obligation) to identify the proposed allocation of any assets and surpluses. If a proposal is made then the Secretary of State is bound to implement it. If no proposal is made then the Secretary of State will distribute assets and liabilities as appropriate

If an LLNTDC is used the hierarchical structure could comprise:

1. Oversight Authority - comprising a local authority or group of local authorities (this is the body that the Secretary of State devolves its responsibilities to);
2. Development Corporation(s) - which would act as the master planner body delivering development in the designated areas;
3. Local Delivery Vehicles - which could sit beneath the Development Corporation(s).

11 June 2019

Report of	Assistant Director (Policy and Corporate)	Author	Dan Gascoyne ☎ 282577
Title	Year End 2018 - 2019 Performance Report including progress on the Strategic Plan Action Plan		
Wards affected	Not applicable		

1. Executive Summary

- 1.1 The Panel is invited to consider the performance report for the 2018/2019 year-end. This includes progress of our performance measures and an update on the Strategic Plan Action Plan (SPAP).

2. Action Required

- 2.1 To consider the significance of the performance described in the attached reports for the Organisation's ability to operate effectively and achieve its strategic goals.

3. Reason for Scrutiny

- 3.1 To consider whether the proposed targets for next year are sufficiently realistic and ambitious, ahead of Cabinet on 10 July 2019.

4. Background Information

- 4.1 The Council has agreed a number of key performance areas which it uses as part of its Performance Management Framework to help monitor progress and improvement. This report provides an update of our indicators and a review of progress against our Strategic Plan Action Plan.
- 4.2 At the end of 2018 – 2019, the overall position was that nine of our measures were achieved (or 'green') and four did not meet the target in full ('red').
- 4.3 The actions within our Strategic Plan Action Plan show that there is a considerable amount of positive activity being undertaken across the Council and with our partners to achieve our Strategic Priorities.
- 4.4 The Council has also received a number of awards and accreditations highlighted at the end of Appendix C.

5. Equality, Diversity and Human Rights implications

- 5.1 Progress and improvement regarding these, and many of the actions within the Strategic Plan Action Plan, support our aims of improving both services and the lives of everyone in the Borough. Where required, specific Equality Impact Assessments will exist for policies and activities rather than for individual performance indicators or

actions. Progress on the Council's Equality Objectives are included within the Strategic Plan Action Plan Update.

6. Strategic Plan References

6.1 There are no particular references to the 2018/2021 Strategic Plan.

7. Consultation

7.1 The report's contents do not have any direct implications with regard to consultation. However, the Strategic Plan and priorities were agreed following public consultation.

8. Publicity Considerations

8.1 The performance report contains measures for our key performance indicators and our Strategic Plan Action Plan. Many of these are used to monitor the performance of our services, and as such these may be of public interest. The report and related information are published on the [Performance and Improvement](#) section of the Council's website.

9. Financial implications

9.1 The financial implications of the action plans to deliver the indicators form part of the budget setting process.

10. Health, Wellbeing and Community Safety Implications

10.1 There are performance measures and actions within the Strategic Plan Action Plan which aim to improve community safety and as such this report provides progress updates in this area.

11. Health and Safety Implications

11.1 This report has no direct implications with regard to Health and Safety.

12. Risk Management Implications

12.1 We aim to deliver against performance indicators and the Strategic Plan Action Plan Actions, as both form a key part of our performance framework and expectations around delivery of our priorities to the residents of Colchester borough.

Appendices

- A. Strategic Plan Action Plan Year End Report covering 2018 – 2019.
- B. KPI Year End Report covering 2018 – 2019.
- C. Awards and Other Performance News covering 2018 – 2019.
- D. Draft Cabinet Report.

Background Papers

Not applicable.

Our Colchester

Strategic Plan Action Plan (SPAP) 2018 – 2021

Year End Reporting Template

GROW

Growth – Ensuring all residents benefit from the growth of the borough:

G1 - Help make sure Colchester is a welcoming place for all residents and visitors.

G2 - Ensure residents benefit from Colchester's economic Growth with skills, jobs and improving infrastructure.

G3 - Promote inward investment to the borough.

G4 - Develop jobs, homes, infrastructure and communities to meet the borough's future needs by creating new Garden Communities.

G5 - Work with partners to create a shared vision for a vibrant town centre.

G1	Help make sure Colchester is a welcoming place for all residents and visitors.	
G1	Action	Achievements
G1	Maintain and promote Colchester's Museums and 2019 Adorn Exhibition.	Across all Colchester and Ipswich museums, visitor numbers for 2018-2019 have increased from the previous year total 275,740 to 283,554. Colchester Castle income has increased by 8% to £542,585. It is anticipated that visitor numbers for 2019-2020 should be increased because of the Adorn

		exhibition, for which multiple loans from the British Museum and other major museums have been secured.
G1	Provision of excellent visitor services and tourism promotion of Colchester.	<p>Along with all the core Visitor Information Services offered, the team have delivered three bespoke marketing campaigns:</p> <p>If Our Walls Could Talk – Colchester’s first promotional TV ad produced and aired to a targeted audience on the SKY Adsmart platform and on social media. So far 459,613 has been viewed on Sky, with a further 420,761 views via the Visit Colchester social media feeds and the CBC You Tube channel.</p> <p>The Beautiful Borough – promoting the diverse communities, countryside and tourism offer across the whole 134 square miles of the Borough of Colchester. Campaign artwork in a retro modern style based on 1930’s railway posters was produced in house for each of the following areas: Dedham Vale, Tiptree, Wivenhoe, Mersea Island, Colne Valley, Roman River and Colchester itself. Working with Greater Anglia and the ECC, full size posters were put up in stations on the network and the artwork has been used extensively elsewhere to promote the area. The campaign was very well received locally and in response to demand has been reproduced as a retail line on sale in the Visitor Information Centre (VIC).</p> <p>Colchester Roman Invasion – campaign centred around Liverpool Street Station including advertising on the ticket barriers for 1 month from mid-March. During this time, it is anticipated that 3.2 million passengers will pass</p>

		<p>through the gates. On 19 March, Roman reenactors ‘invaded’ the station for the day, while the VIC team and partners from Museums, the Roman Circus Centre and Wilkins of Tiptree manned a pop up VIC on the station concourse, providing information and giveaways – impact will be tracked in a number of ways including redemption of vouchers for discounted Castle entry.</p> <p>Volume and Value of Tourism to the Borough of Colchester increased 6% in 2017 (statistics are collated externally and 2018 will be available later in year).</p>
G1	Develop and implement a business plan for Council owned car parks to ensure they provide an adequate provision of spaces in a welcoming environment at a competitive price and remain relevant to the expected growth of the Borough.	A survey as part of the review, encompassed 280 respondents’ views which will feed into the new parking strategy, currently being compiled.
G1	Deliver new and improved Mercury Theatre by September 2020.	Demolition work has been completed and the archaeological investigation is also complete, with some interesting finds uncovered. The “main works” are now underway and on schedule. The theatre “decant plan” is also in place.
G2	Ensure residents benefit from Colchester’s economic Growth with skills, jobs and improving infrastructure.	

G2	Action	Achievements
G2	Deliver the Fixing the Link and North Bridge Conservation Enhancement Area (NBCEA) and other Station Travel Plan projects to encourage more people to walk from the station to the town centre.	<p>Fixing the Link 2 designs have been approved. Plans for NBCEA 'lite' progressing and Conservation Area designation, on track.</p> <p>Work is progressing with Greater Anglia on the Station Travel Plan and work to improve access to Colchester Station for sustainable modes.</p>
G2	Delivery of Colchester Northern Gateway (CNG) project (Turnstone), United Way and Sports (North of A12) to extend Colchester's offer and sense of arrival.	Some permissions for sites have been obtained, with a detailed scheme for Turnstone being worked up. The CNG Sports Hub is already under construction and due to complete in time for April/May 2020. The Northern Gateway South application was submitted in March and is currently under consideration by the planning service.
G2	Support Skills Development across Colchester.	<p>In 2018-2019, ten new apprentices have been recruited to CBC and trained. The apprenticeship levy has been used to support professional development for 5 employees.</p> <p>Ten CBC employees are also studying towards a CMI Level 3 Team Leader/Supervisor qualification also funded through the apprenticeship levy.</p> <p>Delivery of the Heritage Lottery Funded 2018-2022 Skills for the Future programme at the museum service.</p>

		Offering placements to veterans through Project Nova and Walking with the Wounded.
G3	Promote inward investment to the borough.	
G3	Action	Achievements
G3	Ensure there is a supply of employment land and premises to attract new business and allow existing firms to expand and thrive.	<p>Evidence base updates provided to help inform the Examination of the Local Plan to move towards Adoption following recommencement of the Examination later this year.</p> <p>In the monitoring period up to December 2018 there was a potential net gain of 13,345 m² of commercial floorspace across the Borough, including development in Haven Road, Colchester. Indicators on Jobs growth based on the latest data illustrates a continued increase in employee jobs year on year.</p>
G3	Produce an updated Economic Strategy for the Borough.	Work is progressing on an Economic Strategy for the Borough. Scoping and Engagement is anticipated for early summer, with a Draft Strategy to follow. Evidence base has been completed.
G4	Develop jobs, homes, infrastructure and communities to meet the borough's future needs by creating new Garden Communities.	

G4	Action	Achievements
G4	Adoption of a new Local Plan and Development Plan Documents for Garden Communities.	Local Plan adoption has been delayed allowing extra work on evidence base to be prepared. Further consultation to take place in Summer 2019 prior to re-opening of the examination.
G4	Progress and develop options to inform future delivery of Rapid Transit.	Work is being undertaken in preparation to meet summer deadline for consultation on updated Local Plan evidence base.
G4	Securing and utilising S106 contributions to fund community infrastructure.	Development Team continues to meet regularly to determine planning obligations. Response sent to national consultation on revisions to S106 system which if progressed, would be beneficial and allow greater collection of contributions from smaller sites.
G5	Work with partners to create a shared vision for a vibrant town centre.	
G5	Action	Achievements
G5	Develop a multi-agency night time economy (NTE) action plan to create a diverse, vibrant and safe town centre at night.	A reported reduction in crime and incidents in relation to businesses contributing to the Night Time Economy is good news.

		<p>The success of Pubwatch and working with the NTE has remained a positive step in ensuring LA, Police, Businesses and Partners work well together to support our vibrant and safe NTE.</p> <p>Introduction of the new Taxi and Private Hire Licence includes compulsory training for Child Sexual Exploitation and Vulnerable persons awareness will better protect drivers and their passengers and nights of action, and random licensing enforcement inspections maintain a visual presence in the NTE.</p>
G5	Progress redevelopment of Vineyard Gate as a new urban quarter to compliment the town centre and provide an attractive mixed-use development which enhances the town wall.	Feasibility work continues. We are working closely with agents to understand market conditions and explore the deliverability of the scheme options. Site assembly has been ongoing and is almost complete.
G5	Improve cleanliness and community safety in the town centre during the day.	<p>Regular focussed patrols with other agencies including Essex Police (Transport) and CBH Outreach. Enforcing legislation under Anti-social crime and policing act 2014.</p> <p>Attendance of weekly Town Centre Action Plan (TCAP) meetings with multiple agencies to share information and develop action plans for individuals and areas concerning Anti-Social Behaviour (ASB).</p>

		<p>Assisting with Essex Police Operation Diss focussing on ASB hotspot areas, as well as involvement with Street Weeks campaigns.</p> <p>Weekly patrols with street ambassadors. Working alongside the Business Improvement District (BID) team on campaigns such as NEAT street https://www.colchester.gov.uk/neat-street-campaign/.</p>
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Responsibility – Encouraging everyone to contribute to making our borough even better:

R1 - Promote responsible citizenship by encouraging residents to get involved in their communities and to identify solutions to local issues.

R2 - Encourage re-use and recycling to reduce waste to landfill.

R3 - Educate those residents who behave anti-socially about the impact of their behaviour.

R4 - Increase the supply of good quality homes by using legal powers to reduce the number of empty homes and improve standards in the private rented sector.

R5 - Create new routes for walking or cycling and work with partners to make the borough more pedestrian- friendly.

R1	Promote responsible citizenship by encouraging residents to get involved in their communities and to identify solutions to local issues.	
R1	Action	Achievements

R1	Take an Asset Based Community Development Approach – Enable the growth of sustainable resilient communities, building capacity, connections and empowering people to act on things that are important to them.	<p>Working with Asset Based Community Development experts, Nurture Development, to deliver a training program to CBC officers and community stakeholders.</p> <p>Realigning resources in the Community Enabling Team and creating thematic lead officers with the tools and skills to work with and alongside communities.</p> <p>Working in collaboration with the One Colchester Strategic Partnership to map local community assets and resources.</p>
R1	Supporting parish councils to prepare Neighbourhood Plans for their communities.	Referendum on Wivenhoe Neighbourhood Plan took place on 2 May 2019, with a view to Adoption in June/July 2019. West Bergholt and Eight Ash Green Neighbourhood Plans currently under Examination. Potential Referendum during the Summer on both Plans.
R2	Encourage re-use and recycling to reduce waste to landfill.	
R2	Action	Achievements
R2	Continue to promote waste minimisation, reduction and recycling to our residents.	Over 450 locations across the borough are receiving weekly plastics collections for flats. Work continues with management companies to implement this initiative in their properties.

		<p>Benchmarking through LG Inform has shown us as the best performing local authority in the East of England, with regards to the amount of residual waste produced per household.</p> <p>CBC is currently in the top quartile for the percentage of household waste sent for reuse, recycling and composting when compared to all other local authorities in the East of England.</p>
R3	Educate those residents who behave anti-socially about the impact of their behaviour.	
R3	Action	Achievements
R3	Multi-Partnership approach to understanding and tackling local priorities linked to anti-social behaviour.	<p>Robust enforcement through use of Town Centre Action Plan and working with partners to reduce begging and street drinking in Town Centre.</p> <p>Street Weeks initiatives delivered to 3 locations to tackle issues identified by local communities and encourage and enable residents to become involved and identify solutions.</p> <p>Leadership of Safety Advisory Group, to ensure all large events in the Town Centre are appropriately risk assessed and public safety is maintained.</p> <p>Public scrutiny of Safer Colchester Partnership (SCP) undertaken at Crime and Disorder Committee on 26 February 2019.</p> <p>SCP Annual Partnership Plan produced for period April 2018 – March 2019 (following partnership consultation and Strategic Assessment of Crime). Key</p>

		priorities to protect vulnerable people and raise awareness of hidden harms, address gangs and county lines, reduce incidents of violent and sexual crime, including weapons and tackle incidents of high harm, repeat Anti-Social Behaviour (ASB) and hate crime.
R3	Deliver an appropriate enforcement approach across the borough.	<p>A week of Enforcement of the Public Space Protection Orders (PSPO) and Bylaws took place in the Town Centre from 15-19 October 2018, with 58 Fixed Penalty Notices (FPN's) being given out.</p> <p>Night Time Enforcement of the PSPO & Bylaws took place in the Town Centre overnight between October 2018 and March 2019, with 541 FPN's being given out.</p> <p>Patrols in all wards continue with a total (in above) number of FPN's being issued in 2018-2019 as follows:</p> <p>Littering 394, PSPO Breach 111, Dog Fouling 4, Abandoned Vehicles 1, Fly tipping 174.</p>
R4	Increase the supply of good quality homes by using legal powers to reduce the number of empty homes and improve standards in the private rented sector.	
R4	Action	Achievements
R4	Maximise the opportunities available through Eco-flex and Warm Homes funding to improve energy efficiency of	The Energy Company Obligation (ECO) requires energy companies to help improve the energy efficiency of domestic homes by discounting the cost of improvement works. Councils can make declarations determining that

	homes in Colchester, out lined in the Home Energy Conservation Act (HECA) Report.	<p>certain households meet the eligibility criteria, with CBC signing off 29 declarations this year. Most cases involve a mix of loft and cavity wall insulation.</p> <p>Targeted promotion campaign undertaken in October-November by Arran Services our specialist contractor partner. A further 40 households have been identified as living in fuel poverty and referred to Arran Service because of Winter Resilience campaign.</p> <p>Works completed in 36 premises as a result of action taken by the Private Sector Housing Team, to remove hazards from cold homes where left unaddressed would likely have resulted in residents seeking medical attention.</p>
R5	Create new routes for walking or cycling and work with partners to make the borough more pedestrian- friendly.	
R5	Action	Achievements
R5	Maximise all opportunities, including funding through planning contributions, to deliver enhanced cycling and walking routes and infrastructure.	<p>Colchester Orbital included as an allocation in the emerging Local Plan with commitment to link to new development wherever possible.</p> <p>Development Team and the Sustainable Transport Team, including the Colchester Travel Plan Club, continue to deliver solutions that promote</p>

		sustainable transport solutions through major development proposals and S106 contributions.
R5	Work with partners to promote sustainable travel behaviour change, healthier lifestyles and reduce car dependency.	<p>Ongoing work with partners to promote sustainable travel, including businesses in North Colchester, and ensure that Travel Plans are robust. New Colchester Travel Plan Club members including Cygnet Hospital, The Oaks Hospital and Colchester Borough Homes. Working with new members to roll out travel plan, carry out surveys and offer public transport discounts.</p> <p>Increased engagement with Colchester Institute with focus on student travel.</p> <p>Support provided to Colchester Hospital to help staff explore alternative modes as new parking management system being rolled out.</p>

Opportunity – Promoting and improving Colchester and its environment:

O1 – Promote Colchester’s heritage and visitor attractions to increase visitor numbers and to support job creation.

O2 – Encourage green technologies through initiatives such as SMART Cities.

O3 – Help business to flourish by supporting infrastructure for start-up businesses and facilitating a Business Improvement District.

O4 – Ensure a good supply of land available for new homes through our Local Plan.

O5 – Promote initiatives to help residents live healthier lives.

O1	Promote Colchester’s heritage and visitor attractions to increase visitor numbers and to support job creation.	
O1	Action	Achievements

O1	Deliver 'Heritage Explorer' trails for walkers and cyclists across the Borough.	A popular booklet <i>Colchester Heritage Trail</i> , (a walking trail linking 30 heritage attractions in the town centre) produced by local historians Patrick Denney and Brian Light, has been digitised (the booklet was previously available only in hard copy) and permission has been granted by the authors to make this free to download on the Colchester Heritage Explorer website (https://colchesterheritage.co.uk/). The digital booklet will be uploaded to the website along with information about, and links to, other heritage-related trails in the Borough, once the upgrade to the Historic Buildings, Sites and Monuments Record (HBSMR) website framework has been completed by Exegesis.
O1	Maximise the opportunities of our Council owned heritage attractions to increase visitor and revenue numbers.	<p>Increases in admissions income at the Castle are being complemented by new initiatives such as 'Knightzzz at the Museum' and other sleepover activities. Improvements to shop displays and ranges in the Castle and Natural History Museum have led to year on year increases of retail income further complemented by growing take-up of tours and interactive tablets. Events from 2019 will focus on audience development as well as income generation. The exhibition 'Adorn' at the castle is anticipated to attract an additional 10,000 visitors.</p> <p>The Museums service is exploring the potential for developments at the Natural History Museum and Gosbecks Archaeological Park to encourage greater footfall and improved visitor experience.</p>

O2	Encourage green technologies through initiatives such as SMART Cities.	
O2	Action	Achievements
O2	Introduce electric vehicle charging points across the borough and encourage and enable electric vehicle use.	Power supply is being installed to new point at Priory Street. A charge point will be installed when the power supply is completed.
O3	Help business to flourish by supporting infrastructure for start-up businesses and facilitating a Business Improvement District.	
O3	Action	Achievements
O3	Manage, Promote and maximise the opportunity of our Charter Market and Street Trading.	<p>Achievements thus far are as follows:</p> <ul style="list-style-type: none"> • Five traders won Golden Oyster awards at the food & drink festival • 3rd year Chilli Challenge with continuing success • Christmas Market was attended by 10,000 people with 650,000 Facebook interactions • 2nd year running panto horse event • Love your Market - National Association of British Market Authorities (NABMA) National campaign, Colchester Market was in the top ten most tweeted Market out of 12,000 Market which took part

O3	Develop a vision for Colchester High Street and explore objectives and options to achieve this vision.	<p>The March 2019 Policy and Public Initiatives Panel (PIIP) received a report on the Government's 'Future High Streets' programme, and an Expression of Interest to this programme was endorsed by the Council's Portfolio Holder for Business and Culture and submitted to Ministry of Housing, Communities and Local Government in late March 2019. PIIP have previously considered the High Street and its potential pedestrianisation, so the opportunity was taken to develop a broader town centre vision identifying the key challenges our town centre faces, and the steps the Council and its partners would like to take to address these.</p> <p>At the centre of this Expression of Interest is a vision statement for the High Street and wider Town Centre, which was developed and endorsed by key interests in the town centre including community groups, ward members, our key partners notably 'Our Colchester' (the Business Improvement District), key businesses and organisations including Colchester Institute, the University of Essex, Essex County Council and South East Local Enterprise Partnership.</p> <p>Officers will undertake further work needed to develop the Vision further within the wider context of the Borough and the Region. Following this further engagement will be undertaken with stakeholders including the key groups who use the town centre, noting in particular the importance of young people to the town's economic health.</p>
O3	Deliver new "Grow on space" (place for smaller start-up businesses to move on to as they establish) linked to the	Awaiting outcome of funding bid (now expected June). Other solutions being explored as alternatives.

	Creative Business, at the former Queen Street Bus Station.	
O4	Ensure a good supply of land available for new homes through our Local Plan.	
O4	Action	Achievements
O4	Ensure the Council has an adequate supply of land available to meet housing needs within the Borough.	<p>Annual Monitoring Report published in December incorporating supply and delivery position at 1 April 2018.</p> <p>Revised housing supply paper published April 2019 to reflect changes to national policy.</p>
O5	Promote initiatives to help residents live healthier lives.	
O5	Action	Achievements
O5	Support projects and initiatives which aim to reduce pollution levels and therefore have a positive impact on the boroughs air quality.	<p>To support National Clean Air Day on Thursday 21 June 2018 the Council introduced a No Motor Vehicle Idling Policy for the users of CBC vehicles, CBC staff using their own vehicles for business travel and motor vehicles visiting Council offices.</p> <p>The Council and Colchester Travel Plan Club were successful in a grant application to DEFRA and have been awarded nearly £250,000 from the</p>

		<p>Government to support a scheme to improve air quality in key areas across the borough.</p> <p>In 2019 the Department for Transport made additional grant funding available for the retrofitting of buses. (Retrofitting reduces the buses tailpipe emissions by 95%). In partnership with Essex County Council, further funding was awarded and 12 additional buses serving Colchester Town Centre will be retro fitted. A total of 38 buses will now be retrofitted through grant finance.</p>
O5	Promote the Livewell campaign – Utilise opportunities to provide communities, families and individuals with information and signposting about all that is on offer to improve health and wellbeing in the borough.	<p>Worked with Communications & Marketing Team to utilise Livewell brand across Council Services.</p> <p>Increased online traffic to the Essex Livewell website - In March 2019, 3 of the 5 top engagement tweets on Livewell were about events or positive news in Colchester. In it's first year (2018), Colchester had the second highest number of unique visitors to Livewell (1,337) behind only Braintree where the campaign has been running since 2014.</p>
O5	Implement improvements to internal processes and report templates to embed considerations (and data) about health and wellbeing into decision making.	<p>To ensure the Council does all it reasonably can to promote improved health and wellbeing a 'health in all policies' approach has been adopted. All decisions and equality impact assessments now require consideration of the positive wellbeing benefits to our residents, whilst also reducing, removing or minimising any unintended consequences to wellbeing that may arise from decisions made, or the delivery of Services.</p>

Wellbeing – Making Colchester an even better place to live and supporting those who need most help:

W1 - Encourage belonging, involvement and responsibility in all the borough's communities.

W2 - Work with Essex Police and partners in the Safer Colchester Partnership to make Colchester an even safer place.

W3 - Create new social housing by building Council homes and supporting Registered Providers.

W4 - Target support to the most disadvantaged residents and communities.

W5 - Help residents adopt healthier lifestyles by enabling the provision of excellent leisure facilities and beautiful green spaces.

W1	Encourage belonging, involvement and responsibility in all the borough's communities.	
W1	Action	Achievements
W1	Work with partners to develop insight and research to support the North Essex Alliance to improve health outcomes for Colchester.	An extensive research brief and proposal has been prepared and liaison with partners is underway to scope the best methods for delivery across the borough (including the relevant partners in each stage).
W2	Work with Essex Police and partners in the Safer Colchester Partnership to make Colchester an even safer place.	
W2	Action	Achievements

W2	Active participation in Safer Colchester Partnerships priorities and outcomes.	<p>Annual Partnership Plan produced for the period April 2018 – March 2019 (following partnership consultation and Strategic Assessment of Crime). Key priorities to protect vulnerable people/raise awareness of hidden harms, address gangs and county lines, reduce incidents of violent and sexual crime, including weapons and tackle incidents of high harm repeat Anti-Social Behaviour (ASB) and hate crime.</p> <p>Several initiatives delivered – highlights include training around gangs/county lines/cuckooing and mate crime, modern slavery conference, Virtual Crew Pilot, Gangsline Project (schools work, young person support and professionals training), Colchester United Knife Crime Initiative and Young Colchester Project. Startwell funded detached youth work and the University funded Internship to support a multi-agency project (CBC led between CBC, Police, University and Essex Youth Services).</p> <p>Town Centre Action Plan (TCAP) (package of enforcement, support, awareness and education) implemented July 2018, followed by Team 10 in January 2019 to tackle issues of street begging and drinking in Town Centre. Weekly partner meetings take place to discuss (and action plan) persistent offenders and hotspots.</p> <p>3 Street Weeks events delivered (Highwoods, St Michaels/Garrison and Greenstead/Hythe).</p>
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		<p>12 Local Community Meeting (LCM) meetings delivered. A review of LCMs to take place April 2019.</p> <p>Leadership of Safety Advisory Group to ensure all large events in the Town Centre are appropriately risk assessed and public safety is maintained.</p>
W2	Maintain Licensing Enforcement Group (LEG) with partners using multi agency tasking to tackle problem premises, promote good practice and tackle early identification of hidden harms within the day and night time economy.	Since forming the Licensing Enforcement Group (LEG) with all responsible authorities, acting as a team the businesses that have caused the issues mentioned have been reduced from 25 to approx. 5 premises that required intervention. The LEG has enabled the teams to proactively work with businesses to improve where necessary both the night time economy (NTE) and the working relationship to ensure that where there were issues or events they are resolved before problems occur.
W3	Create new social housing by building Council homes and supporting Registered Providers.	
W3	Action	Achievements
W3	Secure new affordable homes that are owned by the Council, from the 4 mixed-tenure housing developments being undertaken by Colchester Amphora Homes Ltd (CAHL)	Cabinet approvals obtained, legal agreements drafted and being progressed. First planning application submitted by CAHL and under consideration. Another pre-application enquiry has also been submitted. Design work continues.

W3	Work with registered providers and private developers to deliver new affordable housing.	<p>During 2018-2019, a total of 125 new affordable homes have been delivered. This means we are on target to deliver 360 affordable homes by the end of this Strategic Plan.</p> <p>The Council have paid £224,703 of a total grant of £449,406 to Winnocks and Kendalls Almshouse Charity as their scheme to build 9 additional affordable homes has started on site. The Council also gave a grant of £450,000 to Haig Housing for 7 additional affordable homes for ex-service personnel which were purchased in 2018-2019.</p>
W3	Use our own land and resources to deliver new affordable council homes through the use of under-used garage sites.	Feasibility work has progressed well, with design work commencing on 2 sites. Further work is ongoing to explore 2 other sites further.
W3	Implement a pilot scheme to use "Airspace", creating an additional storey on existing housing blocks to deliver 32 new affordable council homes by 2021.	Some sites have been identified and assessed, discussions are now taking place around procurement procedures, further exploration and feasibility, as well as consultation.
W3	Use our own land and resources to deliver an improved sheltered accommodation scheme.	Plans are being made to initiate consultation with residents from June 2019 onwards.

W4	Target support to the most disadvantaged residents and communities.	
W4	Action	Achievements
W4	Work with partners to coordinate and enable the delivery of projects, interventions and activity focused on supporting families, children and young people in Colchester to get the best start in life.	<p>The 'startwell' programme has seen the Council invest £165k to date (in addition to attracting a further £205k in match funding) in a range of projects that enable young people and families in Colchester.</p> <p>Projects include:</p> <p>Working with Social Enterprise, Catch 22, to support and build resilience into families who are in 'housing crisis' and at risk of losing their tenancy or living in temporary accommodation.</p> <p>Upskilling Young people with early signs of mental health issues and supporting them to take steps to improve wellbeing.</p> <p>Resourcing detached youth work in areas identified as being subject to anti-social behaviour.</p>
W4	Customer insight and statistics. Target support and access for customers appropriately, using research.	The research and engagement team work corporately to support our services in gathering customer insight and running consultations that help shape service delivery and planning. Over this year, this has included the following:

		<ul style="list-style-type: none"> • Analysis of health and wellbeing indicators for Colchester- Informing strategic work of the Alliance with our partners • Mosaic profiling of Museums visitors and passholders - informing targeted events and funding reports • Mapping current and potential customers for Helpline- informing business planning for the service • Boxted community profile- to inform community facilities work • Stanway community profile- to help target new community facility • Old Heath recreation ground profile- to inform future planning and development
W4	Prevent households from experiencing homelessness and tackle rough sleeping.	<p>The way CBH provide advice and assistance to households has fundamentally changed since the introduction of the Homelessness Reduction Act. During 2018-2019 homelessness was prevented for 186 households, and 90 homeless households were assisted to secure alternative accommodation under the relief duty.</p> <p>The Rough Sleeper Co-ordinator worked with 28 clients from 1 April until the 30 September. CBC secured additional government funding in October which enabled the employment of two additional outreach workers. From October until the end of March the increased team were able to work with more clients, and during this period worked with 49 clients who have been</p>

		provided with support/advice/assistance to help them move off of the streets. 16 rough sleepers have been housed during 2018-2019.
W4	Work with partner and community organisations to advance equality of opportunity and access to services for, vulnerable groups.	<p>We continue to use our robust processes in all equality impact assessments. An annual Equality and Safeguarding Report to Governance Committee in November 2018 sets out a full account of activities and progress.</p> <p>The Diversity Steering Group includes representatives from all service areas. The aim of the group is to provide an active forum for the discussion of and involvement in corporate equality and diversity issues, that affect both the Council workforce and the borough population.</p> <p>CBC is an active member of Essex Equality Network meetings and the Essex Faith Forum.</p>
W4	Work with partner and community organisations to help safeguard vulnerable people.	<p>An annual Equality & Safeguarding Report to Governance Committee in November 2018 set out a full account of activities and progress for Safeguarding.</p> <p>Designated Safeguarding Officers (DSOs) have undergone a review and many new DSO's volunteered. DSO's (including a few CBH Officers) were provided with level 3 Safeguarding Awareness training in March 2019.</p>

		<p>Further training in ‘specialist’ areas to be continued throughout the year (i.e. suicide prevention, hate crime, referral procedures).</p> <p>Closer links with Essex Safeguarding Adults Board (ESAB) and Essex Safeguarding Children Board (ESCB) formed via participation in City, Borough Safeguarding (CDB SG) Leads and ESAB Leads meetings.</p> <p>Continued support for Domestic Homicide Review (DHR) and Serious Case Review (SCR).</p> <p>Close working with CBC Licensing Team to enhance safeguarding procedures for Taxis.</p>		
W5	Help residents adopt healthier lifestyles by enabling the provision of excellent leisure facilities and beautiful green spaces.			
W5	Action	Measurement of success	Achievements	Lead Officer
W5	Work together with system partners to achieve challenging targets in a small number of key areas that will have a significant impact on major health conditions.	Secured £145k from North East Essex Clinical Commissioning Group to plan and deliver a new approach to support people with a mental health diagnoses to livewell at home and reduce pressures on acute health services.		

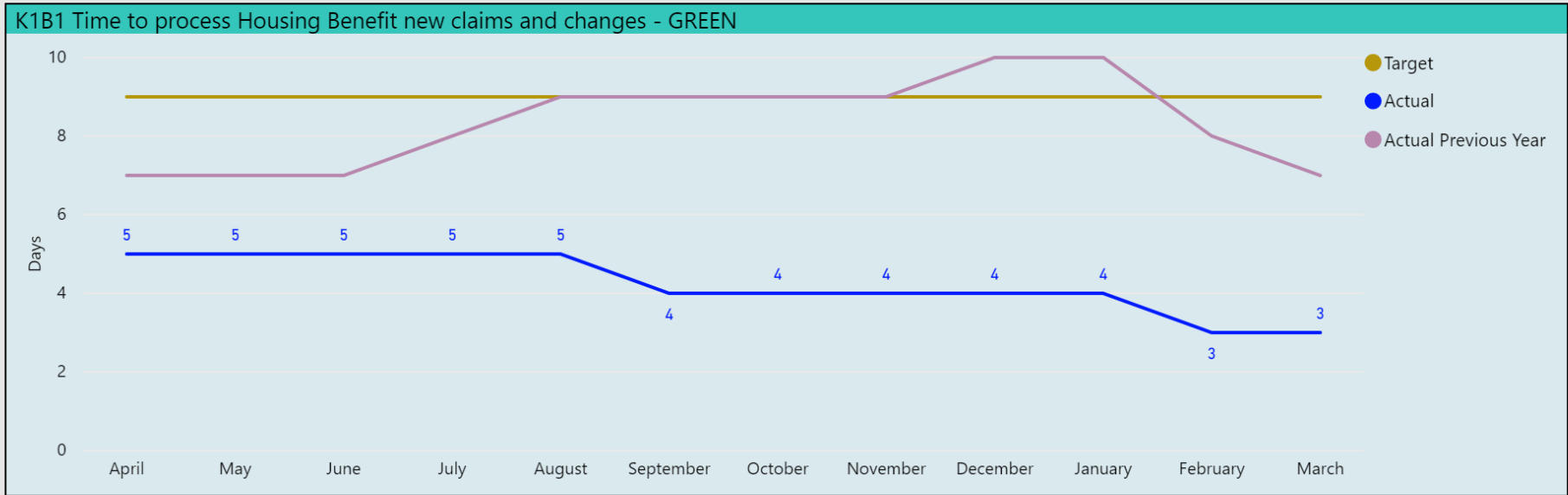
		<p>Successfully awarded £90k from North East Essex Clinical Commissioning Group to deliver 'Wild Wellbeing' a project aimed at connecting children & young people with outdoor activities to improve wellbeing.</p> <p>Essex Local Delivery Pilot (see below).</p> <p>Making Every Contact Count (MECC) online training is available on mylearning and promoted to new staff at induction training by HR. A Systemwide package will be developed over the next year.</p>
W5	Work with Sport England, System partners and the community to deliver the Essex Local Delivery Pilot (ELDP).	<p>In December Sport England confirmed an additional lottery award of £9.84m to fund the Essex Local Delivery Pilot (LDP) to tackle physical inactivity across the County. The award is an extension of the initial grant of £845,000 made earlier in the year.</p> <p>Colchester is one of three Boroughs who will be the main recipients of funds to increase levels of physical activity, particularly in vulnerable individuals and families.</p> <p>New community coordinator role started in November (hosted by CBC) to build new relationships with local stakeholders and individuals in communities to understand the barriers that exist to being active. The role will support capacity building and work with Individual's and groups to coproduce solutions.</p>

W5	<p>Protect, enhance and deliver a comprehensive green infrastructure network, including the Colchester Orbital, and seek opportunities from future developments to improve connectivity to the network.</p>	<p>Continue to secure contributions through section 106 agreements where appropriate. During the monitoring period 2017-2018 - £402,453.00 (including offsite provision contributions).</p> <p>Colchester Orbital Project is progressing with initial phase of work to enhance the mapping underway and also raising awareness of the route / branding the project and identifying opportunities to reduce and remove barriers. Project groups working with key community stakeholders to take this forward. Funding supporting this initial work includes contributions for the Council Priorities (£20 000).</p>
W5	<p>Dementia Friendly Activities at Leisure World Colchester</p> <p>Deliver a range of activities for people living with dementia and their carers Activities include: Fitness Pool swimming available under the guidance of qualified teachers, table tennis, badminton and “Song & Memories” sessions.</p>	<p>With the initial success of April-September 2018 programme the scheme was extended up to April 2019.</p> <p>An increase of 162% has been achieved since the scheme’s launch in 2018.</p> <p>User group feedback has been overwhelmingly positive as key social & accessibility barriers have been addressed.</p>
W5	<p>Diabetes Support Programme at Leisure World Colchester</p>	<p>We have documented strong blood sugar and weight loss achievements.</p>

	<p>Working in partnership with the National Diabetes Prevention Programme and GP Surgeries to deliver a 12-week programme aimed at those who have been diagnosed with diabetes or pre-diabetic health conditions. Develop knowledge of Diabetes and its treatment Build awareness and motivation to exercise. Physical activity sessions & nutrition support. Max 16 people per programme.</p>	<p>We now have tangible data for all attendees showing very significant improvements of their wellbeing – ranging from one to two and-a-half stone weight loss in addition to wider health benefits e.g. improvements to their diabetes symptoms including adopting wider lifestyle changes.</p>
W5	<p>Develop a Colchester Parks and Green Space Strategy – linking healthier lifestyles, community volunteering, green spaces and new funding streams.</p>	<p>Continued work at Allotments sites across the Borough, with only 3% of total plots currently vacant.</p> <p>Online allotment selection system currently being developed.</p> <p>Following Co-production sessions with the local community, a Nature and History walk in the Bourne Valley app will launch in May 2019.</p> <p>Conservation works took place in April 2019 at Ghost Wood which resulted in the creation of a seating area for Forest School activities.</p>

		<p>Several Play areas across the borough have received new play equipment and surfaces. Bergholt Road Bradfield Drive with Fiddler Foley Play undertaking a full refurbishment.</p> <p>Mile End has had a new Adult Gym equipment installed.</p> <p>The borough has adopted new Play Areas at Parade Square and Captain Gardens.</p> <p>Castle Park's new Putt in the Park new pavilion is due to be completion at the end April 2019, ready for the new attractions opening in summer 2019</p> <p>Further Improvements to Castle Park currently taking place include the bespoke Changing places toilet to meet the needs of all people with disabilities by providing specialist equipment in a safe and clean environment completion early May 2019.</p> <p>The Café in the Park Public toilets provision will be completed at end of May 2019.</p> <p>Along with refurbishment to the toilet provision in Lower Castle Park completed June 2019.</p>
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Corporate Key Performance Indicators
Year End Report
April 2018 - March 2019



Target	Actual	Actual Previous Year
9	3	7

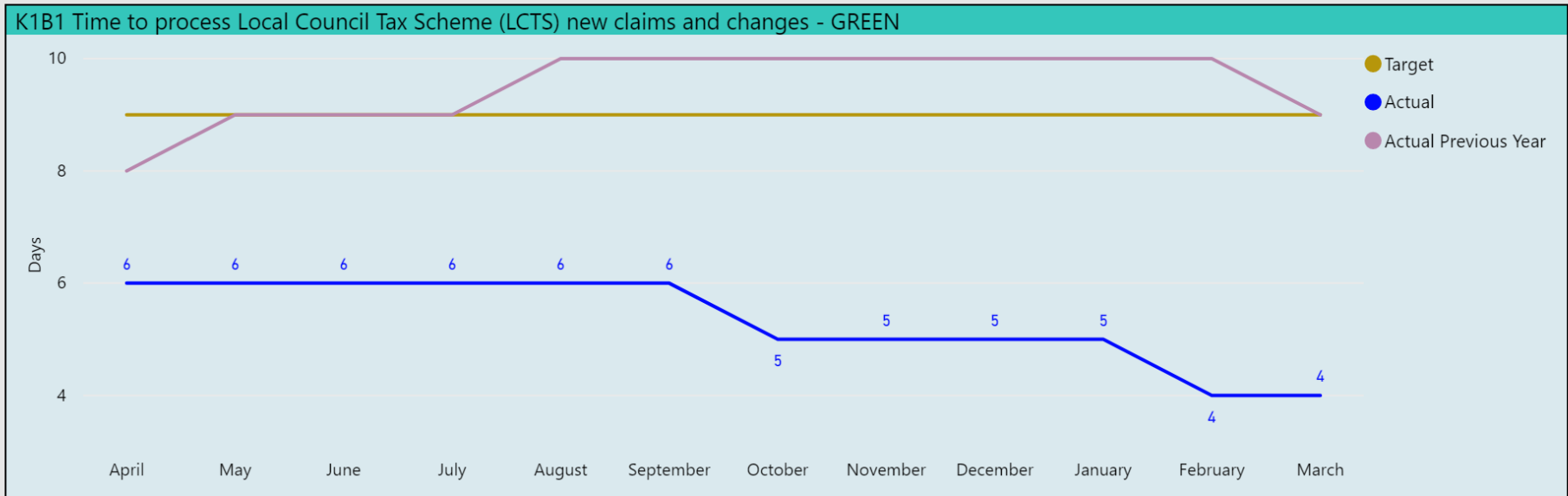
Supporting Narrative

Customer Futures 2 gave us an opportunity to re-design our service delivery, work smarter and embrace a positive performance culture.

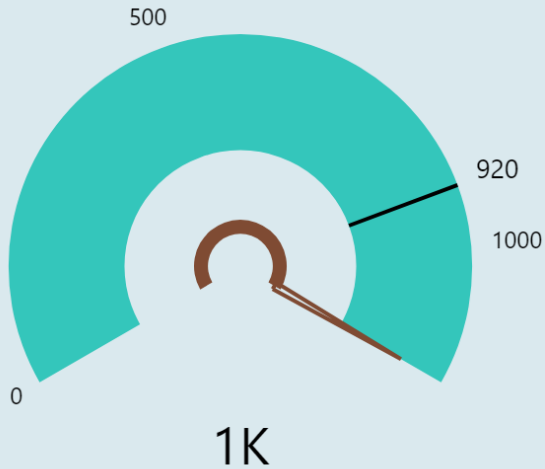
We have a caring, driven and high performing team that are proud to have 'distributed eligible benefit quickly' -They understand how important this is to residents.

The targets have been exceeded and the team have delivered remarkable results.

Target	Actual	Actual Previous Year
9	4	9



K1H1 Additional Homes Provided - GREEN



Actual towards Target and RAG Stat...

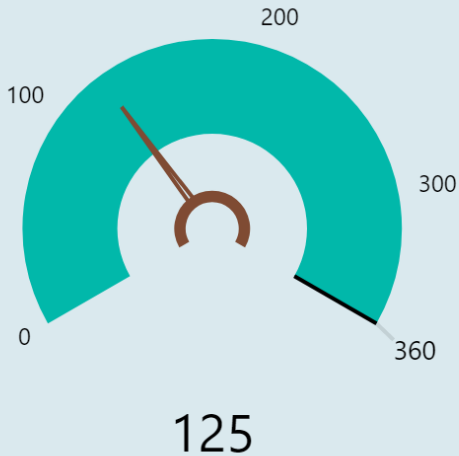
1165✓
Goal: 920

Target	Actual	Financial Quarter
920	1165	4

Supporting Narrative

Delivery is above the target in the Local Plan and the target derived using the Standard Methodology. Annual position statement published.

K1H2 Affordable Homes Delivered over Three Years - GREEN



Actual against Target and RAG Status

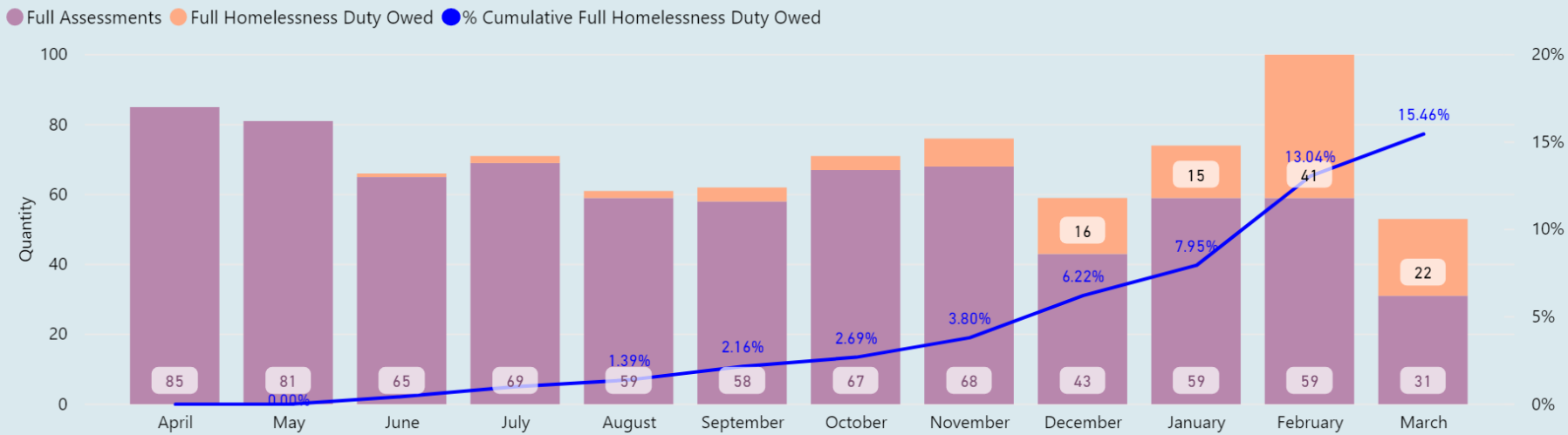
125✓
Goal: 120

Target	Actual	Financial Quarter
120	125	4

Supporting Narrative

The 125 new affordable homes delivered in 2018-2019 represents 35% of the three-year target and means that we are on track to achieve the total of 360 homes. This is excellent news for households in housing need in Colchester.

K1H3 Full Homelessness Duty Owed - GREEN

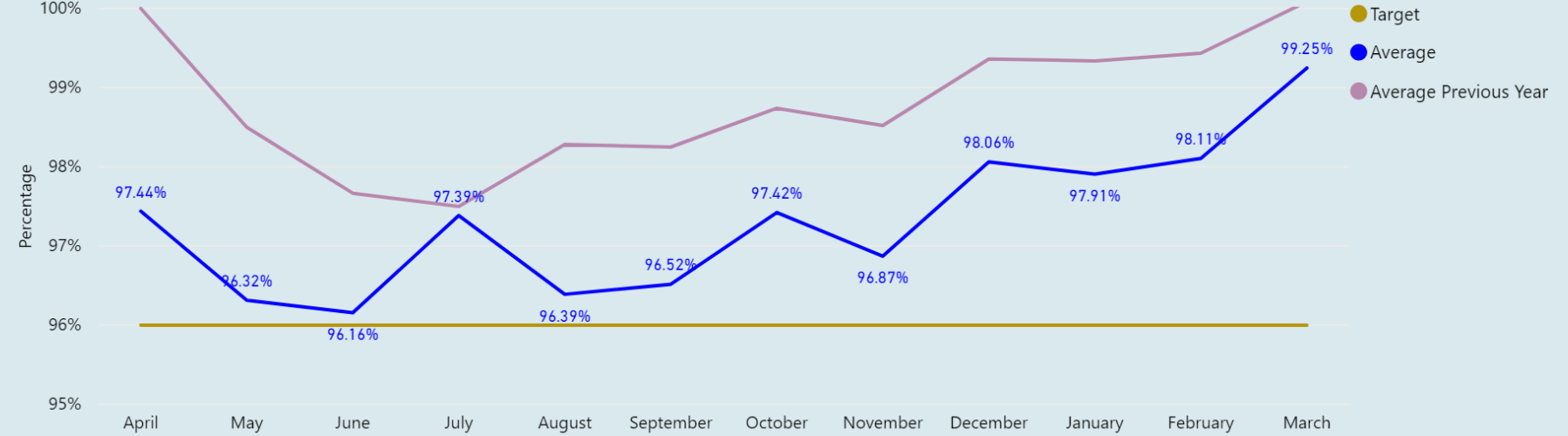


Supporting Narrative

The figures captured for this financial year reflect the new Homelessness Reduction Act. During the year of the 744 full assessments completed under the Act, 115 were accepted as homeless, which is reflected by the percentage figure. This is a 37% reduction from the previous year. The housing options team at Colchester Borough Homes continue to focus on prevention and relief of homelessness.

K1H3 Target	% Cumulative Full Homelessness Duty Owed
20.00%	15.46%

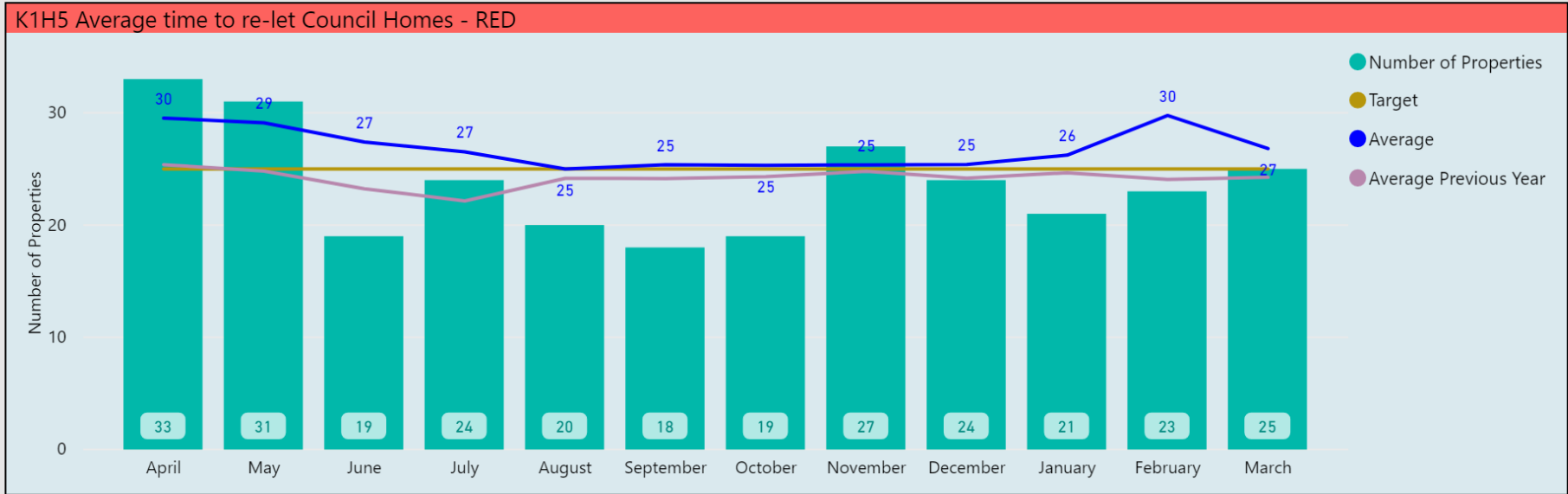
K1H4 Rent Collected - GREEN



Supporting Narrative

Rent collection levels continue to remain high and above target.

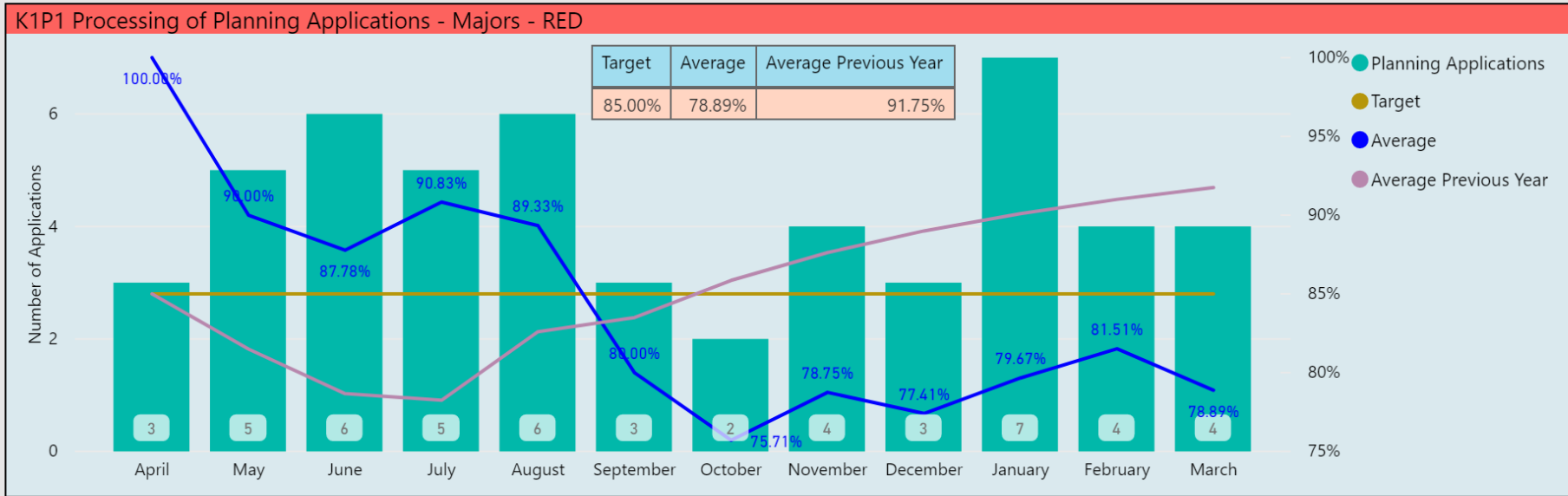
Target	Average	Average Previous Year
96.00%	99.25%	100.09%



Supporting Narrative

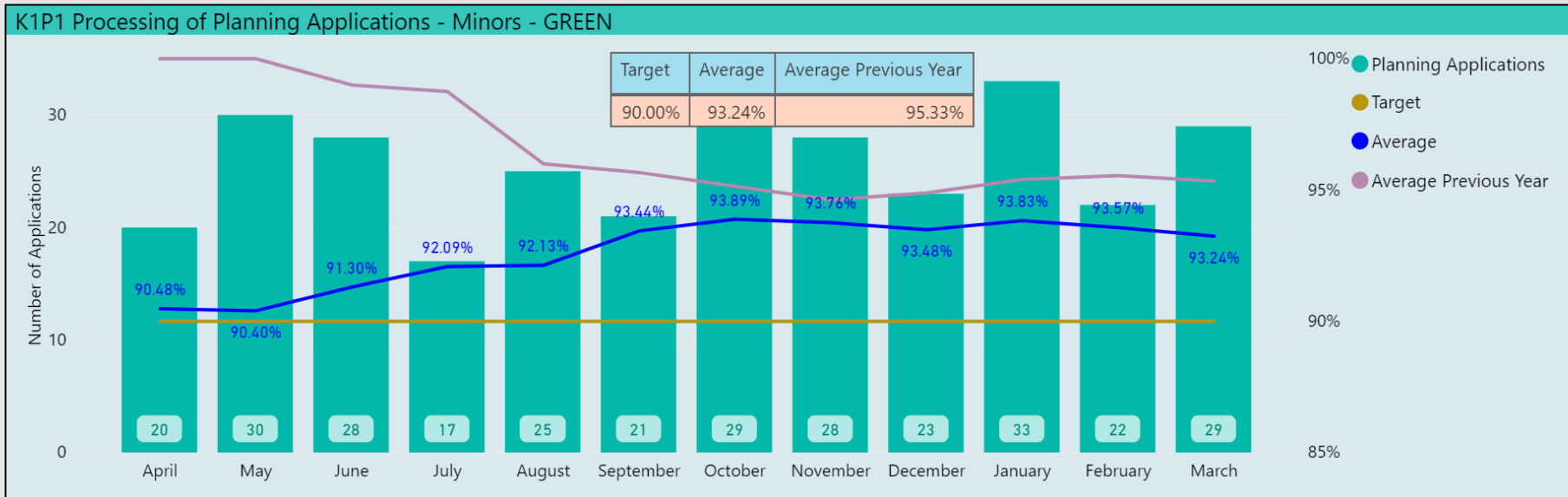
The void and letting process is managed by Colchester Borough Homes with work on void properties carried out by their in house workforce and external contractors. The number of voids per annum continues to decline with more properties requiring capital works. During this year there were 283 void properties however, the turn around time has fallen outside of the target. A new external contractor has been procured with a new contract for works commencing on 12 April 2019.

Target	Average	Average Previous Year	Number of Properties
25	26.81	24.24	25



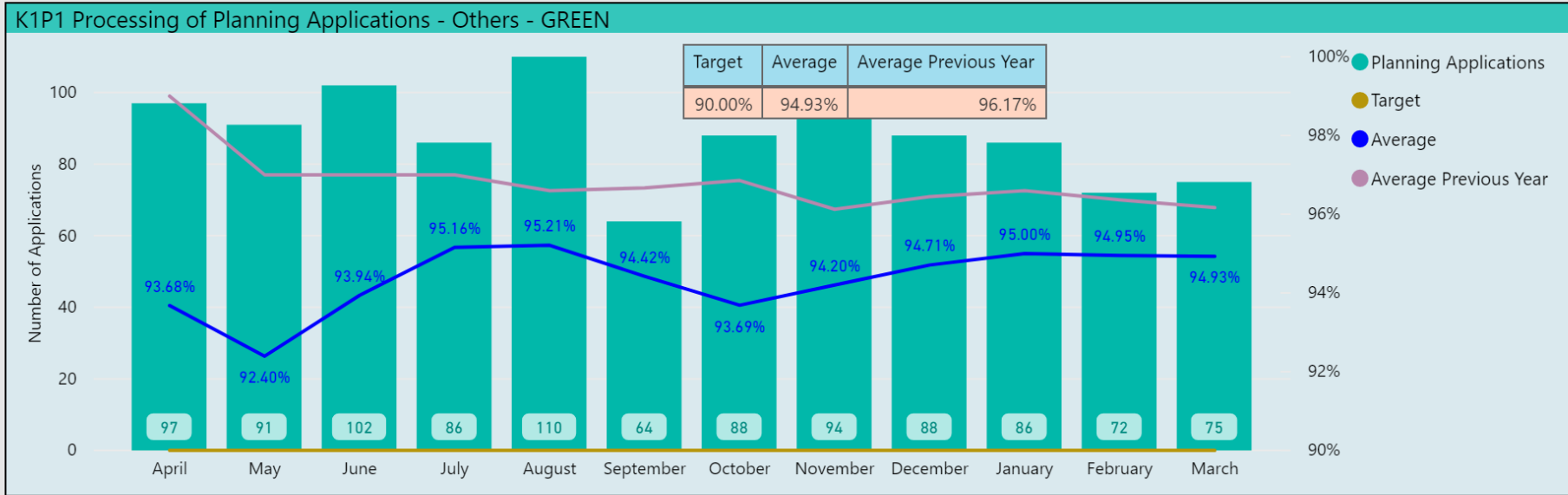
Supporting Narrative

There were 52 major applications determined this year in a period when the service was depleted by the loss of several members of experienced staff. Performance was slightly under target due to appeals against non-determination and the need to refer applications to the Secretary of State. The resultant delays were unavoidable on our part. In addition, this type of application tend to be complex, require lots of negotiation and need a committee referral. Due to the lower number of major decisions, each individual application has a larger impact on the achievement of the target. Just one further application determined within the timescales could have seen the target achieved.



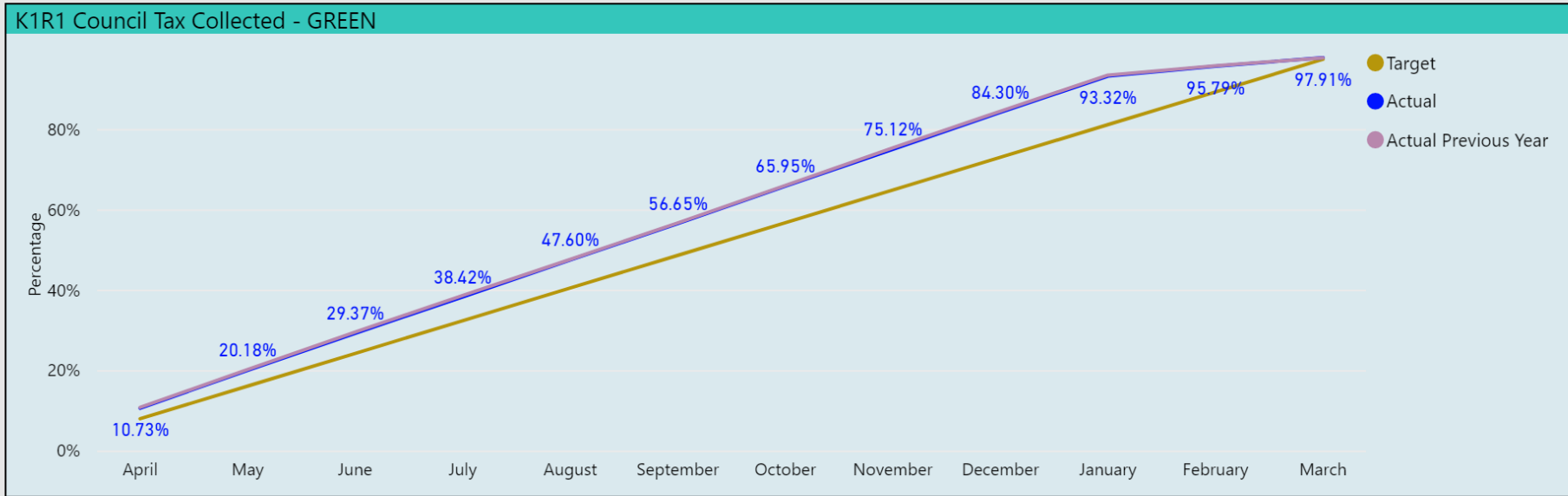
Supporting Narrative

The team achieved a consistently high level of decision making for the minor applications, despite the loss of staff. There were 305 minors decided within the year, in a category that includes applications for up to 10 new dwellings, commercial development of up to 1,00 square metres of floorspace, or sites with areas of up to 1 hectare.



Supporting Narrative

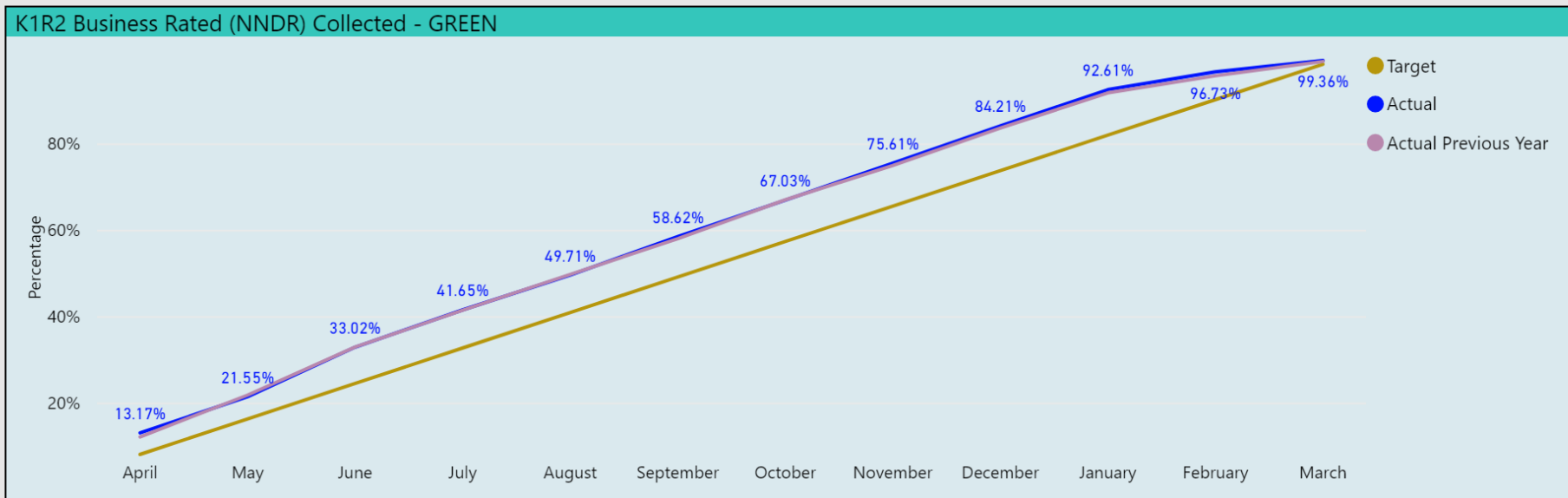
The team achieved a consistently high level of decision making for “other” planning applications, which is a category that includes householder extensions, changes of use, adverts and lawful development certificates. This category saw the highest number of applications and forms the bulk of planning work, with over 1,000 decisions made in this category.



Supporting Narrative

Collection exceeds both target and previous years collection. This is an excellent achievement for the team who pushed to the very last day to bring in as much money as possible. The team are strong and committed but the results surpassed our expectations.

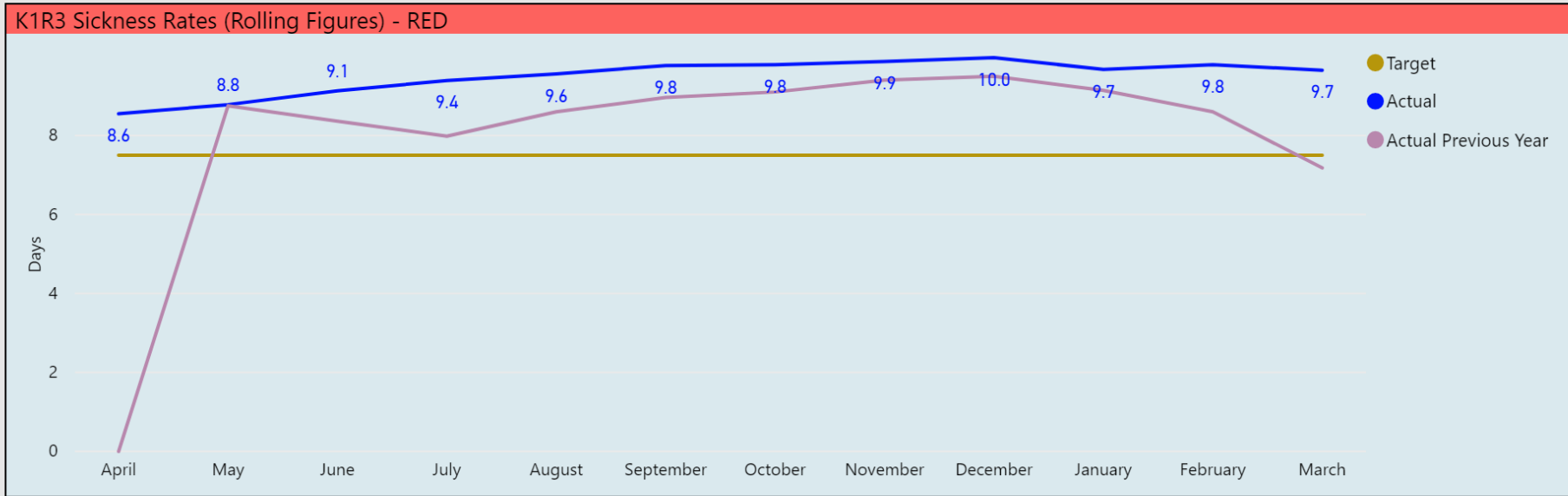
Target	Actual	Actual Previous Year
97.50%	97.91%	97.85%



Supporting Narrative

Collection exceeds both target and previous years collection. The team are extremely focused and have worked year-round to ensure that businesses pay promptly. We are very proud of these results.

Target	Actual	Actual Previous Year
98.50%	99.36%	99.14%

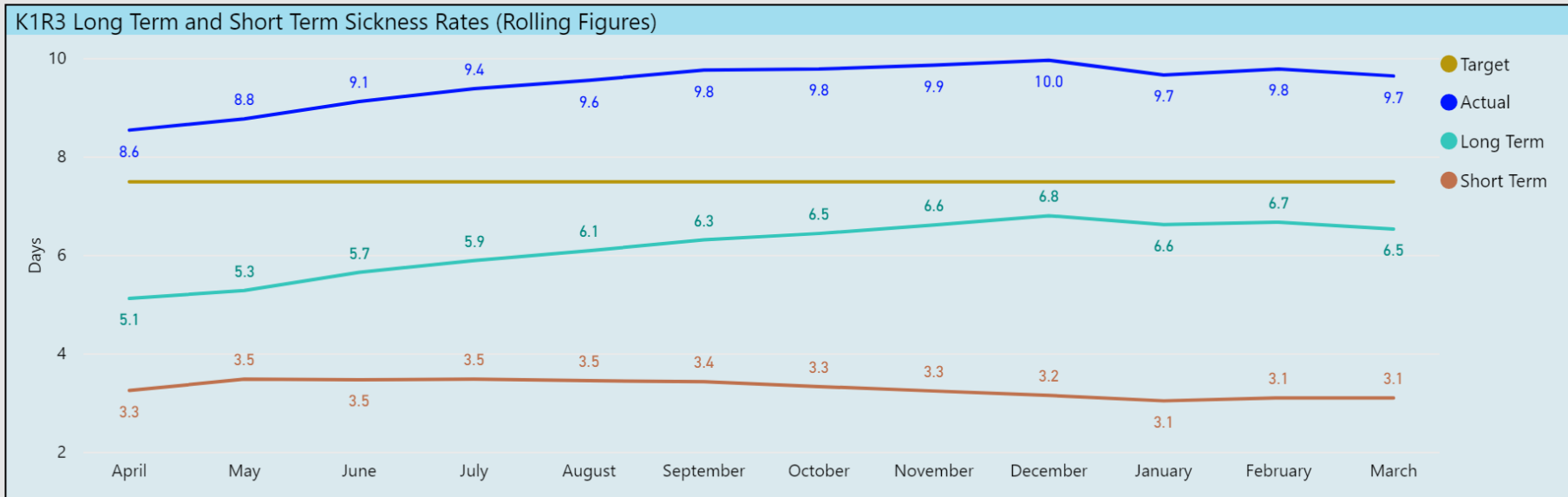


Target	Actual	Actual Previous Year
7.50	9.65	7.18

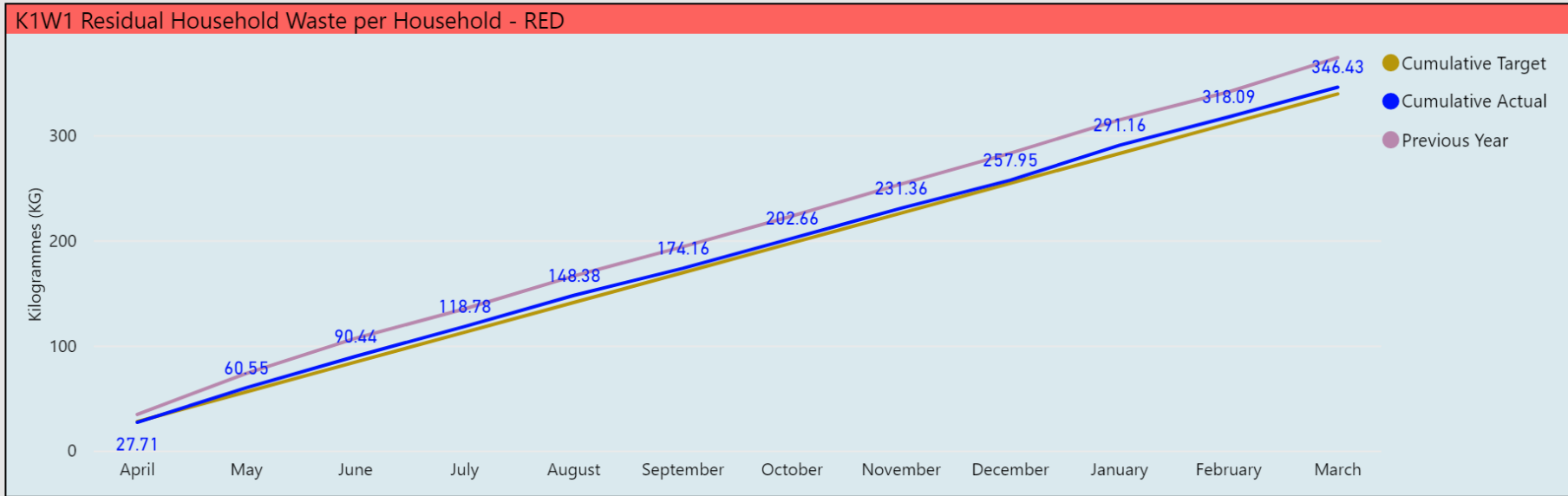
Supporting Narrative

This performance is of corporate concern and driven by long term sickness (short term sickness rates are falling). Regular case conferences with Assistant Directors, GMTs and HR Business Partners are being held to discuss long term sickness cases and to agree to agree next steps.

It is anticipated that the management actions taken as a result of the case conferences will start to impact on sickness absence rates in the next reporting year.



Actual	Long Term	Short Term
9.65	6.54	3.11

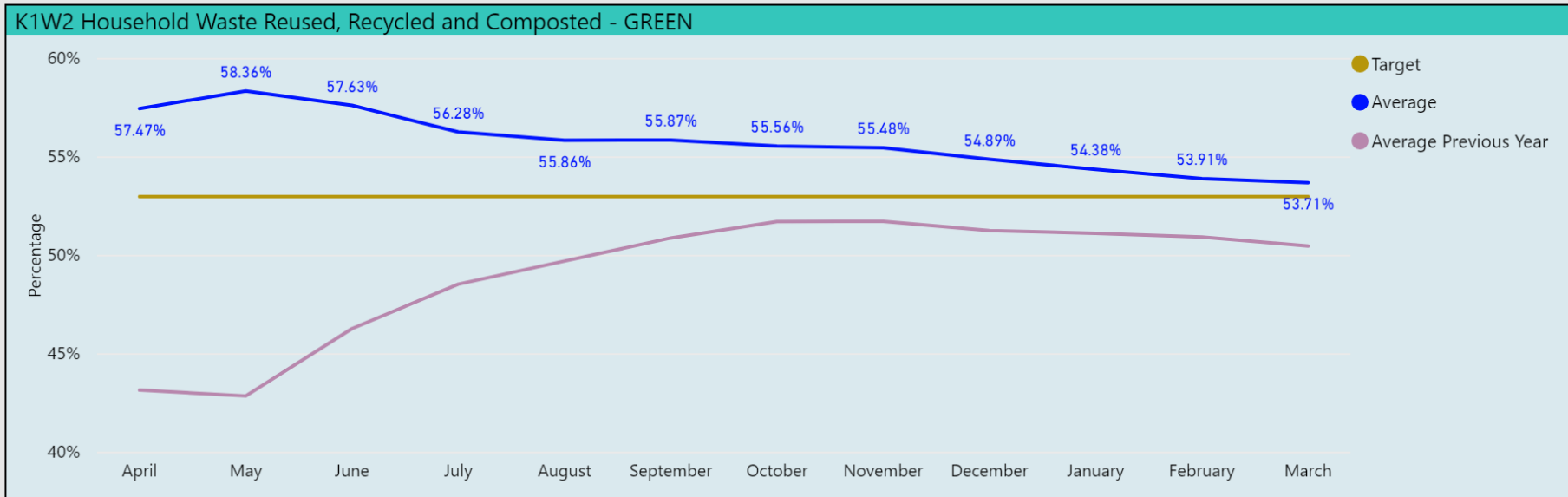


Supporting Narrative

The target for 2018/2019 was estimated as the full year impact of waste service changes made in June 2017 was not know when it was set. Based on previous DEFFRA residual waste figures, Colchester remains one of the best performing Councils in this area

Achieving a 28.07kg reduction per household against performance for 2017-2018 is significant, and reflects that the service changes are now fully embedded with residents.

Cumulative Target	Cumulative Actual	Previous Year
340.00	346.43	374.50

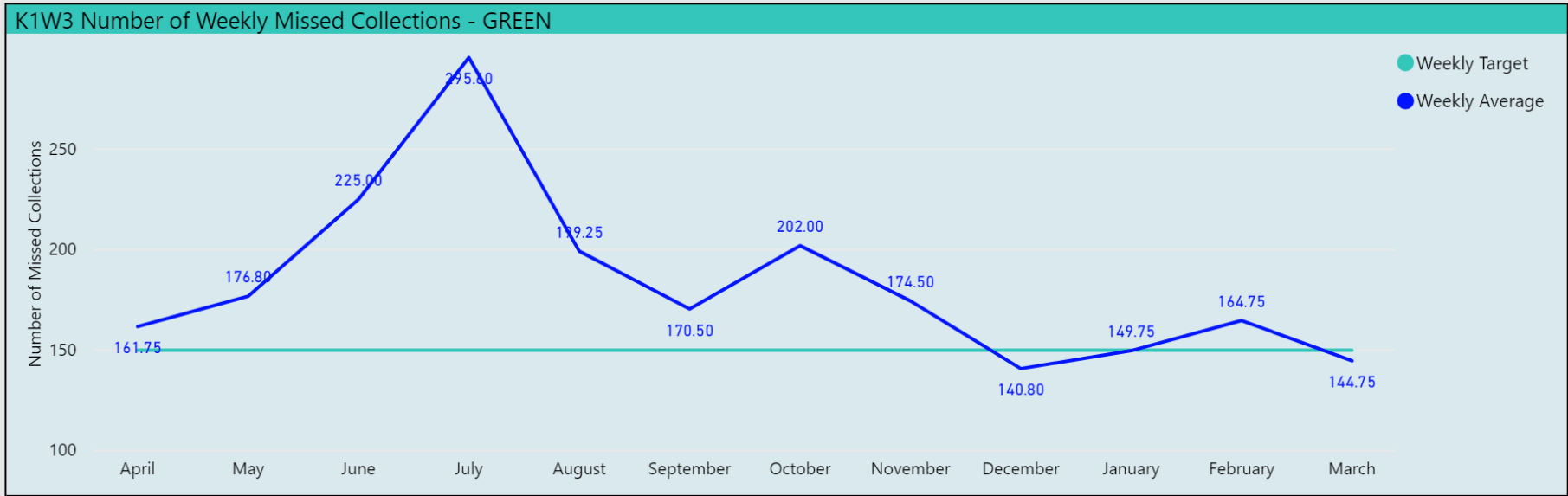


Supporting Narrative

The target has been exceeded which reflects a significant improvement in performance above 2017-2018 and levels of performance nationally.

This is a continuation of improved performance since service changes were made and residents are continuing to recycle more.

Target	Average	Average Previous Year
53.00%	53.71%	50.49%



Supporting Narrative

Missed bins are under target at 144 average per week.

Regular performance monitoring and the embedding of service changes has seen an improvement on missed bin figures across all areas.

Weekly Target	Weekly Average	Target % Missed	Actual % Missed
150	144.75	0.06%	0.04%

Other performance news

• Awards and accreditations

The highlights are summarised here and are also shown on www.colchester.gov.uk in the [achievements](#) section

Achieved April 2018 to March 2019 – full-year report	
British Parking Awards 2019	<p>The British Parking Awards seek to recognise and celebrate best practice, innovation and achievement in the design and management of both public and private sector parking. The North Essex Parking Partnership (NEPP) were finalists in five categories.</p> <p>The NEPP were winners in three categories:</p> <ul style="list-style-type: none"> • The Communication Award, which recognises imaginative, engaging and informative approaches to communicating with the public and other organisations, for their 3PR: Encouraging better parking around schools campaign. • The Parking Partnerships award, which recognises the importance of partnership working in the parking sector. • Car Parks: Special Projects Award for the refurbishment of Priory Street Car Park, a joint entry with Colchester Borough Council. March 2019
Career Track Assessor Award	<p>Four young apprentices who demonstrated outstanding commitment to their personal career development and made a significant contribution to the work of Colchester Borough Council, have been honoured with a 2019 Career Track Assessor Award. The assessment of apprentices undertaking work-based training with the Council is overseen by Career Track, which is operated by Tendring District Council with funding from Colchester Institute. March 2019.</p>
LGC Awards 2019	<p>Team of the Year category - Macmillan Welfare Rights Team - finalist in shortlist of 11 councils.</p> <p>Housing Initiative category - finalist as part of a project by Essex County Council, 12 Essex Districts and 2 Unitary Councils, in shortlist of seven councils.</p> <p>LGC editor Nick Golding said: “The councils that have been shortlisted for an LGC Award are among the most innovative – and their innovation is providing the best services for residents, despite local government facing enormous budget cuts.</p> <p>“The officers and councillors of shortlisted councils deserve enormous credit for thinking of new ways to deliver the best services, ensuring vital services thrive in the era of austerity.” March 2019</p>

<u>Customer Service Excellence Standard</u>	Our Customer Contact and Support Centre has been awarded the prestigious national Customer Service Excellence Standard. The Standard was awarded following a year-long programme and rigorous two-day external assessment in December 2018. The standard covers a range of areas including timeliness of responses, the quality of information provided and the motivation of its staff. The Excellence Award is valid for three years, with an annual rolling programme assessment visit. February 2019.
<u>Essex Wedding Awards</u>	Colchester's Town Hall and Castle were finalists in the Essex Wedding Awards 2018 - the Town Hall in the 'Something Different' category and Colchester Castle in 'Heritage'. November 2018.
<u>British Parking Association</u>	<p>Richard Walker, Group Manager of the North Essex Parking Partnership (NEPP) was elected, through a vote by its Council of Representatives, to the British Parking Association Board.</p> <p>The BPA said: "It is noteworthy that Richard is leading on our Local Government-focused 'Positive Parking Agenda' project. Democracy has shown once again that members vote for what is important to them and having the PPA+ directly represented on the BPA Board can only be a good thing." October 2018.</p>
<u>Dying to Work Charter</u>	While CBC's existing employment policies and Employee Assistance Programme already enshrine elements of the Dying to Work campaign, signing up to the Charter offers additional assurances to council staff about how they will be supported, protected and guided throughout their employment following a terminal diagnosis. October 2018.
<u>Cemetery of the year awards</u>	Colchester cemetery came second in the large cemetery category of the national Cemetery of the Year Award. Cemetery officers and Idverde staff were presented with the framed Silver Award certificate at a ceremony in October 2018.
<u>Defence Employer Recognition Scheme</u>	<p>Having achieved the Bronze Award in January 2018, CBC received the Silver Award in August. The Ministry of Defence gives these awards as part of its Employer Recognition Scheme, to businesses and organisations which go the extra mile to demonstrate their commitment to aiding and employing members of the military community.</p> <p>CBC aims to maintain and develop this work and is pleased to set an example to others. We are actively working to raise awareness of the Armed Forces Covenant and encouraging other businesses and organisations in the area to also be Forces Friendly employers. August 2018.</p>

<u>Visitor Experience Awards</u>	Colchester Museums' Visitor Services team were winners at the first-ever national Visitor Experience Awards. They were up against the Houses of Parliament, National Museums Liverpool and Cornwall's Regimental Museum in the Visitor Experience Team of the Year category. They were presented with their award a ceremony in London's Welcome Collection. August 2018.
<u>Green Flag Awards</u>	Castle Park and Highwoods Country Park have again both been awarded Green Flag Awards, recognising them as two of the best parks in the UK. Colchester's Cemetery and Crematorium also achieved Green Flag status. Green Flags set a benchmark of standards for management and maintenance of publicly accessible urban and countryside parks, and they promote the community value of green spaces. The Castle Park also holds <u>Green Heritage Site</u> status. July 2018.
<u>Institute of Revenues, Rating and Valuation (IRRV)</u>	CBC achieved 'highly commended' status in the 2018 IRRV Performance Awards in the Revenues Team of the Year (District Authority) category. The team was shortlisted for its work to transform its collection service. The Revenues team handled 46,000 calls in 2017/18 and completed around 330,000 pieces of work. This not only helped CBC achieve its best results so far with a nearly 98% council tax and more than 99% business rates collection rate, but also a 98% customer service satisfaction rating. October 2018.
<u>Charter for Elected Member Development</u>	<p>This award recognises that the Council has achieved best practice in the way it provides learning and development opportunities for its elected members (councillors). It provides an independent, robust and structured framework designed to help councils enhance and hone member development.</p> <p>CBC was first awarded Charter Status for Elected Member Development in 2011 and was reaccredited in 2015. The accreditation lasts for a period of three years, and the Council passed its full reassessment in July 2018.</p>
<u>Municipal Journal (MJ) Achievement Awards</u>	<p>CBC was a finalist in the 'Digital Transformation' category for its work to improve its online experience for customers.</p> <p>As well as assessing the Council's digital transformation strategy to increase access to digital services and provide a more intuitive and personalised online experience for customers, judges considered digital innovations which have transformed the way staff work using cloud-based technology and revolutionised the operation of the Waste and Recycling Service. This includes, for example, a redesigned web portal for waste and recycling information, and the use of new in-cab route-planning technology fitted to the waste fleet providing live online navigation updates to officers and customers. June 2018.</p>

Disability Confident Employer	'Disability Confident Employer' – CBC achieved this in June 2018. The Disability Confident scheme supports employers to make the most of the talents disabled people can bring to the workplace. June 2018.
Gold Travel Plan	CBC's Staff Travel Plan has retained its 'Gold' status as part of Essex County Council's travel plan accreditation awards. May 2018.
LEXCEL	Legal Services have been re-accredited against this Law Society standard. Lexcel is the Law Society's legal practice quality mark for excellence in legal practice management and excellence in client care. May 2018.
Rookie Life Saving Awards	Leisure World Colchester has been awarded the Essex Branch Silver Shield. Leisure World run the Royal Life Saving Society (RLSS) UK Rookie Lifeguard programme, which gives children the skills they need to be confident in the pool or the sea. The Silver Shield Award acknowledges the fantastic pass rate on its Junior Rookie Lifeguard courses held during 2018. April 2018.
Creative Industries - Sector Deal	<p>Colchester has been highlighted as a creative hotspot in the Government's latest 'Sector Deal' for the Creative Industries. Recognised for 'high growth and concentration' of the creative industries, Colchester is ranked 20th out of 47 creative places in the UK.</p> <p>This could open a wide variety of opportunities, as the sector deal includes action to support the creative industries with the announcement of a new Creative Development Fund. This £20m fund aims to help creative hot-spots like Colchester to become world-class, unlock growth, encourage investment and create new jobs.</p> <p>Another strand will invest a further £39m in building new research and development partnerships between universities and business via the Industrial Strategy Challenge Fund. April 2018.</p>

[Single Data List](#)

The single data list is a list of all the datasets that local government must submit to central government. The list is reviewed and updated annually. Local authorities are not obliged to provide any data which is not on the list without extra funding.

The single data list was updated in March 2019 and details of the [changes](#) have been circulated to the relevant officers for action.



Cabinet

10 July 2019

Item

Report of	Assistant Director (Policy and Corporate)	Author	Dan Gascoyne ☎ 282577
Title	Year End 2018 - 2019 Performance Report including progress on Strategic Plan Action Plan		
Wards affected	Not applicable		

1. Executive Summary

- 1.1 Cabinet is invited to consider the performance report for the 2018/2019 year-end. This includes progress of our performance measures and an update on the Strategic Plan Action Plan (SPAP).

2. Recommended Decision

- 2.1 Consider the significance of the performance described in the attached reports for the organisation's ability to operate effectively and achieve its strategic goals.

3. Reason for Recommended Decision

- 3.1 To confirm the significance of the performance described in the attached reports for the organisation's ability to operate effectively and achieve its strategic goals.

4. Alternative Options

- 4.1 No alternative options have been presented to Cabinet.

Page break after Section 4.

5. Background Information

- 5.1 The Council has agreed a number of key performance areas which it uses as part of its Performance Management Framework to help monitor progress and improvement. This report provides an update of our indicators and a review of progress against our Strategic Plan Action Plan.
- 5.2 At the end of 2018 – 2019, the overall position was that nine of our measures were achieved (or 'green') and four did not meet the target in full ('red').
- 5.3 The actions within our Strategic Plan Action Plan show that there is a considerable amount of positive activity being undertaken across the Council and with our partners to achieve our Strategic Priorities.
- 5.4 The Council has also received a number of awards and accreditations highlighted at the end of Appendix C.

6. Equality, Diversity and Human Rights implications

- 6.1 Progress and improvement of these and many of the actions within the Strategic Plan Action Plan support our aims of improving both services and the lives of everyone in the borough. Where required, specific Equality Impact Assessments will exist for policies and activities rather than for individual performance indicators or actions. Progress on the Council's Equality Objectives are included within the Strategic Plan Action Plan Update.

7. Standard References

- 7.1 There are no particular references to the Strategic Plan; consultation or publicity considerations or financial; community safety; health and safety or risk management implications.

8. Strategic Plan References

- 8.1 There are no particular references to the 2018 – 2021 Strategic Plan.

9. Consultation

- 9.1 The report's contents do not have any direct implications with regard to consultation. However, the Strategic Plan and priorities were agreed following public consultation.

10. Publicity Considerations

- 10.1 The performance report contains measures for our key performance indicators and our Strategic Plan Action Plan. Many of these are used to monitor the performance of our services, and as such these may be of public interest. The report and related information are published on the [Performance and Improvement](#) section of the Council's website.

11. Financial implications

- 11.1 The financial implications of the action plans to deliver the indicators form part of the budget setting process.

12. Health, Wellbeing and Community Safety Implications

- 12.1 There are performance measures and actions within the Strategic Plan Action Plan which aim to improve community safety and as such this report provides progress updates in this area.

13. Health and Safety Implications

- 13.1 This report has no direct implications with regard to Health and Safety.

14. Risk Management Implications

- 14.1 We aim to deliver against performance indicators and the Strategic Plan Action Plan Actions, as both form a key part of our performance framework and expectations around delivery of our priorities to the residents of Colchester Borough.

Appendices

- A. Strategic Plan Action Plan Year End Report covering 2018 – 2019.
- B. KPI Year End Report covering 2018 – 2019.
- C. Awards and Other Performance News covering 2018 – 2019.

Background Papers

Not applicable.

Report of	Assistant Director Policy & Corporate	Author	Paul Cook ☎ 505861 Darren Brown ☎ 282891
Title	Financial Monitoring Report – End of Year 2018/19		
Wards affected	Not applicable		

1. Executive Summary

- 1.1 This report sets out the financial performance of General Fund Services and the Housing Revenue Account (HRA) for the year 2018/19.

2. Action required

- 2.1 The Panel is asked to note the financial performance of General Fund Services and the Housing Revenue Account (HRA) for the year 2018/19.

3. Reason for scrutiny

- 3.1 Monitoring of financial performance is important to ensure that:
- Service expenditure remains within cash-limited budgets.
 - Potential variances at year-end are identified early so that remedial action can be taken to recover the position or 'recycle' any surplus budgets.
 - Performance targets are being met.
- 3.2 This report also gives the Panel the opportunity to hold Service Managers and Portfolio Holders accountable for their budgets.

4. Background

- 3.1 The revenue budget position was last considered by Governance and Audit Committee on 7th March 2019. This was as at Quarter 3, and showed a projected net overspend of £267k against the General Fund, although it recognised that there remained a number of potential changes to the forecast, meaning that it was expected the outturn would be "within the budget". The Housing Revenue Account was being forecast to be on budget.
- 3.2 The accounts for 2018/19 have been signed and this report has been prepared using these figures, which are still subject to external audit.
- 3.3 All the information presented in respect of General Fund Services shows the position based on net 'direct costs'. The review of the Housing Revenue Account is different in that it shows all costs, both direct and indirect.

5. General Fund – End of Year Position

5.1 In total the General Fund outturn shows a net surplus after carry forwards of £0.263m. A number of the factors contributing to this position have been identified and reported during the year, but some of the key messages behind this figure are that:-

- There have been one-off unforeseen/unbudgeted costs (e.g. redundancy costs) and service-demand cost pressures that have contributed to the outturn position.
- The main service income lines show £0.904m more income compared to the budget. The main gains being in planning, licensing and food safety, along with one-off income of £0.518m relating to land wayleaves.
- There are a number of one-off technical items which have mitigated the cost pressures in-year, including a gain from a reduction in the level of bad debts provision required, and miscellaneous Government Grants.

5.2 The following table summarises the outturn position for each Service, the effect of the approved requests for carry forward into 2019/20, and a breakdown of the outturn position against the main non-service areas.

	Actual	Budget	Variance	c/f	Net
	£'000	£'000	£'000	£'000	£'000
Corporate & Democratic Core	(407)	(503)	96	-	96
Policy & Corporate	9,323	10,024	(701)	499	(202)
Executive Management Team	657	655	2	-	2
Community	1,674	2,075	(401)	401	-
Customers	4,091	4,177	(86)	280	194
Environment	4,673	4,615	58	218	276
Sub-Total Services	20,011	21,043	(1,032)	1,398	366
<i>Net Recharge Movement</i>					
NEPP	(115)	(110)	(5)	5	-
CIMS	1,035	1,019	16	(16)	-
Benefits	(709)	(727)	18		18
General Fund / HRA	7,179	7,368	(189)	-	(189)
HRA Contingency (cost shown above)		84	(84)		(84)
Total Services	27,401	28,677	(1,276)	1,387	111
Pensions	725	715	10		10
CLIA	538	630	(92)	92	-
Provision for Bad Debts	(347)	-	(347)		(347)
Misc	99	-	99		99
Misc Gov't grants	(86)	-	(86)	18	(68)
General service related items		422	(422)	352	(70)
Business Rates	(6,295)	(5,262)	(1,033)	1,033	-
Business Rates Pool	(645)	-	(645)	645	-
Collection Fund	(607)	(609)	2		2
Total	20,783	24,573	(3,790)	3,527	(263)

- 5.3 The above table shows approved carry forward requests and other technical accounting adjustments totalling £3.527m. The key items include:-
- £755k in respect of specific 2018/19 Strategic Plan Priorities items within services
 - £352k Strategic Plan Priorities 2018/19 funding (of which £302k already agreed by Cabinet to be carried forward to provide support for projects in 2019/20)
 - £1.678m in respect of business rates (including £645k in respect of the pooling gain).
 - £87k in respect of funding allocated for Local Development Framework (Core Strategy) and Community Infrastructure Levy (CIL)
 - £186k in respect of the New Homes Bonus Affordable Housing element.
 - £113k in respect of Arcus implementation, and the back-scanning and indexing project.
 - £167k linked to various on-going projects within Customer, including £43k for welfare reform.
- 5.4 The following table provides an alternative view of the outturn position, and gives a breakdown by major expenditure and income variances.

Draft Outturn Summary:-	£'000	£'000
<i>Cost Pressures:-</i>		
• Redundancy costs absorbed within Customer Experience	212	
• Increased Amphora management fee for year-end impact of company pension liability costs	174	
• Net Waste (Recycling credits/Employee & Contractor costs/Materials)	381	
• Finance (recruitment & agency costs / management and consultancy costs)	70	837
<i>Less income:-</i>		
• Council Tax Sharing Agreement	98	
• Sport & Leisure <i>net</i> shortfall in income	252	350
<i>Underspends / income gains:-</i>		
• Planning income	(177)	
• Commercial Properties/Lettings income (net), including one-off income from land wayleaves	(602)	
• Housing (net underspend on B&B/Homelessness Initiatives, more income than assumed in budget from Homeless Persons Units)	(41)	
• Zones (Grounds Mtce underspend / more income from Zones service fees & FPN's)	(52)	
• Net Licensing and Food Safety (Future Review one-off costs/Prosecution costs/more income from Licensing and Food & Safety)	(46)	
• Net Customer Business	(44)	
• Bereavement (Employees/Grounds Mtce/Materials/Income)	(67)	
• Corporate Asset Mgt (R&M, Premises costs, Backdated County Broadband income, CBH SLA income)	(110)	(1,139)
<i>Corporate / technical items</i>		
• Net Benefits gain	(321)	
• Various service related and misc. technical items	78	
• Misc Govt grants	(68)	(311)
Total	(263)	(263)

Service Budget Position

- 5.5 **Appendix A** details final direct expenditure and direct income for each service (excluding Benefits, NEPP & the Joint Museums Committee (JMC)), and **Appendix B** breaks this down by subjective group.
- 5.6 **Appendix C** details all budget variances analysed between expenditure and income, including the agreed carry forwards against each area to provide some context. The majority of the more significant variances have been reported to the Panel during the year.
- 5.7 The overall position on services shows a lower net overspend from the forecast reported at Period 9. The largest changes include less income from the Council Tax sharing agreement, more income than forecast from Bereavement services, Zones, Planning and Commercial & Investment properties. There has been less expenditure within Bereavement services and Corporate Asset Management than forecast, with more net expenditure than forecast on Customer Solutions, Sport and Leisure, Car Parking, ICT & Client-Commercial Company.
- 5.8 Appendix B highlights there is a total underspend of £0.128m with more income of £0.904m. Additional income received primarily relates to planning, licensing and food safety, some of which had been forecast and reported during the year, along with a one-off income of £0.518m relating to land wayleaves.

Technical / corporate items

- 5.9 In addition to Service budgets it is necessary to review the corporate and technical items in the budget. A number of these are one off such as:-
- Net saving of c70k from general service related items, such as the non-consolidated pay award where the 18/19 actual cost was less than the allowance made in the budget, and the Local Authority Carbon Management (LACM) savings target not met.
 - £92k gain from net interest earned/paid, as a result of a lower level of new borrowing required for the capital programme and higher average interest rates achieved on investments. This will be carried forward to provide a one-off contingency for any potential adverse effects on investment income rates post-Brexit.
 - £347k gain from a decrease in provision for bad debts. This was shown in services in previous years, but accounting code changes now require us to show this separately.
 - Income of c£68k from ad hoc Government grants.
- 5.10 In respect of business rates, provisional pooling figures show we will receive £645k from the business rates pool and it is assumed that this will be carried forward. The Medium-Term Financial Forecast assumes that £200k of this will be used to support the 2020/21 budget. The other gain shown in respect of business rates primarily relates to accounting arrangements whereby there are differences in timing of business rate income and some specific government grants. The gain in year will therefore be carried forward and held in the business rates reserve.

Summary and impact on future years

- 5.11 Outturn variances are discussed with relevant service managers and the overall position is considered by the Senior Management Team. One important issue is to consider the extent to which any budget variance is likely to be a recurring issue, and if so, whether the 2019/20 budget has been adjusted to reflect this. For example, one of the largest income variances is in respect of a shortfall in Council Tax sharing agreement income and the 2019/20 budget was decreased in this area. Service managers are reviewing all

outturn variances and any recurring issues will be reported alongside the emerging 2020/21 budget strategy.

- 5.12 The 2019/20 budget was based on the assumption that the 2018/19 outturn would be “on-budget”. The final position therefore reflects an improvement and the additional surplus will therefore be added to balances and will be considered by Cabinet.

6. Housing Revenue Account

- 6.1 **Appendix D** sets out the pre-audit revenue outturn for the Housing Revenue Account (HRA).
- 6.2 The outturn position is showing a net surplus of £660k compared to a budgeted deficit of £189k for the year, a favourable variance of £849k. However, there are carry forwards that reduce this variation to a favourable variance of £658k. The outturn variance needs to be considered in the context of the forecast outturn position at Period 9, which was predicting that the outturn position would be on budget, and also the predicted underspend for 2018/19 contained within the 2019/20 HRA budget-setting papers considered by the Panel at its meeting on 29 January 2019.
- 6.3 The revenue outturn position also needs to be considered alongside the outturn position for the Housing Investment Programme (Capital) shown elsewhere on the agenda. Given the slippage of capital expenditure into 2019/20, less revenue resources are required to fund the 2018/19 Housing Investment Programme (Capital), therefore the revenue underspend will be carried forward within the HRA balance and be used to fund the Housing Investment Programme in 2019/20 when the expenditure is incurred. The outturn position has arisen as a result of variances in several areas, and has been split between service and non-service elements.

Service Areas

- 6.4 We received £563k more income than budgeted. This primarily reflects the net impact of less rental & service charge income being lost from dwellings and garages than assumed within the budget, through a combination of voids and the level of Right to Buy sales. In addition, the HRA earned more interest on its balances and reserves, similarly to the gain by the General Fund reported in paragraph 5.9.
- 6.5 There was less expenditure than anticipated in a number of areas, the major ones being as follows; There was a net underspend on Premises costs, primarily due to less expenditure on void repairs and servicing contracts than assumed in the repairs and maintenance budget, higher utility costs, less expenditure on Council Tax on void properties, along with underspends on other CBH delegated budgets such as contract cleaning and grounds maintenance work. There was a general underspend across most Supplies and Services budgets, which was primarily due to a lower contribution to our Bad Debts Provision than budgeted, reflecting the amount of write-offs during the year and the level of rent arrears at year-end. The HRA receives recharges from a number of services and, given the outturn within these areas, there is a resultant impact upon the HRA. Carry forward requests of £191k have been approved.

One-Off/Technical Items

- 6.6 Members will be aware from the 2019/20 Budget Report considered by the Panel at its meeting of 29 January 2019, that as a direct result of the additional income this financial year, we have been able to use some of these additional revenue resources to make an additional revenue contribution to fund the 2018/19 Housing Capital Programme. This

has meant we have been able to minimise new borrowing, and therefore forego additional interest costs.

- 6.7 The HRA balance at 31 March 2019 is £4,564k. However, £2,964k of this balance is currently committed to future years in order to fund revenue expenditure committed to during 2018/19, together with future contributions to the Housing Investment Programme (Capital). This leaves the uncommitted HRA balance at £1,600k, which is the recommended minimum prudent level of balances. The level of balances at the year-end is in line with the estimate used when the 30-year HRA Business Plan was agreed by Cabinet in January 2019.
- 6.8 The HRA is a “ring-fenced” account which means that any underspend or overspend in a given year must be retained within the HRA. The effect of the 2018/19 outturn position will need to be reflected within the Medium-Term Financial Forecast (MTFF) for the HRA to establish the level of resources for future years. This will be reviewed as part of the forthcoming budget process for 2020/21.

7. Strategic Plan references

- 7.1 The priorities within the Strategic Plan are reflected in the Budget and Medium-Term Financial Forecast.

8. Financial implications

- 8.1 As set out above.

9. Risk management implications

- 9.1 Risk management is used throughout the budget cycle, and this is reflected in the strategic risk register. The 2018/19 revenue budget report that was approved by Council in February 2018 detailed a number of potentially significant risk areas that had been identified during the budget process. In addition, Assistant Directors identify a number of both positive and negative risk areas during the year.

10. Other Standard References

- 10.1 Having considered consultation, publicity, equality, diversity and human rights, community safety, and health and safety implications, there are none that are significant to the matters in this report.

11. Background Papers

- 11.1 None

12. Appendices

- 12.1 Appendix A: Actual Outturn Expenditure and Income by Service Area – Direct Costs only
- 12.2 Appendix B: End of Year – Subjective Analysis
- 12.3 Appendix C: Major Outturn Variances
- 12.4 Appendix D: End of year financial position

Actual Outturn Expenditure and Income by Service Area – Direct Costs only

		Actual Outturn		
	Area	Spend	Income	Net
		£'000	£'000	£'000
	Corporate & Democratic Core	295	(702)	(407)
	Total	295	(702)	(407)
	Executive Management Team			
	EMT	659	(2)	657
	Total	659	(2)	657
	Community Services			
	Assistant Director - Communities	138	-	138
	Licensing & Food Safety	620	(598)	22
	Community Safety	123	(25)	98
	Environmental Health Services	491	(62)	429
	Building Control	396	(398)	(2)
	Community Initiatives	1,015	(371)	644
	Private Sector Housing	339	(64)	275
	Cultural Services	628	(119)	509
	Colchester Museums	60	(499)	(439)
	Total	3,810	(2,136)	1,674
	Customer Services			
	Assistant Director - Customer	137	-	137
	Customer Business	1,027	(575)	452
	Local Taxation & NNDR	440	(740)	(300)
	Customer Solutions	1,388	(205)	1,183
	Customer Experience	2,551	(347)	2,204
	Electoral Services	472	(57)	415
	Total	6,015	(1,924)	4,091
	Environment Services			
	Assistant Director - Environment	147	(7)	140
	Recycling & Fleet	6,363	(2,368)	3,995
	Zones	5,172	(1,151)	4,021
	Bereavement Services	797	(1,450)	(653)
	Car Parking	1,080	(3,910)	(2,830)
	Total	13,559	(8,886)	4,673

		Actual Outturn		
	Area	Spend	Income	Net
		£'000	£'000	£'000
	Policy and Corporate			
	Assistant Director Policy & Corporate	161	-	161
	Finance	937	(104)	833
	ICT and Communications	3,114	(449)	2,665
	People and Performance	858	(190)	668
	Governance	2,944	(330)	2,614
	Place Strategy	1,608	(472)	1,136
	Planning	1,000	(1,369)	(369)
	Housing	2,559	(1,646)	913
	Garden Communities	2,267	(1,555)	712
	Sub-Total	15,448	(6,115)	9,333
	<i>Company Related:-</i>			
	Client - Commercial Company	2,166	(286)	1,880
	Corporate Asset Management	2,246	(447)	1,799
	Commercial & Investment	612	(3,822)	(3,210)
	Sport & Leisure	4,453	(4,932)	(479)
	Total	24,925	(15,602)	9,323
	Total (all)	49,263	(29,252)	20,011

End of Year – Subjective Analysis

Account Description	Actual £'000	Budget £'000	Variance (fav) / adv £'000
By Subjective Group			
Employees	24,006	23,617	389
Premises Related	7,868	7,698	170
Transport Related	1,890	1,920	(30)
Supplies & Services	10,124	11,030	(906)
Third Party Payments	5,087	4,986	101
Transfer Payments	248	100	148
Capital Financing Costs	40	40	-
Subtotal Expenditure	49,263	49,391	(128)
Government Grant	(2,907)	(2,896)	(11)
Other Grants & Reimbursements	(4,530)	(4,429)	(101)
Customer & Client Receipts	(21,664)	(20,870)	(794)
Income-Interest	(151)	(153)	2
Subtotal Income	(29,252)	(28,348)	(904)
Total General Fund Services	20,011	21,043	(1,032)

Major Outturn Variances

Note: Underspends and additional income variances are shown in brackets.

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
Executive Management Team					
EMT	3	-	3		<ul style="list-style-type: none"> Overspend due to pension strain and recruitment costs offset by underspend on salaries due to vacant post (2.8%)
Community Services					
Assistant Director Communities	1	-	1		<ul style="list-style-type: none"> Small overspend relating to subscriptions.
Licensing and Food Safety	79	(123)	(44)		<ul style="list-style-type: none"> Overspend on employee costs of £39k due to redundancy costs following the Futures Review (8%) There has been a £44k overspend on supplies and services (91%) relating to legal fees to support current prosecutions and costs associated with the Colchester Hackney Carriage Unmet Demand Survey. We have received additional Licencing income of £80k (17.6%) and Food & Safety income of £22k (110%).
Community Safety	(342)	-	(342)	333	<ul style="list-style-type: none"> The underspend primarily relates to a Spending Priorities funding carry forward of £330k for additional resource to the Police, and £3k towards Windrush Celebrations. There is £9k (41%) underspend in Equality and Safeguarding salaries
Environmental Health Services	(16)	(5)	(21)		<ul style="list-style-type: none"> The underspend relates to Consultancy & Support expenditure (100%) and General Services expenditure (64%) £6k income received as recovered costs were awarded by the courts following an appeal case.

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
Building Control	3	(3)	-		<ul style="list-style-type: none"> Additional income (0.79%) offsets an employee overspend (2.9%)
Community Initiatives	(19)	50	31	27	<ul style="list-style-type: none"> There are carry forwards for Spending Priorities funding of £12.8k, and base budget carry forwards of £14.1k for Locality Grants, addition to Startwell and welfare grants. £27k savings target and some vacancy factor targets not met. Overspend in Lion Walk following the transition of the service to Age Concern and payment of grant to support new offer to residents and existing members.
Private Sector Housing	51	(20)	31		<ul style="list-style-type: none"> £16k overspend on Legal Fees, as these costs were unbudgeted but are recoverable subject to the outcome of the appeal case. There are overspends on recruitment and employee costs as a result of legislative changes affecting the regulation of houses of multiple occupancy (HMOs) and the significant increase in demand on the team (3.76%) £10k more income relating to the introduction of the Redress Penalty Scheme (22%) Additionally, £8k more income was achieved on Licence Fees (49%)
Cultural Services	(34)	(3)	(37)	33	<ul style="list-style-type: none"> There are carry forwards for Spending Priorities funding of £33k for Lighting Scheme and Arts Centre. £4k more income from solar panels.
Colchester Museums	(13)	(6)	(19)	8	<ul style="list-style-type: none"> There is a carry forward of £8k for the Roman Circus. £12k (2.6%) more income relates to £3k unbudgeted solar panels income, small income for Heritage Guide books and £8k (1.8%) more income in admissions and lettings.
Colchester and Ipswich Museums Service (CIMS)	136	(120)	16		<ul style="list-style-type: none"> CIMS is a ring-fenced budget. Net overspend of £16k (1.6%) relates to purchase of a new contact management system of £39k (£10k

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
					<p>covered by Arts Council NPO funding). The vacancy factor has been fully absorbed. Salary savings target offset by salary underspend due to maternity leave.</p> <ul style="list-style-type: none"> • There has been an upgrade to the Castle intruder alarm of £8k. • More income received in Activities of £15k for both venues. • £12k (8%) more income in Retail offset by £12k (14%) overspend on Material and general supplies. • Small amount of extra income from interest and re-imbursements.
Customer Services					
Assistant Director - Customer	2	-	2		<ul style="list-style-type: none"> • Small variance relating to subscriptions and hospitality (1%).
Customer Business	(40)	(46)	(86)	40	<ul style="list-style-type: none"> • Underspends relate to DWP funded posts that were not filled in 2018/19 within the Income team. A carry forward request has been made to allow these posts to be filled in 2019/20 (4%). • Additional £32k income contribution towards overheads from MacMillan and £10k unbudgeted BID income (9%).
Local Taxation & Business Rates	(77)	(20)	(97)	28	<ul style="list-style-type: none"> • Underspends relate to a reduction in Magistrates court fee costs (£23k), £5k on search fee costs and £4k on banking costs. There was also a £40k underspend on employee costs, of which £28k related to a DWP-funded post, within the Council Tax team, that was not filled in 2018/19. <i>A carry forward request has been made to allow this post to be filled in 2019/20. (15%)</i> • £23k of additional court fees income recovered (3%).
Customer Solutions	10	(23)	(13)	88	<ul style="list-style-type: none"> • Overspends relate to employee costs (£39k) which includes £63k of unexpected severance costs that have to be accounted for in 2018/19. £23k on print and postage costs (<i>the overall costs in this area are reducing year on year</i>) and unbudgeted security costs at the

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
					<p>Hub of £23k which have been partially reimbursed. These overspends have been largely offset by an underspend on IT costs totalling £64k (1%).</p> <ul style="list-style-type: none"> • A carry forward request has been made for the unspent Welfare Reform monies (£43k) to allow the function to continue, £25k for slippage in e-claim installation and DWP funding for a post (£20k). • Unbudgeted income from partial reimbursement of security costs of £18k, and additional DWP income of £6k (13%).
Customer Experience	43	67	110	124	<ul style="list-style-type: none"> • Following the Customer Futures 2 review there was a £212k overspend on severance and pension strain payments, this overspend was reduced by £25k due to vacancies in the year (9%) • The employee overspend has been largely offset by a £116k underspend on budgets for implementing digital transformation, largely due to delays in replacing our current regulatory services and built environment IT applications (and mapping work to support this). • Carry forward requests have been made for the majority of the unspent IT monies to assist in the delivery of the replacement systems (above), with a further request to carry forward unspent (one-off) budget monies allocated to support the development of online processes built using Microsoft Dynamics (£10k) • Underspends on multi-function device (MFD) printing costs (25%) and Land Charges Search Fees (20%) helped to further mitigate salary overspends. • Less Land Charges income of £87k (25%) was slightly offset by commissioned web development work.
Electoral Services	5	(6)	(1)		<ul style="list-style-type: none"> • Small overspends (1%) offset by additional income within Elections and Electoral Registration. (11%).

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
Benefits – Payments & Subsidy	(835)	853	18		<ul style="list-style-type: none"> Housing Benefit (HB) payments and the main DWP subsidies were lower than the budget set for both private sector & housing tenants producing a net underspend of £252k. The cost of homelessness was overspent by £176k, but this is offset by £169k funding from CBC Housing (Policy & Corporate Services). Increased levels of recovery of HB overpayments have resulted in £350k more income collected than assumed in the budget. The overall level of debt is falling because of Universal Credit. This lower level of income due is reflected on the revenue account and has resulted in a net deficit of £262k.
Environmental Services					
Assistant Director Environment	8	(7)	1		<ul style="list-style-type: none"> Consultancy work conducted in relation to the Waste and Zones Futures Review was offset by grant funding. Small overspend on Supplies and services. (0.8%)
Recycling & Fleet	412	(31)	381		<ul style="list-style-type: none"> Owing to increased Recycling activity, Recycling Credits achieved £90k more income than budgeted (7%) This has been partially offset with a shortfall on Trade income of £36k (6.3%) and £12k on Bring Glass and cans income (46%) £97k employee overspends relate to not having had sufficient vacant posts to achieve the budget target for vacancies (2.92%) There is a further £38k overspend on domestic employee overtime, some of which relates to the use of additional agency staff to fulfil a Christmas Eve collection. Clear sacks and recycling kit stock levels were monitored against demand all year which resulted in a £150k overspend (76%) Following market fluctuations in material sales values, additional contractor costs associated with sorting materials were incurred, net income derived from the sale of materials reduced by £120k (112%)

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
Zones	(200)	(70)	(270)	218	<ul style="list-style-type: none"> Majority of the underspend is due to £17k New Homes Bonus (NHB) Enabling/Street Lighting carry forwards, and £201k Spending Priorities funding which has been carried forward to 2019/20. The remaining net underspend of £52k relates to £11k (0.6%) grounds maintenance schedule of rates work, £10k (200%) more income for Zones Services fee (backdated payment) and £35k (888%) more income for Fixed Penalty Notices (FPN)s.
Bereavement Services	(54)	(13)	(67)		<ul style="list-style-type: none"> Underspend on employee costs of £6k (2.9%), grounds maintenance of £17.8k (3.5%), £16k (31%) on materials and £11k (20%) underspend on general services. Overall more income of £13k (0.9%).
Car Parking	56	(42)	14		<ul style="list-style-type: none"> Overspend due to unbudgeted repairs and maintenance costs. (1%). More income on Season tickets and Parking Charge Notice (PCN) income (1%)
North Essex Parking Partnership (NEPP)	183	(143)	40		<ul style="list-style-type: none"> NEPP budgets are ring-fenced and operate within budget. Whilst NEPP had budgeted to use some of its reserve, all expenditure was covered in-year, beside an operating surplus added to the Decriminalised Parking Reserve at year-end.
Policy & Corporate (incl. CDC)					
Corporate & Democratic Core	(2)	98	96		<ul style="list-style-type: none"> Small underspend on audit costs (7.5%) offsetting an overspend on banking transactions (3.5%). Less income from council tax sharing agreement (12.3%).
Assistant Director Policy & Corporate	42	-	42		<ul style="list-style-type: none"> Overspend relates to not matching the service supplies and services saving of £35k (100%) and agency costs to cover vacant Assistant Director post, slightly offset by reduced hours for PA post (3.5%).

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
Finance	74	(4)	70		<ul style="list-style-type: none"> Overspends on employee costs due to recruitment and agency costs to cover two vacant posts (5.9%) and management and consultancy costs relating to Colchester Commercial Holdings Ltd (CCHL) Implementation (127%) Income is from shared system costs with Amphora Trading.
ICT and Communications	88	(25)	63	35	<ul style="list-style-type: none"> Overspends across ICT including employee severance (100%), consultancy costs (36%) and offsetting underspends due to vacant posts (6.4%). There were underspends across Comms & Marketing (11.7%), which offset an overspend on Communications Team standby payment due to previous years backpay (0.5%). Carry forwards have been requested for the ICT Idox upgrade, Comms Tourism and Comms Spending Priorities Funding. Income received from CBH and CCHL for ICT is offsetting extra costs incurred. Less income than budget for Roundabout advertising (45%).
People & Performance	1	2	3		<ul style="list-style-type: none"> Underspends across supplies and services (7.6%) offsetting overspend on salaries due to redundancy costs (1.3%). Less income received for staff car parking (0.8%) and travel plan recovery, offset by underspends in travel plan.
Governance	(23)	4	(19)	23	<ul style="list-style-type: none"> Underspends across Governance including Internal Audit Contract (11.4%), salaries due to vacant posts (3.3%) and Procurement Hub (6%), offsetting overspend on franking (13.8%). Carry forwards have been requested for Procurement and Civic WW1 funding.

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
					<ul style="list-style-type: none"> Less income from CBH for franking (33%). Net underspend on Civic events spend and income. More income received from Braintree for Procurement Hub Rebate (13.6%).
Place Strategy	(392)	(5)	(397)	410	<ul style="list-style-type: none"> Underspends mainly relate to the following carry forward requests: Affordable Housing element of New Homes Bonus, Transportation Spending Priorities Funding, Orbital Priorities Funding, Community Infrastructure Levy (CIL) and the Local Development Framework (LDF). Unbudgeted income received from other local authorities offsetting costs incurred.
Planning	58	(177)	(119)	13	<ul style="list-style-type: none"> Overspend on management and consultancy (249%) relating to appeal costs and extra support due to vacant posts. Underspend on salaries (9.6%), offset by redundancy costs and pension strain costs (100%). A carry forward has been requested relating to the remaining New Homes Bonus funded Heritage Projects. We received more income from Planning Fees (15%).
Housing	108	(149)	(41)		<ul style="list-style-type: none"> There was a net underspend on B&B/homelessness initiatives (0.9%), and an overspend on temporary accommodation R&M (22.6%). We received more income from Homeless Persons Units (71%).
Client – Commercial Company	174	-	174		<ul style="list-style-type: none"> There was a £174k (9%) increase to the Colchester Commercial Holdings Limited (CCHL) management fee to reflect the year-end impact of the Company's pension liability costs. The £286k dividend that is due to be returned to the Council from Colchester Commercial Holdings Limited (CCHL) has been accrued for.

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
Corporate Asset Management	(87)	(41)	(128)	18	<ul style="list-style-type: none"> Underspends primarily on street lighting electricity costs and repairs (68%), Rowan House premises costs (2.4%), Cleaning Contract (3.7%) and R&M (1.3%), which are offsetting unbudgeted spend of £10k for Colchester Library Licence Fee (100%) and £6.6k NNDR Bid Levy (100%). A carry forward has been requested relating to the water fountains Spending Priorities funding. More grant was received for flood works than spent (10%). We received unbudgeted income from county broadband for rent at Town Hall, back dated to 2014 (100%). A saving was made on CBH Management Fee for the Engineering team of (34%).
Commercial & Investment	(32)	(570)	(602)		<ul style="list-style-type: none"> Commercial properties had some small unplanned cost pressures including business rates and security although these were offset by other underspends, overall a £5k (2%) overspend. Income finished £597k (18.5%) higher than budget, £518k of which relates to an accrual for additional one-off income relating to housing wayleaves. Increased rental income in year from Colchester Business Park £44k, Plot 33 £63k, Plot 49 £14k and NCP Nunns Road £14k all due to previous years' final settlements better than previously expected. Income shortfall mainly relates to North Colchester Leisure site of £100k (100%) which is due to a delay in the progress of the Northern Gateway site, and this has now been moved forward into 19/20. There were other small variances on other properties income including Vineyard St properties and Seven Saints farm. The outturn also reflects a net underspend of £9k (2%) from other miscellaneous service areas. This includes a Business and Enterprise budget £93k (91%) under spend, mainly due to the cessation of the grants. This has been offset by unbudgeted costs of £83k relating to old trading area costs that have not been incurred by

Service Area	Variance			Carry Forwards	Comment
	Spend £'000	Income £'000	Net £'000	£'000	
					the Amphora companies of £52k as they have been deemed to be set-up costs (IT, phone lines, stock and write-offs); £20k regeneration and European projects and an £11k shortfall in the digital broadband income target.
Sport and Leisure	(9)	261	252		<ul style="list-style-type: none"> Cost pressures in year included £66k (20%) of business rates, £42k (35%) of water costs (still under investigation), £27k (16%) of gas costs and £24k (75%) on general repairs and maintenance. These pressures were offset by underspends in service which included £46k employee savings (some relating to Futures Review), and supplies and services savings, including equipment costs, of £93k (15%). An overall income shortfall of £261k (5%) was mainly due to general admissions £95k (9%), hire £81k (12%), and sales £68k (2%). Lifestyles membership sales performed above original budget with an average growth of 9.1%, giving a year-end position of £89k (8%) above budget in this area

Current Period – March 2019			
End Of Year 2018/19	Actual	Budget	Variance
Account Description	for Year £'000	for Year £'000	(under) / over £'000
HRA - Direct & Non-Direct			
EXPENDITURE			
Employees	121	121	-
Premises Related	6,172	6,470	(298)
Transport Related	1	0	1
Supplies & Services	710	832	(122)
Third Party Payments	3,504	3,491	13
Transfer Payments	44	112	(68)
Support Services	3,662	3,464	198
Capital Financing Costs	18,809	18,819	(10)
TOTAL EXPENDITURE	33,023	33,309	(286)
INCOME			
Other Grants & Reimbursements	(176)	(178)	2
Customer & Client Receipts	(29,700)	(29,222)	(478)
Income-Interest	(113)	(32)	(81)
Inter Account Transfers	(3,694)	(3,688)	(6)
TOTAL INCOME	(33,683)	(33,120)	(563)
TOTAL NET - HRA	(660)	189	(849)
<i>Technical Items:-</i>			
Carry Forwards		(191)	191
OVERALL - POSITION	(660)	(2)	(658)

11 June 2019

Report of	Assistant Director Policy and Corporate	Author	Mark Jarvis ☎ 282774
Title	Capital Expenditure Monitor 2019/20		
Wards affected	Not applicable		

1 Executive Summary

- 1.1 The Council's capital programme includes capital expenditure in relation to the delivery of General Fund services, as well as in respect of the Housing investment Programme, including expenditure on housing stock. The programme also includes capital schemes which form part of the Revolving Investment Fund (RIF).
- 1.2 In line with the Council's Financial Regulations, a review of the schemes included in the capital programme is required on a quarterly basis.

2 Action Required

- 2.1 To review the progress of the schemes included in the capital programme, the associated spend for the financial year, the budget forecasts for 2018/19 and future years and the RAG rating for each scheme as defined by the relevant project manager.

3 Reason for Scrutiny

- 3.1 Monitoring the capital programme is important to ensure that:
 - spending on projects is within agreed scheme budgets,
 - projects are delivered to the required level to support service delivery objectives within the designated budget,
 - the Council maximises its available capital resources and ensures public funds are invested effectively, supporting the Council's various financial strategies and associated statutory requirements; and
 - Members have assurance that the key risks associated with the capital programme are being managed to ensure efficient and effective delivery of the programme.
- 3.2 This report also gives the Panel the opportunity to hold Service Managers and Portfolio Holders accountable for their budgets and project delivery progress and outcomes.

4 Background Information

- 4.1 The Council's capital programme for 2018/19 and future years was approved by Council on the 21 February 2018 and agreed going forward as part of the Council's consideration of the 2019/20 budget and Medium-Term Financial Strategy. In line with the Council's Financial Regulations, progress on the approved programme is required to be reviewed on a quarterly basis.
- 4.2 It should be noted that the capital programme mainly consists of schemes where spending is planned across a number of years. Financial variances can occur as a result of:
- reprofiling scheme budgets into the following financial year to reflect scheme progress on site;
 - reprofiling scheme budgets to reflect changes in the timing of payments; and
 - the need for additional budget due to changes in the nature of the scheme or unforeseen costs.
- 4.3 Any significant variances from planned financial and non-financial activity is reported to the Panel in the following paragraphs.

5 Quarterly Capital Monitoring Position

- 5.1 The table below provides a summary of the capital programme by service area:

	Total Prog.	2018/19 Spend	2018/19 Forecast	Future Years Forecast	(Surplus) / Shortfall
Service / Scheme	£'000	£'000	£'000	£'000	£'000
Communities	11,217	1,539	1,942	9,275	0
Environment	6,506	2,299	2,382	4,124	0
Policy & Corporate	46,481	3,672	6,680	39,801	0
Revolving Investment Fund (RIF)	36,462	7,049	7,694	28,768	0
Completed Schemes	222	77	226	0	4
Capitalised Maintenance	242	242	242	0	0
Housing Revenue Account	12,808	10,226	11,708	1,100	0
Total Capital Programme	113,938	25,104	30,874	83,068	4

- 5.2 Accrued capital expenditure for the financial year totalled £25.1m. This represents 81.3% of the projected capital programme spend for 2018/19. This compares to 85.0% for 2017/18.
- 5.3 The principal schemes behind the £5.8m slippage at year-end were:
- £1.5m Equity investment in Colchester Commercial Holdings Limited not made in year. This will go ahead in 2019/20
 - £1.3m Colchester Northern Gateway Heat Network – borehole works progressing, but construction works not yet commenced. These works will continue in 2019/20
 - £0.7m Purchase of properties for the Housing Revenue Account – 8 properties purchased in year and now forms part of a larger programme.

- £0.5m Housing ICT Development – now part of a review for the replacement of the housing system.
- Various smaller variances attributable to a number of other schemes.

5.4 A small overspend of £3.8k has occurred on the Garrison Gym project. This will be referred to a future meeting of Cabinet to address the funding shortfall.

Appendix A sets out the full capital programme, with the associated expenditure for the period under review and budget forecasts.

5.5 Since the Quarter 3 review of the programme by Governance and Audit Committee in March 2019, the Programme has increased by £1.123m, the material changes being detailed below:

- Colchester Northern Gateway Heat Network – additional borrowing of £720k agreed by Cabinet on 13 March 2019.
- Jacks – additional revenue funding of £288k agreed under Cabinet procedure rule 22, and to be reported to Cabinet in July.
- Stanway Community Centre – a Section 106 release of £122k to cover the first stages of feasibility work, preparation of a business plan and design development work.

5.6 Full details of the changes are reported at **Appendix B**.

5.7 A significant element of the capital programme comprises either financial support to the Council's recently formed companies or schemes in progress through the Revolving Investment Fund. These schemes bring with them a complex mix of funding and development management considerations as well as involving a number of external partners to deliver the required outcomes.

5.8 The schemes result in different risks compared to traditional capital expenditure schemes. Funding arrangements can take time to put in place and can be more volatile in the short- to medium-term; which could result in temporary Council funding to fill the short-term gap. Expenditure can be the responsibility of a number of organisations, resulting in complex accounting, management and governance arrangements.

5.9 To ensure that these issues affecting the capital programme are reported and considered promptly, this report includes commentary from project managers on the most significant areas of planned expenditure, **Appendix C** and schemes classified as 'Red' or 'Amber' in the RAG rating index **Appendix D**. For the reporting period no schemes have been classified as 'Red' under the RAG rating evaluation.

5.10 The Council uses a process of RAG rating to identify and report associated risks for individual capital schemes; with 'Green' indicating the scheme is on progress, 'Amber' indicating action required to bring the scheme back on track and 'Red' highlighting a material change to the scheme arrangements being required. As the financial year end approached, project managers were asked to reassess each scheme's RAG status and consider the level of planned expenditure to be undertaken by the end of the financial year. Five schemes are currently flagged as 'Amber'. No further schemes were classified as 'Amber' or 'Red' in Quarter 4.

6 Standard References

6.1. There are no particular references to the Strategic Plan, consultation, publicity considerations, community safety and no implications for equality, diversity and human rights or health and safety.

7. Financial implications

- 7.1. The relevant financial implications are contained within the body of this report.

8. Risk Management Implications

- 8.1 A process of RAG rating is used to assess the risks associated with individual capital schemes. The body of the report includes details of Scheme progress, risks and associated actions.

9. Appendices

Appendix A – Capital Programme 2018/19

Appendix B – Capital Programme Funding Changes

Appendix C – Capital Programme Significant Areas of Expenditure

Appendix D - Capital Programme 'Amber' Schemes 2018/19

Appendix A									
Service / Scheme	Total Programme £'000	Spend to Q4 £'000	Projected Expenditure				(Surplus) / Shortfall £'000	RAG Status Q4 Q3	
			2018/19 £'000	2019/20 £'000	2020/21 £'000	2021/22 £'000			
SUMMARY									
Communities	11,217.6	1,539.3	1,941.9	7,351.8	1,851.3	72.6	0.0		
Environment	6,506.2	2,298.8	2,382.5	3,032.0	1,091.7	0.0	0.0		
Policy & Corporate	46,480.7	3,672.1	6,679.9	33,069.6	6,731.2	0.0	0.0		
Revolving Investment Fund (RIF)	36,462.0	7,049.2	7,693.6	26,787.0	1,981.4	0.0	0.0		
Completed Schemes	222.3	77.3	226.1	0.0	0.0	0.0	3.8		
Capitalised Maintenance	241.6	241.6	241.6	0.0	0.0	0.0	0.0		
Total (General Fund)	101,130.4	14,878.3	19,165.6	70,240.4	11,655.6	72.6	3.8		
Housing Revenue Account	12,807.6	10,226.1	11,707.6	1,100.0	0.0	0.0	0.0		
Total Capital Programme	113,938.0	25,104.4	30,873.2	71,340.4	11,655.6	72.6	3.8		
COMMUNITIES									
Tiptree P C - Store & WCs S106	89.1	0.0	89.1	0.0	0.0	0.0	0.0 G	G	
St Luke's Church Hall Tiptree	48.5	6.2	48.5	0.0	0.0	0.0	0.0 G	G	
Collingwood Road Scout Hut	158.2	88.4	158.2	0.0	0.0	0.0	0.0 G	G	
Headway Essex S106	10.0	10.0	10.0	0.0	0.0	0.0	0.0 G	G	
Walls - new merged scheme	126.5	16.2	22.5	60.0	44.0	0.0	0.0 G	G	
Heritage Lighting	197.1	50.8	0.0	197.1	0.0	0.0	0.0 G	G	
Stanway Community Centre	122.0	4.1	0.0	122.0	0.0	0.0	0.0 G	-	
Mercury Theatre Redevelopment Phase 2	7,462.7	832.2	998.6	5,714.1	750.0	0.0	0.0 G	G	
Cemetery Extension	38.6	0.0	0.0	38.6	0.0	0.0	0.0 G	G	
Cemetery Exterior Lighting	20.0	0.0	0.0	20.0	0.0	0.0	0.0 G	G	
Mandatory Disabled Facilities Grants	2,657.3	478.5	600.0	1,100.0	957.3	0.0	0.0 A	A	
Private Sector Renewals - Loans and Grants	287.6	52.9	15.0	100.0	100.0	72.6	0.0 G	G	
TOTAL - Communities	11,217.6	1,539.3	1,941.9	7,351.8	1,851.3	72.6	0.0		
ENVIRONMENT									
Shrub End Depot	1,040.5	0.0	0.0	100.0	940.5	0.0	0.0 A	A	
Waste Collection Strategy	42.0	42.0	42.0	0.0	0.0	0.0	0.0 G	G	
Shrub End - Fuel Tank	39.0	39.0	39.0	0.0	0.0	0.0	0.0 G	G	
Waste Fleet Vehicles	4,912.2	2,095.8	2,200.0	2,561.0	151.2	0.0	0.0 G	G	
Pressure Washer	17.8	17.8	17.8	0.0	0.0	0.0	0.0 G	-	
Wivenhoe Adult Gym	16.0	0.0	16.0	0.0	0.0	0.0	0.0 G	G	
Castle Park Cricket Pavilion Extension S106	125.0	0.0	0.0	125.0	0.0	0.0	0.0 G	G	
Castle Park Improvements	267.7	85.2	21.7	246.0	0.0	0.0	0.0 G	G	
Mile End Sports Ground	21.0	19.0	21.0	0.0	0.0	0.0	0.0 G	G	
Highwoods Country Park - Coffee Shop improvements	25.0	0.0	25.0	0.0	0.0	0.0	0.0 G	G	
TOTAL - Environment	6,506.2	2,298.8	2,382.5	3,032.0	1,091.7	0.0	0.0		
POLICY & CORPORATE									
Assistance to Registered Housing Providers	36.0	0.0	0.0	36.0	0.0	0.0	0.0 G	G	
Use of 1-4-1 Right to Buy Receipts	1,346.0	674.7	671.7	522.1	152.2	0.0	0.0 G	G	
Purchase of properties for temporary accommodation	2,880.0	2,825.7	2,880.0	0.0	0.0	0.0	0.0 G	G	
Lending to new Council Housing Company	27,886.0	0.0	0.0	22,927.0	4,959.0	0.0	0.0 G	G	
Equity Investment in CCHL	7,300.0	0.0	1,500.0	5,800.0	0.0	0.0	0.0 G	G	
Equity investment in CAEL	80.0	0.0	80.0	0.0	0.0	0.0	0.0 G	G	
District Heating Project North	147.7	147.7	147.7	0.0	0.0	0.0	0.0 G	G	
Colchester Northern Gateway Heat Network	6,609.4	0.0	1,289.4	3,700.0	1,620.0	0.0	0.0 G	G	
CCTV Monitoring	111.1	24.0	111.1	0.0	0.0	0.0	0.0 G	G	
LWC - Aqua Springs Refurbishment	84.5	0.0	0.0	84.5	0.0	0.0	0.0 G	G	
TOTAL - Policy & Corporate	46,480.7	3,672.1	6,679.9	33,069.6	6,731.2	0.0	0.0		

REVOLVING INVESTMENT FUND								
Northern Gateway North	80.2	24.2	80.2	0.0	0.0	0.0	0.0	G G
CNGN - Mile End Cricket	122.2	108.7	122.2	0.0	0.0	0.0	0.0	G G
CNGN - Sports Hub	24,481.4	2,551.3	2,500.0	20,280.0	1,701.4	0.0	0.0	A A
Northern Gateway South	177.8	148.1	177.8	0.0	0.0	0.0	0.0	A A
CNGS - Detailed Planning	923.3	709.5	923.3	0.0	0.0	0.0	0.0	G G
CNGS - Boulevard	3,471.2	221.4	100.0	3,371.2	0.0	0.0	0.0	G G
Development Site (jnct 28)	12.4	12.4	12.4	0.0	0.0	0.0	0.0	G -
Town Centre	3,137.8	952.4	964.0	1,893.8	280.0	0.0	0.0	G G
Jacks - St Nicholas St	737.4	93.6	337.4	400.0	0.0	0.0	0.0	A A
St Nicholas Square & Balkeine Gardens	55.0	28.7	55.0	0.0	0.0	0.0	0.0	G G
Sheepen Road	4.0	3.9	4.0	0.0	0.0	0.0	0.0	G G
Sheepen Road Phase 2	2,185.3	2,100.7	2,185.3	0.0	0.0	0.0	0.0	G R
St Botolphs Public Realm	155.0	37.5	50.0	105.0	0.0	0.0	0.0	G G
East Colchester Enabling Fund	213.1	0.0	45.7	167.4	0.0	0.0	0.0	G G
Breakers Park	69.0	0.0	12.0	57.0	0.0	0.0	0.0	G G
Site Disposal Costs	4.8	0.0	4.8	0.0	0.0	0.0	0.0	G G
Moler Works Site	2.5	0.0	2.5	0.0	0.0	0.0	0.0	G G
Digital Strategy - feasibility	182.6	22.6	40.0	142.6	0.0	0.0	0.0	G G
Sport & Leisure Asset Review	120.0	0.0	0.0	120.0	0.0	0.0	0.0	G G
Grow-on former Queen St Bus Depot	64.3	33.0	64.3	0.0	0.0	0.0	0.0	G G
Broad Lane Sports Ground Wivenhoe	12.7	1.2	12.7	0.0	0.0	0.0	0.0	G G
Pre development/feasibility funds	250.0	0.0	0.0	250.0	0.0	0.0	0.0	G G
TOTAL - RIF	36,462.0	7,049.2	7,693.6	26,787.0	1,981.4	0.0	0.0	
COMPLETED SCHEMES (OR WHERE RETENTION ONLY OUTSTANDING)								
Creative Business Centre	0.6	0.0	0.6	0.0	0.0	0.0	0.0	
Colchester Business Centre	2.6	2.6	2.6	0.0	0.0	0.0	0.0	
LWC - Health & Fitness Extension	16.0	15.7	16.0	0.0	0.0	0.0	0.0	
Oak Tree Community Centre Roof	20.5	0.6	20.5	0.0	0.0	0.0	0.0	
Lion Walk Activity Centre	1.4	0.5	1.4	0.0	0.0	0.0	0.0	
Garrison Gym Rebuild	29.0	32.8	32.8	0.0	0.0	0.0	3.8	
Old Heath Recreation Ground Improvements	30.3	0.0	30.3	0.0	0.0	0.0	0.0	
Longridge Toddler Play Area	25.0	25.0	25.0	0.0	0.0	0.0	0.0	
Relocation of Museum Resource Centre	2.0	0.0	2.0	0.0	0.0	0.0	0.0	
Replacement of Cremators	4.8	0.0	4.8	0.0	0.0	0.0	0.0	
St Johns Car Park	7.8	0.0	7.8	0.0	0.0	0.0	0.0	
Local Authority Carbon Management (LACM)	82.2	0.0	82.2	0.0	0.0	0.0	0.0	
Mercury Theatre Redevelopment Phase 2	0.1	0.1	0.1	0.0	0.0	0.0		
TOTAL - Completed Schemes	222.3	77.3	226.1	0.0	0.0	0.0	3.8	
CAPITALISED MAINTENANCE								
Colchester Leisure World - Boilers	165.0	165.0	165.0	0.0	0.0	0.0	0.0	
Colchester Leisure World - Charter Hall Lighting	22.6	22.6	22.6	0.0	0.0	0.0	0.0	
Natural History Museum - Tower Repairs	36.3	36.3	36.3	0.0	0.0	0.0	0.0	
Rowan House - Lift	17.7	17.7	17.7	0.0	0.0	0.0	0.0	
TOTAL - Capitalised Maintenance	241.6	241.6	241.6	0.0	0.0	0.0	0.0	
HOUSING REVENUE ACCOUNT								
Housing Improvement Programme	8,993.7	7,574.5	7,893.7	1,100.0	0.0	0.0	0.0	G G
Adaptations to Housing Stock	980.5	980.5	980.5	0.0	0.0	0.0	0.0	G G
Sheltered Accommodation	350.0	320.6	350.0	0.0	0.0	0.0	0.0	G G
Housing ICT Development	477.3	0.0	477.3	0.0	0.0	0.0	0.0	G G
Council House New Build	2.8	2.8	2.8	0.0	0.0	0.0	0.0	G -
Purchase of properties - HRA	2,003.3	1,347.7	2,003.3	0.0	0.0	0.0	0.0	G G
TOTAL - Housing Revenue Account	12,807.6	10,226.1	11,707.6	1,100.0	0.0	0.0	0.0	

£'000	Detail
Revenue Contributions	
288	Jacks – additional funding
(3)	Heritage Lighting – budget transferred to revenue to match spend
18	Jet washer – funded from revenue budget
35	Castle Park Improvements
24	Waste Strategy – funding for additional bins
(110)	Charter Hall Improvements – budget transferred to revenue to match spend
1	Colchester Business Centre – funding from Building Maintenance Prog.
165	Colchester Leisure World Boilers – funding from BMP
23	Charter Hall Lighting – funding from BMP
36	Natural History Museum Tower – funding from BMP
18	Rowan House Lift – funding from BMP
(11)	Relocation of MRC – budget transferred to revenue
484	Subtotal Revenue Contributions
Section 106	
122	Stanway Community Centre – feasibility, business plan and design
(2)	Mile End Sports Ground – budget transferred to revenue
120	Subtotal Section 106
External Funding	
40	Castle Park Improvements – ECC contribution for Changing Places
40	Subtotal External Funding
Borrowing	
720	Colchester Northern Gateway Heat Network
720	Subtotal Borrowing
RIF Budgets	
(241)	Various RIF budgets transferred to revenue account to match spend
(241)	Subtotal RIF budgets
1,123	Total Change

Scheme	Forecast for year £'000	2018/19 Spend £'000	Commentary
Communities			
Mercury Theatre	999	832	The funding package for the main construction project has been secured. The Mercury's fundraising is ongoing. The Mercury are moving out in preparation for works to start of the main building. Works are on programme.
Environment			
Waste Fleet	2,200	2,096	The specification and order have been placed for 34 waste vehicles to the value of £4.6m. By purchasing vehicles rather than leasing them, significant annual revenue savings will be generated.
Policy & Corporate			
Equity Investment in Housing Company	1,500	0	Cabinet agreed equity investment in CCHL (Colchester Commercial Holdings Limited). Timing of investment is linked to finalising loan agreement and is now expected late May/early June.
Purchase of Properties for Temporary Accommodation	2,880	2,826	This project was to purchase 16 properties to use as temporary accommodation for homeless households, as agreed by Cabinet in January 2018. The project completed within the year with all 16 purchases, and within budget.
Northern Gateway Heat Network	1,289	0	Cabinet on 15 th March 2017, approved a proposal to create a heat network and supporting infrastructure on sites at northern gateway. An update on the project and proposed structure to deliver the scheme was considered by Cabinet in January 2019. Borehole testing will take place through May and June and a further paper will be going to Cabinet in September 2019 setting out the options for taking the project forwards.
Northern Gateway - Sports Hub	2,500	2,551	Site works are now underway after satisfaction of some planning conditions. S278 works in design. Liaison with funders is ongoing. Contractor onsite continuing on drainage works as well as a start of the foundation of the buildings.

Scheme	Forecast for year £'000	2018/19 Spend £'000	Commentary
Sheepen Road Phase 2	2,185	2,100	The second office building at Amphora completed on-time to enable the tenant to carry out their fit out works and take occupancy by April 2019. The original budget did not fully allow for all costs of this project and, following a review, an increase occurred as agreed by RIF in January 2019. However, the project still shows a healthy return on capital invested and a tenant has been secured with a rental income stream for the next 15 years.
Housing Revenue Account			
Housing Improvement Programme	7,894	7,757	Programme to maintain and improve the council housing stock to the Colchester Standard, the programme is devised using information from the Council's 30-year Asset Management Strategy, which has recently been updated to realign it with the revised Housing Revenue Account (HRA) business plan. Work was carried forward from 2017/18 that brought a backlog that was completed in the first half of the year using newly procured contractors. The 2018/19 programme has slipped due to a delay in the Government's fire door testing (providing a compliant door we can install), an underperforming contractor and an unsuccessful bathroom tender.

Scheme	Forecast for year £'000	2018/19 Spend £'000	Commentary
Housing Revenue Account			
Purchase of HRA Properties	2,003	1,348	Eight Right to Buy Back purchases were completed in the year and utilised the Right to Buy receipts for 30% of the overall costs in accordance to Government criteria. This pilot is now agreed to continue for up to 10 properties a year over the next five years.
Adaptations	980	980	Additional budget was put into adaptations in order to tackle a backlog of people waiting for this work to their properties. This work was then completed to budget, meeting the need identified for the year.

Scheme	Forecast for year £'000	2018/19 Spend £'000	Commentary
Communities			
Disabled Facilities Grants (DFG)	600	479	<p>Mandatory grant to pay for adaptations to enable disabled persons to remain living at home with increased independence. Spend has been below expected levels this year due to capacity issues within the team and difficulty recruiting to vacant posts. Use has been made of external specialist surveyors as an interim measure and the team is now fully-staffed for the first time, moving into 2019/20. In addition a specialist in-house occupational therapist has been recruited to the team to expedite complex cases moving forward. There are currently 195 live cases progressing (including a number of ‘maximum spend’ grants £30k) with no cases awaiting allocation. 42 of these are at initial enquiry phase and may not progress to full applications pending confirmation of customer financial contributions.</p> <p>62 DFG cases were completed in 2018/19, (compared to 80 at year end 2017/18). Commitment pending completion of current works stands at £325k.</p>
Environment			
Shrub End Depot	0	0	<p>Preliminary works have been undertaken to provide sufficient space for staff in the new Neighbourhoods Service to co-locate at Shrub End. Project planning has commenced for the remaining redevelopment works to make the Depot fit for the future. Budget now re-profiled to 2019/20 onwards.</p>

Scheme	Forecast for year £'000	2018/19 Spend £'000	Commentary
Revolving Investment Fund			
Northern Gateway - Sports Hub	2,500	2,551	See earlier comment
Northern Gateway South	178	148	Turnstone scheme under discussion to meet occupier demand in current market. The CNG Drainage Project is now complete and the system commissioned.
Jacks – St Nicholas St	337	94	Engineering works are underway to make the property safe and secure to hand over to the tenant for further fit-out works, beginning in December 2019.

11 June 2019

Report of	Assistant Director of Policy and Corporate	Author	Owen Howell
Title	Work Programme 2019-20		☎ 282518
Wards affected	Not applicable		

1. Executive Summary

- 1.1 This report sets out the current Work Programme 2019-2020 for the Scrutiny Panel. This provides details of the reports that are scheduled for each meeting during the municipal year.

2. Action Required

- 2.1 The Panel is asked to consider and note the contents of Work Programme for 2019-2020.
- 2.2 The Panel is asked to consider the next stages of the Bus Review following the information gathering session held on 16 April 2018.

3. Background Information

- 3.1 The Panel's work programme will evolve as the Municipal Year progresses and items of business are commenced and concluded. At each meeting the opportunity is taken for the work programme to be reviewed and, if necessary, amended according to current circumstances. A draft work programme for 2019-20, based on suggestions made by the Panel and including regular budget and performance items, is included at the end of the report.
- 3.2 The Forward Plan of Key Decisions is included as part of the work programme for the Scrutiny Panel, and this is included an **Appendix A**.
- 3.3 Items that have been identified already for 2019-20 work programme include Colchester market and the North Essex Health and Social Care Alliance, plus an update on the Bus Review. The market is provisionally scheduled to be considered in November and Members are invited to discuss when they would prefer to consider the item relating to the Health and Social Care Alliance. It is open to the Panel to suggest additional items for addition to the work programme.

4. Standard References

- 4.1 There are no particular references to publicity or consultation considerations; or financial; equality, diversity and human rights; community safety; health and safety or risk management implications.

5. Strategic Plan References

- 5.1 Governance is integral to the delivery of the Strategic Plan's priorities and direction for the Borough as set out under the four themes of growth, responsibility, opportunity and wellbeing.
- 5.2 The Council recognises that effective local government relies on establishing and maintaining the public's confidence, and that setting high standards of self-governance provides a clear and demonstrable lead. Effective governance underpins the implementation and application of all aspects of the Council's work.

Appendices

Appendix A – Forward Plan of Key Decisions – 1 July 2019 – 31 October 2019

Work Programme for 2018/19

Scrutiny Panel meeting - 11 June 2019
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none">1. North Essex Garden Communities2. Financial Monitoring Report End of Year – 2018/193. Capital Expenditure Monitor 2018/194. Year End 2018/19 Performance Report including the Strategic Plan Action Plan 2018-215. Work Programme 2019-20
Scrutiny Panel meeting - 16 July 2019
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none">1. 2020/21 Budget Strategy, Medium Term Financial Forecast and Budget Timetable2. Treasury Management – Annual Report3. Annual Scrutiny Report4. Bus Review: Further Actions.
Scrutiny Panel meeting - 6 August 2019
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none">1. Review of Colchester Borough Homes Performance 2018/19
Scrutiny Panel (Crime and Disorder Committee) - 12 September 2019
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none">1. Safer Colchester Partnership (Crime and Disorder Committee)
Scrutiny Panel – 15 October 2019
Scrutiny Panel Chairman's Briefing – TBC
<ol style="list-style-type: none">1. Local Council Tax Support – Year 2020/21 (Provisional)2. Business Rate retention and future arrangements.

Scrutiny Panel meeting - 12 November 2019
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none"> 1. Colchester Market 2. 2019-20 Revenue Monitor, period April – September 3. 2019-20 Capital Monitor, period April – September
Scrutiny Panel meeting - 10 December 2019
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none"> 1. Half Year 2019 - 2020 Performance Report including progress on Strategic Plan Action Plan
Scrutiny Panel meeting - 28 January 2020
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none"> 1. 2020-21 Revenue Budget, Capital Programme, Medium Term Financial Forecast, Housing Revenue Accounts Estimate and Housing Investment Programme (Pre-scrutiny of Cabinet Decision) 2. Treasury Management Investment Strategy 3. Corporate Key Performance Indicator Targets for 2020-21
Scrutiny Panel meeting - 17 March 2020
Scrutiny Panel Chairman's briefing – TBC
<ol style="list-style-type: none"> 1.

COLCHESTER BOROUGH COUNCIL

FORWARD PLAN OF KEY DECISIONS 1 July 2019 – 31 October 2019

During the period from 1 July 2019 – 31 October 2019* Colchester Borough Council intends to take 'Key Decisions' on the issues set out in the following pages. Key Decisions relate to those executive decisions which are likely to either:

- result in the Council spending or saving money in excess of £500,000; or
- have a significant impact on communities living or working in an area comprising two or more wards within the Borough of Colchester.

This Forward Plan should be seen as an outline of the proposed decisions and it will be updated on a monthly basis. Any questions on specific issues included on the Plan should be addressed to the contact name specified in the Plan. General queries about the Plan itself should be made to Democratic Services (01206) 507832 or email democratic.services@colchester.gov.uk

The Council invites members of the public to attend any of the meetings at which these decisions will be discussed and the documents listed on the Plan and any other documents relevant to each decision which may be submitted to the decision taker can be viewed free of charge although there will be a postage and photocopying charge for any copies made. *All decisions will be available for inspection at the Library and Community Hub, Colchester Central Library, 21 Trinity Square, Colchester and they are also published on the Council's website, www.colchester.gov.uk*

If you wish to request details of documents regarding the 'Key Decisions' outlined in this Plan please contact the individual officer identified.

If you wish to make comments or representations regarding the 'Key Decisions' outlined in this Plan please submit them, in writing, to the Contact Officer highlighted two working days before the date of the decision (as indicated in the brackets in the date of decision column). This will enable your views to be considered by the decision taker.

Contact details for the Council's various service departments are incorporated at the end of this plan.

If you need help with reading or understanding this document please take it to the Library and Community Hub, Colchester Central Library, 21 Trinity Square, Colchester or telephone (01206) 282222 or textphone users dial 18001 followed by the full number that you wish to call and we will try to provide a reading service, translation or other formats you may need.

*The Forward Plan also shows decisions which fall before the period covered by the Plan but which have not been taken at the time of the publication of the Plan.

KEY DECISION REQUIRED	DOES DECISION INCLUDE EXEMPT INFORMATION (or information defined by the Government as Confidential)	DATE OF DECISION or PERIOD TO BE TAKEN	DECISION MAKER (title and name, including Cabinet, portfolio holders and officers)	DOCUMENTS SUBMITTED OR TO BE SUBMITTED TO DECISION TAKER TO CONSIDER (and from where they are available)	CONTACT DETAILS FROM WHICH DOCUMENTS CAN BE OBTAINED (name of the authors of the reports)
Request for Delegated Authority to Agree the Award of Contract for a Housing IT System	No	5 June 2019	Cabinet (Cllrs Cory, Fox, Goss, Higgins, King, Lilley, G. Oxford, J. Young) Please contact via Democratic Services (01206) 507832 email: democratic.services@colchester.gov.uk	Cabinet report	Geoff Beales Client Services Manager 01206 506514 geoff.beales@colchester.gov.uk
Update on New Affordable Housing Projects	Yes	10 July 2019	Cabinet (Cllrs Cory, Fox, Goss, Higgins, King, Lilley, G. Oxford, J. Young) Please contact via Democratic Services (01206) 507832 email: democratic.services@colchester.gov.uk	Cabinet report	Andrew Tyrrell Client and Business Services Manager 01206 282390 andrew.tyrrell@colchester.gov.uk

KEY DECISION REQUIRED	DOES DECISION INCLUDE EXEMPT INFORMATION (or information defined by the Government as Confidential)	DATE OF DECISION or PERIOD DECISION BE TAKEN TO	DECISION MAKER (title and name, including Cabinet, portfolio holders and officers)	DOCUMENTS SUBMITTED OR TO BE SUBMITTED TO DECISION TAKER TO CONSIDER (and from where they are available)	CONTACT DETAILS FROM WHICH DOCUMENTS CAN BE OBTAINED (name of the authors of the reports)
Award of Contract – award of the Housing ICT Contract under delegated authority from Cabinet	No	August 2019	Portfolio Holder for Housing, Cllr Adam Fox Please contact via Democratic Services (01206) 507832 email: democratic.services@colchester.gov.uk	Portfolio Holder report	Geoff Beales Client Services Manager 01206 506514 geoff.beales@colchester.gov.uk
Appointment of Supplier(s) for the provision of fleet vehicles and/or maintenance.	Yes	September 2019	Portfolio Holder for Waste, Environment and Transportation, Cllr Martin Goss Please contact via Democratic Services (01206) 507832 email: democratic.services@colchester.gov.uk	Portfolio Holder report	Chris Dowsing Group Manager - Recycling, Waste and Fleet Colchester Borough Council Tel: 01206 282752 Email: chris.dowsing@colchester.gov.uk

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