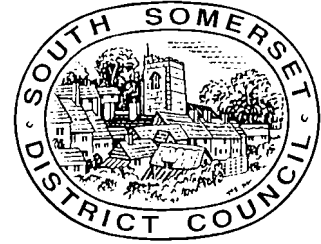


# South Somerset District Council

*Notice of Meeting*



## District Executive

*Making a difference where it counts*

**Thursday 3rd March 2016**

**9.30 am**

**Council Chamber  
Council Offices  
Brympton Way  
Yeovil  
Somerset BA20 2HT**



Disabled access and a hearing loop are available at this meeting venue.

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Members listed on the following page are requested to attend the meeting.

The public and press are welcome to attend.

If you would like any further information on the items to be discussed, please ring the Agenda Co-ordinator, **Angela Cox 01935 462148**, website: [www.southsomerset.gov.uk](http://www.southsomerset.gov.uk)

This Agenda was issued on Wednesday 24 February 2016.

*Ian Clarke, Assistant Director (Legal & Corporate Services)*

This information is also available on our website  
[www.southsomerset.gov.uk](http://www.southsomerset.gov.uk)



INVESTORS IN PEOPLE

# District Executive Membership

Ric Pallister  
Carol Goodall  
Peter Gubbins  
Henry Hobhouse  
Shane Pledger  
Jo Roundell Greene  
Sylvia Seal  
Peter Seib  
Angie Singleton  
Nick Weeks

## Information for the Public

The District Executive co-ordinates the policy objectives of the Council and gives the Area Committees strategic direction. It carries out all of the local authority's functions which are not the responsibility of any other part of the Council. It delegates some of its responsibilities to Area Committees, officers and individual portfolio holders within limits set by the Council's Constitution. When major decisions are to be discussed or made, these are published in the Executive Forward Plan in so far as they can be anticipated.

Members of the Public are able to:-

- attend meetings of the Council and its committees such as Area Committees, District Executive, except where, for example, personal or confidential matters are being discussed;
- speak at Area Committees, District Executive and Council meetings;
- see reports and background papers, and any record of decisions made by the Council and Executive;
- find out, from the Executive Forward Plan, what major decisions are to be decided by the District Executive.

Meetings of the District Executive are held monthly at 9.30 a.m. on the first Thursday of the month in the Council Offices, Brympton Way.

The Executive Forward Plan and copies of executive reports and decisions are published on the Council's web site - [www.southsomerset.gov.uk](http://www.southsomerset.gov.uk).

The Council's Constitution is also on the web site and available for inspection in Council offices.

The Council's corporate priorities which guide the work and decisions of the Executive are set out below.

Further information can be obtained by contacting the agenda co-ordinator named on the front page.

## South Somerset District Council – Corporate Aims

**Our key aims are:** (all equal)

- **Jobs** - We want a strong economy which has low unemployment and thriving businesses
- **Environment** - We want an attractive environment to live in with increased recycling and lower energy use
- **Homes** - We want decent housing for our residents that matches their income
- **Health and Communities** - We want communities that are healthy, self-reliant, and have individuals who are willing to help each other

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# District Executive

**Thursday 3 March 2016**

## Agenda

### **1. Minutes of Previous Meeting**

To approve as a correct record the minutes of the District Executive meeting held on 4<sup>th</sup> February 2016.

### **2. Apologies for Absence**

### **3. Declarations of Interest**

In accordance with the Council's current Code of Conduct (adopted July 2012), which includes all the provisions relating to Disclosable Pecuniary Interests (DPI), personal and prejudicial interests, Members are asked to declare any DPI and also any personal interests (and whether or not such personal interests are also "prejudicial") in relation to any matter on the Agenda for this meeting. A DPI is defined in The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 (SI 2012 No. 1464) and Appendix 3 of the Council's Code of Conduct. A personal interest is defined in paragraph 2.8 of the Code and a prejudicial interest is defined in paragraph 2.9.

Members are reminded that they need to declare the fact that they are also a member of a County, Town or Parish Council as a Personal Interest. As a result of the change made to the Code of Conduct by this Council at its meeting on 15<sup>th</sup> May 2014, where you are also a member of Somerset County Council and/or a Town or Parish Council within South Somerset you must declare a prejudicial interest in any business on the agenda where there is a financial benefit or gain or advantage to Somerset County Council and/or a Town or Parish Council which would be at the cost or to the financial disadvantage of South Somerset District Council. If you have a prejudicial interest you must comply with paragraphs 2.9(b) and 2.9(c) of the Code.

### **4. Public Question Time**

Questions, statements or comments from members of the public are welcome at the beginning of each meeting of the Council. The total period allowed for public participation shall not exceed 15 minutes except with the consent of the Council and each individual speaker shall be restricted to a total of three minutes. Where there are a number of persons wishing to speak about the same matter, they should consider choosing one spokesperson to speak on their behalf where appropriate. If a member of the public wishes to speak they should advise the committee administrator and complete one of the public participation slips setting out their name and the matter they wish to speak about. The public will be invited to speak in the order determined by the Chairman. Answers to questions may be provided at the meeting itself or a written reply will be sent subsequently, as appropriate. Matters raised during the public question session will not be debated by the Council at that meeting.

### **5. Chairman's Announcements**

*Items for Discussion*

6. **Report from Yeovil District Hospital NHS Foundation Trust** (Pages 5 - 23)
7. **SDDC Transformation Programme** (Pages 24 - 63)
8. **District-wide Voluntary Sector Grants 2016/17** (Pages 64 - 108)
9. **Quarterly Performance and Complaints Monitoring Report - 3rd Quarter 2015/16** (Pages 109 - 118)
10. **Proposed amendments to the Business Rates Discretionary Rate Relief Policy** (Pages 119 - 158)
11. **SDDC Response to New Homes Bonus Consultation** (Pages 159 - 191)
12. **District Executive Forward Plan** (Pages 192 - 195)
13. **Date of Next Meeting** (Page 196)

# Agenda Item 6

## **Report from Yeovil District Hospital NHS Foundation Trust**

*Executive Portfolio Holder:* Cllr Sylvia Seal, Leisure and Culture  
*SSDC Representative:* Cllr David Recardo

### **Council of Governors meetings held in June and September 2015**

Councillor David Recardo will attend the District Executive meeting to answer any questions from Members regarding the Yeovil District Hospital NHS Foundation Trust. The published minutes of the Council of Governors meetings are attached for information.

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**COUNCIL OF GOVERNORS**

Minutes of the Council of Governors meeting held on 11 June 2015  
At the Abbey Manor Business Centre, Preston Road, Yeovil, Somerset, BA20 2EN

<b>Present:</b>	Peter Wyman Sue Brown Sue Bulley Monica Denny Ian Fawcett Jane Gifford Hala Hall John Hawkins John Park Philip Tyrrell John Webster Alison Whitman Jane Lock Nicholas Craw Michael Fernando Yvonne Thorne	Chairman Public Governor Public Governor Public Governor Public Governor Public Governor [items 16/15 - 23/15] Public Governor Public Governor Public Governor Public Governor Public Governor Public Governor Appointed Governor [items 21/15 - 31/15] Staff Governor Staff Governor Staff Governor
<b>In Attendance:</b>	Mark Appleby  Maurice Dunster Maddie Groves Samantha Hann Roger Hayward Jo Howarth  Paul Mears Jade Renville Tracy Wilkinson	Head of Workforce Performance and Organisational Development [item 23-15] Non-Executive Director [items 16/15 - 23/15] Associate Director of Nursing [item 23/15] Assistant Company Secretary Head of Patient Experience [item 24/15] Associate Director of Patient Safety & Quality [item 24/15] Chief Executive [items 16/15 - 24/15] Company Secretary Medical Recruitment Manager [item 23/15]
<b>Apologies:</b>	Martin Ormston John Tricker Rob Childs Lou Evans David Recardo Judith Lindsay-Clark Paul Porter	Public Governor Public Governor Appointed Governor Appointed Governor Appointed Governor Staff Governor Staff Governor

		<b>Action</b>
16/15	<b>WELCOME AND APOLOGIES</b> Peter Wyman welcomed everyone to the meeting and introduced the newly elected governors; public governors Philip Tyrrell and Sue Brown and staff governors Yvonne Thorne and Nicholas Craw. Peter Wyman congratulated public governor John Park and staff governor Michael Fernando on being re-elected. Apologies for absence were received as noted above.	
17/15	<b>DECLARATIONS OF INTEREST</b> The Chairman declared that he is the Treasurer and Vice-Chairman of the University of Bath.	

18/15	<p><b>MINUTES OF THE PREVIOUS MEETING AND MATTERS ARISING</b></p> <p>The minutes of the meeting held on 18 March 2015 were approved as a true and accurate record. There were no matters arising not on the agenda.</p>	
19/15	<p><b>GOVERNOR ELECTION RESULTS 2015 &amp; INTRODUCTIONS FROM NEW GOVERNORS</b></p> <p>Peter Wyman verbally advised of the governor election results. He congratulated those governors who had been elected (see item 16/15) and gave the opportunity for introductions. Peter Wyman confirmed David Recardo had been appointed as the governor representing South Somerset District Council.</p>	
20/15	<p><b>CHIEF EXECUTIVE REPORT</b></p> <p>Paul Mears presented highlights from his written report, from which it was noted that:</p> <p><b>Director Responsibilities</b></p> <p>There are a number of strategic projects underway within the organisation that are important to the delivery of new models of integrated care. To ensure there is sufficient executive capacity to lead strategic programmes, the Board of Directors has agreed with Jonathan Higman that he will take on a new role of Director of Strategic Development from mid-June. Jonathan Higman will attend future Council meetings to provide updates on the development of these projects and the Trust's strategic priorities. Simon Sethi will join the Trust in mid-June to fill the role of Director of Urgent Care and Long Terms Conditions on an interim basis. Dr Meredith Kane has been appointed as the Associate Medical Director. Paul Mears confirmed Oliver Wyman Consultancy have been appointed to support YDH progress its strategic developments.</p> <p><b>Nursing</b></p> <p>There have been challenges nationwide with the recruitment of nurses as a result of workforce shortages. Further to an innovative recruitment campaigns (item 23/15 refers) nurses have been recruited to YDH with the hope that the Trust will exceed the required establishment by September 2015. Active recruitment would continue due to the natural turnover of any Trust's workforce and to ensure the best service provision for patients.</p> <p><b>Special Sundays</b></p> <p>YDH is a finalist in the Aviva Community Fund competition to secure £10,000 for the hospital's entry 'Special Sundays' in the 'supporting the older generation' funding category. If successful, the funding will be used to offer older patients in the hospital the chance to participate in a variety of special activities and events one Sunday each month.</p> <p><b>CQC Mock Inspection</b></p> <p>The CQC is in the process of inspecting each hospital trust in the country by April 2016 and it is likely YDH will be inspected in winter 2015/16. YDH is working with PwC on CQC readiness work and a mock inspection was carried out on 19 May 2015. In summary, the mock inspection feedback identified that the standard of quality care provided at YDH is high despite the operational pressures the Trust faces. Areas of improvement were also highlighted and these will be addressed as part of business as usual improvement activity.</p>	<p style="text-align: center;"><b>JHig</b></p>

	<p>Paul Mears spoke of two externally recognised examples of the work of the Trust:</p> <ul style="list-style-type: none"> <li>• Mr Nader Francis, Colorectal Surgeon, and three of his colleagues from YDH recently attended the European Association of Endoscopic Surgeons (EAES) Congress in Bucharest. Four conference papers were presented by Yeovil clinicians with two of the papers winning top prizes</li> <li>• Dr Alex Bickerton, a consultant in diabetes and endocrinology, has been selected as one of the 16 national clinical champions for Diabetes UK. This work fits well with the hospital's agenda and this appointment is positive news for the Trust and wider health community</li> </ul> <p>John Hawkins asked for more information regarding the prefabricated ward. Paul Mears advised the ward would be located on the top of the outpatients roof and access would be granted through level 4. The Trust is applying for planning permission and it is hoped the ward will be operational by December 2015.</p> <p>Philip Tyrrell spoke of the large number of housing developments in Yeovil and the impact on the hospital. Paul Mears said if the system is not redesigned, the hospital would need more resources and wards to cope with the increased level of demand in the next 5/10 years which is both operationally and financially unfeasible. However if the system is redesigned through the Symphony Project to achieve long-term sustainability.</p>	
21/15	<p><b>NEW MODELS OF CARE &amp; VANGUARD</b></p> <p>Paul Mears provided background information for the benefit of the new governors advising of the work undertaken in the past two years as part of the Symphony Project and confirmed YDH had been selected as a "vanguard site" to develop and implement a Primary and Acute Care System (PACS) model as set out in the NHS Five Year Forward View (5YFV). YDH's proposal will also build on the work undertaken recently to develop relationships with GPs in South Somerset. He confirmed 29 sites had been selected across the country, 9 of which would develop a PACS model with YDH being the only site to do so in the South West.</p> <p>Paul Mears spoke of the financial challenges facing the NHS both nationally and locally and advised in South Somerset 50% of the cost across the health and social care sector is spent on 4% of the population who have the most complex of needs. He said this further highlights the need to establish a PACS system that provides person centred co-ordinated care.</p> <p>Paul Mears said YDH received a visit in May from the national team as part of the vanguard programme feedback from which had been positive. Paul Mears confirmed a Programme Board was in place to oversee the development of the plans and there are 4 representatives from YDH and 4 from Primary Care (elected by 19 South Somerset). John Park asked whether other stakeholders will be included on the Programme Board and Paul Mears confirmed there will be representation at part of the meeting from Somerset Partnership NHS Foundation Trust, Somerset County Council and Somerset Clinical Commissioning Group (CCG). He added that voluntary sector organisations will be involved at the working group level. Paul Mears confirmed there are many bilateral discussions taking place with other stakeholders (including Dorset CCG and GPs) and this will continue as the work develops.</p>	



	<p>Ian Fawcett questioned whether the venture has political support both locally and nationally. Paul Mears advised contact has been made with the new MP for Yeovil and Rt Hon Oliver Letwin, MP for West Dorset, has previously met with the Trust. Peter Wyman confirmed key relationships are also being developed nationally.</p> <p>The question was raised how the health and social care budget could be combined especially as the social services funding streams are different from that of the NHS. Paul Mears confirmed the Trust is currently working with the Somerset CCG (YDH's commissioner), the Local Authority (social services commissioner) and NHS England (primary care commissioner) to establish outcomes based commissioning and a joint budget. This is different to the current system which is mainly activity driven and is expected to improve patient outcomes (aligned to the Symphony Project) and achieve financial efficiency.</p> <p>Yvonne Thorne asked about the communication and engagement methods for the programme and whether the information is filtering down to all staff groups. Paul Mears confirmed there are a variety of methods in place including CONECT weekly, CONECT staff, CONECT managers, team meetings, staff suggestions area on intranet. He added that communication is a two-way process and staff must also engage with the executives and their line managers. John Park questioned whether staff attend the meetings arranged and Paul Mears advised the turnout can vary particularly for different clinical departments and it has always been a challenge for ward staff to attend meetings. These issues are being reviewed and meetings will be arranged for a time and date which is convenient for those teams whenever possible.</p> <p>Paul Mears provided an overview of the work of the Symphony 0.5 Integrated Care Hub based at the hospital and the Council viewed a video from a patient who spoke of the difference the hub had made on her life. Nicholas Craw asked whether patients are registered with their GP and/or the hub. Paul Mears confirmed patients are registered with their own GP who refers the patient into the hub. Consultants are also able to refer patients who they think would benefit from the work undertaken by the hub. The question of how the Symphony Hub was funded was raised and Paul Mears confirmed the CCG provided additional funds to test and learn from a pilot scheme. The hub is located at the hospital and two more are planned across South Somerset.</p> <p>Jane Lock said that social care teams have also established hubs and expressed caution about causing confusion with the duplicate terminology. Paul Mears confirmed discussions with social care are taking place regarding working together to develop and cover all health and social care needs.</p> <p>Sue Bulley commented how welcoming it was to hear from the video of patients being able to take ownership of their care. The hub had received good feedback from patients.</p>	
22/15	<p><b>CHIEF FINANCE AND COMMERCIAL OFFICER REPORT</b></p> <p>Peter Wyman presented the Finance Report explaining that the unprecedented operational pressures and associated medical and nursing agency, locum and bank expenditure led to a higher than budgeted deficit in 2014/15. Peter Wyman advised that agreement from the Dorset and Somerset CCGs to invoice two months in advance means YDH should maintain positive cash levels into late summer before requiring deficit support.</p>	

	<p>The Council were advised that Monitor is visiting the Trust in June to discuss the ongoing investigation into the Trust's finances and strategic plans for long-term sustainability, recognising that the Trust has a deficit budget for 2015/16. The Trust has been open and transparent with Monitor throughout the investigation, which has been a collaborative, learning process. Paul Mears advised a significant proportion of acute hospitals are in deficit, compared with a number of mental health and community trusts in surplus. He said this further supports the need for the health and social care system to be redesigned where the priority is the provision of safe, high quality care for the patient.</p> <p>John Park asked whether CIP plans had been identified and Paul Mears confirmed plans are in place to achieve circa £3efficiency savings across the Trust. He added that while making efficiencies is important, of greater priority is the continued delivery of safe services.</p> <p>Paul Mears provided an overview for the benefit of the new governors of the Trust's contract with Intersystems for the implementation of TrakCare and the electronic health record (EHR). Phase 1 is currently underway and the aim is to go live and implement phase 1 October/November 2015. John Park asked for an explanation of the terminology used and Paul Mears confirmed TrakCare is the product name. Jane Lock asked whether agency staff will be able to use the system. Paul Mears confirmed agency staff will be trained, if required, however the majority of the work undertaken on the PAS system on the wards is carried out by the ward clerk.</p> <p>Peter Wyman provided the Council with an estates update. Phase 1 and 2 of the Special Care Baby Unit project is underway to create a temporary space for the unit. Work will continue throughout the summer with a handover towards the end of the year. Planning permission for the multi-storey car park will be submitted in June 2015 and the intention is work will begin on site in January 2016. A maintenance backlog survey has been undertaken and results are awaited which will help the Trust prioritise plans for the next 5 years.</p>	
23/15	<p><b>HR WORKFORCE PRESENTATIONS</b></p> <p>Peter Wyman welcomed Maddie Groves, Tracy Wilkinson and Mark Appleby to the meeting to provide the Council with an update on HR workforce.</p> <p><b>Nursing Recruitment</b></p> <p>Maddie Groves spoke of the work with the Communications Team to raise the profile of the Trust on social media, YouTube, radio and google. Maddie Groves advised the Trust's website has been updated and applicants applying for nursing posts are now able to submit their CVs via the website and no longer have to apply through NHS Jobs. Interviews are scheduled every fortnight to ensure suitable candidates can be interviewed and appointed as soon as possible. She also advised the Council of the Return to Acute Care Environment (RACE) course developed for the Trust which provided qualified nurses who had not worked in an acute hospital before, or who had not worked in the environment for a number of years, the opportunity to refresh their nursing skills within an acute care environment. Following completion of the course, all nurses were offered employment with the Trust and have received a 4 week supported induction.</p> <p>Maddie Groves advised the Trust has worked closely with NEU Professionals International Healthcare Recruitment Agency to recruit international EU nurses from Italy and Spain who have the transferrable skills to work within the UK.</p>	

The first cohort of nurses commenced work with YDH in May 2015 and the second cohort will start in July 2015. As with the RACE nurses, the EU nurses are provided with a 4 week supported induction. Maddie Groves advised the Trust has explored non-EU recruitment which is more difficult due to additional measures the applicants must go through to be able to work within the UK.

Maddie Groves presented the projected vacancy/over established monthly position based on the recruitment and natural turnover and it is predicted that by September 2015 the Trust should have sufficient establishment which will enable to the YDH to significantly reduce the usage and expenditure of agency nurses.

The governors asked about the language barrier for the international EU and non-EU nurses. Maddie Groves confirmed applicants are assessed on their language skills at interview and all successful nurses are supervised when they first arrive at YDH.

Sue Bulley questioned whether retaining the recruited nurses was a concern for the Trust. Maddie Groves advised there will always be natural turnover and some of the nurses may wish to move to bigger trusts in the future but she stressed the applicants and the recruitment agencies used are advised of the rural setting of YDH. Paul Mears advised the Trust offers a relocation package to the nurses to ensure the transition is as seamless as possible.

#### **Medical Recruitment**

Tracy Wilkinson presented an overview of the medical vacancies at the Trust including consultant, middle grade doctors and Trust Fellows across a number of specialities. She advised the training doctor posts are recruited nationally through Deaneries and YDH is unable to advertise for these posts as they would for other roles.

Tracy Wilkinson confirmed the HR Directorate has been restructured to create a HR Team and a Recruitment Team. As with recruitment for nurses, the Recruitment Team is focusing on promoting YDH as a place to work and have updated the website to allow CVs to be submitted directly to the Trust, improved the google search ranking and are offering benefits and relocation packages for each grade. The advert text and job descriptions have been reviewed and improved and a recruitment brochure has been developed for each speciality.

Tracy Wilkinson spoke of work undertaken by the team to recruit medical staff including instructing agencies to source suitable candidates arranging 14 interviews in Dubai and undertaking regular Skype interviews. Tracy Wilkinson provided an overview of the future plans for the team including establishing a 'refer a friend' scheme for medical posts, developing a talent pool, attending recruitment fairs and conferences, exploring LinkedIn to headhunt candidates and working with Deaneries and Royal Colleges to identify and recruit new talent.

#### **Staff Survey, Academy Workplan and Apprentices**

Mark Appleby advised that in partnership with Yeovil College, the YDH Academy Vocational Team deliver apprenticeship training. He confirmed the Trust has apprentices across a variety of teams including outpatients, theatres, wards, the Academy, HR, catering and domestic services. Mark Appleby spoke of other areas still to be explored including finance, clinical therapies, maternity and paediatrics and he advised all vacant Agenda for Change Band 1 and 2 posts are being reviewed to be used as an apprenticeship.

	<p>Mark Appleby discussed with the Council the benefits of employing apprentices including developing skilled workers for the future, loyal members of staff and motivated and satisfied workforce. Apprenticeships at YDH are for 18-24 months with a day release to Yeovil College. Mark Appleby confirmed there is no contractual requirement for YDH to employ the apprentice at the end. Mark Appleby confirmed the number of apprentices is increasing with 19 trained in 2012/13, 45 in 2013/14 and 78 in 2014/15.</p> <p>Jane Lock spoke to the Council of the success of 'Project Search' which provided interns with learning disabilities the opportunity to work at YDH, which has resulted in substantive employment for some of the interns. Paul Mears confirmed the graduation for the second cohort is taking place at the end of June 2015. The Council of Governors agreed they would welcome a presentation providing more information regarding Project Search in a future meeting.</p> <p>Mark Appleby provided an overview of the performance against the staff, noting as an overall movement in the year compared against the 2013 responses for the staff survey which was undertaken in November 2014. It was noted the response rate had risen from 49% in 2013 to 66% in 2014. Mark Appleby confirmed the Trust has areas of focus for 2015 based on what staff reported through the survey with the main focus being on improving communication and managing change. The HR team is currently in discussions with departments and asking for feedback following the results of the survey which will help inform the corporate response plan.</p> <p>Mark Appleby presented the Academy Education and Training 2 Year Plan which identifies 7 strands - mandatory training, leadership and development, professional registration, continued profession development, vocational education, talent management and equality, diversity and inclusion. Mark Appleby advised that under each strand the plan identifies what the Trust has achieved so far and the areas of focus for the future. He confirmed the Trust is also developing an Organisational Development Plan.</p>	<b>JR/SH</b>
24/15	<p><b>GOVERNOR INFORMATION DASHBOARD</b></p> <p>Paul Mears presented the governor information dashboard explaining the Board of Directors receives additional supporting information on a monthly basis for a more detailed review. Paul Mears highlighted key areas of operational pressure from which it was noted that:</p> <p><b>Patient Experience</b> As the operational pressures are easing, the friends and family response rate had improved as had the number of compliments received by the Trust.</p> <p><b>Infection Control/Safety</b> Paul Mears advised there were 2 MRSA cases in January and March 2015, which were the first since March 2013. Both cases were in ICU and a detailed analysis of both cases had been undertaken and actions taken forward. The infection control teams are working with the nursing teams to improve infection control.</p> <p><b>Workforce</b> There continues to be a reduction in sickness absence.</p>	

	<p><b>Referral to Treatment Time (RTT)</b>  One of the biggest challenges for the Trust currently is managing the waiting lists to meet the 18 week RTT as a number of operations had to be cancelled over winter to manage exceptional operational demand and the waiting lists have grown significantly. A recovery plan is in place.</p> <p><b>A&amp;E</b>  YDH achieved the target of 95% of patients seen and discharged within 4 hours in A&amp;E in April 2015. Paul Mears confirmed the Trust's ambulance handover is one of the best in the South West.</p>	
25/15	<p><b>QUALITY, PATIENT SAFETY AND EXPERIENCE OVERVIEW</b></p> <p><b>Catering</b>  Roger Hayward tabled a presentation on the recent projects undertaken by YDH to improve patient experience. Roger Hayward spoke of the refurbishment of the canteen one year on and advised it continues to perform well with consistent revenue. Patient and visitors numbers have increased since the refurbishment and the retail range is under constant review. He spoke of the success of the coffee pods located within the hospital and advised the A&amp;E waiting room had recently undergone a refurbishment which included an additional coffee pod which replaced the vending machines.</p> <p>Roger Hayward spoke of the proposal put forward by the Nutrition Steering Group to enhance patient nutrition by introducing snacks between key meal service times. Roger Hayward also advised that the Board of Directors has approved a new hot meals service. The service was agreed within the 2015/16 budget and contractual agreements with the provider of the service 'steamplicity' were signed in April 2015. All the meals are chilled and cooked on the wards. 230 members of staff were trained in April and May 2015 and the service went live on 12 May 2015. The feedback received to date has been positive. John Webster advised he took part in the CQC mock inspection and the only complaint received regarding the steamplicity meals were that the portion sizes were too big for some patients but the quality of the food was excellent. Roger Hayward confirmed the meals have a fixed portion size but noted the feedback. Roger Hayward confirmed the meals are coloured coded for the patients and advise which meals fulfil different dietary requirements for instance gluten free or low sodium content.</p> <p><b>Car Parking</b>  Roger Hayward confirmed a second temporary car park opened in December 2014. There were immediate benefits to patients including the reduced time taken to find a car parking space on site and the removal of the barriers. The Trust moved to Automated Number Plate Recognition (ANPR) technology through partnership with ParkingEye in January 2015. Consistent negative feedback was received by patients and visitors and subsequent parking signage was increased to assist users of the car park to understand the system and the changes. In March 2015, both car parks moved to pay and display with ANPR remaining in operation in the drop off zones. Roger Hayward advised a Parking Enforcement Officer is in post as the barriers have not been reinstated. He advised the number of tickets issuing fines have been very small in comparison with the numbers using the car parks and he confirmed the revenue during the last 6 months has been consistent.</p>	

Roger Hayward advised Interserve and Prime the strategic estates partner for YDH, is supporting YDH with obtaining planning permission for a multi-storey car park with 650 spaces. Staff and public consultations have been undertaken which were reasonably attended and it is anticipated it will be operational in 2017.

Sue Brown asked whether the car park charges have been reviewed. Peter Wyman confirmed the revenue generated from the car park goes directly back into the hospital to improve patient care and there are concessions available. Sue Bulley asked whether the Trust has received any financial penalty for the change to the payment system and returning to pay and display car parks. Roger Hayward confirmed as the Trust still holds a contract with ParkingEye and no charges have been incurred by YDH. Monica Denny asked if the multi-storey car park will have the facility to advise users before entering the car park that it is full and Roger Hayward confirmed this facility would be available. Jane Lock questioned whether Kingston Wing patients could have the complimentary parking permit sent to them prior to arriving on the day to improve the experience as currently patients must visit reception to collect a permit and have to take this back to their car before arriving at the Kingston Wing. Roger Hayward confirmed he would explore this suggestion. Peter Wyman thanked Roger Hayward for the presentation.

#### **Quality Account, Patient Safety Update and Sign Up to Safety Campaign**

Jo Howarth introduced herself and tabled a presentation on the Quality Account, patient safety and the Sign Up to Safety Campaign. Jo Howarth confirmed the Quality Account drives improvement and care and provide a summary of the Trust's achievements in relation to quality of care for the previous year. She confirmed that the Trust had achieved a reduction of 20% in 2014/15 in grade 2 and above hospital acquired pressure ulcers, on top of a 40% reduction in 2013/14. The governor indicator had been agreed as patient experience of discharge.

Jo Howarth advised that the Trust had subscribed to the Sign Up to Safety Campaign which commits the Trust to five pledges:

- Putting safety first
- Continually learn
- Being honest
- Collaborating
- Being supportive

She also spoke of the implementation of harm free care groups, Safety Thermometer, problem-based learning groups, quality improvement programmes and the accelerated patient safety officer training. The working groups aim to ensure staff are engaged and help to ensure the Trust delivers against the pledges. Jo Howarth confirmed the problem-based learning groups had been established to allow time for reflective learning amongst colleagues and to ensure learning is embedded throughout the Trust.

Jo Howarth advised there had been an increase in clostridium difficile (c.difficile) cases and disappointingly 2 MRSA blood stream infections in 2015, the first cases since March 2013. There had been no reduction in inpatient falls but there had been a 12% reduction in harm to patients that had fallen. The patient experience approach had been improved and all members of the patient experience team are able to deal with complaints, PALS enquiries and supporting patients with bereavement.

	<p>Jo Howarth spoke of the reduction over the year in the number of formal complaints received. Jo Howarth advised the Council of the strict and formal process the Trust must comply with when a formal complaint is received (YDH has 25 days from receipt of the complaint). She spoke of how the formal complaint process can be extended if a root cause analysis is required and the Trust then has 60 days to respond.</p> <p>John Park questioned whether a patient experience group had been established to replace the patient experience committee which had been disbanded. Jade Renville confirmed a group had been set up which would be chaired by Linda Hann, Patient Experience Manager, which will meet monthly. Jade Renville confirmed there is staff representation on the group from across the Trust and an additional staff governor will be invited to join the group. The Council were advised the patient experience group will report to the Governance Committee.</p> <p>Jo Howarth advised the Council that YDH won the Patient Safety Award for the work of the patient Safety Thermometer and for the approach the Trust has taken and the shared learning. Jo Howarth provided an overview of the aims of the Quality Improvement Strategy and advised the Strategy is currently being drafted and a copy will be presented to the Council at a later date. Jo Howarth spoke of the key deliverables for 2015/16 which included no more than 8 cases of c.difficile, 0 cases of MRSA bloodstream infection and a 10% reduction in falls resulting in harm. The Trust must also 4 national CQUINS and 5 local CQUINS.</p>	
26/15	<p><b>REPORTS FROM ASSURANCE COMMITTEES</b></p> <p>The Council had received by email copies of the draft minutes for CGAC, NCRAC and the Audit Committee which were held on 17 April 2015.</p> <p>From these Ian Fawcett highlighted CGAC received a presentation from Helen Williams, Associate Director and Head of Midwifery, on the recommendations of the Morecambe Bay Investigation Report and the relevance for the Trust. CGAC were reassured of the quality of care provided at YDH but an action plan is in place on the areas identified where improvements could be made to the service provided. Hala Hall confirmed NCRAC received a presentation from Mark Appleby on the Academy Education and Training 2 Year Plan.</p> <p>Jade Renville advised the Council that the Board of Directors has to merge the two assurance committees to form one governance committee. The terms of reference for the committee would be revised accordingly. A review of the governor observers these committees would be carried out as a result of the formation of the governance committee.</p> <p>Within the papers a summary report from the Audit Committee had been included which identified the areas discussed at the meeting. John Park confirmed he had nothing further to add.</p>	JR
27/15	<p><b>REPORTS FROM GOVERNOR WORKING GROUPS</b></p> <p>The Council had received by email copies of the draft minutes for the governor working groups. The Council noted the following reports from governor committees and working groups:</p>	

	<p><b>Strategy and Performance – 15 May 2015</b>  Within the papers a summary report from the Strategy and Performance working group had been included which identified the areas discussed at the meeting, all of which had been covered during the course of the Council meeting.</p> <p><b>Membership and Communications – 14 May 2015</b>  Hala Hall presented the enclosed report which identified the areas discussed at the meeting together with the enclosed guidance document ‘Representing the Interests of Members and the Public’ which she confirmed was a useful tool on how to increase membership. Hala Hall advised the group discussed at length how the governors can fulfil their statutory requirement to represent their constituencies. The group asked the Council to identify local events, forums and groups within their constituencies and email these to Samantha Hann who would collate the information for discussion at the next group meeting.</p>	<b>ALL</b>
28/15	<p><b>FEEDBACK FROM OTHER NHS COUNCIL OF GOVERNOR MEETINGS</b>  Jade Renville advised governors had been invited to attend the Council of Governor meetings and Governing Body meetings for local health organisations. Feedback would be provided to each organisation and representatives from their organisations had been invited to attend the YDH Council of Governor meetings. To date YDH representatives had attended the following Council of Governor meetings:</p> <p><b>Somerset Partnership NHS Foundation Trust – 12 May 2015</b>  John Hawkins, Julia Hendrie, Jade Renville and Samantha Hann attended.</p> <p><b>Dorset County Hospital – Monday 1 June 2015</b>  Ian Fawcett and Jade Renville attended.</p> <p><b>Taunton and Somerset NHS Foundation Trust – Wednesday 3 June 2015</b>  Alison Whitman and Michael Fernando attended.</p>	
29/15	<p><b>ANY OTHER BUSINESS</b>  There was no further business to discuss.</p>	
30/15	<p><b>EXCLUSION OF THE PUBLIC</b>  The Council resolved to exclude the public and others for the remainder of the meeting.</p>	
31/15	<p><b>DATE OF NEXT MEETING</b>  The next meeting will be held on Thursday 17 September 2015.</p>	



**COUNCIL OF GOVERNORS**

Minutes of the Council of Governors meeting held on 17 September 2015

At the **Academy, Level 4, Yeovil District Hospital**

<b>Present:</b>	Peter Wyman Sue Brown Sue Bulley Monica Denny Ian Fawcett Hala Hall John Hawkins Philip Tyrrell John Webster Alison Whitman Nicholas Craw Michael Fernando Judith Lindsay-Clark Paul Porter Yvonne Thorne David Recardo	Chairman Public Governor Public Governor Public Governor [items 39/15–45/15] Public Governor Public Governor Public Governor Public Governor Public Governor Public Governor Public Governor Staff Governor Staff Governor Staff Governor [items 37/15–45/15] Staff Governor Staff Governor Appointed Governor
<b>In Attendance:</b>	Maurice Dunster Julian Grazebrook Samantha Hann Roger Hayward  Jane Henderson Paul von der Heyde Jonathan Higman  Jason Maclellan Paul Mears Allison Nation  Tim Newman  Jade Renville Tara Westcott	Non-Executive Director Non-Executive Director Assistant Company Secretary Head of Patient Experience [items 39/15–45/15]  Non-Executive Director {items 39/15–45/15} Non-Executive Director Director of Strategic Development [items 38/15–45/15] Chief Information Officer [items 38/15–39/15] Chief Executive Head of IM&T Commissioning, Somerset Clinical Commissioning Group [item 38/15] Chief Finance and Commercial Officer [items 32/15–37/15] Company Secretary Senior Manager, KPMG [item 32/15–35/15]
<b>Apologies:</b>	Jane Gifford John Park Martin Ormston John Tricker Rob Childs Lou Evans Jane Lock	Public Governor Public Governor Public Governor Public Governor Appointed Governor Appointed Governor Appointed Governor

		<b>Action</b>
32/15	<b>WELCOME AND APOLOGIES</b> Peter Wyman welcomed two members of the public, the governors, Non-Executive Directors and those in attendance to the meeting. Apologies were noted as listed above.	

33/15	<p><b>DECLARATIONS OF INTEREST</b> The Chairman declared that he is the Treasurer and Vice-Chairman of the University of Bath.</p>	
34/15	<p><b>MINUTES OF THE PREVIOUS MEETING AND MATTERS ARISING</b> The minutes of the meeting held on 11 June 2015 were approved as a true and accurate record. There were no matters arising not on the agenda.</p>	
35/15	<p><b>ANNUAL REPORT, QUALITY REPORT AND ACCOUNTS 2014/15 AND THE EXTERNAL AUDIT OPINION</b> Jade Renville advised each year the annual report, quality report and accounts are prepared by the Trust which includes an indicator chosen by the governors (quality report). KPMG, as the Trust's external auditors, and the Audit Committee review the documentation before presentation to the Board of Directors, Council of Governors and finally the Annual General Meeting in September. Paul von der Heyde confirmed the Audit Committee scrutinises the annual report, quality report and accounts and he thanked the staff involved in their preparation. He acknowledged that 2014/15 had been a challenging year for YDH which was reflected in the documentation. He added that the Audit Committee is assured by the strategic plans which the Trust has in place to secure long-term financial sustainability through the implementation of new models of integrated care, which have the support of Monitor and NHS England.</p> <p>Tara Westcott summarised the work undertaken by KPMG in 2014/15, confirming the year-end audit had been completed in line with the agreed plan. She said KPMG had issued a clean unqualified opinion on the financial statements and had found the Trust to have adequate arrangements in place to secure economy, efficiency and effectiveness in its use of resources.</p> <p>In terms of the quality report, Tara Westcott advised that KPMG had issued YDH with a limited assurance opinion. She said that the content of the quality report was accurately reported in line with regulations, but that they could not issue an opinion over a mandatory indicator (percentage of incomplete pathways within 18 weeks for patients on incomplete pathways at the end of the reporting period) due to unavailability of supporting information relating to historic patient data. This is a similar position to other trusts that use a 'live' system and this issue has been raised with Monitor. In future, Jade Renville confirmed that snap shots of the RTT data would be taken from the system throughout the year. Hala Hall asked how governors choose the local indicator, which is patient experience of discharge. Jade Renville confirmed the current indicator was chosen a couple of years ago and will be reviewed when the Council of Governors feel this is necessary.</p>	
36/15	<p><b>CHIEF EXECUTIVE REPORT</b> Paul Mears presented highlights from his written report, from which it was noted that:</p> <p><b>Monitor Investigation Update</b> YDH has recently received formal notice from Monitor that they have closed their investigation into the Trust's finances and they would not be taking any formal enforcement action. Paul Mears said it was positive that Monitor is assured YDH has a robust and realistic plan to improve the financial position and that they believe the Trust has the right leadership in place to ensure its delivery.</p>	

	<p><b>Symphony Project and Transformation</b> Paul Mears confirmed progress is being made with plans to integrate care in South Somerset with the Symphony Programme (as a vanguard site) being successful in securing monies from the national Transformation Fund for the first year of programme costs to develop new models of integrated care. YDH is also working with the 9 other national Primary and Acute Care Services (PACs) vanguard sites to share learning.</p> <p><b>Outcomes Based Commissioning in Somerset</b> Paul Mears advised of progress by the Somerset CCG to move to outcomes based commissioning. The plans are being developed jointly with NHS England and Somerset County Council and it will mean that the current contract held by YDH with the CCG will be put on notice as they move to commission a lead provider(s) to deliver a set of outcomes for the local population. Paul Mears advised that currently there is an expectation that there will be two outcomes based contracts, one for the east of the county based around South Somerset/Mendip and one for the west of the county based around Taunton/Bridgwater. Paul Mears confirmed YDH is in full support of the plans and the Trust is working closely with the CCG to understand the next steps in the process and also ensure that the approach from commissioners aligns to the work YDH is doing with local GP colleagues through the Symphony Project.</p> <p><b>TrakCare - Electronic Health Record (EHR)</b> Paul Mears confirmed the preparation work to implement EHR continues with the data migration taking place which is a significant piece of work.</p> <p><b>Multi-Storey Car Park and Development of New Ward</b> The multi-storey car park would be discussed later in the meeting [item 39/15 refers]. Paul Mears provided an update on the building of a new ward advising planning permission had been approved. The pre-fabricated ward would arrive on site in October/November 2015 with the intention of being operational by Christmas. The ward would provide YDH with an additional 24 beds, which will enable the Trust and its staff to manage the significant levels of operational demand expected in winter 2015/16 in a safe and efficient way.</p> <p>Nicholas Crow asked whether the Symphony Project had a set end date. Paul Mears responded that the Symphony Project is a redesign of the whole system which will evolve into the standard way YDH works in the future. He confirmed the Trust has a five year plan to return to financial sustainability and there are tangible milestones YDH can deliver within a clear timeframe. Paul Mears highlighted to the Council the significant cultural, historical and organisational challenges both nationally and locally and confirmed this is now about population health management. Nicholas Crow asked when outcomes based commissioning is intended to be in place and Peter Wyman advised the intention is from 2017/18.</p> <p>Paul Mears explained that the Dorset CCG is undertaking a clinical services review and YDH is working with them and the North Dorset GPs to engage in the proposals.</p>	
37/15	<p><b>UPDATE ON FINANCIAL PERFORMANCE AND THE GOVERNOR QUALITY AND OPERATIONAL PERFORMANCE DASHBOARD</b> Tim Newman presented the Finance Report advising the Trust currently has a £6m deficit year-to-date with £18.4m deficit forecast for the end of the financial year. He confirmed there was a technical variance for the non-NHS clinical income due to the refurbishment of SCBU and the donated funds being received</p>	

at different dates but that this will balance by year end. Tim Newman spoke of the key risks to the budget – operational pressure and nursing expenditure, which YDH is seeking to mitigate through a dedicated recruitment campaign. Yvonne Thorne questioned the delay in newly recruited nurses receiving their registration and Paul Mears this was as a result of the volume of applications being received by the NMC. Yvonne Thorne asked if YDH reviews the reasons why nurses leave the Trust and Tim Newman confirmed this is monitored. If any trends are identified, the HR team will work through any concerns raised.

David Recardo asked whether the recruitment of overseas nurses has created any language issues for staff, patients and visitors. Tim Newman advised the overseas nurses must complete a language test and meet a certain level before being granted registration. Paul Mears confirmed the Trust provides a 4 week induction programme and this allows for any additional needs to be identified. Paul Mears advised that there had been recent immigration restrictions published and nurses had not been listed under the exceptions category. Nationally the NHS is calling for this to be amended as there is a national shortage of nurses. Tim Newman said restrictions are also being put in place to cap the use and spend on agency nurses within the NHS. He confirmed the Trust's is working to meet these targets, where it is safe to do so.

Tim Newman provided an update on CIP, the transformation budget, the Trust's cash and revenue position and capital expenditure as set out in the enclosed presentation, confirming that YDH is now drawing down cash support from the Department of Health. John Hawkins asked the cost of the new modular ward to which Tim Newman confirmed the ward would cost £3m. The question was raised whether the main entrance would be closed when the ward was brought to site. Yvonne Thorne confirmed there would be some closures but this is currently being discussed so the minimal amount of disruption is caused. Paul Mears confirmed external pressures (social care issues and delayed transfers) will still create challenges for the Trust despite having the additional bed capacity within the new ward. He confirmed YDH will ensure it improves its own internal processes for patient flow and escalation and improving ward rounds.

Paul Mears presented the governor information dashboard explaining the Board of Directors receives additional supporting information on a monthly basis for a more detailed review. Paul Mears highlighted key areas of operational pressure from which it was noted that:

RTT remains a challenge for the Trust to recover the position after the significant winter operational pressures last year which had necessitated YDH postponing a high proportion of non-urgent elective procedures to accommodate patients requiring urgent care together with experiencing recent increases in referrals for particular specialities. A recovery plan is in place with the intention of clearing the backlog by the end of the year but the 2015/16 winter pressure period is a significant risk. Nicholas Crow questioned whether all postponed procedures would be undertaken by YDH or if the patient had a choice to be seen elsewhere. Paul Mears confirmed patients have been given the choice and some have chosen to have their procedure undertaken at Shepton Mallet NHS Treatment Centre or Circle Bath.

Paul Mears advised that YDH is meeting cancer service performance targets with the exception of the two week screening wait as a result of patient choice. There was discussion about the importance of referring GPs communicating with the patient about the urgency of the appointment, even in cases where they have not

	<p>advised the patient of the reason their attendance is required. Work is ongoing with the Trust's Contact Centre to inform patients of the urgency when booking the appointment.</p>	
38/15	<p><b>CARE.DATA PRESENTATION</b></p> <p>Peter Wyman welcomed Allison Nation, Head of IM&amp;T Commissioning at Somerset CCG to the meeting to give a presentation on Care.data. Allison Nation explained Care.data is a national programme of work which will bring together health and social care information from a variety of settings such as general practices, hospitals and care homes. She advised the first phase is to collect data about care provided by general practices across England and connect this with data already collected from hospitals. Allison Nation confirmed Somerset had been chosen as a pathfinder and to date 56 out of 75 practices in Somerset had signed up. She advised once Care.data is approved to 'go live', 4 out of every 5 patients in Somerset can expect to receive a letter and information pack. John Hawkins questioned whether patients residing in care homes would be included within this phase and whether there would be public access to the data. Allison Nation confirmed care homes would not be included in this phase only patients of GP practices and the data received would be anonymised and only be used for the benefit of health care purposes. Peter Wyman questioned the understanding of the public of this initiative and Allison Nation said she had given a number of presentations to raise awareness. Paul Porter asked how much data would be collated. Allison Nation confirmed a very small set of anonymised demographic data would be collected.</p> <p>David Recardo asked if there is the potential for a patient's medical information to be made available to hospitals abroad. Allison Nation advised Care.data would not be able to achieve this.</p> <p>Ian Fawcett advised a proportion of YDH patients live in Dorset, but would not be included within this cohort as only Somerset has been chosen as a pathfinder. Allison Nation confirmed once the national team had rolled out this phase with the pathfinders, Care.data would be rolled out nationally and Dorset patients would then be included.</p> <p>Allison Nation was thanked for her presentation by the Council.</p>	
39/15	<p><b>STRATEGIC DEVELOPMENTS</b></p> <p>Jonathan Higman presented the Trust's strategic objectives, values and key priorities, saying that work had been ongoing over the past few months to simplify and capture them on one page which allowed for the document to be communicated across a range of channels for staff and externally to the public. He said the Trust's vision is to be the UK leader in delivering new models of care, an aim which is underpinned by four objectives: developing our people, caring for our population, pioneering the future and putting technology at the heart. He added that there are a number of priorities which underpin these objectives; those which are business as usual, operational priorities, and those relating to shaping the future of care. He advised focus groups had been held with 100 members of staff and the document would be taken to the Board of Directors on 30 September for ratification. Peter Wyman confirmed the vision and objectives would not change but the priorities would evolve over time. Paul Mears advised there are timescales against each priority which allows the Board of Directors to track progress, monitor capacity and resources and identify any areas of risk.</p>	

	<p><b>Digital Strategy</b></p> <p>Jason Maclellan provided a presentation on the digital strategy. He provided an overview of the changes in the use of the internet, mobile phones and technology stating that healthcare had been remarkably untouched by this digital revolution which must be harnessed to support the NHS meet the scale of operational demand and expectations.</p> <p>Jason Maclellan confirmed the implementation of TrakCare (electronic health record) is a key part of the Trust's digital strategy. He advised YDH currently has over 100 clinical systems but TrakCare will provide one single record for all patient information. Jason Maclellan spoke of the benefits of TrakCare but advised TrakCare alone will not fully revolutionise the Trust. He provided an overview of the additional digital priorities for YDH in addition to TrakCare including email interactions, video consultations, online bookings and appointment management and home monitoring for patients. Jason Maclellan advised the Council of how the Trust intends to achieve the priorities predicated on the foundation of think big, start small, act fast. Generally, the Council embraced the concepts presented by Jason Maclellan and the adoption of the digital strategy. However, they raised the concerns for those patients who do not use technology or are socially disadvantaged. Jason Maclellan confirmed the patient will always have a choice and able to state their preference. Monica Denny questioned whether this will link with the whole of the NHS or just within YDH. Paul Mears confirmed TrakCare will be an internal YDH system initially but the next stage will be how it can interface with GP systems, social care and community providers.</p> <p><b>Multi-Storey Car Park</b></p> <p>Roger Hayward confirmed planning permission had been granted for the multi-storey car park. Roger Hayward advised building works will commence in January 2016 for 12 months. The Council discussed the layout of the multi-storey car park, the payment system, the materials used in the build, the new road layout outside the hospital and onto the dual carriageway and the number of spaces that would be available to which Roger Hayward confirmed the ratio of staff:patient/visitor spaces had yet to be decided for the new car park. Transitional parking arrangements for staff is an issue currently being worked through and Interserve Prime (the Trust's strategic estates partner) is currently reviewing local car parks which could provide additional support during the year of construction. Roger Hayward spoke of the opportunity to revisit different forms of transport and to encourage staff to use the cycle to work scheme and car share. Additional cycle spaces would be made available as well as electronic car park spaces. Following questions from governors Roger Hayward confirmed there were 2 car park steering groups in place – 1 in relation to the project build and 1 a staff side group regarding the practicalities for staff, patients and visitors.</p>	
40/15	<p><b>REPORTS FROM ASSURANCE COMMITTEES</b></p> <p>The Council had received by email copies of the draft minutes for Governance Assurance Committee and the Audit Committee which were held on 17 July 2015. From these Sue Bulley advised that the Governance Assurance Committee felt reassured of the governance arrangements within the Trust which Ian Fawcett agreed. Paul von der Heyde advised that the Audit Committee was assured the programme was on track for both internal and external audits.</p>	
41/15	<p><b>REPORTS FROM GOVERNOR WORKING GROUPS</b></p> <p>It was noted that the Council had received by email copies of the draft minutes for the governor working groups, verbal updates on which were provided as follows:</p>	

	<p><b>Membership and Communications – 13 August 2015</b>  Hala Hall confirmed the Trust membership form had been reviewed and printed copies would be available at the AGM. She asked the Council to try to recruit new members using the forms when available. Hala Hall also reminded the Council to identify local events, forums and groups within their constituencies and email these to Samantha Hann who would collate the information for discussion at the next group meeting as to possible engagement opportunities.</p> <p><b>Strategy and Performance – 4 September 2015</b>  Alison Whitman advised the group had received an in-depth presentation from Jonathan Higman in relation to the revised and much more accessible Trust strategic objectives and priorities.</p>	<p><b>ALL</b></p> <p><b>ALL</b></p>
42/15	<p><b>PATIENT EXPERIENCE COMMITTEE UPDATE</b>  Yvonne Thorne confirmed she had attended the Patient Experience Committee. She advised the group covers different aspects of the patient experience, for instance TrakCare, car parking and lessons learnt from complaints and PALS she said the committee is still evolving and discussions are ongoing regarding the Committee’s membership. Judith Lindsay-Clark confirmed the Committee focuses on specific areas of concern, e.g. lost property, as well as reviewing the broader aspects of patient experience.</p>	
43/15	<p><b>ANY OTHER BUSINESS</b>  There was no further business to discuss.</p>	
44/15	<p><b>EXCLUSION OF THE PUBLIC</b>  The Council resolved to exclude the public and others for the remainder of the meeting.</p>	
45/15	<p><b>DATE OF NEXT MEETING</b>  The next meeting will be held on Thursday 10 December 2015. The governors were reminded the AGM will take place on Wednesday 30 September 2015.</p>	

# Agenda Item 7

## **SSDC Transformation Programme**

*Executive Portfolio Holders:* Cllr. Ric Pallister, Leader, Strategy & Policy  
Cllr. Angie Singleton, Transformation  
*Strategic Director:* Rina Singh, Strategic Director (Place & Performance)  
*Lead Officer:* Andrew Gillespie / Charlotte Jones, Performance Managers  
*Contact Details:* rina.singh@southsomerset.gov.uk or 01935 462010

### **Purpose of Report**

This report seeks member approval of the principles and vision for the Council Transformation Programme that will lead to the adoption of a new operating model.

### **Forward Plan**

This report appeared on the forward plan for March.

### **Public Interest**

This report sets out a proposal to adopt a new operating model for delivering council services to all in South Somerset, providing more choice and speed of access to services.

The Transformation Programme aims to enhance our customers' experience and enable the council to respond to their changing needs and preferences. This will be achieved through changing the way our current service team structures are organised and by making more use of Electronic Document Management (EDM) and web based technologies.

### **Recommendations**

That the District Executive recommends Full Council to:

- (i) Accept the Headline Business Case for Transformation, attached in Appendix A including the vision and principles for transformation and note the headline risks, and equality impact assessment included in this report
- (ii) Agree the Transformation Programme governance arrangements as set out in section 6 of this report.
- (iii) Delegate authority to deliver the Programme to the Leader of the Council with the approval of the Programme Board.
- (iv) Approve that savings of £2,000,000 be added to the Medium Term Financial Plan for 2017/18 and 2018/19.
- (v) Approve that £59,975 for ongoing software maintenance costs is added to the Medium Term Financial Plan as an ongoing commitment from 2017/18.
- (vi) Approve that the £394,000 currently held in the Voluntary Redundancy Reserve is transferred to a new Transformation Reserve to fund this programme.
- (vii) Allocate £1,314,300 from capital receipts set aside in the budget for transformation to fund for this programme.



- (viii) Agree that the further revenue cost of £2,754,000 is funded from the Revenue Support Reserve.

## **Summary**

This report summarises work undertaken to develop a headline business case for a new operating model based on the experience of other local authorities that have transformed their organisations to align better with changing customer preferences. The headline business case is attached in Appendix A.

The Future Model approach to transformation and its key principles reflect SSDC's own ambitions to be an organisation consistently delivering improving quality of life in South Somerset, by providing well managed cost effective services valued by its residents.

The headline business case clearly illustrates a significant range of benefits for the council, the community and staff through taking a 'whole council' approach and by leading and resourcing a significant change programme.

The business case demonstrates that the programme can deliver a major contribution to bridging the budget gap faced by South Somerset District Council. The overall cost including a provision for contingency and the cost of redundancy is estimated to be £4,702,200.

The overall estimated annual recurring savings are expected to be £2,000,000 which comprises salaries and on costs only. The payback period is two years four months.

Associated non-pay savings, other efficiencies from supplies and services made possible by the change programme or by the enhanced capacity for income generation are not included. Opportunities for these have already been cited by staff teams and service managers.

The challenge and risks are significant and should not under-estimated. Preparing the headline business case included the assessment of risks associated with delivering a transformation programme of such breadth and scale and the proposed governance arrangements reflect this assessment.

### **1. Background - Current position and drivers for change**

Along with other councils, we face significant challenges across a number of fronts. Whilst the most significant challenge for many councils is financial, others are looking to a new generation of customers who expect to access the services they need using smart, interactive technology.

We forecast that we will need to make over £4.1 million of savings from the current budget by 2020-21. In future years, the financial pressure is likely to increase. Almost 46% of SSDC gross annual expenditure of £32.3 million is on staff related costs (2015/2016). The financial challenge cannot be met without reducing our staff numbers. The Council has, as part of a work force planning strategy, reduced the work force through sharing services and individual service reviews. It is now recognised that an approach based on process efficiency service reviews and annual 'salami slicing' budget reductions may undermine our ability to deliver services through our existing structures. Greater opportunities are to be found by generating efficiencies at a corporate level from the merger of similar generic activities across services in both front and back offices.

Research in 2014-15 analysed the nature and variety of customer demand and how SSDC handles that demand. This initial research, as part of the budget strategy, identified clear and significant opportunities to reduce costs and improve the customer experience. The key issues to address for a future change programme were identified as: -

- Reducing avoidable contact
- Developing 24/7 digital solutions for customers
- Access to services to be *digital by default* and yet
- Continuing to ensure that customers receive the face to face help if they need it, whether for complex needs or assistance at a place and time convenient to them.
- Automating back offices
- Promoting existing digital options to customers
- Further targeting high volume simple transactions and payments for self-serve
- Reorganising customer handling

A number of Councils have demonstrated that the opportunities for achieving significant reductions in the cost of service by driving a *digital by default* culture are growing. Digitisation brings efficiency benefits by reducing the costs to store, retrieve, sort and reproduce data as part of a business process and enables the delivery of more services at a lower cost through self-help and on-line methods.

It is clear that Transformation by Local Authorities is made possible by significant investment in information and communications technology (ICT). However the success or failure of Transformation Programmes is driven by behaviours and above all leadership that secures the vision and direction for radical change.

The Improvement and Efficiency Social Enterprise (iESE) recent report on their “Review, Remodel, Reinvent” (3R) transformation framework captures how councils are reshaping themselves and their services to meet the new challenges. iESE emphasises the importance of the ‘mindset’ needed for successful change. (iESE July 2015).

*“We’ve seen that even at councils where innovation has been strong, maybe even cutting edge [transformation] has only succeeded where it is matched by a real focus on the right behaviours, culture and leadership.”*

iESE conclude that effective transformation involves three levels of change (see diagram below). Councils that are able to remodel their service delivery (Level 2) are in a much better position to release resources to achieve much better re-invention outcomes (Level 3).

SSDC has done significant work at Level 1, but there is now recognition of the need to find a way to position SSDC to achieve Level 2.



## 2. Looking ahead: a new operating model

Through the Local Government press, participating in peer reviews and the District Councils Network, senior elected members have looked at best practice elsewhere and encouraged the potential benefits of newer operating models to be explored so that SSDC can be in a better, more effective and resilient position in future. This demonstrates a clear desire to transform SSDC and an acknowledgement that the traditional routes to drive down costs are no longer a realistic option.

Members have visited other innovative councils to better understand operating models that are 'citizen centric' and capable of being adapted to local circumstances, with flexibility for the future in terms of alternative service delivery decisions. This initiated the work on the preparation of a business case for the 'Future Model' that has been adopted by some authorities.

The business case is based on both a high level view of the organisation and at a more detailed level reviewing a cross section of SSDC Services.

Preparing the Headline Business Case included: -

- A review of data used to prepare the internal Demand, Access and Handling report (March 2015)
- Data gathering and workshops with representatives of service teams (drawn from the high volumes of contact services.)
- Visits by senior councillors and officers to Eastbourne and South Hams & West Devon councils and further contact to learn from their experience of a major organisational change programme, and to better understand the design principles first hand.
- Data analysis for calculating efficiency gains from automation
- A headline 'maturity assessment' to identify the potential for reducing costs through a new operating model (a South Somerset Future Model).

### 3. 'Future Model' approach to transformation: Vision and principles

The key design principles of the Future Model include:

- Managing and reducing customer demand
- Delivering as much customer service as possible through a universal contact method
- Drawing on expert skills and knowledge only where appropriate
- Managing the organisation in an efficient and streamlined way.

The Future Model provides an approach to thinking about the way the Council operates, with a focus on:

- The relationship with customers and the wider community
- Staff roles and structures
- Technology and processes
- Culture and ways of working
- Costs
- Outcomes

For example;

The Future Model embraces the concept that work is an activity not a place, so that SSDC could:

- have officers and members who are able to meet any time/any place/anywhere using technology enabled devices
- provide customers with face to face officer contact, from existing sites and on location, maintaining an SSDC presence and high visibility in local areas

With the appropriate ICT in place and locality working, the ability of Members to contact staff will be maintained and staff will be equipped to work more often and more effectively in localities, by using a range of ICT options.

Applying the Future Model principles ensures that SSDC will retain full control of its workforce but creates an operating model that could facilitate flexible work-sharing with potential partners, should further examination prove the business case for doing so. This could include further savings through economies of scale and service improvements from partnership working with other locality based work being carried out by other agencies.

An integral part of the Future Model is the separation of the commissioning core of the council from the delivery of its services. The principles of commissioning ensure that the focus of the council is on the outcomes it seeks to deliver and the impact these are making in the community.

When designing its services, the commissioning council uses evidence to understand what its communities need. It can use locality working to help build that evidence base. Meanwhile at its very basic level it is intended that day to day operational requests such as reporting missed bins and fly tips, putting up planning notices, empty property visits and so on should, in the new model, be carried out by generic officers based in localities.

#### **4. Benefits of the Transformation Programme**

The new operating model will deliver the following benefits:

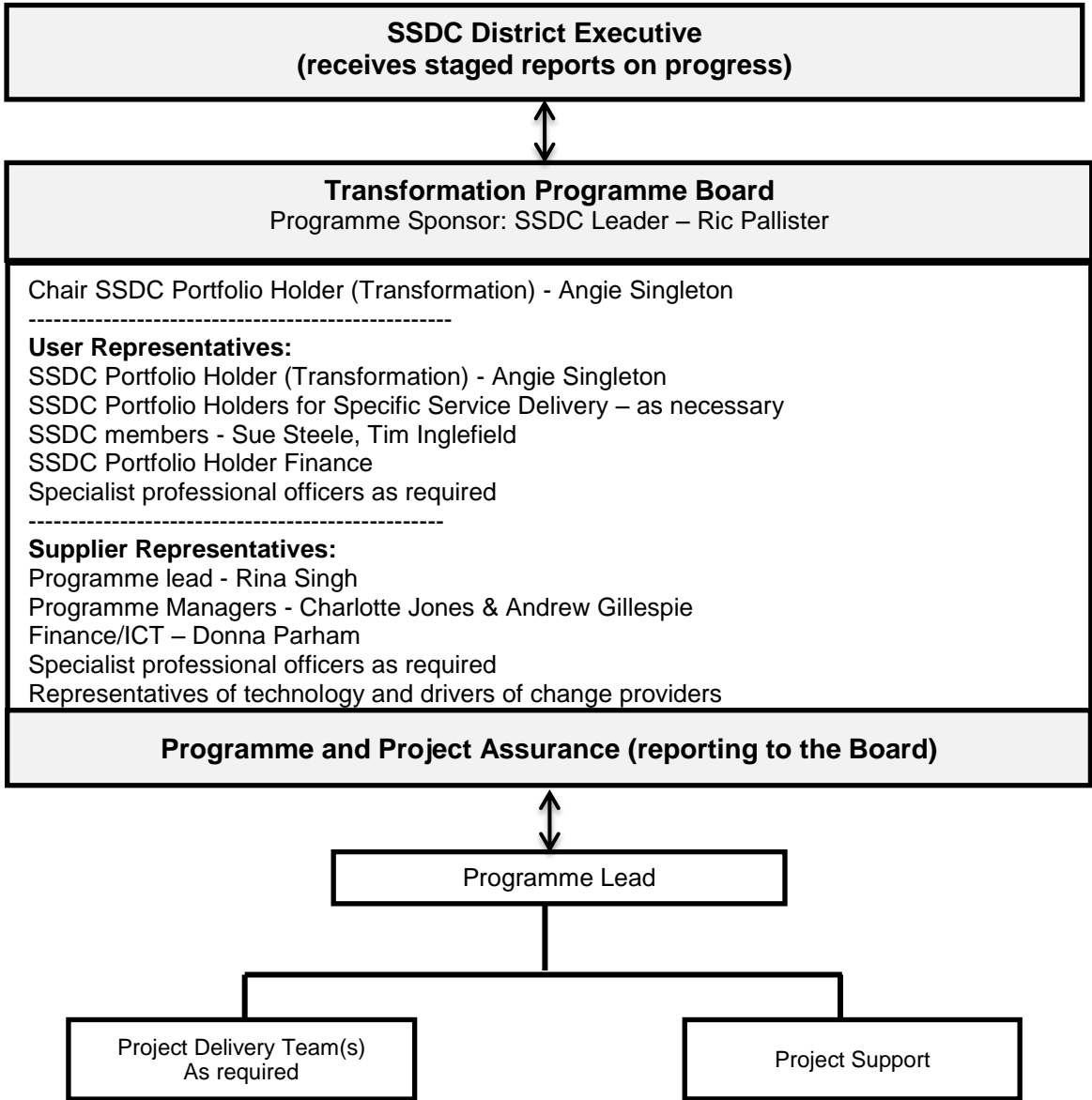
- An estimated annual revenue saving of £2 million from staff costs (see Financial Implications)
- Increased capacity to handle telephone calls
- protecting face to face contact as required
- Customers' details and property records held in one place ('single view of the customer')
- 24/7 access to those who choose to use our easy on-line services
- Increased access options for our customers
- Mobile and Locality workers
- A flexible workforce with empowered roles
- Improved work/life balance and career development opportunities for our staff
- Commissioning options for the council
- Flexible future options for sharing with partners

#### **5. Timescale**

Based on the experience of other Councils, implementation of the Future Model would comprise an 18 - 24 month programme after procurement.

### 6. Transformation Programme (TP) Governance

It is proposed that the TP Governance should use the following structures.



The Transformation Programme Board will:

- provide a high-level strategic steer
- champion the programme to internal/external stakeholders
- create an environment in which the programme can thrive
- monitor the overall direction of the programme
- monitor the risk log for the programme and agree mitigation
- authorise financial commitments within the existing financial procedures

The Programme Lead will:

- create and monitor the delivery plan for the programme
- ensure that the required resources are available

- resolve any conflicts escalated by the project delivery teams
- manage risks
- measure the delivery against the benefits and
- be responsible for the communication plan

The programme will require in-house resources, with a number of project work streams running simultaneously to deliver the change programme. These will include:

- Organisational Design and HR
- Technology
- Transition
- Support Services

It is envisaged that there will be a core programme team from officers within the Council. The make-up of this will change as required by the programme stages. Union involvement will be through a designated representative. Each Assistant Director will also nominate officers for their services. These officers will fulfil both the 'user' and 'supplier' representative roles within the TP and act as their main point of contact.

As services go through the programme, work relating to Business Process Re-engineering (BPR) will be carried out by project teams. Experience indicates this element of the work can take up to 4 months depending on the degree of complexity involved. BPR is already undertaken by managers and work teams as part of "continuous improvement" therefore it is assumed that in most cases additional resources may not be required. However, some back filling may be needed and this will be discussed with the appropriate Assistant Director on a case by case basis. A provision of £360,000 for back filling has been included in the headline programme budget.

## 7. Financial Implications

The tables below show a breakdown of estimated costs and savings, the timings are indicative and depend on procurement:-

### Capital

Item	2016/17 £	2017/18 £	2018/19 £	2019/20 £	2020/21 £	Totals £
<b>Software, connectors, and implementation including programme team and backfilling</b>	303,250	606,500	303,250	-	-	<b>1,213,000</b>
<b>Contingency</b>	25,325	50,650	25,325			<b>101,300</b>
<b>Total Capital Costs (A)</b>	<b>328,575</b>	<b>657,150</b>	<b>328,575</b>	-	-	<b>1,314,300</b>

## Ongoing Revenue

Item	2016/17 £	2017/18 £	2018/19 £	2019/20 £	2020/21 £	Totals £
Ongoing costs e.g. support and maintenance (D)		59,975	59,975	59,975	59,975	<b>239,900</b>

## Once-Off Revenue

Training, organisational change management consultancy, internal programme team and backfilling	170,000	340,000	170,000			<b>680,000</b>
Contingency	17,000	34,000	17,000			<b>68,000</b>
Once-off Programme Revenue Costs	<b>187,000</b>	<b>374,000</b>	<b>187,000</b>	-	-	<b>748,000</b>
Total Once-off and Ongoing Programme Costs	<b>187,000</b>	<b>433,975</b>	<b>246,975</b>	<b>59,975</b>	<b>59,975</b>	<b>987,900</b>

Allowance for redundancy costs (Note 2) (C)		1,200,000	1,200,000			<b>2,400,000</b>
Total Once-off Revenue Costs (E)	<b>187,000</b>	<b>1,574,000</b>	<b>1,387,000</b>	-	-	<b>3,148,000</b>

Total all Revenue Costs (B)	<b>187,000</b>	<b>1,633,975</b>	<b>1,446,975</b>	<b>59,975</b>	<b>59,975</b>	<b>3,387,900</b>
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Total Capital and Revenue Costs (G)	<b>515,575</b>	<b>2,291,125</b>	<b>1,775,550</b>	<b>59,975</b>	<b>59,975</b>	<b>4,702,200</b>
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Salary Savings (Note3) (F)		<b>1,000,000</b>	<b>1,000,000</b>	-	-	<b>2,000,000</b>
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Note 1 – The headline business case does not include any alterations to Brympton Way

Note 2 – An allowance of £38,000 has been made for each redundancy. It is expected that there will be some natural turnover that will reduce this figure. However, it is important that sufficient funds are set aside to cover redundancy costs and avoid any in year adverse budget impact.

Note 3 – These figures have been cross referenced for reasonableness to the savings made by South Hams and West Devon Councils



The overall estimated costs, including provision for redundancies, are £4,702,200 (G). The overall estimated annual saving is expected to be £2,000,000 (F). The expected payback period is 2 years and 4 months.

Estimated costs comprise £1,314,300 (A) capital and £3,387,900 (B) revenue. Revenue includes a provision for redundancy costs of £2,400,000 (C). An estimated £59,975 (D) per year are ongoing revenue costs and so need to be added to the Medium Term Financial Plan as a commitment from 2017/18.

The overall estimated annual saving is expected to be £2,000,000 (F). This is a salary saving only and does not include non-pay spend. Savings will be added to the Medium Term Financial Plan in 2017/18 and 2018/19.

Software purchases and the implementation of that software can be financed through capital receipts. A total £2,500,000 in capital receipts was set aside in the budget for transformation and members of the District Executive are recommended to allocate £1,314,300 (A) of those funds for this programme. The revenue implications for the loss of interest have already been included in the budget as part of the Medium Term Financial Plan.

There is currently £394,000 in the Voluntary Redundancy Reserve and members are requested to allocate all of this to a new Transformation Reserve. It is recommended that the remaining revenue requirement of £2,754,000 is funded from the Revenue Support Reserve.

The Revenue Support Reserve was set up to provide £3 million per annum (from New Homes Bonus) to support the Medium Term Financial Plan. The recommendation is to utilise the allocation for 2018/19 to ensure the transformation programme can be financed. This will be replenished before any savings are taken for the budget. The risk of doing this is that if it cannot be replenished then the savings to find will be higher in 2018/19

However, the Government outlined in the 2016/17 Finance Settlement that new capital receipts could be used to fund revenue if full Council approved an Efficiency Plan. As part of the financial assessment, the DCLG were asked about any possible grant funding. The response was that there was no grant funding pot at present and that support for local government was through flexibility to utilise receipts from future sale of assets for this purpose. Work is underway to investigate whether some of the revenue costs could be financed in this way. If this is possible revenue savings would not be required to replenish the Revenue Support Reserve before being added to the MTFP. A report will be made to District Executive and full Council once the investigation is complete.

General Fund Balances are expected to be £3.8 million at the end of the year. These should be retained to meet financial risks. There is no surplus to fund this programme.

## **8. Procurement**

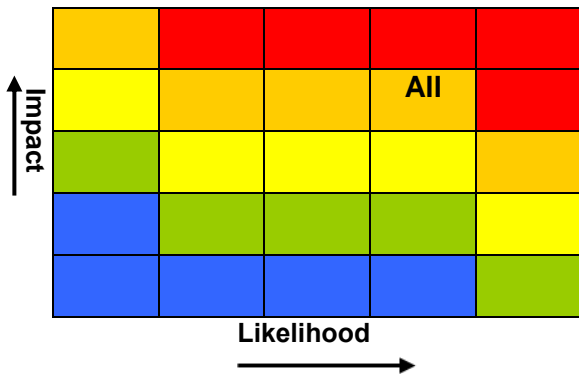
The procurement process will be undertaken in line with the Council's Contract Procedure Rules and in line with EU requirements.

## 9. Headline risk assessment (after mitigation)

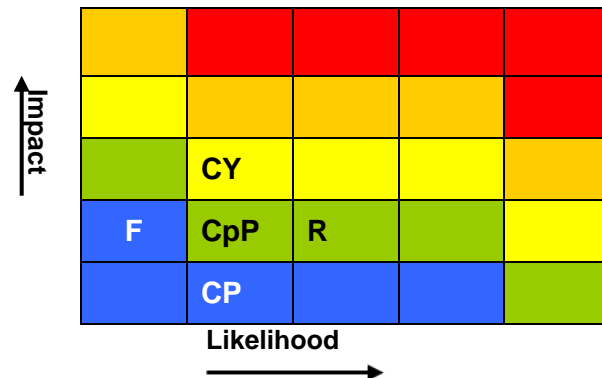
Risk	Impact	Likelihood	Mitigation
Higher than anticipated costs and/or lower than anticipated savings arising from the programme.	High	Low	Detailed business case in place before committing to implementation of the programme. Robust contractual arrangements – with penalty clauses. Detailed monitoring of costs and savings within the programme
Unexpected external cost pressures which diverts resource from the TP and delays delivery.	High	Low	Review level of corporate priority against the new cost pressure.
Integrated ICT solution proves less successful than anticipated (Business continuity and connectivity in remote areas will be key to successful implementation.)	High	Low	Achieve “fit for purpose” specification Test through the procurement process Use “tried and tested” innovation Review business continuity / disaster recovery plans
Insufficient capacity to deliver the TP	High	Low	Programme identified as a key corporate priority Commission external support as required to ensure the TP is delivered in line with the timetable.
The shared vision for the TP during periods of significant changes is not maintained	Med	Med	Effective communication strategies to engage with members staff and other stakeholders embedded within TP.
Organisation transition to the new operating model is not managed effectively.	High	Med	Once decision taken to implement TP create sufficient organisation capacity to achieve programme timeframes.
Programme management arrangements are not robust or resilient.	High	Low	Establish appropriate Member and officer TP governance arrangements.
Ongoing political commitment could be difficult to maintain if faced with major <u>external</u> change and /or challenge	High	Med	Ongoing liaison with members to maintain shared vision. Raise awareness of the scale of organisation change and the impact on both members and staff.
Reduced capacity and morale during significant corporate change	Med	Med	TP communication strategy Ensure that key staff are not lost to SSDC
New skills and approaches to work styles are not adopted	High	Low	Support cultural change with a comprehensive corporate training and development programme TP Communication Strategy Ensure new systems are resilient and stable

## Risk Matrix

Risk Profile before officer recommendations



Risk Profile after officer recommendations



### Key

Categories	Colours (for further detail please refer to Risk management strategy)
R = Reputation	Red = High impact and high probability
CpP = Corporate Plan Priorities	Orange = Major impact and major probability
CP = Community Priorities	Yellow = Moderate impact and moderate probability
CY = Capacity	Green = Minor impact and minor probability
F = Financial	Blue = Insignificant impact and insignificant probability

## Council Plan Implications

The Transformation Programme will build the council's future resilience for delivering well managed cost effective services valued by our customers. The detailed design of a new operating model will be fully informed by the council long and short term priorities.

## Carbon Emissions and Climate Change Implications

None from this report. Implementation of a new operating model coupled with an investment in ICT will help reduce the council's carbon footprint for example by reducing the need to travel, the use of postage and printing and by reducing the requirement for accommodation.

## Equality and Diversity Implications

The programme will include a significant investment to help customers use our services through digital means - and so a key aspect is to *design in* digital inclusion. Early work for the Transformation Programme has made good use of existing customer data, and an understanding of the different ways in which customers need and want to access services from the council.

If the recommendations are approved, a detailed communication / stakeholder plan will be developed and future progress will be fully informed by detailed equalities analysis. This will apply to all stages at all levels. At this stage, the TP is high level, and no detailed proposals are available to have their impact assessed or for fuller consultation.

## **Privacy Impact Assessment**

A privacy impact assessment should be carried out whenever there is a change being proposed that is likely to involve a new use or significantly change the way in which personal data is handled. This will include a redesign of an existing process or service, or a new process or information asset being introduced e.g. “single view of a customer”. This “single view” is a key strand of the transformation program that has significant /privacy data protection implications. The PIA is simply a best practice process which helps assess privacy risks to individuals in the collection, use and disclosure of personal information. A failure to properly embed appropriate privacy protection measures may result in a breach of privacy laws, a declaration of incompatibility with the Human Rights Act, or prohibitive costs in retro-fitting a system to ensure legal compliance or to address community concerns about privacy. A failure to properly keep personal information secure has potentially significant financial and reputational implications. The approach to be adopted by SSDC will be to identify and address the data protection and privacy concerns at the design and development stage of the transformation project, building data protection compliance in from the outset rather than attempting to bolt it on as an afterthought. In addition conducting and/or reviewing a Privacy Impact Assessment (PIA) through a project lifecycle will ensure that, where necessary, personal and sensitive information requirements are complied with and any risks are identified and mitigated.

## **Background Papers**

Headline Business Case – February 2015

# SOUTH SOMERSET DISTRICT COUNCIL

## Transformation Programme Headline Business Case

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# (Appendix A)

Rina Singh

Charlotte Jones

Andrew Gillespie

February 2016

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## Executive Summary

### The Transformation Programme

Along with other Councils, South Somerset District is facing significant financial, managerial and technological challenges.

The proposed “Future Model” Transformation Programme addresses these by rethinking the way the council operates. The design led approach will create and maintain a system that works for people, rather than people having to ‘work the system’.

By placing the satisfaction of customer demand at the heart of our future service design, processing and delivery costs will be lower. When compared to the current design there will be a significantly reduced need to call on both specialist and generic staffing resources but the content of the work will be changed for the better. The workforce will be more empowered, skilled and motivated.

The SSDC Transformation Programme will create a new way to engage with individuals and communities. Vertical service “silos” will disappear and all work in the community across services will be brought together under a new joined-up way of locality working.

In summary, the design of the SSDC Future Model would mean:-

- Managing and reducing customer demand
- Delivering as much customer service as possible through a universal contact method, resolving the maximum possible at the earliest point possible.
- Drawing on expert skills and knowledge only where appropriate
- Managing the organisation in an efficient and streamlined way.

Although EDM or other process efficiencies could be implemented on a service by service basis, the opportunity to generate efficiencies from merging similar generic activities across services in the front and back office would be lost. A citizen centric operating model which meets the financial challenges ahead will not be achieved through uncoordinated, incremental improvements.

The Future Model proof of concept exercise has clearly illustrated the ‘size of the prize’ that could be achieved by taking a ‘whole council’ approach to leading and resourcing a significant change programme.

The Future Model offers both flexibility and resilience for the future;

- to retain or transfer / outsource business delivery units,
- to release capacity to promote income or economic development opportunities
- to reduce overall operating costs
- to manage performance
- to facilitate data sharing that builds high quality customer insight
- to develop the skills of our staff team, managing the organisation in a streamlined and efficient way and empowering people on the front line
- to respond locally to community issues and priorities and enable local action and involvement
- to embed marketing, digital inclusion and ‘shift’ programmes
- to protect resources for the “front line” and serve our residents and businesses by being an organisation that helps South Somerset to be a good place to live and work.

Delivery of the Transformation Programme requires strong leadership, management and communication of the vision for better customer services; the intelligent use of customer insight data; a design led approach to access and handling; and innovation including the use of technology and digital tools.

## **Investment costs and return on investment**

The headline Transformation Programme (TP) business case has established that an investment of £2.3 million will generate annual recurring revenue savings of £2 million. The business case demonstrates that the TP can deliver a major contribution to bridging the budget gap faced by South Somerset District Council.

The projected annual recurring revenue savings comprise salaries and on-costs only. Associated non-pay savings, other efficiencies from supplies and services made possible by the change programme or by the enhanced capacity for income generation are not included.

The above costs do not include provision for any redundancy. This is because the Council may choose to re-invest some or all of the savings to meet other priorities. However, a provision for redundancy is included in the overall budget of £4.7m set out at the end of the business case.

Taking into account the provision for redundancy costs, the payback period for the Programme is two years and four months.

## **Conclusion**

The analysis and review work undertaken to date confirms there is a clear business case to proceed with further detailed design of the Transformation Programme to address the issues of customer service and business process efficiency identified, in line with the principles set out in the headline business case.

A decision to proceed should be accompanied by clear and robust programme leadership and governance due to the level of risk.



## 1 The Case for Radical Change

SSDC along with other Councils is facing significant challenges across a number of fronts.

We forecast that we will need to make over £4 million of savings by 2020-21. In future years, the financial pressure is likely to increase. However, it is also recognised that an approach based on annual 'salami slicing' budget reductions in line with the medium term financial strategy would continue to undermine our ability to deliver services through our existing structures.

Almost 46% of SSDC gross annual expenditure of £32.3 million is on staff related costs. The financial challenge cannot be met without reducing our staff numbers. Having already reduced these through sharing services and through service reviews, any further reductions will inevitably reduce front line service delivery unless we use a very different approach.

Leading Councils are also now looking to a new generation of customers who expect to access the services they need using smart, interactive technology.

In 2014-15 we analysed the nature and variety of customer demand and how the council handles that. This initial research as part of the budget strategy identified clear opportunities to reduce costs and improve the customer experience. In addition it showed that *current systems to manage customer data and support corporate performance management are not fit for purpose. The importance of timely and accurate data to support service planning and delivery cannot be overemphasised.*

### The key design elements of a future change programme were identified as: -

- Reducing avoidable contact
- Increasing capacity to manage demand
- Developing 24/7 digital solutions for customers – for access to services to be *digital by default* and yet -
- Continuing to ensure that customers receive the face to face help if they need it, whether for complex needs or assistance at a place and time convenient to them.
- Automating back offices
- Promoting existing digital options to customers
- Further targeting high volume simple transactions and payments for self-serve
- Reorganising customer handling to resolve enquiries and requests at the earliest point of contact possible

A redesign of service delivery supported by an investment in information and communications technology is now seen as essential for SSDC.

EDM or other process efficiencies could be implemented on a service by service basis, but this service "silo" approach can be limiting and short-sighted. The greater opportunities are to be found by generating efficiencies at a corporate level from the merger of similar generic activities across services in the front and back offices. A citizen centric operating model which meets the challenges ahead will not be achieved through incremental improvements.

## 2 Transformation: Strategic and National context

To meet these challenges, senior members have demonstrated a clear desire to transform SSDC and an acknowledgement that the traditional routes to drive down costs are no longer a realistic option.

In recent years, supported by the agenda of the Government and technological advances, leading Councils have moved to more radical programmes of service redesign. Customers

and their preferences are placed at the heart of service provision - enabled through the use of digital<sup>1</sup> technology and a *digital by default*<sup>2</sup> approach – empowering both staff and customers, protecting the front line and improving the customer experience.

A number of Councils have demonstrated that the opportunities for achieving significant reductions in the cost of service by driving a *digital by default* culture are growing. Such financial benefits are not restricted to the delivery of more services through self-help and on-line methods. Digitisation has brought efficiency benefits to the ‘back office’ reducing the costs to store, retrieve, sort and reproduce data as part of a business process. The financial and satisfaction benefits from efficiency, transparency and choice derived from being ‘digital by default’ are widely recognised.

At a practical level, redesigning services to resolve customer requests at the earliest point of contact avoids unnecessary contact which may be frustrating and / or costly for both the council and the customer. The focus of ‘Transformation’ is on the creation of core process designs that lead to a better customer service, efficiency gains and savings opportunities though maximising the use of technology.

The Improvement and Efficiency Social Enterprise (iESE) recent report on their “Review, Remodel, Reinvent” (3R) transformation framework captures how councils are reshaping their services to meet the new challenges. They emphasise the importance of the mind-set needed for successful change.

“We’ve seen that even at councils where innovation has been strong, maybe even cutting edge [transformation] has only succeeded where it is matched by a real focus on the right behaviours, culture and leadership.” (iESE July 2015)

The iESE analysis concludes that effective transformation involves all 3 levels of change (see diagram below). Councils that are able to remodel their service delivery (level 2) are in a much better position to release resources to allow members to achieve greater re-invention outcomes (Level 3). Although some Level 3 “reinvention” work has also been done, this will remain severely restricted while the necessary development resources have not yet been released through Level 2 remodelling. Reaching Level 2 is the current challenge for SSDC.

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<sup>1</sup> **Digital** – refers to the use or storage of data or information in the form of digital signals. So ‘**digitisation**’ is the process of converting information into a digital format. This is not the same (or as simple) as publishing information on-line or providing information by email.

<sup>2</sup> ‘**Digital by default**’ means providing services in a digital format that are so straightforward and convenient that all those who can use them will choose to do so, **while those who can’t are not excluded**.



### 3 Future Model

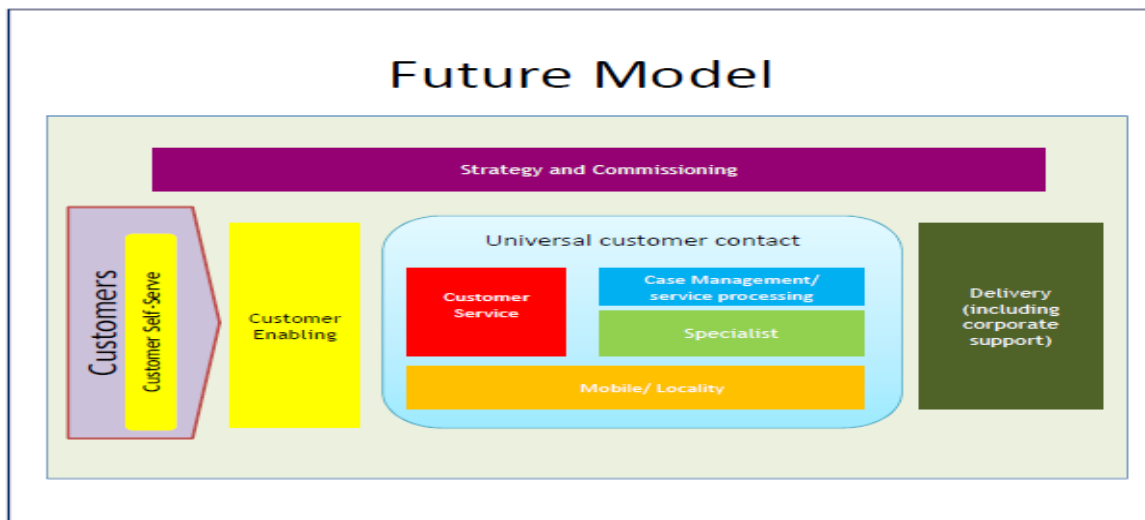
To further explore alternative ways of doing Council business, senior officers and members have visited other innovative councils, drawing on their experiences, particularly around agile working and commissioning of services in a largely rural district. They have also reviewed SSDC’s experience to date in delivering savings through both shared services and re-engineering processes in some service areas.

Visits by senior councillors and officers to Eastbourne and South Hams & West Devon councils, to better understand the design principles and key risks of a major organisational change programme from the perspective of leadership and staff teams, confirmed that the design principles of the Future Model concept could be effective when applied to SSDC.

The Future Model approach to Transformation and its key principles reflect SSDC’s own ambitions to be an organisation consistently delivering improving quality of life in South Somerset by providing well managed, cost effective services valued by our residents.

Work to prepare a headline business case for the redesign of SSDC service delivery based on the Future Model was initiated.

## 4 The Future Model Explained



### Overview

**Future Model is a customer & citizen centric service delivery operating model** that has been developed by local government for local government to provide a new way of managing service demand, providing sustainable long term solutions that benefit customers, staff and the community at large.

The Future Model concept can be used to redesign and improve:

- The relationship with customers and the wider community
- Staff roles and structures
- Technology and processes
- Culture and ways of working
- Costs
- Outcomes

The Future Model uses the following clear **principles of design**:

- Managing and reducing customer demand
- Delivering as much customer service as possible through a universal contact method
- Drawing on expert skills and knowledge only where appropriate
- Managing the organisation in an efficient and streamlined way.

Transition to a Future Model way of working will keep a council at the heart of the community and support vitality and growth in the local economy, delivering great outcomes for people, with excellent customer services – all on a lower cost base.

Using the Future Model re-focuses the organisation around the customer & citizen through:

- A **redesigned organisational model** that completely reconfigures the way the organisation works, eliminating traditional silos, unlocking capacity and genuinely putting the customer first.
- **Re-designed business processes and customer journeys** that are as efficient as possible, delivering the best possible customer experience, with more opportunities to self-serve in key areas - such as enquiries, reporting, making applications, and booking and paying for services.

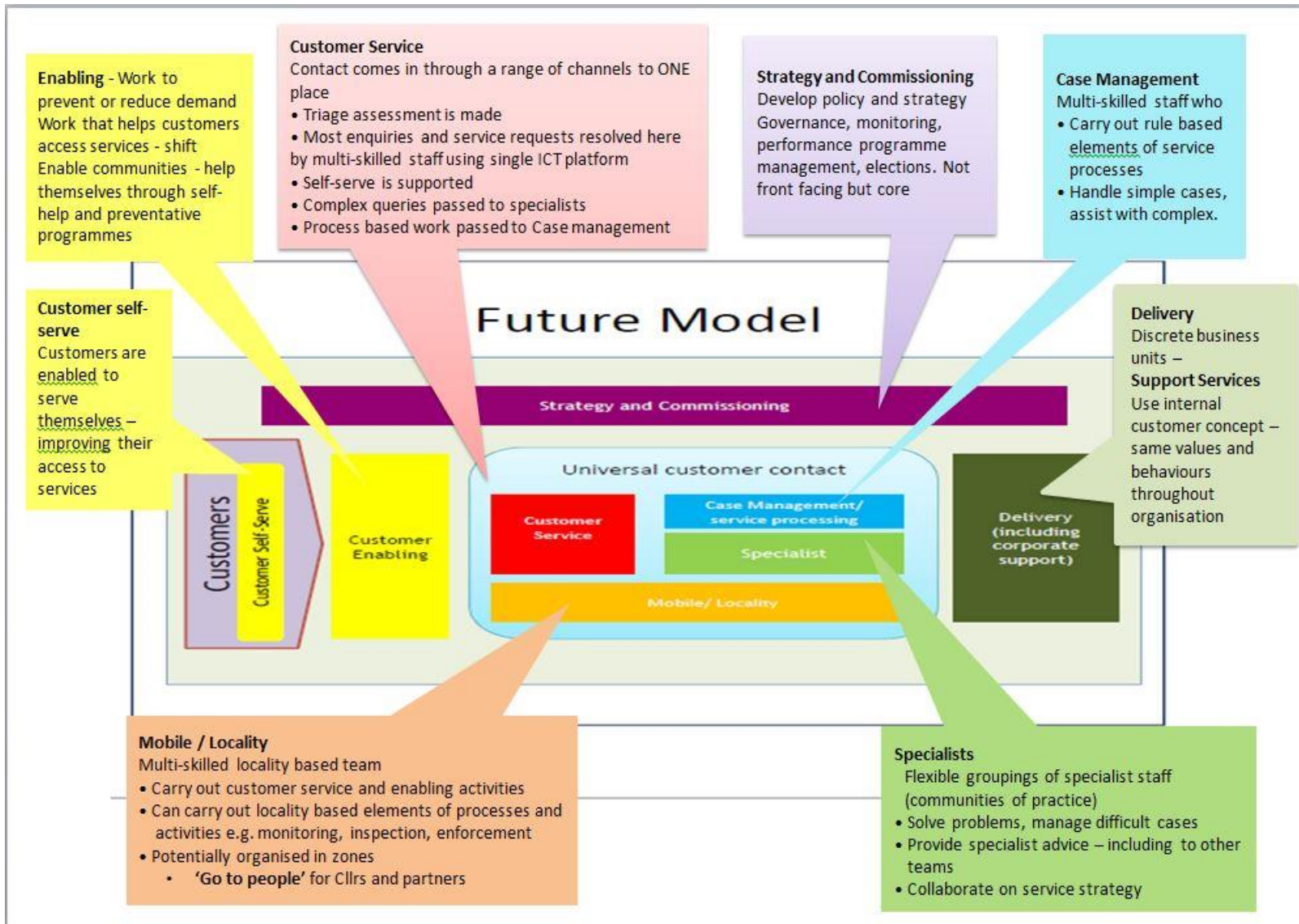
- A **refreshed technology platform** that provides end to end integration between a Customer Portal; Customer Contact Manager; Electronic Document Management; Workflow; Mobile solutions; GIS; and back office applications – all enabling smoother, shorter processes, self - serve and more efficient ways of working. Customers are not handled by multiple services around the Authority and insight and intelligence is shared to provide ‘a single view of the customer’.
- A new approach and culture that develops through the introduction of more **flexible ways of working**, resulting in liberated staff with greater autonomy to support customers and the opportunity to develop their skills.

More details of the redesigned organisational model, customer journeys and business processes, refreshed technology platform and flexible ways of working are provided in the next sections.

### **Future Model - A redesigned organisational model**

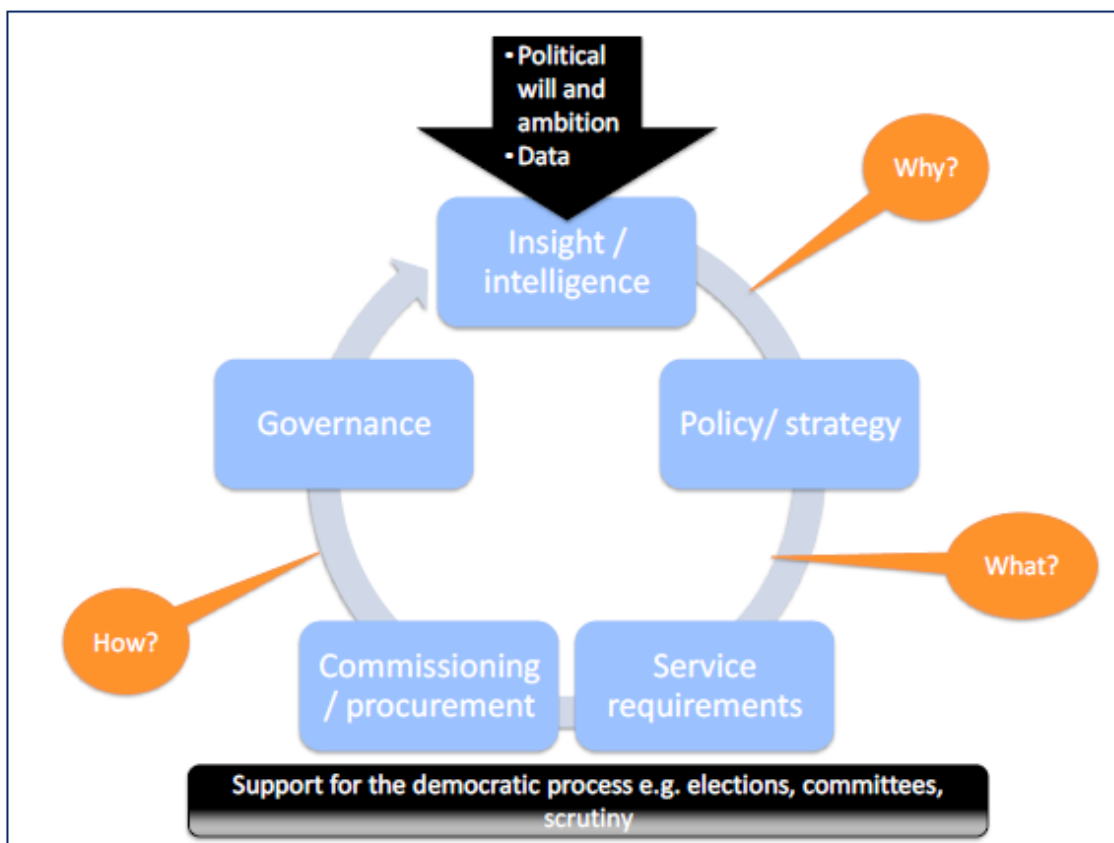
As shown on the diagram at the start of this section and in the more detailed diagram and text below, the Future Model design is made up of 3 main elements: –

- Strategy and Commissioning,
- Universal Customer Contact and
- **Delivery** (including support services).



## Strategy and Commissioning

The Future Model separates the commissioning core of the council from the delivery of its services. The principles of commissioning ensure that the focus of the council is on the outcomes it seeks to deliver and the impact these are making in the community. When designing its services, the commissioning council uses evidence to understand what its communities need.



Strategy and Commissioning is both the activity and resource to translate insight and ambition into the Council Plan and major strategies, **ensuring that the council remains unique, accountable and capable.**

Strategy and Commissioning (S&C) is a concept and an activity rather than a department or single team. There will be S&C roles in all service areas. S&C managers are likely to report to members of the senior management team, and will manage both other specialist staff in S&C roles and staff involved in 'delivery units'.

## Universal Customer Contact (UCC)

There are two main groups of customers for district council services: residents and businesses. There are different customer types within these groups e.g.: landlords, developers, licensees, tenants, business owners, householders. There are also numbers of individual customers with needs to access services in a particular way, or who require specialist services for their particular circumstances or characteristics.

Service users access services in different ways. Some can be encouraged to self-serve on line or draw on support from customer service staff only, whereas others may need to access the support of specialist staff more quickly.

The Future Model is designed to meet the differing – and changing - needs and preferences of customers.

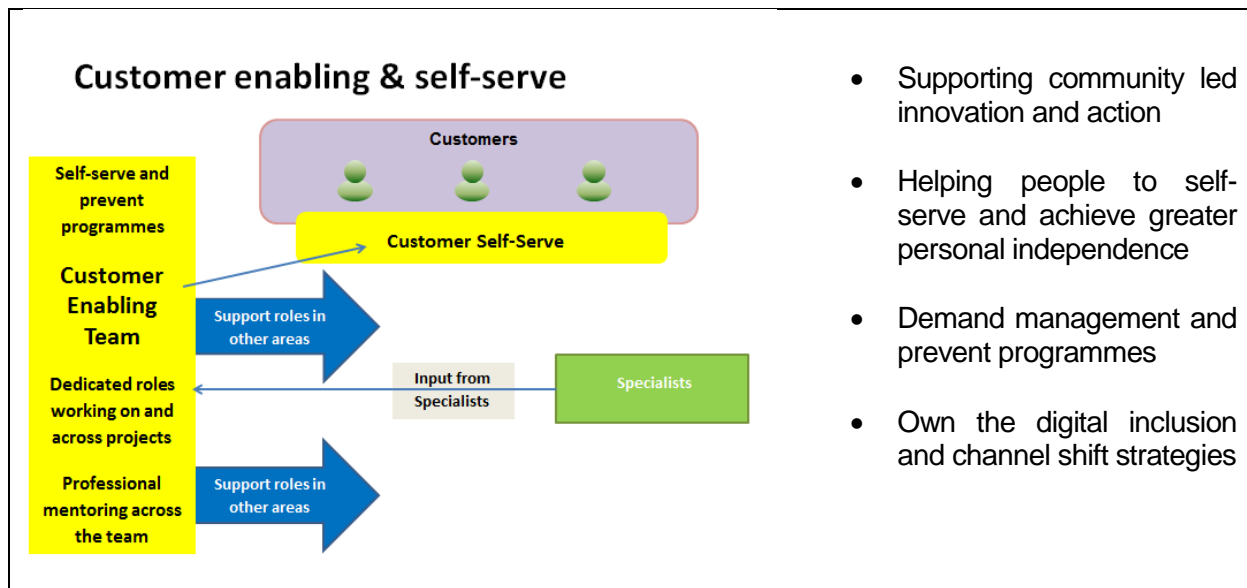
Universal Customer Contact (UCC) covers **all the activity associated with managing customer demand and performance, and providing services** – including: customer enabling, customer service, mobile and locality working, case management and specialist advice. UCC has a strong focus on resolving questions and issues (simple and complex) and scheduling specialist input when and where required. The overall purpose of this element is to provide smoother / shorter customer journeys with few if any hand offs between staff, fewer contacts between the council and customer and automation wherever possible.

The following sections cover

- Customer Enabling
- Customer Services
- Case management (business processing)
- Specialist advisors – operating in communities of practice
- Mobile / Locality workers

### Universal Customer Contact - Customer Enabling

Customer enabling is an activity or function in itself – it reflects the ethos of the Future Model – helping people help themselves - with the financial and satisfaction benefits that entails.

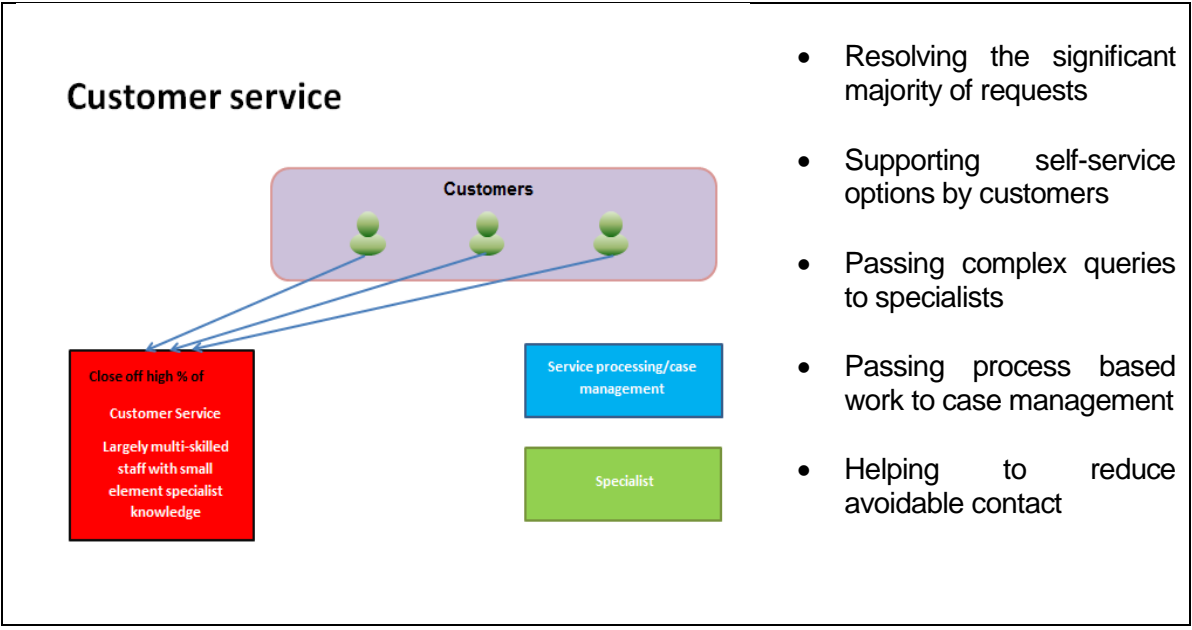


- Supporting community led innovation and action
- Helping people to self-serve and achieve greater personal independence
- Demand management and prevent programmes
- Own the digital inclusion and channel shift strategies

### Universal Customer Contact - Customer Services

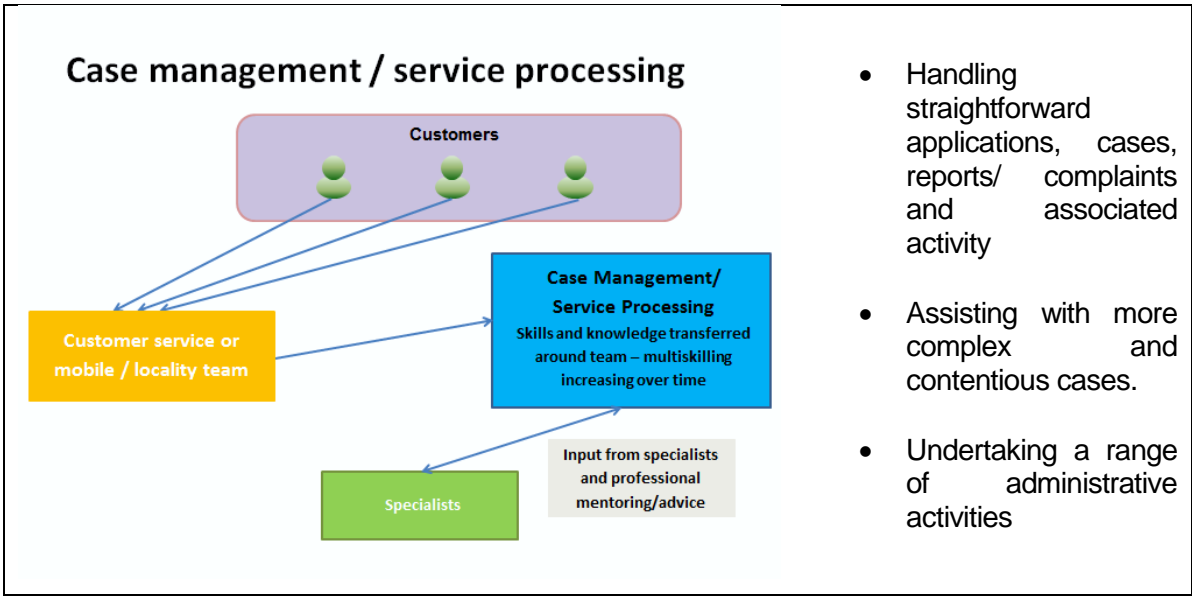
Customer Services are provided by a **multi-skilled customer service team**, with comprehensive knowledge of council services, using intelligent form design, access to single customer records, and work flow technology. Contact from customers comes in through a range of channels - face to face locations, by phone and internet and through social media.





**Universal Customer Contact - Case management (business processing)**

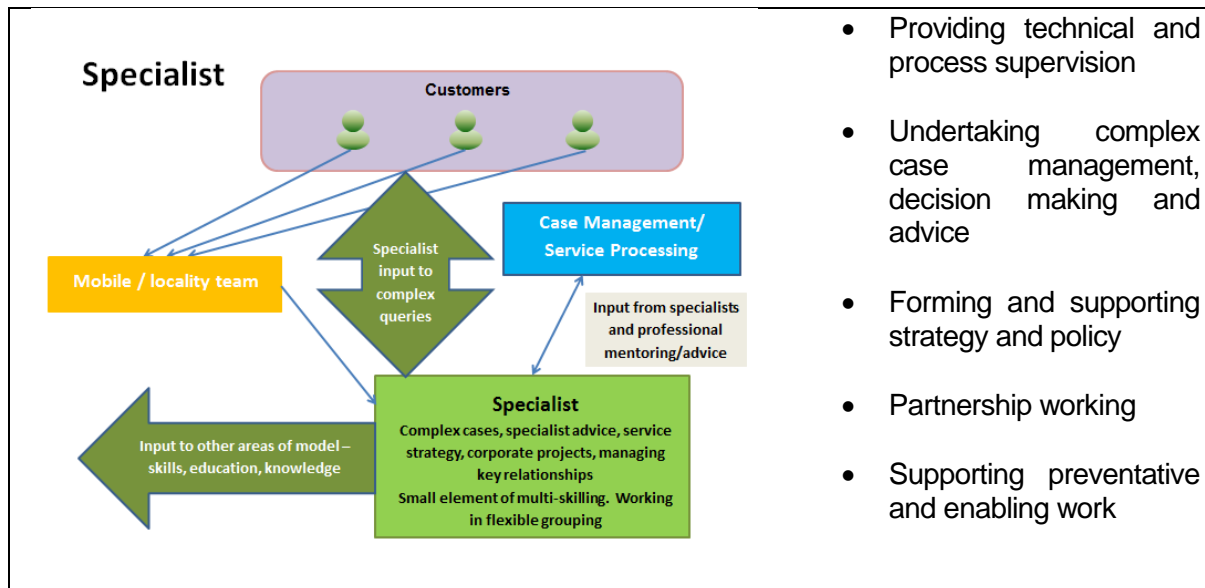
The focus here is on fast, technology enabled and customer focused service processing of cases, where an enquiry cannot be resolved at the first point of contact. During early phases of transition to the Future Model, case managers might focus on a particular business area but over a period of time the level of multi skilling would rise as knowledge and skills are transferred around the team.



**Universal Customer Contact - Specialist Advisors**

Specialist advisors are the professionally qualified staff that provide both technical and process expertise and complex case management and advice. A key principle of Future Model is the drawing on expert skills and knowledge only where appropriate. This means that systems of work must be designed so that specialists will focus on strategic and judgemental work rather than rules-based processing and case management.

Functions which are largely rules based or administrative in nature may not require specialist involvement other than when reviewing compliance or advising on the design of a particular workflow for a new national or local duty or policy.

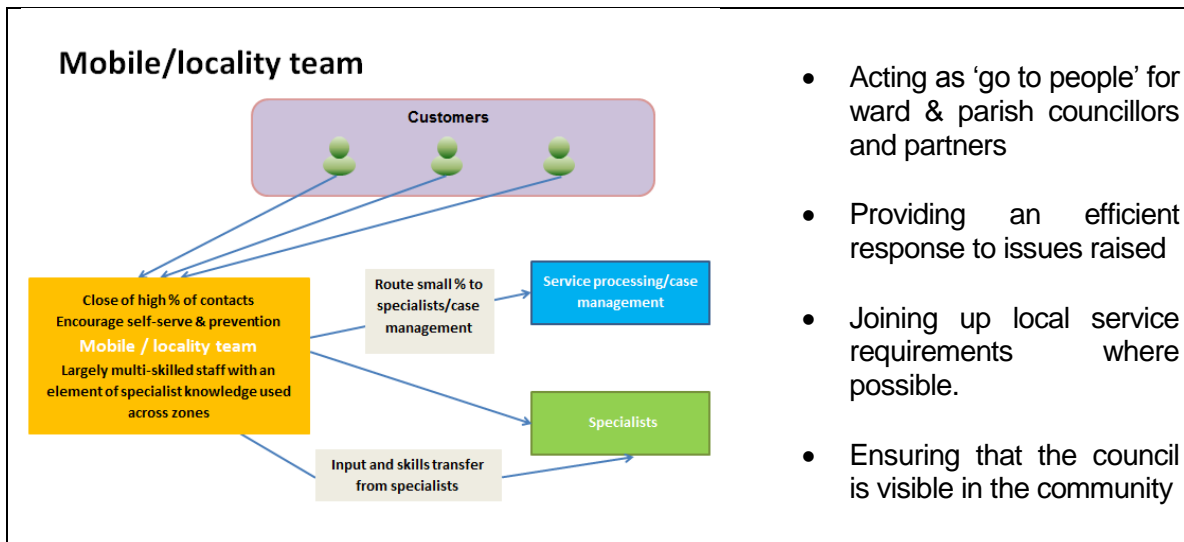


### Universal Customer Contact - Mobile / Locality

Mobile workers and Locality teams build up detailed knowledge of a local patch which leads to better commissioning of services and helps avoid duplication of work. The Mobile / Locality teams have key roles in helping the council achieve its objectives. One outcome would be to reduce the workload of specialists, saving both time and travel costs. Subject to careful assessment of the technical and administrative requirements of the task, staff broaden their skills and knowledge and make best use of technology to reduce (or even avoid) handling the paperwork 'back at the office'.

Mobile work would include a range of technical and 'public realm' services that require site visits for example pest control treatments, inspections (planned and reactive) of sites or premises, home visits to install a piece of equipment for independent living, or a site visit to put up public notices. Other examples may be a local choice to deliver a service through being mobile – for example home / business visits to make assessments, obtain information or provide advice.

Locality teams - there is clearly a comparison with the current operating practice of SSDC teams providing a responsive service to local issues and enabling or securing action on the ground with minimal referral, in partnership with local communities including town and parish councils. Using the same single platform as other elements within Universal Customer Contact, the local commissioning role would provide fast and responsive links to delivery services or to the mobile team (e.g.) to fix or install equipment. More complex issues such as investigating (e.g.) empty homes or environmental enforcement related actions would be handled using workflow in the case management system.



### Delivery (including Support Services)

The Delivery element of the Future Model will comprise several discrete business units, including Support Services. To meet the needs of the internal customer, Support Services are designed using the same values, principles and behaviours as for external customers.

The detailed design will be SSDC’s own choice. Services within the ‘delivery’ part of the model could include those retained in house or under third party management. This would allow discrete decisions to be taken in future without affecting the overall operating model

## 5 Future Model - Business Processes and Customer Journeys

Development of the technology platform (see section 6) to support the principles of the Future Model focuses on the creation of core process designs that ensure the customer request is resolved at the earliest point of contact, providing a better customer service, efficiency gains and opportunities for savings.

Working on service process redesign will allow SSDC to challenge who should be responsible for undertaking a piece of work within any given process, shift work towards the customer and triage roles wherever possible and ensure each stage of the customer journey is delivering the service in the most effective manner.

By enabling access to relevant data at the first point of contact (including via on-line self-help), the customer journey is as short and accurate as possible.

## 6 Future Model - The Transformation Technology Platform

A fully integrated technology platform is needed to support improvements in the following critical elements of Transformation:

- customer enabling
- customer self-serve
- single view of the customer
- automated workflow
- document management
- mobile solutions

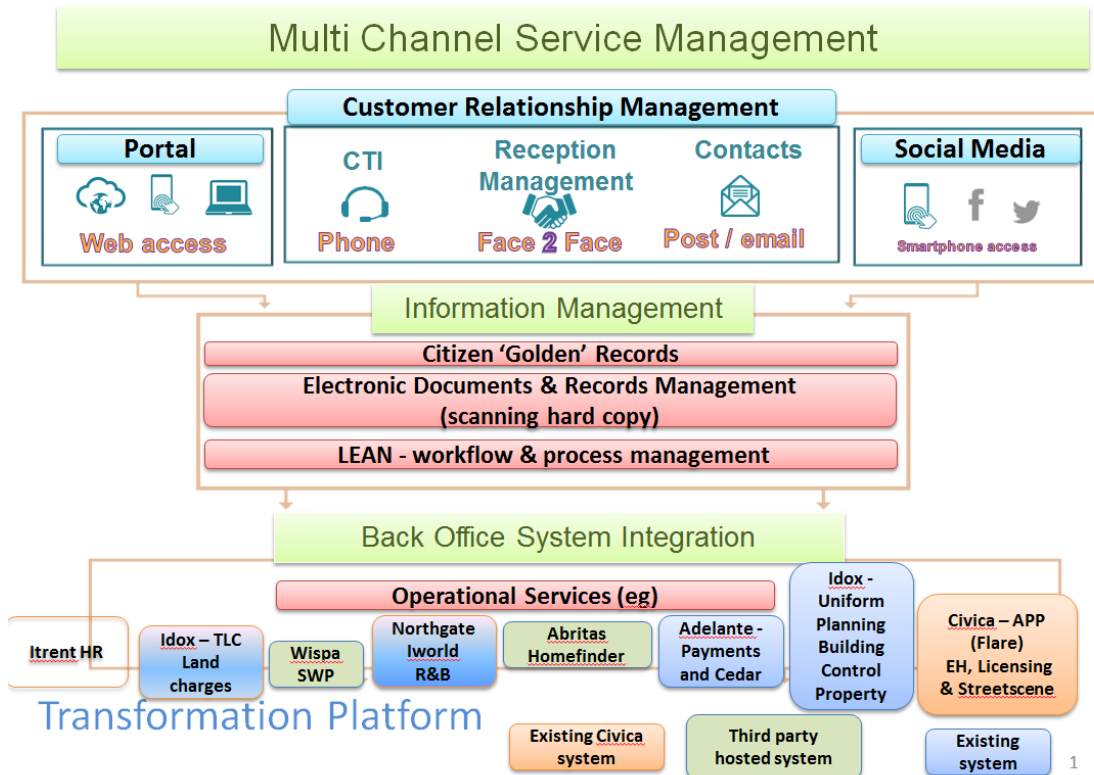
Key to a new technology platform is the single view of the customer through data integration between the CRM (customer relationship management system) and the 'back office' data processing systems. All information held about a customer can be seen together. This single view supports more streamlined customer journeys, with fewer handoffs / touch points and issues resolved faster. In addition:

- Customers will have a wider choice of channels, receive the same level of service and will be able to track progress on-line.
- Mobile / agile working is enabled by access to back office systems.
- The Council will be better positioned to meet increasing requirements for data sharing and transparency.

An integrated technology platform (as illustrated below) can support a single or multi-council service delivery. This can be evidenced at South Hams where a single platform will enable officers to answer calls for the two different Councils using the same systems.

The Transformation Platform can be designed to allow different back office systems to be integrated and could be retained or replaced in phases as and when required by the council.

To release the savings & efficiency opportunities identified by the Future Model analysis, an extended / developed technology platform is needed at SSSC. The illustration below shows how the different elements of the council's ICT system could link together, enabling an integrated flow of information to and from the customer.



## 7 Future Model - Flexible Ways of Working

The Future Model promotes innovation in working practices so that staff teams and individuals adapt to meet changes in customer demand.

Transformation aims for an organisation that is designed around the customer, staffed by people who are customer centric in behaviours and attitudes, who use slick and efficient business processes to deliver excellent customer service at lower cost

To deliver these changes, Future Model transformation focusses on;

- **Knowledge and skills.** Investing in the structured transfer of knowledge to enable customer self-serve and effective functioning of customer teams
- **New Future Model roles and structures, career pathways and progression.** Providing clarity about career development and pathway opportunities will become a crucial part of the Future Model and of developing and retaining staff
- **Culture, behaviours and ways of working.** Creating a culture of empowerment, performance management of staff, an open and honest approach, trust and respect, knowing when to ask for help and new approaches to team meetings and team support.

Selecting staff with the right customer centric attitudes, behaviours and willingness to embrace change, empowerment and innovation will make the future model work across all services. This can be achieved by allocating people to new roles through a mix of job matching, self-selection, internal or external recruitment.

## 8 Benefit Drivers

The section explains **how** the financial and other benefits of transformation are achieved.

Delivering service improvements and releasing savings is the main design challenge for a Transformation programme. Programme design and implementation will focus on the following drivers:

- Remodelling
- Demand management
- Channel shift
- Efficiency

### Remodelling

Including agile working, releases capacity in the organisation through the reallocation of work and better workforce practices and creates the bulk of the projected cost reductions through improving productivity. Higher paid specialist staff are focused on strategic and judgement based work rather than rules based processing and case management.

### Demand management

Demand management is about a deeper understanding of the causes of demand and how it may be reduced without lowering service standards. Examples include design of letters to help avoid visits or calls to clarify meaning or to give information, earlier interventions to prevent arrears and targeted work to increase payments by direct debit.

### Channel shift

Channel shift involves supporting customers to make more use of on-line digital services (self-serve) – which in turn are designed to suit customer preferences and expectations. It is well evidenced that the cost of transactions through a digital / on-line channel are significantly lower than those handled by phone, or face to face. Well-designed public services promote self-help and the empowerment of people – and promoting self-serve online is one aspect of that. The risks of digital exclusion must of course be properly understood and managed.

### Efficiency

Technology is used to support and enable the redesign of service delivery to achieve greater efficiency through reduced use of resources. Examples include reductions in duplication of work; speeding up processes through automation; automated services request allocation through workflows; supporting mobile and agile working; data sharing of information and faster access to customer intelligence.

## 9 Developing the Headline Business Case for an SSDC Future Model

The headline business case for a transformation programme provides an assessment of the potential costs and benefits.

In particular, the business case provides a proof of concept for a customer centric 'Future Model' for SSDC. The business case draws on the experience of local authorities that have successfully transformed their organisations with particular reference to Eastbourne Borough Council and South Hams & West Devon councils, where Future Model design proved to deliver the benefits the councils sought.

The headline business case is based on both a high level strategic review and at a more granular level review of a cross section of SSDC Services

A detailed review of a number of key processes and customer interactions was undertaken, using data supplied by SSDC to specifically identify opportunities for channel shift and technology enabled efficiency. The output from this work has been used to validate some of the assumptions in the high level review.

- A headline **assessment** helped identify the potential for reducing costs and delivering benefits by adopting a new operating model. The assessment reviews current methods and processes against a clear set of benchmarks. This headline assessment was established through a series of 'opportunity workshops' with service representatives in Autumn 2015.
- Using the current staffing structure (FTEs and costs) for SSDC, a **headline activity analysis** mapped current work activity by service type against the Future Model.
- **Analysis of potential efficiency gains** from automation used SSDC service data supplied by high volume contact services in March and Autumn 2015. This work helped to provide a more detailed analysis of high volume contact services, to compare with the overall findings of the council wide headline maturity assessment and activity analysis.
- Learning from representatives of service teams (drawn from the high volumes of contact services) helped to form a better understanding of current needs and opportunities for improved service delivery and customer engagement. Discussions considered the implementation of a new technology platform and promotion of a move towards digital by default (internal processing activities and by customers using services). A workshop specifically for the technical aspects of ICT including the Customers First system was also held.

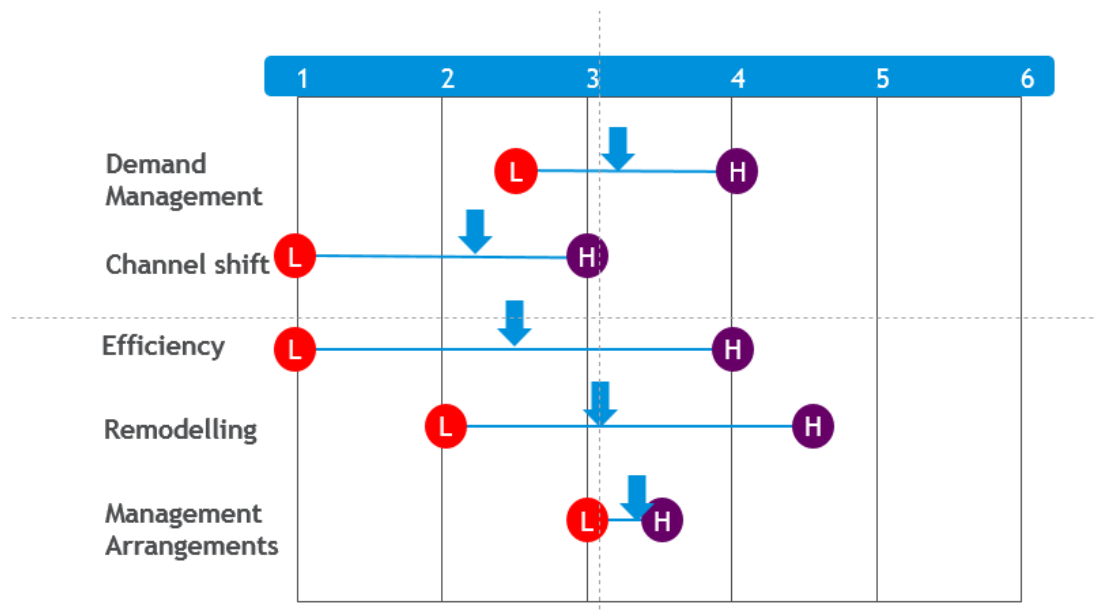
## 10 Aligning SSDC with the Future Model: headline financial impact

The summary output from the headline assessment for SSDC is shown below.

Benefit drivers that reflect the Council's opportunities were applied to the 'future modelled' activity, creating a potential FTE cost saving/benefit. This benefit can be realised as a financial saving through headcount reduction or can be reallocated to support the customer focused model. This approach would involve the full remodeling of the Councils structure supported by technology to enable the financial benefits to be realised.

### Summary Headline Assessment

Note. The arrows indicate SSDC's current position and help to illustrate the potential opportunities to gain the benefits from the Future Model.



The headline per annum impact of the Future Model at SSDC, set out below, reflects the significant savings that have already been achieved by SSDC from other service based re-design.

SSDC staff lists (FTEs and costs) were used to map work activity by service type that currently takes place against the Future Model activities.

Further refinement of this assessment will be part of the next phase of the programme – a detailed business case and blueprint for the new operating model. At this stage there are a number of assumptions made based on knowledge of other councils, including the type of activities undertaken within the council and the proportion of time spent on each activity. These would need to be tested further at a local level in a detailed business case.

If SSDC were to adopt an approach to transformation similar to Eastbourne and South Hams/West Devon councils, then the savings estimated below could be achieved. These are based on a new structure for SSDC supported and enabled by the implementation of a Transformation technology platform as described in section 6.

- The baseline staff cost in scope is £12.3M (367.7 FTEs).
- The potential annual financial saving is £2.0M (equating to 63.1 FTEs) following full implementation of the model (estimated to be a minimum of 18 months).
- This represents a saving of 16% (17% FTE reduction). This benefit could either be realised directly from a reduction in headcount **or** re-aligned to additional customer/community enabling activity, e.g. locality working initiatives, building self-serve capability or revenue generation activity.
- It is important to note that this level of saving (£2.0m) can only be achieved as a result of large scale remodelling of SSDC's organisational structure and staffing profile.



The tables below highlight the potential savings available by applying the headline assessments for each driver using the activity analysis. All drivers are interconnected and it would not be reasonable to consider savings projections in isolation.

Benefit Drivers							
FTE	Customer Enabling	Customer Self-Serve	Internal Modelling	Technology or Process Improvement	FTE to be	FTE Saving	% Saving
367.7	6.6	16.1	23.7	16.7	304.5	63.1	17%
% of savings	10%	26%	38%	26%			

Benefit Drivers							
FTE	Customer Enabling	Customer Self-Serve	Internal Modelling	Technology or Process Improvement	FTE to be	FTE Saving	% Saving
£12,323,116	£207,508	£429,303	£875,906	£494,069	£10,316,330	£2,006,787	16%
	10%	21%	44%	25%			

This high level analysis applies the FM assessment, principles of design and drivers of benefits using South Somerset data to show that:

- Reduced cost / reduced staffing requirement can be achieved by managing demand to reduce the level of service required by customers – enabling customers through better design of guidance and signposting services and support to do more for themselves.
- Further time (and cost) reductions can be created by ‘channel shift’ - supporting customers to self-service on-line and reducing council administrative workload and overheads in the process.
- There are efficiency gains from better use of technology to help process work such as designing out non-value adding activity (waste) and manual handling which can be automated from journeys and processes. The headline assessment for efficiency gains makes up 25% of the projected reduction in costs and FTE.
- Remodelling (including agile working) creates the bulk of savings through improving productivity and releasing capacity in the organisation through the reallocation of work, workforce optimisation and better workforce practices. This is achieved through the redesign of job roles and reframing the definition of a ‘specialist’. This allows for a shift of work and knowledge closer to the customer by embedding rule based ‘knowledge’ into processes and scripts and workflows, developing agile working and genuinely customer centric attitudes and behaviours. Remodelling represents 44% of the cost reduction as work is pushed closer to the customer away from higher paid staff. This allows specialists to focus on strategic and judgemental work rather than rules-based processing and case management.

## **11 SSDC Future Model - Customer, staff and Council related benefits**

In addition to the projected annual saving of £2M (and associated non-pay savings and income generation opportunities), a range of potential customer, staff and business related benefits are described below:

### **Customer related benefits:**

- Implementation of the change described in this business case will allow SSDC to have a single view of customers. This single view supports a number of benefits for the customer including more streamlined customer journeys, issues resolved more quickly and fewer hand offs/ touch points
- Greater resilience across services – protecting the front line
- A larger, integrated mobile/locality team highly visible across the community
- Customers will have a wider choice of channels (web (self-serve), phone, SMS, face to face) and will be able to track progress on queries
- Potential for faster processing of applications and cases.

### **Staff related benefits:**

- More flexible and empowered roles
- Senior staff able to focus on those areas that genuinely require their expertise.

### **Council related benefits:**

- Enhanced strategic capacity and capability to support the forward planning of the organisation and the delivery of outcomes through continuous feedback, innovation and improvement.
- The potential to enhance capacity and capability to manage and deliver key corporate projects and corporate plan outcomes.
- Enhanced capability for marketing and targeting of services – potential for income generation
- The benefits of joined up [digital] data (see below)

### **Joined up data benefits:**

The implementation of a Transformation Technology Platform will enable a smoother customer journey and will also improve the data journey by acting as the central information management tool, linking the customer and the various back office systems through systems integration.

- With all incoming and outgoing communication fed through the a digital platform SSDC would have a single system that links all its business specific back office systems, allowing for customer contact data, process information and key records to stored and viewed in one system.
- With each back office system being integrated to a Digital Platform, there is less risk of duplication of records. Records created in the back office system will also be created as a record using data synchronisation.
- Any updates or changes will be made in the back office system and will auto-update the system when next synchronised. Deep, two-way integration will also be delivered enabling further efficiency savings to be realised. With users working on communication and processes from a single Digital Platform, duplicate records will be easier to identify and manage.

- Better customer insight will be gained by utilising a central CRM and linking this contact record to each back office system. SSDC would have a single customer view across all service areas, providing better insight into the types of contact made by our customers and progress of any processes.
- Customer journey processes can either be initiated from CRM contacts and then the back office system updated as part of the process or the process started in the back office system with the record being created through the data synchronisation. Either way, the record (under the specific business application) becomes the central record for all SSDC.
- Better data quality/analysis. The process of obtaining customer data for analysis to support this business case was difficult. Volume data and type of enquiries for phone calls and face to face visits, post and emails across the council is not consistent even if recorded. A single platform facilitates the sharing and analysis of data for social and economic policy evaluation.
- The implementation of corporate EDM & Contact Management systems would provide SSDC with the ability to capture all this data, providing staff, service areas and senior management with a single source for all their reporting needs, including:
  - Process completion against set service level agreements
  - Real-time overviews of current workloads
  - Analysis of demand management
  - Identifying trends
  - Data on all methods of communication
- Sharing Data - Providing there are built in, adaptable integration points and robust system security, SSDC could enable external partner access to certain data and documentation as well as providing a system that could be easily be deployed by other Councils under a single operating platform.
- Transparency - In principle all data held and managed by local authorities should be made available unless there are specific exclusions (e.g. protecting vulnerable people or personal, commercial and operational considerations). The requirements of transparency and regulations such as the Freedom of Information Act can be met more efficiently with an integrated platform.

## **12 SSDC Future Model - Headline Costs and Return on Investment**

The overall cost including provision for the potential cost of redundancies is estimated to be within £4.7million. This includes the cost of the technology platform, the organisational change programme itself, and allowances for backfilling internal project team roles, a contingency sum and provision for the potential costs of redundancy.

The costs include capital and revenue spend. Software purchases and the implementation of that software can be financed through capital receipts.

The expected revenue costs are £3,388,000 including a provision for redundancy costs of £2,400,000. The provision for the associated costs of redundancy payments have been established by the HR manager and Assistant Director (Finance) using averages for the current workforce profile as a whole. A more detailed assessment will be developed during the lifetime of the programme. Workforce planning is a critical management strategy and given the consequences of a reduced budget the provision for redundancy is a financial risk of any alternative approach to addressing the budget deficit.

A fuller ICT assessment is already underway based on the indicative technology requirement. This will be completed to inform the programme board of the reviewed requirements specification and preferred procurement route. At this stage a provision of £100,000 to support third party systems integration has been included in the headline programme budget.

The headline costs do **not** include the costs of additional hardware / accommodation to support agile & mobile working. Provisions for additional hardware e.g. mobile (agile) working devices, or establishing / decommissioning accommodation may be required once a detailed blueprinting exercise has been completed. Existing budgets for a range of internal supplies and services may present an opportunity to realign budgets to the new ways of working.

The projected savings of £2m (set out in section 10) are also subject to how the Council decides to release the savings generated.

In assessing the conclusion of the headline business case, consideration should also be made for the additional undefined and / or indirect savings that would accrue as a result of the change including:

- Accommodation and other non-pay savings – supplies and services, travel etc.
- Income generation from new business areas, customer insight and web based marketing, made possible by the new operating model and technology platform
- Back office rationalisation (ie ICT systems)
- More effective collaboration with the voluntary sector, other public services and the private sector

Based on the anticipated financial costs and benefits of this headline business case the expected payback for the Transformation Programme is 2 years and 4 months from procurement.

### **13 Looking Ahead: Transformation Programme design and implementation**

Experience of implementing the Transformation Model at both Eastbourne and South Hams & West Devon Councils has produced a robust project approach – which involves a number of project work streams running simultaneously to deliver the change programme.

These will include:

- **Organisational Design and People** focussing on the management of change in the organisation. In particular this would include the definition of detailed role and people specifications, consultation, recruitment into roles, preparation for people in role – including training, cultural change and performance management. This work stream will also focus on the customer – engaging with customers in detailed design, the development of a portfolio of projects and interventions for enabling (demand management), channel shift strategy and management, and the engagement of community in change.
- **Technology** focussing on the detailed design of customer journeys and processes and the implementation of technology to support those journeys and processes. The business case is assuming that the organisation will use template prompts, diagnostics and processes as a basis for implementation. In this case the task will be to adapt these templates to the local needs with minimal modification. This may become a significant change management challenge.

- **Transition (Programme Management)** - focussing on the overall management of the programme and in particular on developing and maintaining the business case, the target Operating Model, the management of benefit delivery, transition management and communications. Any property related changes will be managed in this stream although it is expected that there will be a separate project to manage major changes in property and infrastructure.
- **Support Services establishing** the new requirements for corporate and support services, and aligning current systems to the new ways of working to support delivery and custom

## Appendix 1: Estimated Transformation Costs

The tables below shows a breakdown of estimated costs and savings, the timings are indicative and depend on procurement.

### Capital

Item	2016/17 £	2017/18 £	2018/19 £	2019/20 £	2020/21 £	Totals £
<b>Software, connectors, and implementation including programme team and backfilling</b>	303,250	606,500	303,250	-	-	<b>1,213,000</b>
<b>Contingency</b>	25,325	50,650	25,325			<b>101,300</b>
<b>Total Capital Costs</b>	<b>328,575</b>	<b>657,150</b>	<b>328,575</b>	<b>-</b>	<b>-</b>	<b>1,314,300</b>

### Ongoing Revenue

Item	2016/17 £	2017/18 £	2018/19 £	2019/20 £	2020/21 £	Totals £
<b>Ongoing costs e.g. support and maintenance</b>		59,975	59,975	59,975	59,975	<b>239,900</b>

### Once-Off Revenue

<b>Training, organisational change management consultancy, internal programme team and backfilling</b>	170,000	340,000	170,000			<b>680,000</b>
<b>Contingency</b>	17,000	34,000	17,000			<b>68,000</b>
<b>Once-off Programme Revenue Costs</b>	<b>187,000</b>	<b>374,000</b>	<b>187,000</b>	<b>-</b>	<b>-</b>	<b>748,000</b>
<b>Total Once-off and Ongoing Programme Costs</b>	<b>187,000</b>	<b>433,975</b>	<b>246,975</b>	<b>59,975</b>	<b>59,975</b>	<b>987,900</b>

<b>Allowance for redundancy costs (Note 2)</b>		1,200,000	1,200,000			<b>2,400,000</b>
<b>Total Once-off Revenue Costs</b>	<b>187,000</b>	<b>1,574,000</b>	<b>1,387,000</b>	<b>-</b>	<b>-</b>	<b>3,148,000</b>

<b>Total all Revenue Costs</b>	<b>187,000</b>	<b>1,633,975</b>	<b>1446,975</b>	<b>59,975</b>	<b>59,975</b>	<b>3,387,900</b>
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<b>Total Capital and Revenue Costs</b>	<b>515,575</b>	<b>2,291,125</b>	<b>1,775,550</b>	<b>59,975</b>	<b>59,975</b>	<b>4,702,200</b>
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<b>Salary Savings (Note3)</b>		<b>1,000,000</b>	<b>1,000,000</b>	<b>-</b>	<b>-</b>	<b>2,000,000</b>
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Note 1 – The headline business case does not include any alterations to Brympton Way

Note 2 – An allowance of £38,000 has been made for each redundancy. It is expected that there will be some natural turnover that will reduce this figure. However, it is important that sufficient funds are set aside to cover redundancy costs and avoid any in year adverse budget impact.

Note 3 – These figures have been cross referenced for reasonableness to the savings made by South Hams and West Devon Councils

# Agenda Item 8

## **District-wide Voluntary Sector Grants 2016/17**

<i>Executive Portfolio Holders:</i>	<i>Ric Pallister, Strategy and Policy Jo Roundell Greene, Environment and Economic Development Sylvia Seal, Leisure and Culture</i>
<i>Strategic Directors:</i>	<i>Rina Singh, Place &amp; Performance Vega Sturgess, Operations and Customer Focus</i>
<i>Assistant Directors:</i>	<i>Helen Rutter/Kim Close, Communities Martin Woods, Economy Steve Joel Health and Well-Being</i>
<i>Service Managers:</i>	<i>Helen Rutter, Communities Lynda Pincombe, Community Health and Leisure Manager Adam Burgan, Arts and Entertainment Manager</i>
<i>Lead Officers:</i>	<i>David Crisfield, Third Sector and Partnerships Co-ordinator Jo Morgan, Equalities Officer</i>
<i>Report contributors:</i>	<i>Stephen Barnes, Play &amp; Youth Facilities Officer Pauline Burr, Arts Development Officer</i>
<i>Contact Details:</i>	<i>David.crisfield@southsomerset.gov.uk or (01935) 462240</i>

### **Purpose of the Report**

This report seeks the approval of District Executive on the levels of funding for the following District-wide organisations seeking financial support from SSDC in 2016/17.

- Access for All
- Somerset Rural Youth Project
- Actiontrack Performance Company,
- Take Art
- Somerset Arts Week
- Somerset Film

### **Forward Plan**

This report appeared on the Executive Forward Plan for presentation in March 2016.

### **Public Interest**

SSDC supports a range of voluntary sector organisations via its Community Grants programme. This helps us to deliver Council services, as well as support groups working in local communities. Small or local groups applying for one-off funding apply to Area Committees; District-wide organisations are generally supported on a longer term basis via Service Level Agreements (SLAs) reporting to our District Executive.

### **Recommendations**

That District Executive:

1. approves the proposed funding for 2016/17, for the organisations numbered 3 to 5 in Table 1 below;
2. note that 2016/17 funding for Citizens Advice South Somerset and South Somerset Voluntary and Community Action were subject to separate reports following reviews commissioned by the Portfolio Holder. In both cases District Executive recommended a further 12 month funding at the 2015/16 level.



**Table 1**

<b>Description</b>	<b>What is it for</b>	<b>Budget for 2016/17 £</b>	<b>Budget Holder/Lead Officer</b>	<b>Funding recommended £</b>	
1) CAB Grants	SLA with Citizens Advice South Somerset	121,730	Kim Close	121,730	Previously agreed by District Exec 03/12/15
2) CVS Grants	SLA with South Somerset Voluntary and Community Action	74,260	Helen Rutter	74,260	Previously agreed by District Exec 04/02/15
3) Equalities & Diversity	SLA with Access for All	10,000	Jo Morgan	<b>9,000</b>	
4) Youth Development	SLA with Somerset Rural Youth Project	8,000	Rob Parr	<b>8,000</b>	
5) District Wide Health and Well-being grants	SLAs with <ul style="list-style-type: none"> <li>• Actiontrack Performance Company,</li> <li>• Take Art,</li> <li>• Somerset Art Works,</li> <li>• Somerset Film.</li> </ul>	20,150	Pauline Burr	2,000 10,500 3,500 2,000 <b>18,000</b>	
	<b>Total</b>	<b>230,990</b>		<b>35,000</b>	

## Background

Each year, SSDC supports a number of district-wide voluntary sector organisations through funding (via Service Level Agreements) and local one-off awards to support innovative projects. The award of the grants themselves is subject to direct approval by District Executive.

- All grants are considered using our adopted set of SSDC Community Grants Policies. For organisations to be eligible for funding they must be able to demonstrate how their work will help SSDC meet our Corporate Aims, as well as other relevant SSDC Strategies.
- Where we support organisations in the longer term and acknowledge they are delivering services on our behalf, we develop a Service Level Agreement (SLA), joining up with other funders wherever possible.
- SSDC is able to work closely in partnership with a range of voluntary sector organisations to ensure that services are delivered according to local needs, and that value for money is achieved.

## Overview of Voluntary Sector and Community grants 2014/15

This was reported to members at the District Executive meeting on the 2<sup>nd</sup> July 2015.

A report on grant spend in 2015/16 will be brought to District Executive in July 2016.

The community grants process is also subject to a programme of continuous improvement with further modifications made to the process and documentation, including the production of Officers' guidance notes, following a call in by Scrutiny Committee.

## **Performance Monitoring**

Each year, a monitoring and review process is carried out with each organisation on an SLA. Where possible, we work with voluntary organisations to develop a core set of performance indicators (PIs) and targets, showing how this link directly with our Corporate Plan, and other relevant service strategies

The Council works in partnership throughout the year with the organisations receiving support. Officers check compliance with any funding conditions and discuss any changes to planned work. Some organisations also have a Councillor serving on their board or Management Committee, and regular feedback is received. At least one formal annual monitoring meeting takes place during the year (normally 2). Feedback is gained from service users, other agencies, officers and members, which are considered in preparing this report.

2015/16 performance data for Access for All, Somerset Rural Youth Project and key Arts organisations is included within their respective reports.

As the 2016-17 Citizens Advice South Somerset and South Somerset Voluntary and Community Action funding have been subject to earlier reports (December 2015 and February 2016 respectively) the full year's performance monitoring will be reported later in the year. For the purposes of this report, therefore, the nine months outturn performance data (April to December 2015) can be found at Appendices A and B.

Since the appointment of a new manager, CASS has demonstrated significant improvement in its performance and development, as evidenced in the 9 month outturn report; particularly when comparing the 2015/16 quarter three performance against the equivalent quarter from 2014/15.

New outcomes and targets were set for SSVCA for 2015/16, some of which will not be achieved until 2016/17, which is reflected in the commentary in the monitoring report at Appendix B.

## **Other Funding**

Most organisations with which we have SLAs involve other funding bodies. Some are County-wide and include the other District Councils and the County Council. Where possible, the monitoring and review meeting/process is carried out collectively and the voluntary organisation is only asked to supply one set of statistics, which can be analysed by District.

## **The changing funding landscape**

VCSE organisations continue to operate in a challenging funding environment, particularly as a consequence of the continued squeeze on public sector finances.

For example the Local Government Association estimates that council budgets will fall by 6.7 per cent in real terms between 2015 and 2020, after funding reductions for local authorities of up to 40 per cent were made by the previous parliament.

Also central government preference for capital spending – which is mainly focused on

infrastructure – over revenue funding is having a disproportionate effect on some charities. Spending cuts mean that local authorities and government are also increasingly looking for contracts that cover larger areas or require less monitoring, in effect forcing small charities out of tendering processes.

In addition to maintaining area and district-wide grant programmes, SSDC work closely with organisations affected by funding pressures, helping them through the transitional period of becoming less dependent on grants and developing other business models, or applying to new funding streams.

Our funding of South Somerset Voluntary and Community Action's Voluntary Sector Support service is another way we support the sector through their provision of a funding advice service.

Some organisations do not need direct funding but we help them in other ways such as loan finance and financial advice or help with relocation to more suitable premises.

## **Reports**

The detailed reports supporting the requests for 2016/17 funding can be found in the following sections as follows:-

1. Access for All
2. Somerset Rural Youth project
3. Health and Wellbeing Grants - Strategic Arts organisations
  - a. Actiontrack
  - b. Take Art
  - c. Somerset Arts Week
  - d. Somerset Film

### **1. Access for All**

#### **Background**

Councillors approved a one year Service Level Agreement, (SLA) with Access For All 2015-2016. This was for £8,000 and has been subject to budgetary provision, and satisfactory fulfilment of the SLA, monitored through quarterly review meetings.

#### **Access For All Aims:**

Access For All works actively to improve access for all members of the community. Their aim, is to increase the social inclusion of disabled people with limited mobility and other impairments to enjoy equality of opportunity. Achieving the aims of the Charity and the needs of the community includes:

- Improving access to public buildings, public services, education, shops, leisure facilities and the countryside
- Working for accessible public transport, dropped kerbs, improved road crossings, appropriate parking spaces and ShopMobility
- Checking planning applications to ensure buildings are designed for inclusive living
- Providing Disability Awareness and Equalities training
- Provision of consultation to District and Town councils, NHS, Police, shops, businesses and other publicly funded charities
- Provision of support, advice, guidance and signposting to individuals, groups and partner organisations in relation to welfare reforms, disability and access issues

Following restructure and internal re-organisation, and with the continued involvement of new Trustees, volunteers and management, Access For All have focused their efforts on expanding their service provision and creating new funding opportunities. Access For All

have extended their bespoke Disability Awareness training, providing a service to taxi drivers, and have been invited by the Somerset Library service to set up a digital inclusion support initiative for 2016 – 2017.

### **Achievements for SSDC 2015 – 2016**

- Supported SSDC Officers in achieving compliance with the Equality Act 2010, and Part M Building Regulations.
- Provided regular reviews of Planning and Building Control applications for public compliance with BS3800. During 2015 - 2016, a total of 265 planning applications were assessed for public building compliance, with constructive comments sent to applicants and committees such as village halls.
- Sold Radar Keys and parking vouchers for Blue Badge holders from Access For All office, on behalf of SSDC (£200 of vouchers sold Feb 2015 - Feb 2016)
- Completed Access Reviews on 42 Village Halls, Recreation sites and community buildings (some for Town and Parish Councils). These Access Reviews have been particularly important in making significant access improvements to local venues and community resources across the district.
- In addition, Access for All have provided follow up reviews and support to village and community hall committees, for example, assisting Chilthorne Domer Recreation Club to obtain funding for accessible toilet and other accessibility improvements.
- Provided specific access advice to SSDC teams and services, including consultations on proposed projects
- Consultations – SSDC regularly consult with Access for All to help us to make service improvements. This also fulfils our statutory requirements under the Equality Act 2010.
- In association with SSDC Leisure service, Access for all have undertaken Access Reviews of 56 Health Walks and as a result have been involved in the creation of new, more accessible routes for people with disabilities, parent/carers, and users of prams/pushchairs/mobility scooters.
- Delivered specialist Disability Awareness training to staff at the Nine Springs Cafe – this has been particularly relevant as many of the service users have disabilities including mental health issues.
- Attended the Equality Steering Group and other related meetings
- Reported to SSDC on Welfare Benefit reforms and any impacts for people with disabilities e.g. 'bedroom tax'
- Co-ordinated the Aspirations and Challenges event.  
People with disabilities, service providers and campaigning groups gathered at an event organised by Access for All for SSDC to share experiences and ideas on making communities more inclusive.

### **Additional work 2015 - 2016**

**Easy Access Guide for People with Disabilities – Places to visit in South Somerset**  
Access for All took on some additional commissioned work in 2015, a one off project for SSDC, to co-ordinate the Easy Access Guide for people with Disabilities – Places to visit in South Somerset. The project aims to be completed by August 2016.

A guide for visitors with disabilities in South Somerset was originally produced over ten years ago. This comprised of access information that was self-assessed by businesses and attractions on completion of a questionnaire provided by SSDC Tourism. Although this information has been updated, it has continued to be on a self-assessment basis. As a result some details and information have been inaccurate and not met access requirements.

Consultation with Access for All, Shopmobility and a number of South Somerset Carer's groups has emphasized the importance of ensuring that any access guide for people with Disabilities must be independently reviewed rather than an individual self-assessment

carried out by the businesses concerned. This type of information will enable people with varying forms of disabilities, their friends, companions and relatives to make informed choices on which services and attractions to visit.

### **External work achievements 2015 - 2016**

- Access Review training for volunteers and other interested parties
- Expanding the number and skills sets of volunteers
- Quarterly newsletter produced
- Access for All Board, AGM and Extraordinary Meetings
- Disability Awareness training and information events:
  - Disability Awareness training to taxi drivers, as per SSDC's Hackney Carriage and Private Hire policy (this is new income generation for Access for All, costs are charged to taxi drivers and taxi companies)
  - Disability Awareness training for retail sales and service staff – workshops in Yeovil, Crewkerne and other Market Towns (funded by the South West Foundation)
  - Talks delivered to various groups such as Scouts, Guides, Brownies, Womens Institute, Carers groups and others
- Provision of consultation to District, Town and Parish Councils, NHS, Shops, businesses and other publicly funded charities
- Provision of support, advice, guidance and signposting to individuals, groups and partner organisations in relation to welfare reforms, disability and access issues
- Worked with students from Yeovil College to produce a video promoting shopping in Yeovil Town centre for people with disabilities
- Provision of Advocacy and mediation work
- Expanding and promoting Access for All service provision in West Dorset

### **Attendance at meetings**

- Equality Steering Group (quarterly meetings)
- Building Control (onsite and office based)
- Community Forum
- Independent Advisory Group (Avon and Somerset Police)

### **Looking forward 2016 - 2017**

Proposed areas of work for SSDC and partners to include:

- Completion of project work with Tourism, Leisure and Culture Teams
- Attendance at the Equality Steering Group
- Review of Planning and Building Control applications
- Consultation
- Disability Awareness training
- Sale of Radar Keys and parking vouchers for Blue Badge holders
- Access reviews and follow up of recreation spaces and community buildings
- Following the success of Aspirations and Challenges, to deliver another inclusive open focus group meeting, bringing together Disability groups from across the district with similar interests
- Work with the Economic Development team to put on workshops for businesses in the Tourism industry – 'Making the most of the 'Purple Pound'
- Digital inclusion and other work as part of the council's future transformation programme
- In association with partners, promote Safe Place scheme in Yeovil and the market towns, and produce a directory of participating venues for inclusion in SSDC tourist information/Access guide
- Work with village agents offering training and advice on disability issues
- Begin compilation of a list of free Wi-Fi sites in South Somerset market towns

## 2. Somerset Rural Youth Project

### Background

The Somerset Rural Youth Project (SRYP) is a voluntary youth work charity working with young people aged 11-25 in rural Somerset. Through this work they;

- Provide individual young people with advice and support
- Offer a wide range of volunteering opportunities
- Support young people's involvement in their community
- Provide access to and participation in positive activities

SRYP have a vision of a Somerset where rural young people feel a sense of belonging, a willingness to contribute and a future that is not limited by access to opportunities and services.

SSDC & SRYP signed a 1-year funding (value £8,000) and Service Level Agreement in 2015. The agreement sets out that SSDC and SRYP will work in partnership to provide additional services that will provide stimulating things to do and places to go, target those who are disadvantaged, encourage positive contributions and supporting choices for young people living in rural areas of South Somerset.

### Work in Communities

The following table provides a snapshot of the work SRYP have been undertaking in South Somerset communities during 2015-16.

Community	Activities	No. of Young People Involved in Organising / Partaking In	Partners
<b>Henstridge and Templecombe</b>	Supporting a group which led to planning and delivering a summer Youth Day	12	Local Volunteers
<b>Castle Cary</b>	Youth Music Project a music making programme	26	Local Volunteers
<b>Wincanton</b>	Planning and delivering a Youth Day	8	Wincanton Town Council, Local Volunteers, SSDC
<b>Abbey Manor (Yeovil)</b>	Planning and delivering a Youth Day	12	Brympton Parish Council, SSDC
<b>Yeovil, Castle Cary, Keinton Mandeville and Wincanton</b>	Participation Project – introduction to community involvement	169	Local youth groups

<b>District Wide</b>	Young People Not in Education, Employment or Training – Including Moped Loan Scheme	5	N/A
<b>District Wide</b>	National Citizen Service programme	45	Various from several communities

### Performance against 2015/16 SLA Targets

The following table sets out SRYP's performance against the targets set out in the 2015/16 SLA.

Annual Goal	PI/Measure	Target 2015/16	Performance to Date
To encourage young people to be involved in the development of youth initiatives within their communities	• No of communities involved	4	4
	• No of Young People involved	85	58
	• No of sustainable initiatives established	2	4
To produce action plans to address anti-social behaviour referrals	<ul style="list-style-type: none"> <li>• Level of anti-social behaviour prior to action plan</li> <li>• Level of anti-social behaviour after action plan introduced</li> </ul>	50% Reduction from start of intervention	Henstridge/Templecombe. SRYP was asked to intervene with a group of young people who had been identified by their head teacher as needing diversionary programmes. The group was engaged, and ultimately contributed to the planning of a Youth Day.
Increase young people's contribution to community regeneration projects in rural areas	<ul style="list-style-type: none"> <li>• No of young people actively involved in community projects increased by 1% per annum</li> </ul>	85	45 young people from South Somerset took part in the National Citizen Service programme. Participants were from Merriott, Ilminster, Yeovil, Martock, Marston Magna, Chard, Castle Cary, Chilthorne Domer, Stoke Sub Hamdon, Langport, Somerton and Barrington.
Increase the number of disadvantaged young people participating in leisure opportunities	<ul style="list-style-type: none"> <li>• No of young people taking part in diversionary activity schemes increased by 25%</li> </ul>	10	112 took part in a variety of projects from the following communities, Castle Cary, Henstridge, Yeovil, Babcary, Montacute, Keinton Mandeville, Wincanton, Chard, West Camel, Queen Camel, Somerton, Martock, South Petherton, Ilminster, Marston Magna, and Bruton.
Investigate and deliver 4 youth play days aimed at 13-19 age range possibly at Skate Parks	<ul style="list-style-type: none"> <li>• Delivery of 4 Youth Playdays in Summer Holidays 2015 in partnership with SSDC and others</li> </ul>	200	A minimum of 350 young people took part in Youth Days that were delivered in Henstridge, Brympton (Yeovil), Chard, Ilchester. Wincanton also funded their own event.

### 3. Health and Wellbeing – Arts Organisations

#### a) Actiontrack

##### Aims

Actiontrack works collaboratively to deliver opportunities for individuals and groups to access practical involvement in music, drama, dance and the visual arts. The organisation develops and delivers wholly accessible projects, predominantly with children and young people and often with marginalized groups.

The organisation operates from their office in Taunton Deane on an outreach basis to the county and beyond. Actiontrack is a charity that works on a full cost recovery basis from their projects and commissioned services. They are a delivery partner for Sound Foundation Somerset, the county's hub for music education. Actiontrack operates with a minimum number of permanent staff (1 f/t and 1p/t) and a number of freelance practitioners who are engaged as project funding become available. They encourage young and emerging practitioners to work with them, many of whom have advanced their careers as a result of this experience.

##### Organisational objectives for 2015/16

In addition to providing their core services, Actiontrack's work programme in South Somerset included:

- Project in partnership with The Octagon Theatre
- Continued PRU work with My Tunes project in partnership with Take Art.
- Added work alongside Targeted Youth Support
- Chard Summer Showbuild - we hope to develop a programme of taster workshops across the district to feed into this activity. We have also identified this project as a positive source for new Actiontrack trainees.
- Ashcott Primary Cluster arts project
- Continued Sound Foundation Somerset (Music Hub) work across the area through On The Record, Gamelan and The Sound We See Projects

##### Performance & Targets 2015/16

	Organisation Objectives	Measure	2014/15	2015/16
Participation	SLA related indicators/targets			
	Increase attendances to cultural events	Number of attendances in South Somerset	670	389
	Increase participation in cultural activities	Number of participations in South Somerset	480	861
Stronger Communities	Develop range of activities across the District	Number of projects delivered	4	6
	As above	Number of community locations	6	4



Participation	Organisation Objectives	Measure	2014/15	2015/16
Efficiency		Gross turnover	£141,000	£150,000
		SSDC funding	Core £1800 Project: £250	£2,000

### Outcomes for the Community 2015/16

- The Sound We See – Actiontrack worked with young people in the Chard area for a week long project devising and creating a multimedia show, during the summer holidays
- They have continued working in the Chard area, offering taster sessions to build interest and to test the appetite for future projects
- Working with children in Maiden Beech school, they have delivered music workshops using a Balinese gamelan
- Encouraging young people to engage in physical activity, they have delivered a number of static trapeze workshops in the Yeovil area
- They continue to work with the pupil referral units in Chard and Yeovil
- They are a delivery partner in a variety of targeted youth support initiatives with the young offending team
- Actiontrack continues to be a delivery partner for the Somerset Sound Foundation and offers drop in and support sessions at their base in Taunton.

### Development Plans 2016/17

In addition to their core services, the following projects are planned for the coming year:

- Continuation of their work with pupil referral units
- My Tunes
- Targeted youth support work
- Working with looked after children
- Chard Summer Showbuild
- Working with Somerset Sound Foundation, On the Record and World Music residencies
- Young people's performance master class at the Octagon

### b) Take Art

#### Aims:

Take Art is an arts development agency serving Somerset. It is a registered charity and a company limited by guarantee. Its purpose is to promote performance and participation in the arts in Somerset. Its arts development programme is delivered through its core services: -

- **Dance:** Take Art regularly works with dancers throughout Somerset to make workshops and dance classes happen; they enable regionally based dancers to join visiting companies when on tour in Somerset, and can negotiate work experience and professional placements for young and emerging dance artists.
- **Rural Touring:** This scheme forms a partnership with village hall promoters to bring high quality professional arts events to rural communities.
- **Early Years:** Early Years works collaboratively with colleagues locally, regionally and internationally to provide opportunities for under-fives and their families to enjoy

art experiences of the highest quality and enhance young children’s creativity and wellbeing. Take Art offers training and mentoring opportunities for artists and early years practitioners alike and have initiated ground-breaking research of national significance. Using the arts they develop the potential of small children in Somerset and encourage parents to be competent partners in their children’s play.

- **Theatre:** Take Art Theatre offers support, resources and opportunities to Somerset-based artists, practitioners and companies; young people and youth theatre companies; venues and programmers.
- **Music:** Take Art delivers a participatory programme of music activity with and for children and young people

Take Art is currently one of the Arts Council England’s National Portfolio organisations and therefore continues to receive core funding from them.

### Organisational objectives 2015/16:

In addition to their core services, Take Art has been working on the following in 2015/16:

- As part of their distinctive Take Art Live programme they have continued to work with rural communities to promote high quality shows in villages, aiming to deliver at least 22 performances a year in South Somerset
- Applied to Youth Music for 2 projects, a continuation with My Tunes (My Tunes 3) and the Pupil Referral Units in Somerset and working with Targeted Youth Support clients
- Take Art has continued to develop a participatory young people’s dance strand in partnership with the Octagon. They will be planning the development of a follow up project for the next 2 years
- Take Art has been developing further programmes of activity in South Somerset, looking to partner South Somerset based organisations, such as Ryalls Park GP Surgery in Yeovil and Yarlinton Housing Association etc to achieve this.

### Performance and Targets 2015/16

2015/16 targets and performance are in the following table:

	Organisation Objectives	Measure	2014/15	2015/16
	<b>SLA related indicators/targets</b>			
<b>Participation</b>	Increase attendances to cultural events	Number of attendances in South Somerset	InspirED – 674 Early Years – 122 Rural Touring – 1556 Dance – 124 <b>Total - 2476</b>	InspirED – 516 Rural Touring – 1800 Theatre - 15 Dance – 400 Early Years - 23 <b>Total - 2754</b>
	Increase participation in cultural activities	Number of participations in South Somerset	Word/Play – 95 Theatre – 10 Dance – 230 InspirED – 436 Early Years - 33 <b>Total - 825</b>	Theatre – 50 Dance – 947 InspirED – 276 Early years - 92 <b>Total - 1365</b>

<b>Equity</b>	Increase opportunities for children and young people to take part in cultural activities	Number of attendances by children and young people	InspirED – 614 Early Years – 75 Rural Touring – 83 Dance – 50 <b>Total 822</b>	InspirED – 506 Rural Touring – 80 Theatre - 30 Dance – 20 Early Years - 20 <b>Total - 656</b>
	As above	Number of participations by children and young people	Word/Play – 65 Dance – 246 InspirED – 436 <b>Total - 747</b>	Dance – 947 Theatre - 30 InspirED – 266 Early Years - 80 <b>Total - 1323</b>
	Increase opportunities for older people* to take part in cultural activities *(Defined as 50 +)	Number of attendances by older people	Early Years – 19 Rural Touring – 1080 Dance – 30 <b>Total - 1129</b>	Rural Touring – 1100 Theatre - 12 <b>Total - 1012</b>
	As above	Number of participations by older people	Word/Play – 12 <b>Total - 12</b>	Theatre - 10 <b>Total - 10</b>
<b>Stronger Communities</b>	Develop range of activities across the District	Number of projects delivered	<b>6</b>	<b>9</b>
	As above	Number of community locations	InspirED – 7 Early Years – 2 Rural Touring – 15 Dance – 7 Word/Play – 2 Theatre – 2 <b>Total - 35</b>	InspirED – 8 Rural Touring – 15 Theatre - 3 Dance – 5 Word/Play – finished Dec 14 Early Years - 1 <b>Total - 32</b>
<b>Efficiency</b>		Gross turnover	£460,000	£460,000
		SSDC funding	Core:£8,820	Core:£10,500 Project: £500

### Outcomes for the community 2015/16

- **Rural Touring:** by end of March 2016 the Take Art Rural Touring programme will have brought 22 shows to 14 different village halls across South Somerset, including; Bruton, Castle Cary, Chaffcombe, Charlton Horethorne, Chilthorne Domer, Clapton & Wayford, Compton Dundon, Crewkerne, Curry Mallet, Kingsdon, Ilminster, North Cadbury, South Petherton, Tintinhull and West Coker.
- **Word Play:** Following on from the success of **Word/Play** in South Somerset, Take Art has formed new partnerships with Yarlinton Housing Group and the Ryalls Park GP Surgery, Yeovil. The aim is to use spoken word to develop a new project around health and wellbeing for 2016/17.
- **Support to Performance Practitioners:** Take Art's Theatre Service continue to offer particular support to new emerging companies such as Wassail Theatre based in West Coker as well as established companies such as Boiling Kettle who now have a firm relationship with David Hall Arts Centre.
- **Tangle:** Tangle, SW African Caribbean Theatre Company now have their administrative base at the Take Art office. Take Art supported their Nov 15 and Jan 16 Navigational Global tour to Somerset schools which included workshops and

performances at West Chinnock and Norton Primary Schools as well as a pub in Crewkerne.

- **Diversity Workshop/Conversation:** Take Art invited Arts Council England to facilitate a 'conversation' for performance practitioners and arts organisations around diversity and equality in the arts in Somerset held at the Take Art office, South Petherton. A follow up session will be held during 2016/17.
- A research and development project for **youth theatres** with additional funding from SSDC has continued into 2015/16. Somerset based youth theatre groups were offered the chance to bring a short performance to share with their peers at a Showcase Event in May 2015 at The Warehouse Theatre, Ilminster. Four groups attended including North Cadbury, Octagon Youth Theatre and two Taunton based groups. The youth theatre leaders were offered places on training sessions to invigorate their practice, led by Nick Brace of Actiontrack at the David Hall Arts Centre. A further showcase is planned for summer 2016.
- **The Early Years' service** has focused its energy on fundraising for the new programme. The efforts have borne fruit and they have had major success with grants from the Paul Hamlyn Foundation, Youth Music and the Real Ideas Organisation.
- Take Art worked with the National Trust and Stoke Sub Hamdon's Castle Primary Early Years phase, offering 3 workshops in the setting with visual artist Caroline Barnes and a trip to the Long Gallery ([www.takeart.org/news/entry/the-national-trust-national-portrait-gallery-and-take-art-join-forces](http://www.takeart.org/news/entry/the-national-trust-national-portrait-gallery-and-take-art-join-forces) 20 children, 4 workshops)
- **Spring Forward Youth Dance Platform** will take place at the Octagon Theatre on 24<sup>th</sup> February with over 200 dancers taking part from across the South West (including South Somerset Groups - groups from Westfield School, Helen Laxton School of Dance, Dance Factory, Jump Start Boys group based at the Octagon, Somerset Youth Dance Company who are company in residence at the Octagon Theatre and two groups from Yeovil College).
- **Octagon Dance Development Project** – Take Art are continuing to work in partnership with the Octagon Theatre to support the next phase of their Grants for the Arts project to develop Dance at the venue. This included running a community dance event in July 2015, Big Dance Urban Jam which brought over 250 young people to the theatre to take part in urban dance activities. The project is developing audiences by taking dance into the local communities and has offered residencies and workshops so far with Motionhouse, Richard Alston, Twist and Pulse and Jasmin Vardimon. There is a steering group of young people from Yeovil who support the development and the running of the project and a project co-ordinator. Take Art are working on the next application with the Octagon, with an ambition for this phase two of the project to start in autumn 2016.
- **Urban Mini Jams** – small community dance events which took place at Birchfield community centre in Yeovil, Wincanton and Crewkerne. They were held in the lead up to the Big Dance event and were run by the steering group of young people. Flash mobs were also organised in Yeovil town centre.
- **Somerset Youth Dance Company** continue to be dance company in residence at the Octagon Theatre, the company has been selected to represent the county at the regional dance event run by Youth Dance England – U.Dance South West.

### **Development Plans 2016/17**

- As part of their distinctive Take Art Rural Touring programme they will continue working with rural communities to promote high quality shows in villages and aim to deliver at least 22 performances a year in South Somerset
- Take Art will develop their relationship with groups in South Somerset exploring further theatre opportunities to promote health and well being
- Take Art is working with Somerset County Council to identify weak spots in Early Years provision across the county and will be delivering professional development training to support the EY practitioner workforce.

- They will continue to offer professional development opportunities to theatre practitioners and companies living and working in South Somerset
- They will continue to develop their relationship with Tangle to offer further opportunities for diverse performances for South Somerset communities
- They will also continue to work with youth theatres in the district
- Through the InspirED project, schools across the district will be able to engage in Take Art's specialisms around dance, drama and creative work
- The KinderGardens Early Years performance programme will continue through 2016; they are planning KinderGardens performances with Yeovil College, Children's Centre and the Octagon, subject to the successful Strategic Touring Bid
- Spring Forward will take place at the Octagon Theatre again in March 2017 and Somerset Youth Dance Company will continue to be Dance Company in Residence at the theatre.
- Take Art will be working with the Octagon to put together a 2<sup>nd</sup> phase application to the Arts Council to further support the development of dance at the theatre, in Yeovil and throughout South Somerset.
- Take Art will be applying to the Arts Council England to continue its National Portfolio status for the period 2018-2021. This would mean they would receive core funding for the next 3 years beyond the current NPO period
- Jump Start Boys Dance company will be developed and will run in Yeovil.

### **c) Somerset Arts Week**

#### **Aims**

- To support local visual artists by developing opportunities for innovation and excellence
- Develop and extend the profile of SAW and the status of professional artists and makers in Somerset beyond the two week biennial event.
- Enhance the artistic and economic benefits to participating artists and communities.
- Increase public awareness and involvement with visual artists and makers living and working in Somerset.
- Strengthen SAW's educational and community role in Somerset.
- To provide accessible information, support, advice, education and training in partnership with those concerned with the arts in Somerset, through joint projects and networking.
- To input or influence local, regional and national policy forums concerning visual arts and open studios.

The annual Somerset Art Weeks event is funded largely through membership subscriptions, charges for participants and advertising. A small amount of our funding supports administration and overheads so that the small team can raise funds for specific projects and initiatives. The aim of the organisation is to develop opportunities for artists to work here in Somerset and for the community to experience high quality visual arts at a local level. The income for the organisation is raised from a number of sources e.g. County and District Councils, through own funds and managed initiatives, trusts, sponsorship, membership income, donations, Lottery Funds, Arts Council England, European Funds and Government Agencies. They also have a Friends group, who fund raise for specific, targeted areas of and commissioned work.

#### **Organisational objectives 2015/16**

In addition to their core services, plans for 2015/16 included:

- Somerset Art Weeks Exhibitions and Events Festival; 3<sup>rd</sup> to 18<sup>th</sup> October 2015
- Local Momentum projects including 'Gathering,' a community and craft project with the National Trust at their Stoke sub Hamdon Priory site

- 'Cranes and Communities' with the RSPB <http://www.thecompanyofcranes.net/schools/>
- A three year programme of arts activities at Yeovil Country Park, to encourage more people from different backgrounds to use the park
- The Craftivist Garden -a unique project that goes beyond seeing craft as a relaxing tool but exploring craft as an incredible tool to help us connect, challenge ourselves and help us grow and flourish in our lives. Participants from all around the UK are invited to knit, crochet and embroider flowers and take time to think about wellbeing. Flowers will form a collective garden in January in London.
- Following an enquiry from Curry Mallet primary school, SAW worked with Somerset schools in 2015 to celebrate the 800 year anniversary of the sealing of the Magna Carta. There was an opportunity for an artist to develop ideas and resources for schools to use in creating textile hanging panels for a celebration in June.

### Performance & Targets 2015/16

	Organisation Objectives	Measure	2014/15	2015/16
Participation	<b>SLA related indicators/targets</b>			
	Increase attendances to cultural events	Number of attendances in South Somerset	Open Studios visits 9,544 Hauser and Wirth guided visits - 80	Art Weeks Visitors <b>21,229</b> Projects <b>3,500</b>
	Increase participation in cultural activities	Number of participations in South Somerset	706	<b>1,174</b>
Equity	Increase opportunities for children and young people to take part in cultural activities	Number of attendances by children and young people	2% between 17 and 19 4% under 16	<b>1,053</b>
	As above	Number of participations by children and young people	Company of cranes + e-twinning 109 Some When 10	<b>3,500</b>
	Increase opportunities for older people* to take part in cultural activities *(Defined as 50 +)	Number of attendances by older people	42% between 50 and 64	<b>10,114</b>
	As above	Number of participations by older people		<b>121</b>
Stronger Communities	Develop range of activities across the District	Number of projects delivered	3	<b>8</b>
	As above	Number of community locations	4	<b>7 plus 44 Art Weeks venues</b>
Efficiency		Gross turnover	£143,658	£140,000
		SSDC funding	Core: £3,030	Core:£3,500 Project: £4,500

<b>Number of Venues Responding</b>	<b>25 (57%) (21 selling, 4 non-selling)</b>
<b>Total Number of Venues</b>	<b>44</b>
<b>Recorded Number of Visits</b>	<b>21,229</b>
<b>Total Projected Number of Visits</b>	<b>37,363</b>
<b>Recorded Sales</b>	<b>£62,505.00</b>
<b>Total Projected Sales</b>	<b>£95,245</b>
<b>Average Sales per Venue</b>	<b>£2,976</b>
<b>Average Number of Visits per Venue</b>	<b>849</b>

### **SAW 2015 – Somerset Exhibitions and Events Festival:**

The SAW Exhibitions and Events Festival took place between 3<sup>rd</sup> to 18th October 2015, attracting visitors into the county and generating sales for small, independent businesses and additional custom for local services. Data collected for in-direct spend at local facilities indicates that visitors spent on average £70.88. Using an Economic Event Impact calculator this translates across the whole county to a total of £3,408,262.00, contributing to the economy of Somerset during this two week period.

### **Outcomes for the community in 2015/16**

- **Momentum Project: ‘Gathering,’** SAW worked with nationally renowned arts organisation, Craftspace on a contemporary craft project with the National Trust at their Stoke sub Hamdon Priory site <http://somerstartworks.org.uk/what-we-do/projects/current-projects/gather-ing/> The project attracted regional TV coverage:
- A series of site specific commissions to be presented across Somerset during Somerset Art Weeks Festival 2015 (3rd to 18th October 2015), in any media, taking a different approach to the theme of ‘Momentum’, setting the work within different environments and communities of Somerset. In South Somerset **Simon Lee Dicker** took his lead from the physical processes involved in the production of twine and the social impact of the twine industry. Working with Dawes Twineworks in West Coker, Simon produced a series of work in responding to the factory’s heritage, history and the connection with the community in the area.
- **Alice Maddicott** created a Car Boot Museum which travelled to villages, towns, schools and markets across Somerset. Visitors were invited to contribute to the museum: write their own ideas and memories of the area and add them to the Car Boot Museum.
- **‘Cranes and Communities’** Somerset Art Works (SAW) and the RSPB have been working in partnership since 2010, SAW has developed a programme of community engagement projects inspired by cranes, to offer creative opportunities to local schools, groups and individuals to help raise awareness of this fascinating conservation. In 2015 SAW worked with the Huish Academy <http://somerstartworks.org.uk/what-we-do/projects/cranes-and-communities/>
- Year 1 of a 3 year programme of arts activities at Yeovil Country Park, to encourage more people from different backgrounds to use the park. Participants included Fairmead SEN School, Short breaks and RAISE families who worked with artist Deborah Westmancoat. The work was exhibited in the Octagon Gallery during art weeks. <http://somerstartworks.org.uk/what-we-do/projects/current-projects/water-meadow-wood/>
- Clients at the Balsam Centre took part in **The Craftivist Garden** -a unique project that goes beyond seeing craft as a relaxing tool but exploring craft as an incredible tool to help us connect, challenge ourselves and help us grow and flourish in our lives. Participants from all around the UK are invited to knit, crochet and embroider flowers and take time to think about wellbeing. <http://somerstartworks.org.uk/what-we-do/projects/current-projects/craftivist-garden/>

- Following an enquiry from Curry Mallet primary school, SAW worked with 7 South Somerset schools to celebrate the 800 year anniversary of the **Magna Carta**. This was an opportunity for a local artist to develop ideas and resources for schools to use in creating textile hanging panels for a celebration in June. <http://somersetartworks.org.uk/2015/06/colourful-celebrations/>

### **Development Plans 2015/16 (*Future projects in South Somerset or countywide*)**

- In the year ahead we will deliver Somerset Open Studios: 17 September – 2 October 2016
- with associated training and bursary opportunities for Artists and Makers.
- Touring pop-up studio to Schools and local venues
- Herbarium a contemporary craft exhibition with the National Trust at Lytes Cary associated business development for local makers
- Water- Meadow Wood Year 2 of a 3 year programme of arts activities at Yeovil Country Park,
- Education offer InspirED subscribers in South Somerset including
- Development of Cultural offer to schools /communities/ local museums ie Chard with Somerset Heritage Trust
- Plans for Festival Year 2017
- Cranes and Communities @ Langport festival and other events
- Place making and other consultations with Langport Town Trust

### **d) Somerset Film**

#### **Aims**

The Engine Room is Somerset's accessible community media centre and the base for the services of registered charity Somerset Film Ltd. From the Engine Room, Somerset Film supports digital media production and training for both the amateur and professional sectors. They offer a programme of outreach projects that encourage the use of digital media to all sectors of the community and provide learning opportunities through schools based projects, apprenticeship schemes and training for all abilities.

#### **Core activities include:**

- Drop-in access to equipment, on line resources and training
- Production and training opportunities and facilities
- Advice, support and information to a wide range of film and digital media makers, from absolute beginners to high level professionals
- Project and outreach work – specialising in working with community groups and individuals who want to get started with film

#### **Organisational objectives for 2015/16:**

In addition to their core services, the following were proposed for the year 2015/16:

- Ignite Roadshow, Chard –a weeklong ideas lab with artists, leading to projections on a public building
- Sound We See – Super8 film project with Los Angeles based Echo Park Film Centre to create a celluloid portrait of Somerset
- Pop-Up Engine Room – delivery of week of activities usually available at their Bridgwater-base to a South Somerset location e.g. community setting or an empty shop
- InspirED - an education service for schools, supported by the Somerset Compact for Children and Young People, based on subscriptions and for which Somerset Film is the lead organisation.



- Expansion of premises at The Engine Room with wider provision including training room and people's archive

### Performance & Targets 2015/16

	Organisation Objectives	Measure	2014/15	2015/16
Participation	SLA related indicators/targets			
	Increase attendances to cultural events	Number of attendances in South Somerset	965	6,000
	Increase participation in cultural activities	Number of participations in South Somerset	312	646
Stronger Communities	Develop range of activities across the District	Number of projects delivered	6	8
	As above	Number of community locations	6	9
Efficiency		Gross turnover	£455,868	£300,000
		SSDC funding	Core £1,500 Project £1,000	£2,000

### Outcomes for the community 2015/16

SSDC's core funding ensures that Somerset Film provides support for local community groups and individuals, in the past year this has included:

- Ignite Somerset- digital support workshops in Langport and workshops with home educated children in which they created images for projection
- InspirED Somerset- creative careers support and digital workshops for teachers
- Sound We See – a community arts project using super 8mm film
- Chard carnival- a collaboration with artists to create a walking entry for the carnival using digital technologies
- South Petherton – consultation film for the parish council
- Offered work experience placement to a South Somerset student which resulted in a project for Somerset Art Weeks event
- JUMPcuts – working with Fiveways Resource Centre, Somerset Film created "Adrian's Story," a healthy living instruction film for people with learning disabilities

### Development Plans 2016/17

In addition to their core services, the following projects are planned for the coming year.

- Continuation of Ignite 2.0 – second year of a three year programme
- Pop-up Engine Room – delivery of a week of the kind of activities that are usually available at the Bridgwater base. These will be brought to a South Somerset location e.g. a community setting or empty shop.
- InspirED – the education service for schools, supported by the Somerset Compact for Children and Young People. Schools pay a subscription for this service, delivered in partnership with three other arts organisations.

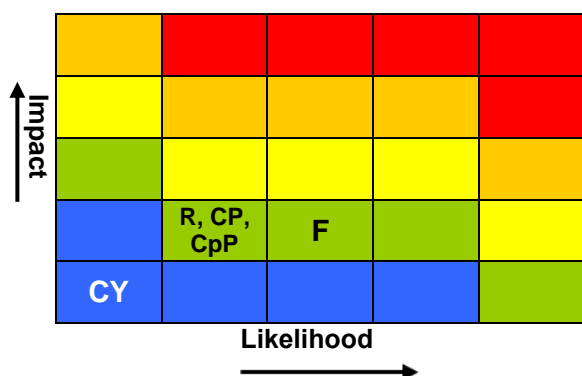
- BFI Film Academy - a programme of masterclasses, screenings and film-making for 16- 19 year olds that offers bursary and travel support.

## Financial Implications

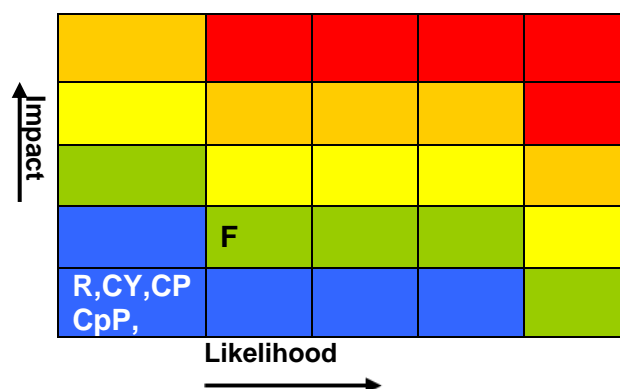
All recommended allocations are in the planned service budgets for 2016/17;

## Risk Matrix

Risk Profile before officer recommendations



Risk Profile after officer recommendations



### Key

Categories	Colours (for further detail please refer to Risk management strategy)
R = Reputation	Red = High impact and high probability
CpP = Corporate Plan Priorities	Orange = Major impact and major probability
CP = Community Priorities	Yellow = Moderate impact and moderate probability
CY = Capacity	Green = Minor impact and minor probability
F = Financial	Blue = Insignificant impact and insignificant probability

## Council Plan Implications

All organisations are assessed in light of the Council's Corporate Aims. Our Community Grants programme most significantly supports the following Corporate Aims:

- Environment
- Health & Communities

In addition the work of the arts organisations supports the priority area of:

- Jobs

The work of Access for All contributes to the council's Equality Objectives and Action Plan:

The Equality Objectives (2012 -2016) are required as a **specific duty** under the Equality Act 2010. They set out how we will deliver and achieve our equality aims through key tasks in our action plan.

- **Equality Objective 1** Equality is at the heart of our decision making process
- E.1.01 - When we make decisions that are likely to affect people we will assess the impact on equalities
- E.1.03 Use equality information to support the assessment of local needs and priorities; in particular The Armed Forces, Carers, Black and Minority Ethnic (BME), People with Learning Disabilities, Sight Loss, Deaf community

- E.1.09 - We will work with partners to try and minimise the impact to our residents of the proposed major changes to housing and council tax benefits
- **Equality Objective 2** Accessibility - deliver services that meet the needs of the community
- E.2.01 - Carry out access reviews on local village and community halls, polling stations, SSDC car parks, play and recreation areas;
- E.2.03 - We will ensure that customer's access needs are considered at the first point of contact
- E.2.04 - We will ensure that the General Equality Duty is incorporated into the annual reviews of all partnerships
- E.2.05 - Consider equalities in every Service Level Agreement and Grant Assessment
- E.2.06 Work with, and lobby partners to help communities to develop transport schemes and local solutions to reduce rural isolation and inequalities to meet existing needs of those communities
- **Equality Objective 3** - We want communities that are healthy, self-reliant, and have individuals who are willing to help each other
- E.3.01 – Work to the strengths of our niche tourism market to increase the volume and value of tourism in South Somerset. Working with multi-agencies, market the wider incentives –cultural, tourism/leisure, family related etc (**Economic Development Strategy 2012 – 2015 Strategic Action 1.2**)

## **Carbon Emissions and Climate Change Implications**

A number of the organisations supported will contribute to the relevant climate change targets in our Corporate Plan – included in each Appendix.

## **Equality and Diversity Implications**

Working with the voluntary sector is one of the Council's means of providing services to hard to reach groups and engaging with communities who otherwise find it hard to access public services. Supporting the VCS increases community engagement and participation. All groups supported by SSDC are required to have an Equalities Policy.

Supporting 'Access For All' helps to increase community engagement and participation and ensure compliance with our Public Sector Equality Duty under the Equality Act 2010.

Equality Analyses have been completed and have indicated a negative impact should the grants not be agreed. The providers all deliver these unique services, as SSDC is unable to do so.

## **Privacy Impact Assessment**

None in relation to this report

## **Background Papers**

SSVCA DX report 4th Feb 2016

CASS DX report 3rd December 2015

Corporate Grants 2014 – 2015 DX report 2nd July 2015

Case files, monitoring reports and paperwork submitted by funded organisations

## Citizens Advice South Somerset

The following tables set out CASS's performance for the first three quarters of 2015/16 with the Quarter 3 comparison figures from 2014/15.

### Standard County Wide Reporting

General Service	2015/16			
	Q1	Q2	Q3	Q3 14/15
Number of clients helped	1042	1159	1227	996
Number of gateways	879	932	877	943
Number of new enquiries	263	368	444	260
Number of activities	3337	4280	5377	3082
Number of issues	1897	4934	3312	1919
<b>Issues by advice area</b>				
Benefits	625	777	1099	564
Consumer	77	115	122	77
Debt	437	729	778	635
Discrimination	2	10	27	4
Education	7	12	7	10
Employment	175	296	306	143
Financial services and capability	54	100	134	19
Health and community care	16	19	49	22
Housing	172	247	259	136
Immigration and asylum	20	14	11	5
Legal	98	90	120	87
Other		12	32	24
Relationships and family	17	203	265	164
Tax	146	20	28	20
Travel and transport	29	14	22	6
Utilities and communications	8	48	53	3
<b>Number of new debt enquiries:</b>	<b>169</b>	<b>191</b>	<b>220</b>	
Advice	37	55	69	66

Casework	41	69	77	18
<b>Number of new benefit enquiries</b>	<b>335</b>	<b>354</b>	<b>449</b>	
Advice	123	130	162	98
Casework	8	19	48	4
<b>Number of new employment enquiries</b>	<b>107</b>	<b>139</b>	<b>129</b>	
Advice	24	36	52	18
Casework	0	2	0	-
<b>Outcomes</b>				
Amount of annualised benefit				5,413
Amount of debts written off (excludes DRO and bankruptcy)	2,500	6,235	622	49,634
Amount of Employment gains				
<b>Number of clients assisted by outreach</b>				
Crewkerne	21	14	16	17
Chard	38	25	37	32
Wincanton	20	10	30	9
Ilminster	19	14	18	11
<b>Gateways by advice channel</b>				
In person	383	377	391	420
Telephone	<del>535</del> 412	475	416	417
Letter/fax	4	2	4	-
Email	80	78	66	106
<b>Clients by South Somerset Area</b>				
Area North	98	83	101	107
Area East	101	102	108	132
Area South	350	451	436	388
Area West	185	184	200	179
<b>Social policy</b>				
Number of evidence forms	18	42	28	69
Number of other activities				-
<b>Resources</b>				
Core staff FTE	6.6	6.6	6.6	6.5
Number of volunteers	36	41	45	24
<b>Feedback from clients</b>				
% Overall satisfaction with service	93	97%	See note	*
% Would use the service again	100	99%	See note	*

## Client satisfaction survey and data will be available in Q4

Projects	2015/16			
	Q1	Q2	Q3	Q3 14/15
<b>Additional services and projects</b>				
Amount of project income (£)	125,379	76,315	30,299	-
Amount of new income achieved	41,625	50,370	3,335	-
FTE Project Staff	10.2	9.2	9.2	9
<b>Number of clients assisted through projects*</b>				
Macmillan	321	305	215	297
Yarlington	99	35	35	108
Advice service transition fund	243	437	214	132

\*Please note that the clients assisted by project are rolling totals in any quarter, the total for the year represent the whole total of clients for the year factoring out clients that were helped over 2 or more quarters of the project.

## South Somerset District Council reporting

Home visiting	2015/16			
	Q1	Q2	Q3	Q3 14/15
Number of general service visits	15	4	11	1
Number of Macmillan visits	119	114	76	88
Number of clients/families supported	111	103	81	88
Total Number of visits	134	118	87	89
<b>Visits by district area</b>				
Area North	17	28	7	12
Area East	28	8	9	10
Area South	33	37	32	28
Area West	31	28	16	16
Other area	25	17	23	29
<b>Visits by advice area</b>				
Welfare Benefits	119	115	81	89
Debt	10	3	3	-
Both Welfare benefits and debt			-	-
Other	5		3	-
<b>Reason for home visit</b>				
Physical health		116	84	89
Mental health		1	1	-
Both physical and mental health	Yes			-
Restricted mobility				-
Other (young family and poverty)		1	2	-

## Outcomes

Reporting range of outcomes for clients – both in terms of number of clients and financial outcomes for clients – examples below.

Outcome	2015/16			
	Q1	Q2	Q3	Q3 14/15
Bankruptcy	3 £74,817	2 £32,607 1 IVA £50,000	£41,280	
Benefit / tax credit gain - a new award or increase	206 £612,143	2 £2,027	1 £7,267	162
Benefit / tax credit gain - award or increase following revision or appeal	38 £83,493			14
Benefit / tax credit gain - Money put back into payment				1
Benefit / tax credit gain - overpayment reduced or not recovered				1
Bailiff's action stopped/suspended/prevented	1	1		9
collection action stopped/suspended/prevented	3			-
Court or committal proceedings avoided/suspended				-
Debt write off , relief order	2 £2,500 DRO 2 £11,145	3 £6,235 DRO 4 £42,183	DRO £33,931 WO £622	9
Debts repaid	6	1		4
DMP - debt management plan	24 £6,612	25 £11,427	18 £16,527	28
Enforcement action avoided/suspended		3		3
Financial gain		156 £627,621	2 £2,888	1
Financial situation stabilised / debts under control				-
Improved health / capacity to manage				-
Not liable for debt				-
Utilities disconnection stopped				1
Repayment negotiated	23 £8,587	6 £3,355	5 £156	66
Token payments	19 £312	4 £168	6 £108	37
Other financial gain		£80		1

## Signpost and Referral

South Somerset CAB both signpost and refer clients to other agencies, the majority clients are signposted, this means as part of the information and advice they have received, it has been recommended to them that they consider going to another organisation for information or advice or to progress their issue. A smaller percentage of clients are actively referred, this is a more direct approach that we make on behalf of the client to an organisation to progress their issue.

Referral/Signpost	2015/16			
	Q1	Q2	Q3	Q3 14/15
<b>Out of CAB to:</b>				
Another local voluntary sector advice provider e.g. Age UK Somerset		16	21	8
Another national voluntary sector advice provider e.g. National DV Helpline	3	9	10	
Advocacy or mediation agency such as ACAS		1	1	2
Government agency such as HMRC or Job Centre plus			2	
SSDC – Housing		1		1
SSDC – Welfare benefits team				9
SSDC – Other		2		
SCC – Adult Social Care				1
SCC - other				
Yarlington Housing Association	1			
Housing Association - Other	1			
Private Solicitors Firm	8	5	2	
Other agency such as GP or other health service	4	1 accountants	1 Immigration	1
<b>Into the CAB from:</b>				
Another local voluntary sector advice provider e.g. Age UK Somerset	7		31	2
Another national voluntary sector advice provider e.g. National DV Helpline			4	
Advocacy or mediation agency such as ACAS		2		2
Government agency such as HMRC or Job Centre plus	3	3		3
SSDC – Housing	8	3	4	2
SSDC – Welfare benefits team	1	2	8	2
SSDC – Other			3	
SCC – Adult Social Care	1			
SCC - other		3		
Yarlington Housing Association	15	15	30	9
Housing Association - Other	1			1



Private Solicitors Firm				
Other agency such as GP or other health service	2	17	12	
MP			1	2

South Somerset CAB has a new Business and Development plan in place from April 2014 – it identifies key performance indicators which the SSCAB Board will monitor, this information will be shared with SSDC **annually**. Starting in 2014/15:

Performance Measure	Baseline	Target	Progress
Increasing the percentage of phone calls answered( less abandoned calls)	32%	70%	43% November 15
Increasing the number of active volunteers	22 April 2015	60	45
Increasing outreach access (in Chard in the first instance)		Due March 16	
CA Quality Audit Score		Annual	
Staff Satisfaction Survey		Annual	
Volunteer Satisfaction Survey “I enjoy the volunteering I do”		Annual	

Notes:

South Somerset CAB also has and reports other KPI targets, but they can be found elsewhere in this report – as follows:

Performance Measure	Report location
Diversifying sources of income for the service	Projects table – amount of new income received
Increase turnover	Projects table – amount of new income received
Clients better able to access benefit entitlements	Indicators in Outcomes table
Clients able to successfully manage debt	
Homelessness prevented or averted	
Clients employment rights upheld	
Number of things Organisations in response to social policy work	General Service table – Social Policy element
Customer Satisfaction Survey response “Overall how satisfied are you with the service”	General Service table – feedback from clients element

## SSVCA MONITORING REPORT

1st April 2015 to 31st December 2015 (9 month report)


**SSVCA**

 South Somerset Association for  
 Voluntary and Community Action

**1. Information services**

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
1.1 A well-informed VCSE	Publish a directory of local voluntary and community organisations	Minimum of 340 organisations' details held on the Directory	Activity Reports  Accessible Online Directory	6 monthly	<p>247 organisations' details held on our Directory</p> <p>We will be proactively developing our directory over the coming months, using marketing channels, the Charity Commission and other local networks to do this. Therefore we hope to meet the KPI of 340 by the end of the financial year.</p> <p>On our existing website, our list of organisations appears in alphabetical order. Visitors to the site are also able to search for an organisation according to their location. For each organisation, there is a brief description of their work, details of their key beneficiaries, contact details and a link to their website. Organisations are also able to log on to their area of our site to upload details of any events.</p> <p>All organisations on this Directory are also 'signed up' to SSVCA and receive regular updates, e-newsletters and information to support their work.</p>	<p>We are in the process of developing a new website, which will result in the Directory being much more user-friendly and accessible, enabling users to search according to cause and beneficiary, as well as by location.</p> <p>We will also be moving all our data to a new CRM database, which will allow us to update and analyse all information much more easily. This will enable us to accurately record all interactions with groups, volunteers and the general public. This will also allow us to make future monitoring reports much more detailed and meaningful.</p>

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
1.2 VCSE in South Somerset is provided with strong leadership	Opportunities for the local voluntary and community sector to come together to develop knowledge and skills	Minimum of 6 opportunities provided.	<p>Evidence that target number of events has taken place</p> <p>Number of participants attending</p> <p>Quality of learning experience – via participant feedback</p>	6 monthly	<p>5 events held in this time period. 91 attendees in total.</p> <p>3 forums:</p> <ul style="list-style-type: none"> <li>• European funding</li> <li>• General networking</li> <li>• Recruiting and retaining trustees</li> </ul> <p>Feedback: All Excellent or Good</p> <p>2 training events:</p> <ul style="list-style-type: none"> <li>• Trustee recruitment</li> <li>• How to write a good funding application</li> </ul> <hr/> <p><i>“The benefit of having training facilitators who work directly with small to medium sized voluntary sector organisations is that they completely understand their audience’s needs. At the recent Somerset Mental Health Hub training event our SSVCA trainers were able to effectively present quite complex information to a diverse group of people. The feedback from participants is that they gained a lot of useful and very practical information to take back to the workplace to put into practice”.</i></p> <hr/>	<p>We plan to run at least 6 events in the coming year and are currently developing a clear strategy for this. We are seeking to run a mixture of networking forums, workshops and training.</p> <p>We are also looking at the possibility of charging a small fee for certain events, as appropriate. By doing this, we demonstrate clearly to the groups that there is a ‘value’ to the service they are receiving. It will also enable us to recover some of the associated costs, allowing us to become more sustainable in the future and develop our programme of support still further.</p>

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
1.2 VCSE in South Somerset is provided with strong leadership (continued)		Deliver a high profile VCS fair October 2015	<p>Number of participants attending</p> <p>Quality of learning experience – via participant feedback</p>		<p>This event was aimed at voluntary groups within South Somerset. It was attended by almost 200 delegates.</p> <hr/> <p><i>“I found the event both inspiring and informative.”</i></p> <p><i>“The volunteer sector is becoming more valid &amp; relevant to society than ever before.”</i></p> <p><i>“Fantastically organized. It was great bringing people together and really positive for the sector.”</i></p> <hr/> <p>The difficult economic climate continues to impact on the residents of South Somerset and our groups are experiencing increased demand for their services. This event provided the much needed support to help empower them to continue. It also provided a high-profile opportunity to celebrate their work. A feedback form was sent to all delegates (please see attached results). For the first event of its kind, we’re delighted with the positive response.</p>	<p>Subject to funding, we would be keen to make this a regular event. As already mentioned, for the first event of its kind, we are very pleased with the outcomes, but also have clear ideas of how we can make improvements going forward.</p>

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
1.3 Effective communication channels within & between VCSE organisations	Publish a weekly E-Bulletin updating the sector on legislative changes, funding sources, training opportunities and other relevant Information	Minimum of 46 e-bulletins published	Customer feedback on quality and usefulness of the bulletins	Annual	<p>101 e-bulletins sent in this time period.</p> <p>We have exceeded the KPI for this output. However, we are looking to revise our strategy around e-communications in 2016, making use of html e-newsletter templates and 'smarter' segmentation of our audience according to their needs.</p> <p>We will be conducting a customer service review in January 2016 and will give feedback on this in the next report. However, in the last review, 95% of respondents indicated that they found the e-bulletins useful.</p>	Following consultation with groups, we are considering sending 2 newsletters a month, one of which will contain a range of relevant information, news from the voluntary sector etc., with the second one having a focus on funding. We are keen to make this easy to read and interactive. We will also use it as a means to celebrate the successes of the voluntary sector around South Somerset and also promote relevant events on their behalf.
Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
1.3 Effective communication channels within & between VCSE organisations (continued)	Launch new website		Data on <ul style="list-style-type: none"> <li>• Unique visits</li> <li>• Pages visited</li> <li>• Documents downloaded</li> </ul>	Annual	47 new resources added in this time period. The new site is under construction, complete early 2016. Our existing site is overseen by an external company which makes updates and monitoring difficult. We will have hands on control of the new site and will also	We will market the new site widely, so that it becomes the 'go-to' site for groups across the region. As part of this strategy, we will be further

			Customer feedback on efficacy of website		<p>be able to track usage data. Therefore, the necessary monitoring information will be available for the next SSDC report.</p> <p>The site is being entirely re-designed and will form a 'hub' for the sector in South Somerset, including:</p> <ul style="list-style-type: none"> <li>• Regular updates from the voluntary sector</li> <li>• Searchable database of resources &amp; information</li> <li>• Searchable database of organisations, volunteering &amp; job opportunities</li> <li>• Facility for groups to promote events/ news etc.</li> </ul> <p>Social media is an extremely powerful method for promotion and dissemination of information to other groups. In the time period concerned we have seen the following significant improvements:</p> <ul style="list-style-type: none"> <li>• Twitter – 900% increase in number of followers, tweets viewed 55,000+ times and our profile 5,000 times.</li> <li>• Facebook – Number of Facebook 'likes' has more than doubled over this time period.</li> </ul>	<p>developing our social media presence, as well as more traditional marketing channels. We will also be reviewing all our online resources, to ensure they are relevant and up-to-date.</p>
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## 2. Advice and Guidance

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
<p>2.1 A resilient VCSE, with strong governance arrangements, better equipped to function effectively and deliver quality services to their users/members/constituents enabling them to thrive in Somerset's communities.</p>	<p>Provision of a range of services that support the development of new and existing VCSE groups and organisations.</p>	<p>Minimum of 50 groups provided with no cost support comprising</p> <ul style="list-style-type: none"> <li>• Phase 1 - Initial health check</li> <li>• Phase 2 - ten hours free support</li> </ul> <p>Minimum of 10 groups taking up Phase 3 'paid for' support</p>	<p>Activity Reports detailing support provided and benefits to beneficiaries.</p>	<p>6 monthly</p>	<p>23 groups were provided with free one-to-one support during the period of this report.</p> <hr/> <p><i>“SSVCA have signposted volunteers to us, provided mentoring, chaired meetings to offer advice or guidance, and promoted our work at various functions. They've even got us national coverage in the printed press through their extensive social networking! This barely touches on the help they've provided over the years too.</i></p> <p><i>On top of being a valuable resource, the SSVCA team have proven themselves to be personable and friendly. There is a genuineness to their 'want to help' that is quite rare. Their service is invaluable and one we can't recommend enough.”</i></p> <p><b>The WATCH Project</b></p> <hr/> <p>Generally, groups come to us requiring support in more than one area. In this time period, we supported groups around the following issues: Setting up a charity,</p>	<p>We have meetings planned for the New Year with SSDC Development Teams, to clearly communicate what services we provide. This will enable the two organisations to have clarity around our different, yet complementary roles, allowing cross-referrals as appropriate.</p> <p>We are also developing a new strategy for our development work, both in terms of provision and promotion. This will see a member of our team based in each of the four areas of South Somerset each week. We will be promoting this new way of working widely, so that groups know when and</p>

(continued)					<p>Constitution, Policies, Funding, Volunteering, Governance, HR, PR and Marketing.</p> <p>In the last monitoring report, we had worked with 15 groups in the previous 6 months. Therefore, although we are not quite yet on target for the new, higher KPI of 50 groups per annum set by SSDC, we have sustained the level of support we have provided previously, despite some staffing challenges throughout this year. Furthermore, we are confident that improved promotion of the support we have to offer will enable us to increase this still further.</p> <p>Although Phase 3 'paid for' support is given as a KPI in this revised monitoring plan, this is not a service that we have yet promoted widely. Before we do so, we are keen to ensure that we have absolute clarity around how the pricing structure will work and what would constitute 'paid-for' support. This would be a new way of working for SSVCA, so it is imperative that we communicate it clearly and sensitively, following some consultation. Therefore, the KPI for this financial year is unlikely to be achieved.</p>	<p>where they can find us if they need support. This new strategy will also include a clear plan for communicating the different levels of support that we have available, including that which is 'paid for'.</p>
<p>2.2 A more sustainably funded VCSE in South Somerset.</p>	<p>Provision of specialist Funding and Income generation advice.</p>	<p>No target</p>	<p>Value of funding bought into South Somerset as direct consequence of help given. Type of funding advice</p>	<p>Annual</p>	<p>This is not something which we record at the moment, as a matter of course. However, once the new database is complete, it will make this type of monitoring and analysis much easier. Furthermore, we are currently working in</p>	<p>More details of the work we are doing to improve the way we measure our impact can be found later on in this report.</p>



			requested and options provided including non-traditional income generating.		partnership with South West Forum on improving the way in which we 'measure our impact' (funded by the Big Assist programme). This will also have some bearing on the way in which this particular KPI is monitored in the future.	
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### 3. Volunteering

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
<p>3.1 Increased capacity of VCSE organisations through the delivery of a district-wide volunteering service.</p> <p>3.2 Benefits of volunteering successfully promoted.</p>	Provide a Volunteer brokerage service to potential volunteers and volunteer (including marketing of volunteering)	<ul style="list-style-type: none"> <li>• 450 volunteers registered</li> <li>• 100 volunteers placed</li> <li>• 110 Volunteering opportunities registered</li> <li>• 50 new volunteering organisations registered</li> </ul>	Report on the type of positive change experienced by individuals as a direct result of volunteering	Annual	<p>For the period of this report, we have seen:</p> <ul style="list-style-type: none"> <li>• 296 volunteers registered</li> <li>• 58 volunteers placed</li> <li>• 99 volunteering opportunities registered</li> <li>• 26 new volunteering organisations registered</li> </ul>	We will be making better use of all channels of communication to promote volunteering opportunities and also to spread the word about the value of volunteering to the wider public. Our new website will also make this promotion much more effective. The Western Gazette have expressed an interest in running a regular feature around volunteering and we will explore similar opportunities with other media. We are currently exploring the possibility of running a high-profile

			<p>Report on the type of positive change experienced by organisations as a direct result of the help received from the Volunteering service</p>		<p>SSVCA continues to successfully provide a</p> <hr/> <p><i>"I first began volunteering after a lengthy stint of unemployment due to poor health and found it an effective form of rehabilitation into the real world. When you've not had a good excuse to leave the house for a few weeks, it's easy to find yourself feeling a bit isolated from the community."</i></p> <hr/> <p><i>"The transformation I've experienced since starting still astounds me – I don't recognise myself anymore. Confidence is built on experience, and the skills I've learnt have contributed not only to my personal growth but my resume too!"</i></p> <hr/> <p>volunteering service across South Somerset. Of the four KPIs above, we are confident that we are able to meet or exceed the first three. This is despite the drop in applications via the 'Do-it' website. This is a problem being faced by many infrastructure organisations and we are seeking to address this by developing</p>	<p>volunteering event, subject to funding. Plans are also in place to develop stronger links with other organisations, such as Yeovil College, YHG and the Job Centre in order to promote volunteering as widely as possible.</p> <p>We will also be using our new database to make improvements to our reporting system, so that we have more meaningful quantitative and qualitative data about the service that we provide and the measurable impact that volunteers are having within our communities. This will also be supported by the Yeovil College research that we have commissioned.</p> <p>We also have plans to further develop our links with local business, so that we can build a 'bank' of higher level</p>
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					<p>a searchable facility for volunteering opportunities on our new website, which will avoid our reliance on 'Do-it'. The fourth KPI which requires us to register 50 new volunteering organisations may be more of a challenge, as this is significantly higher than in previous years. However, we hope to work towards this by promoting our service more widely and by taking full advantage of the facility that we will have available to us on our new website.</p>	<p>volunteers and also discuss possible sponsorship partnerships. We will also be looking at the work in this field taking place in other areas of the country, so that we can benefit from best practice elsewhere.</p>
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				<p>We worked in partnership with other agencies, including SCC, You Can Do and the other CVS', to promote National Volunteers Week, awarding a 'Star Volunteer' Award to the most deserving entrant. We also ran a week-long social media campaign around volunteering, which secured significant coverage,</p> <hr/> <p><i>"I find the service the Volunteer Centre provides to be invaluable. I have a good relationship with them and they are always very helpful. They do sterling work in advertising volunteer positions and getting adverts in the local papers. They also facilitate meetings of local Volunteer Coordinators and provide training and opportunities for networking. This is a great opportunity that would not happen without their support. I cannot thank them enough for the work they put in to making my job a lot easier!"</i></p> <p><b>Alzheimer's Society</b></p> <p>including a feature in the national press. We held a Corporate Social Responsibility event at our Voluntary Fair in October, attended by local businesses. We are seeking to develop an employee volunteering service, as well as wishing to promote ourselves as a 'broker' to</p>	
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					<p>businesses who wish to support their local community.</p> <p>We are in the process of developing a research project in partnership with Yeovil College, due for completion in July 2016. The research will focus on measuring the economic impact of the voluntary sector across South Somerset. Therefore, we will be able to give a clear picture of the economic value of volunteering for the next report for SSDC. In the meantime, in recent feedback:</p> <ul style="list-style-type: none"><li>• 11% of responses said that volunteers were contributing over 100 hours a week.</li><li>• It was estimated that there are 1,800 volunteer hours contributed to the community each week.</li></ul> <p>Furthermore, a county-wide report commissioned in Somerset in 2013 found more than 100,000 residents of Somerset volunteer at least once a month. The GVA (Gross Value Added) to the Somerset economy of this volunteering activity is estimated at £182m per annum.</p>	
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Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
3.3 Sector supported in the recruitment, placement and support of volunteers and the application of volunteering best practice.	Facilitate mechanism for the peer support of Volunteer managers and the development of best practice in volunteer management	Hold a minimum of 3 events for volunteer managers.	Customer feedback on quality and usefulness of the support	Annual	<p>Our Volunteer Forums were set up in December 2014 in response to an identified need when Volunteer Managers told us that they would benefit from having a 'peer network' to share ideas and find support.</p> <hr/> <p><i>"I value the support SSVCA provide and would hate to lose it."</i></p> <p><b>Volunteering Officer, Alzheimer's Society</b></p> <hr/> <p>We used the initial session to discuss format, frequency and whether they would be a general networking opportunity or based on a topic. It was agreed we would hold three over the course of a year with a mix of topic-focussed and general networking. We held two sessions in 2015 with the next meeting due in February 2016. Initial feedback has been extremely positive.</p>	We will continue to grow and develop these Forums, responding to the needs of the groups across the District.

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*“I find the Coordinator meetings very helpful, discussing joint issues, coming up with solutions, finding out what else is happening locally. The meetings are well organised...it is a good way to learn new ways of working, best practice and finding out what other amazing work is happening within the local community”*

**Volunteering Consultant,  
SW Mobility Team**

*“Meeting with fellow volunteer coordinators and sharing experiences has proved really beneficial to my recruitment of volunteers. I really appreciate the opportunity that these meetings have given me and thank SSVCA for organising the meetings and facilitating them. South Somerset is the only area that provides such meetings and I wish the other areas of Somerset would provide similar opportunities.”*

**Volunteer Coordinator,  
Compass Disability  
Services**

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## 4. Voice of the sector

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
<p>4.1 The VCSE has an accountable, assertive &amp; representative voice with policymakers, service planners &amp; funders.</p> <p>4.2 Tangible benefits can be demonstrated to the wider VCSE as a consequence of SSVCA's involvement in key partnerships and networks.</p> <p>4.3 SSVCA's Influence is both effective and accountable</p> <p>4.4 The VCSE in South Somerset is provided with strong leadership</p>	<p>Developing mechanisms for identifying the most appropriate 'planning tables' that the sector needs representation on.</p> <p>Develop processes for prioritising issues and feeding back to the wider sector.</p> <p>Develop mechanisms for consulting with sector to enable two way communication of issues.</p> <p>Attendance at key partnership/networks/forums</p>	No specific targets	<p>Report on the key partnerships/networks /forums SSVCA has participated on.</p> <p>Report on the issues that SSVCA has championed on behalf of the sector and the impact of SSVCA's representational role.</p> <p>Report on issues fed back to the sector.</p>	6 monthly	<p>SSVCA's role is to ensure that the voice of the sector is heard when important decisions are being made at a local, regional and national level. In doing so it is imperative we work in partnership with other organisations. We currently participate in the following:</p> <ul style="list-style-type: none"> <li>• South Somerset Together (SST) Strategy Group</li> <li>• SST Health Forum</li> <li>• Somerset VCSE Strategic Forum</li> </ul> <p>SSVCA was key to the development of the Somerset VCSE Strategic Forum as the main route for cross-county engagement. It brings together representatives, from VCSE sector, with senior staff from the local authority, health and other key services. The key aims of the group are to encourage collaborative working, to share best practice and to share resources. SSVCA now meets with Mendip Community Support, Engage, Community Council, CHYPPS and the Community Foundation to determine the topics and issues for the Forum. We also are members of a number of organisations that represent the voluntary sector at a regional and national level, such as South West Forum, NCVO and NAVCA. Acting as a communication conduit we ensure</p>	<p>Despite some staff changes during the period of this report, we have continued to play an important role as the 'Voice of the Sector' in South Somerset and beyond. In the coming months, we will be developing our work with Symphony, the CCG and also with the Digital Inclusion task group. We will also use our communication channels and annual survey to identify issues arising for our groups, as they happen. Our new website and improved CRM database will play an important role in ensuring that communication continues to develop and improve.</p>



					<p>information is fed between government and voluntary groups within our communities. We do this primarily via our e-bulletins and regular forums, but also via other events such as our Voluntary Sector Fair.</p> <p>In addition to the ongoing forums outlined above, during the period covered by this report we have clearly demonstrated our role as the 'Voice of the Sector' in the following areas:</p> <ul style="list-style-type: none"><li>• Have been instrumental in engaging with major funders such as the Big Lottery.</li><li>• Participated in a workshop with Somerset CCG on the VCSE perspective on Outcomes Based Commissioning. We will continue to play a major role in this as proposals are developed.</li><li>• SST meeting with Chris Garcia from the Heart of the SW LEP – raised questions on behalf of the voluntary sector.</li><li>• Ran high-profile Voluntary Sector, in conjunction with SST and the Symphony Project</li><li>• Met with Symphony Project with a view to facilitating voluntary sector involvement in local pilots.</li><li>• Initial meeting with local partners regarding the development of a Digital Inclusion strategy.</li></ul>	
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## 5. Leadership

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
5.1 The VCSE in South Somerset is provided with strong leadership	VCSE leaders' network established	South Somerset VCSE leaders network/forum launched	Report on the establishment of a leaders' forum with details of Terms of Reference and membership.  Forum agendas and minutes	Annual	This is a new area of development for SSVCA. Initial informal conversations have been had with relevant VCSE leaders and research undertaken into existing models elsewhere. We aim to meet the requirements for this outcome in time for the next monitoring report.	We aim to meet with a group of VCSE leaders early in 2016 to establish Terms of Reference for such a group. We will then develop a strategy for this, dependent on the outcomes of this meeting.
5.2 Leadership enables, empowers and develops social action.	Customer satisfaction survey/impact report that demonstrates clear understanding by sector of SSVCA's leadership role.	Minimum of 75% of VCSE organisations completing customer satisfaction survey reporting improved knowledge and confidence levels  Minimum of 60% of SSVCA users giving positive feedback on SSVCA's leadership role	Annual satisfaction survey	Annual	The leadership role of SSVCA is not something that we have previously measured as part of our annual satisfaction surveys. However, we will be introducing this measure in the survey due out in early 2016, which will then create a benchmark for measuring future progress.	Once we have a benchmark for assessing the impact of our leadership role, we can use this to inform future developments. We will also be looking at how we can communicate our leadership role more effectively amongst our groups and also look at ways in which we can improve our methods for both gathering marketing intelligence and imparting information.

## 6. Sector Intelligence

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
6.1 Effective service delivery based on up to date intelligence about the health and needs of the sector	<p>Production of a 'State of the Sector' Report to inform future service planning to include:-</p> <ul style="list-style-type: none"> <li>• Analysis of sector's economic impact</li> <li>• Analysis of sector's needs</li> </ul>	State of the Sector Report with recommendations completed.	Copy of completed report	Annual	<p>We have established a partnership with Yeovil College, to produce a 'State of the Sector' report, which will analyse the following issues.</p> <p>1. Impact on the Economy An analysis of the economic value of the sector, such as:</p> <ul style="list-style-type: none"> <li>• Overall economic value</li> <li>• Value of assets owned</li> <li>• Total of the sectors' income</li> <li>• Number of employees/volunteers</li> <li>• Economic value of volunteering</li> </ul> <p>2. Health of the Sector An analysis of the overall state of the sector in South Somerset including:-</p> <ul style="list-style-type: none"> <li>• Profile of sector</li> <li>• Provider profile</li> <li>• Resilience</li> <li>• Governance</li> <li>• Funding/Finance</li> <li>• Infrastructure – is the sector aware of the support available to it?</li> <li>• Merger/Collaboration – How open to collaboration or merger?</li> <li>• Digital exclusion including use of social media</li> <li>• What concerns does the sector have itself about its future over the next 3 to 5 years?</li> </ul>	The report is due for completion in Summer 2016.

## 7. Impact

Outcomes	Outputs	Annual Key Performance Indicators	Monitoring requirements	Frequency	Progress	Looking ahead
7.1 SSVCA is able to demonstrate the difference it makes to funders, beneficiaries and other stakeholders	Impact measurement tool	<p>Successful bid to Big Lottery Big Assist programme.</p> <p>Selection of an impact measurement methodology</p>	Activity Report	Annual	<p>We were successful in this bid and as a result received £6000-worth of consultancy in November 2015. We are being supported by South West Forum to develop robust ways of demonstrating and measuring the impact of our work. South West Forum have considerable experience in this area and we have already worked, in consultation with them, to develop a clear methodology.</p> <p>The initial part of the process is scheduled for January where staff and trustees will focus on establishing a clear 'Theory of Change' for the 'Voluntary Sector Support' service. In essence, this is about clarifying and describing the link between our overall vision and mission, our aims and outcomes and our activities. The workshop will also explore what indicators we should use as measures of our impact and what tools we need to collect the right data and other information. A Theory of Change is an essential basis for a robust impact measurement framework and is increasingly expected by funders, commissioners and investors.</p>	<p>Through this research, we will be able to clearly communicate and demonstrate the value of our work to a range of stakeholders and to upskill our staff so that we are able to train and support local voluntary sector organisations in measuring their impact. Once we have completed the process, we will be working on a plan to disseminate this information to groups throughout the district.</p>

# Agenda Item 9

## **Quarterly Performance and Complaints Monitoring Report – 3rd Quarter 2015/16**

*Executive Portfolio Holder: Ric Pallister, Strategy and Policy*  
*Strategic Director: Rina Singh, Place and Performance*  
*Assistant Director: Martin Woods, Economy*  
*Lead Officer: Andrew Gillespie/Charlotte Jones, Performance Managers*  
*Contact Details: andrew.gillespie@southsomerset.gov.uk or 01935 462364*  
*charlotte.jones@southsomerset.gov.uk or 01935 462565*

### **Purpose of the Report**

To present the corporate performance monitoring report covering the period from 1<sup>st</sup> October – 31st December 2015 (Q3).

### **Forward Plan**

This report appeared on the District Executive Forward Plan with an expected date of 3rd March 2016.

### **Public Interest**

The Council is accountable for its performance to the local community and we publish performance data to enable us to demonstrate achievements against targets.

### **Recommendation**

The District Executive is asked to note and comment on the corporate performance monitoring report.

### **Background**

The 20 performance indicators used in this report were selected and approved by members on 3rd May 2012.

### **Performance**

A summary of performance from 1st October – 31st December 2015 (Q3) is shown below with further details provided at Appendix A:

Where appropriate, this information is colour coded, using red, amber, or green to indicate performance against the target.

Performance Summary:		Quarterly Breakdown:							
		Q1	Q2	Q3	Q4				
		1	8%	0	0%	2	18%	0	0%
		2	17%	1	9%	2	18%	0	0%
		9	75%	10	91%	7	64%	0	0%
		Commentary:							
		12 performance indicators can be compared against target for Q2. As data is not available for PI031 this summary only includes 11 of the corporate indicators. Percentages are rounded to the nearest whole number.							
>10% Below Target	2								
Within 10% of Target	2								
On or Above Target	7								

**Performance Exceptions:**



Indicators with performance below target are classed as exceptions. In these cases Appendix A also includes a comment from the Service Manager, detailing reasons why the indicator is an exception, together with any corrective action being taken.

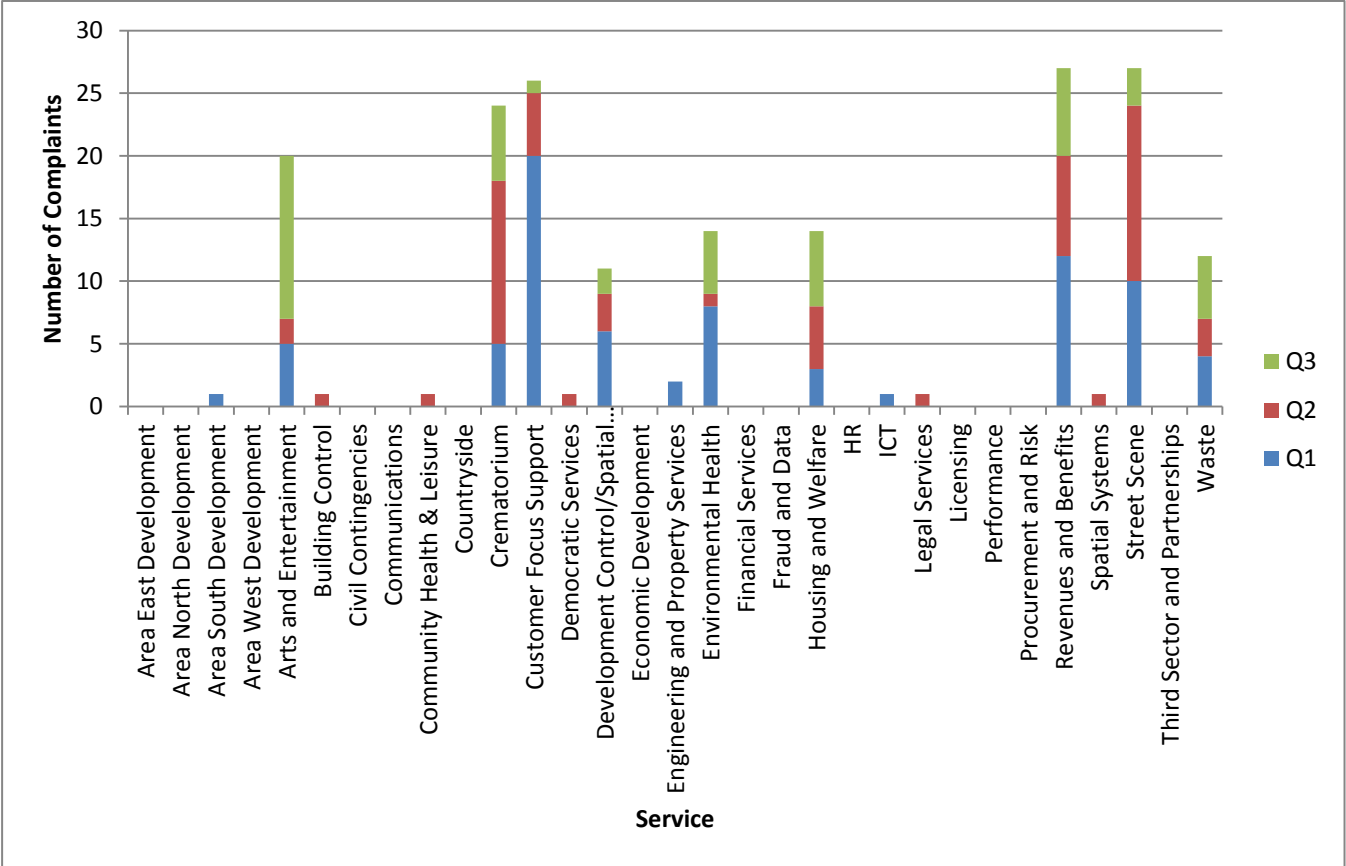
The exception for quarter 3 is as follows:

Measure	Focus	Q3 Status
PI003 - % of planning appeal decisions allowed against the authority's decision to refuse	One	
PI032 – Working days lost due to sickness absence per Full Time Employee (FTE)	Other	

## Complaints

During the period 1st October – 31st December 2015, SSDC received 48 complaints which is a 84.6% increase compared to the quarter 3 2014/15 figure of 26.

The chart and table below provide a summary of complaints received, with a detailed breakdown by service at Appendix B.

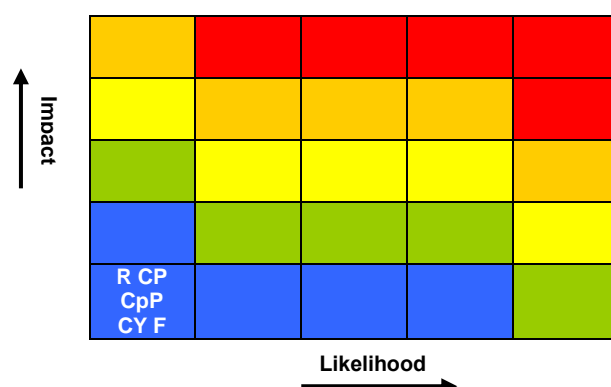


## Financial Implications

There are no direct financial implications related to this report. However, financial implications may need to be considered for possible actions necessary to address performance in failing areas.

## Risk Matrix

This matrix only identifies the risk associated with taking the decision as set out in the report as the recommendation(s). Should there be any proposal to amend the recommendation(s) by either members or officers at the meeting then the impact on the matrix and the risks it identifies must be considered prior to the vote on the recommendation(s) taking place.



**Key**

Categories	Colours (for further detail please refer to Risk management strategy)
R = Reputation	Red = High impact and high probability
CpP = Corporate Plan Priorities	Orange = Major impact and major probability
CP = Community Priorities	Yellow = Moderate impact and moderate probability
CY = Capacity	Green = Minor impact and minor probability
F = Financial	Blue = Insignificant impact and insignificant probability

**Council Plan Implications**

Performance Management contributes towards the delivery of the SSDC Council Plan through effective monitoring and smart target setting that help to deliver a continuous improvement.

**Carbon Emissions and Climate Change Implications**

None

**Equality and Diversity Implications**

None

**Privacy Impact Assessment**

No issues.

**Background Papers**

- Refreshed Council Plan 2012-15  
(<http://www.southsomerset.gov.uk/about-us/our-vision/council-plan-2012---2015/> )
- SSDC Complaints Procedure  
([http://www.southsomerset.gov.uk/contact-us/making-a-complaint-\(1\)/](http://www.southsomerset.gov.uk/contact-us/making-a-complaint-(1)/) )
- District Executive report- refresh of corporate Indicators – District Executive May 2012
- Annual Performance Report 2014/15 – District Executive July 2015

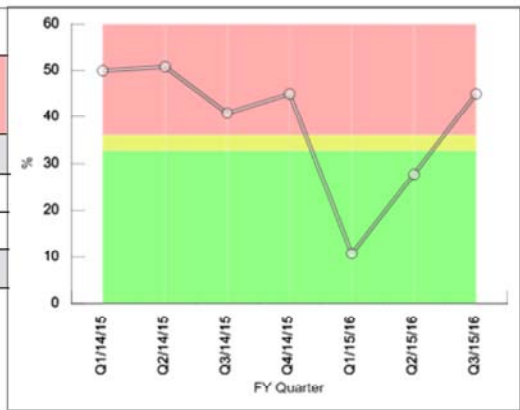


# Appendix A - Quarterly Performance Monitoring Report

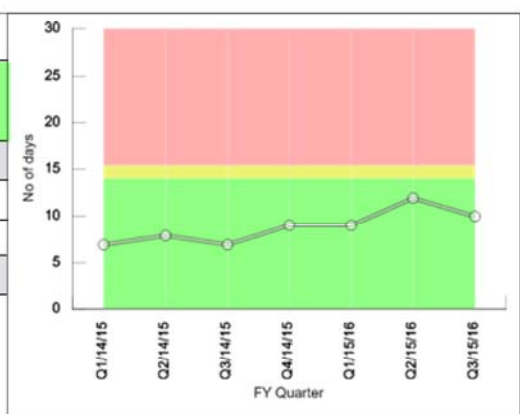
Key:	Red (More than 10% below target)	Amber (Within 10% of target)	Green (On or above target)
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## Performance Measures with Targets:

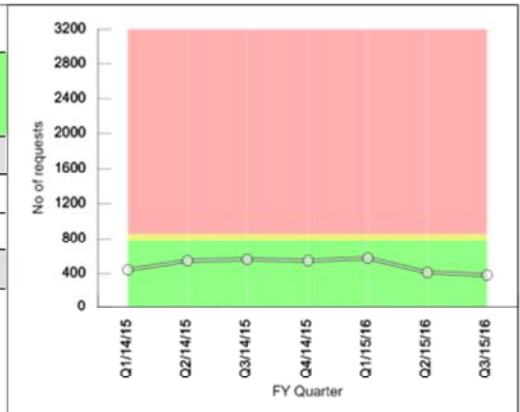
Indicator:	PI 003 - % of planning appeal decisions allowed against the authority's decision to refuse							
Quarter Target:	33.0%				Perf to Date:			
Annual Target:	33.0%							
2014/15:				2015/16:				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
50.0% <span style="color: red;">●</span>	51.0% <span style="color: red;">●</span>	41.0% <span style="color: red;">●</span>	45.0% <span style="color: red;">●</span>	11.0% <span style="color: green;">●</span>	28.0% <span style="color: green;">●</span>	45.0% <span style="color: red;">●</span>		
Latest Comments including any necessary action:								
Of the 5 appeals allowed 4 were for residential development in our smaller settlements which allowed the inspector to consider Policy SS2 and the impact of the 5 year land supply. These decisions have provided us with a clear indication as to how Policy SS2 should be interpreted in the future. The other appeal related to a contentious application for a gypsy site that the Inspector considered to be acceptable.								



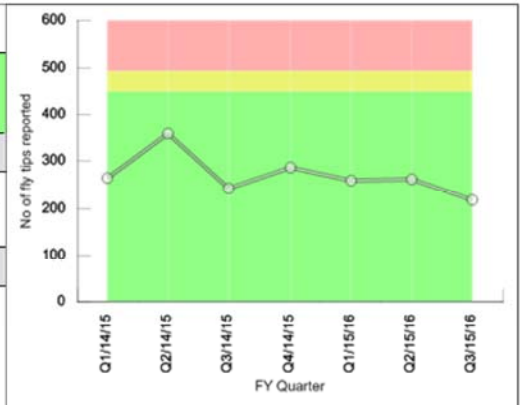
Indicator:	PI 004 - Number of days taken to process Housing Benefit/ Council Tax Benefit new claims and change events							
Quarter Target:	14.00				Perf to Date:			
Annual Target:	14.00							
2014/15:				2015/16:				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
7.00 <span style="color: green;">●</span>	8.00 <span style="color: green;">●</span>	7.00 <span style="color: green;">●</span>	9.00 <span style="color: green;">●</span>	9.00 <span style="color: green;">●</span>	12.00 <span style="color: green;">●</span>	10.00 <span style="color: green;">●</span>		
Latest Comments including any necessary action:								
Performance has improved in line with expectations (see comments for Q2). Work position continues to improve so expect Q3 performance to be maintained or improved further in Q4. [Q2 comment: Steps have been taken to address performance and it is anticipated that Q3 performance will show some improvement on Q2 and further improvement in Q4.]								



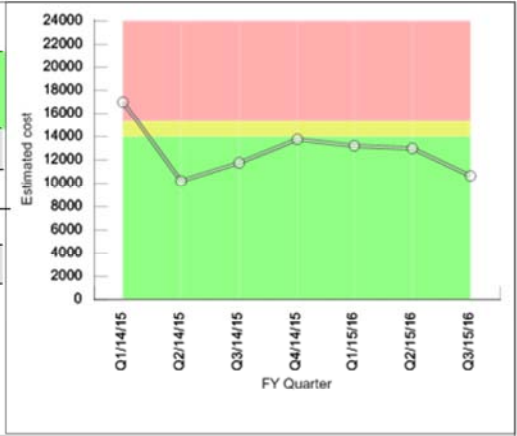
Indicator:	PI 008 - Requests for action from the Streetscene team							
Quarter Target:	775				Perf to Date:			
Annual Target:	3100							
2014/15:				2015/16:				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
445 <span style="color: green;">●</span>	549 <span style="color: green;">●</span>	556 <span style="color: green;">●</span>	550 <span style="color: green;">●</span>	568 <span style="color: green;">●</span>	415 <span style="color: green;">●</span>	383 <span style="color: green;">●</span>		
Latest Comments including any necessary action:								



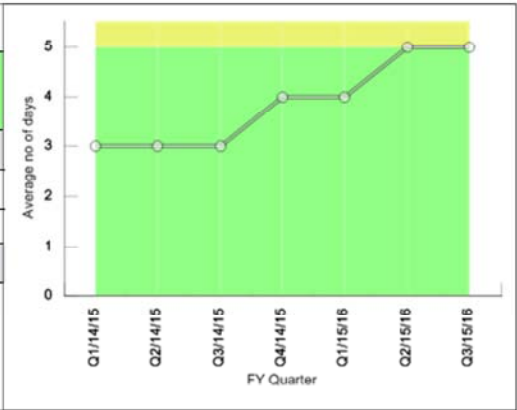
Indicator:	PI 010 - Total number of fly tips reported							
Quarter Target:					Perf to Date:			
Annual Target:	1800							
2014/15:				2015/16:				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
266 <span style="color: green;">●</span>	358 <span style="color: green;">●</span>	244 <span style="color: green;">●</span>	287 <span style="color: green;">●</span>	259 <span style="color: green;">●</span>	263 <span style="color: green;">●</span>	220 <span style="color: green;">●</span>		
Latest Comments including any necessary action:								



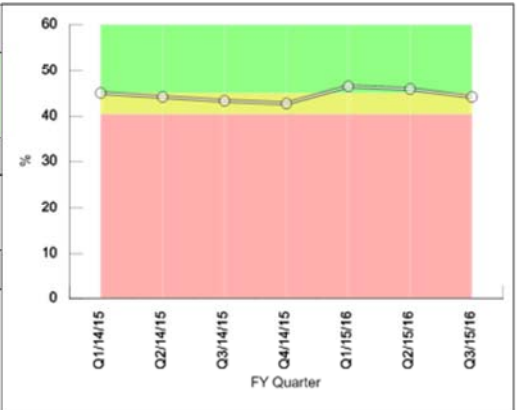
<b>Indicator:</b>	PI 011 - Total estimated cost of clearing reported fly tips						
<b>Quarter Target:</b>	13,965			<b>Perf to Date:</b>			
<b>Annual Target:</b>	55,860						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
16,942 <span style="color:red">●</span>	10,225 <span style="color:green">●</span>	11,779 <span style="color:green">●</span>	13,787 <span style="color:green">●</span>	13,263 <span style="color:green">●</span>	12,982 <span style="color:green">●</span>	10,677 <span style="color:green">●</span>	
<b>Latest Comments including any necessary action:</b>							



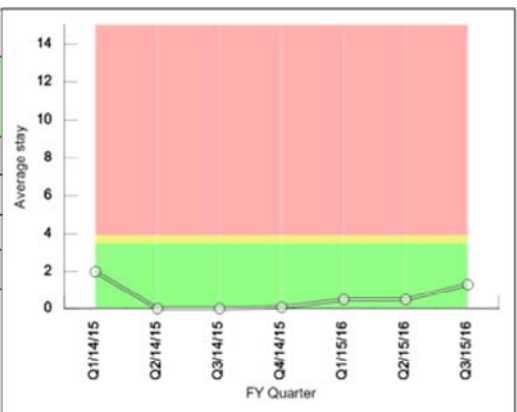
<b>Indicator:</b>	PI 012 - Average number of days to respond to a reported fly tip						
<b>Quarter Target:</b>	5.00			<b>Perf to Date:</b>			
<b>Annual Target:</b>							
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
3.0 <span style="color:green">●</span>	3.0 <span style="color:green">●</span>	3.0 <span style="color:green">●</span>	4.0 <span style="color:green">●</span>	4.0 <span style="color:green">●</span>	5.0 <span style="color:green">●</span>	5.0 <span style="color:green">●</span>	
<b>Latest Comments including any necessary action:</b>							



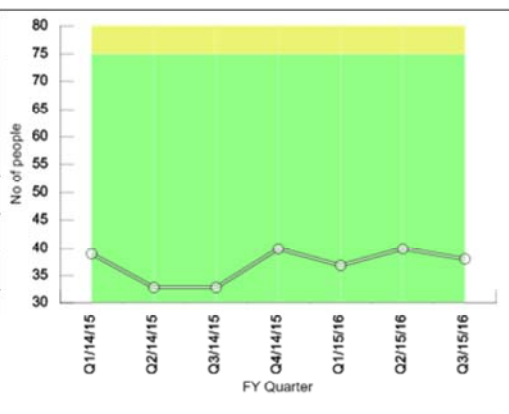
<b>Indicator:</b>	PI 013 - % of household waste sent for reuse, recycling and composting						
<b>Quarter Target:</b>	45.0%			<b>Perf to Date:</b>			
<b>Annual Target:</b>	45.0%						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
45.2% <span style="color:green">●</span>	44.4% <span style="color:orange">●</span>	43.4% <span style="color:orange">●</span>	43.0% <span style="color:orange">●</span>	46.5% <span style="color:green">●</span>	46.0% <span style="color:green">●</span>	44.4% <span style="color:orange">●</span>	
<b>Latest Comments including any necessary action:</b>							



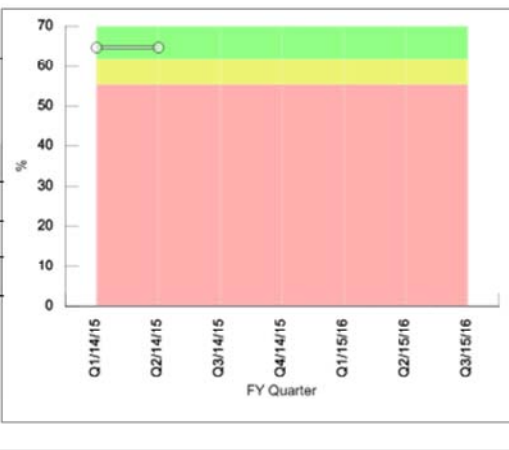
<b>Indicator:</b>	PI 019 - Average number of days in Temporary Accommodation (Bed & Breakfast)						
<b>Quarter Target:</b>	3.5			<b>Perf to Date:</b>			
<b>Annual Target:</b>	4.5						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
2.0 <span style="color:green">●</span>	0.0 <span style="color:green">●</span>	0.0 <span style="color:green">●</span>	0.1 <span style="color:green">●</span>	0.5 <span style="color:green">●</span>	0.5 <span style="color:green">●</span>	1.3 <span style="color:green">●</span>	
<b>Latest Comments including any necessary action:</b>							
Two households left bed and breakfast accommodation during this quarter. One household was in bed and breakfast for two weeks, and one for two days, hence an average stay of 1.3 weeks.							



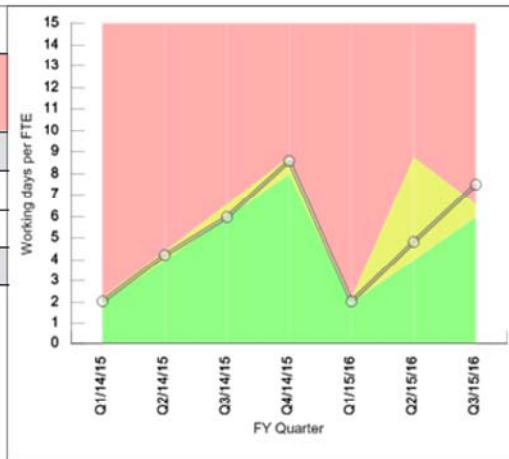
<b>Indicator:</b>	PI 020 - Total number of people in Temporary Accommodation (all types)						
<b>Quarter Target:</b>	75			<b>Perf to Date:</b>			
<b>Annual Target:</b>	75						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
39 <span style="color: green;">G</span>	33 <span style="color: green;">G</span>	33 <span style="color: green;">G</span>	40 <span style="color: green;">G</span>	37 <span style="color: green;">G</span>	40 <span style="color: green;">G</span>	38 <span style="color: green;">G</span>	
<b>Latest Comments including any necessary action:</b>							



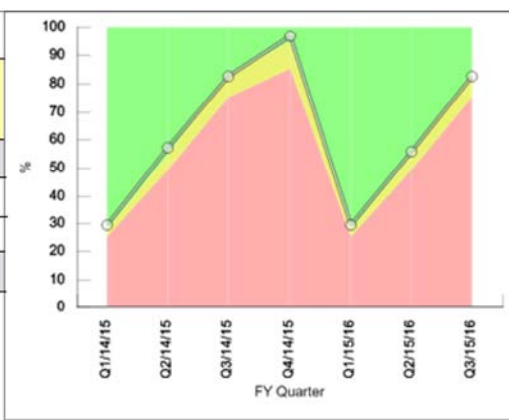
<b>Indicator:</b>	PI 031 - % of calls to contact centre resolved in the contact centre						
<b>Quarter Target:</b>	62.0%			<b>Perf to Date:</b>	No data available		
<b>Annual Target:</b>	62.0%						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
65.0% <span style="color: green;">G</span>	65.0% <span style="color: green;">G</span>	N/A	N/A	N/A	N/A	N/A	
<b>Latest Comments including any necessary action:</b>							
Due to problems with integration between new Lync system and the Contact Centre telephony system no performance data has been available this year. The replacement Contact Centre Management System has now been successfully in use since 15th December. This means that performance data will be available for Quarter 4 onwards.							



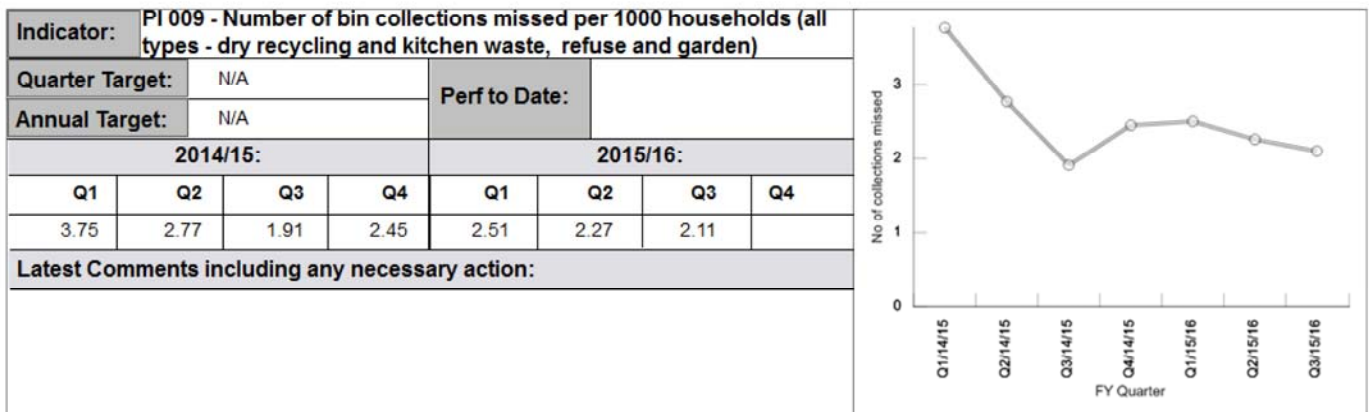
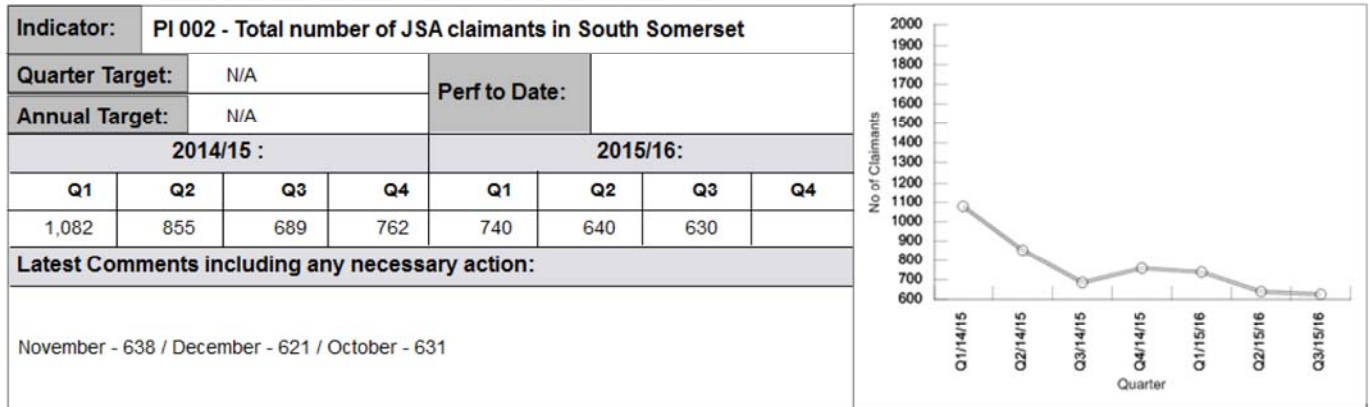
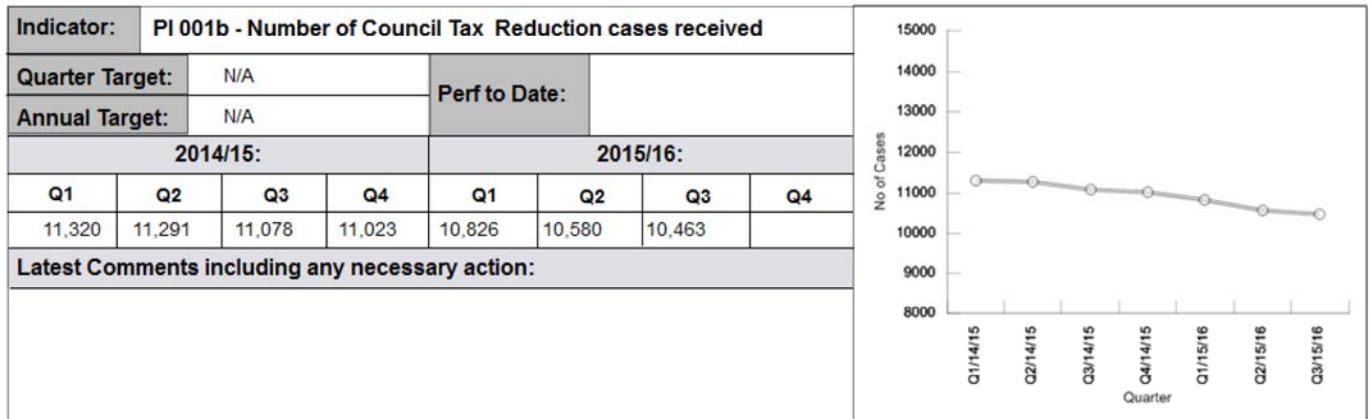
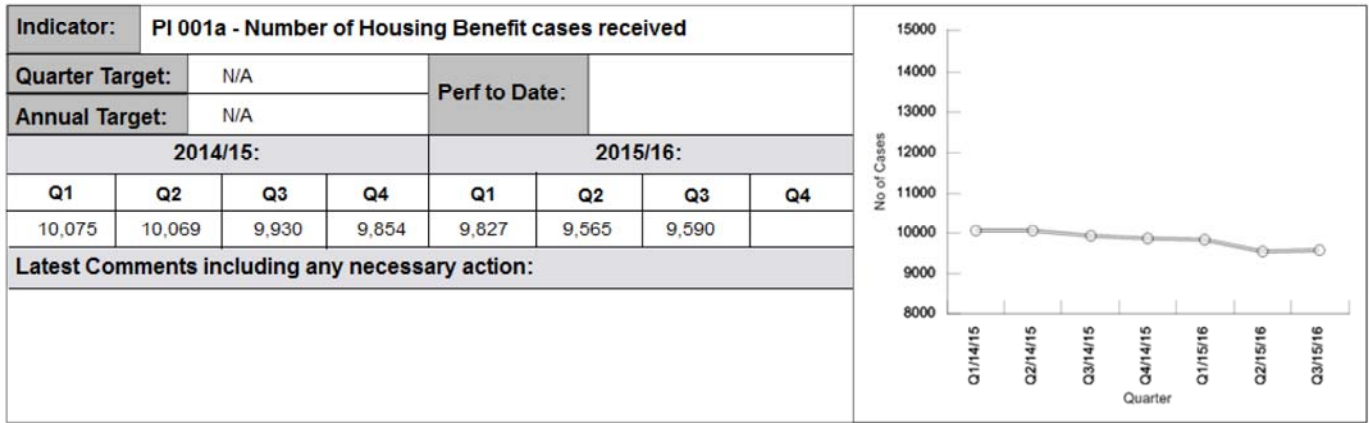
<b>Indicator:</b>	PI 032 - Working days lost due to sickness absence per Full Time Employee (FTE)						
<b>Quarter Target:</b>	6.00			<b>Perf to Date:</b>			
<b>Annual Target:</b>	8.00						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
2.03 <span style="color: orange;">A</span>	4.23 <span style="color: orange;">A</span>	6.00 <span style="color: green;">G</span>	8.57 <span style="color: orange;">A</span>	2.01 <span style="color: orange;">A</span>	4.80 <span style="color: orange;">A</span>	7.51 <span style="color: red;">R</span>	
<b>Latest Comments including any necessary action:</b>							
72% of absences YTD has been classified as long term absence which are absences over 2 weeks. A relatively small number of long term absences have contributed to a higher than normal absence figure. 43% of staff have had no absences in YTD. Absence management training is being rolled out to managers and supervisors across the organisation.							



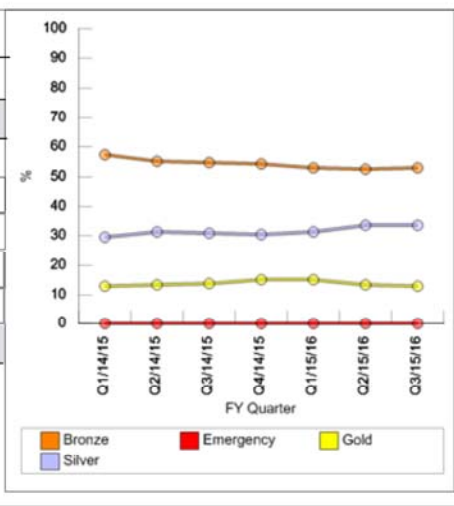
<b>Indicator:</b>	PI 035 - Percentage of Council Tax Collected						
<b>Quarter Target:</b>	83.5%			<b>Perf to Date:</b>			
<b>Annual Target:</b>	97%						
<b>2014/15:</b>				<b>2015/16:</b>			
<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
29.6% <span style="color: green;">G</span>	57.4% <span style="color: green;">G</span>	82.6% <span style="color: orange;">A</span>	97.0% <span style="color: green;">G</span>	29.6% <span style="color: green;">G</span>	55.9% <span style="color: green;">G</span>	82.8% <span style="color: orange;">A</span>	
<b>Latest Comments including any necessary action:</b>							
Performance profile needs amending to better reflect the current payment profile (more people are opting to pay over 12 months so more is being collected in Q4 than previously). Will do this for 2016/17. Collection performance for Q3 is actually higher by 0.2% compared with Q3 last year.							



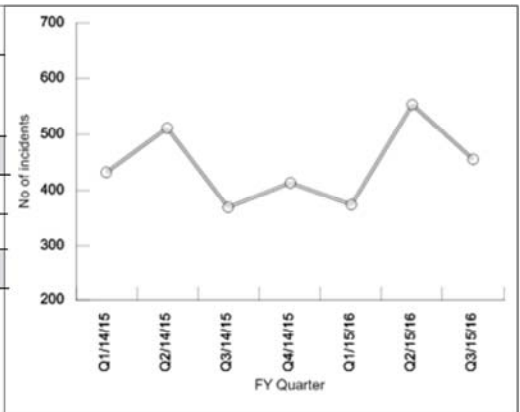
## Performance Measures of Trend (no targets set as SSDC do not directly influence):



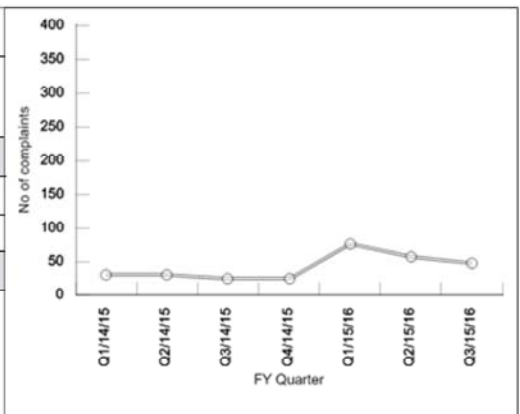
<b>Indicator:</b>	<b>PI 015 - % of households on the Choice Based Letting waiting list (all categories)</b>							
<b>Quarter Target:</b>	N/A				<b>Annual Target:</b>	N/A		
	<b>2014/15:</b>				<b>2015/16:</b>			
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
Bronze	57.3%	55.4%	54.9%	54.2%	53.3%	52.7%	53.2%	
Silver	29.8%	31.3%	31.0%	30.4%	31.5%	33.5%	33.7%	
Gold	12.9%	13.3%	14.0%	15.3%	15.1%	13.6%	13.0%	
Emergency	0.0%	0.0%	0.1%	0.1%	0.1%	0.2%	0.2%	
<b>Latest Comments including any necessary action:</b>								
Q2 2015-16				Q3 2015-16				
Bronze	1,096			Bronze	1,101			
Emergency	4			Emergency	4			
Gold	283			Gold	269			
Silver	697			Silver	697			



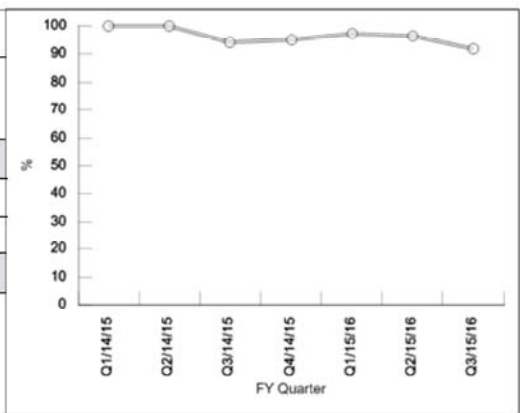
<b>Indicator:</b>	<b>PI029 - Number of incidents of antisocial behaviour reported to SSDC (excluding flytipping and dead animals)</b>							
<b>Quarter Target:</b>	N/A				<b>Perf to Date:</b>			
<b>Annual Target:</b>	N/A							
	<b>2014/15:</b>				<b>2015/16:</b>			
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
	433	511	369	414	373	554	455	
<b>Latest Comments including any necessary action:</b>								
Although this quarter shows a reduction of almost one hundred reported incidents as compared with the last quarter, it is an increase on the same time last year of 86 incidents 23%. This is largely down to an increase in reports of abandoned vehicles, drugs issues, and dog related incidents.								



<b>Indicator:</b>	<b>PI 033 - Total number of complaints received</b>							
<b>Quarter Target:</b>	N/A				<b>Perf to Date:</b>	48		
<b>Annual Target:</b>	N/A							
	<b>2014/15:</b>				<b>2015/16:</b>			
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
	31	31	26	25	77	59	48	
<b>Latest Comments including any necessary action:</b>								



<b>Indicator:</b>	<b>PI 034 - % of complaints resolved at stage 1 of complaints procedure</b>							
<b>Quarter Target:</b>	N/A				<b>Perf to Date:</b>			
<b>Annual Target:</b>	N/A							
	<b>2014/15:</b>				<b>2015/16:</b>			
	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
	100.0%	100.0%	94.0%	95.3%	97.4%	96.6%	91.7%	
<b>Latest Comments including any necessary action:</b>								
Stage 1: 44 Stage 2: 4 Stage 3: 0								





# Agenda Item 10

## **Proposed amendments to the Business Rates Discretionary Rate Relief Policy**

*Executive Portfolio Holder:* Peter Seib, Finance and Legal Services  
*Assistant Director:* Donna Parham, Assistant Director (Finance and Corporate Services)  
*Service Manager:* Ian Potter, Revenues and Benefits Manager  
*Lead Officers:* Ian Potter, Revenues and Benefits Manager, Revenues and Benefits Sharon Jones, Revenues Team Leader, Revenues and Benefits  
*Contact Details:* [ian.potter@southsomerset.gov.uk](mailto:ian.potter@southsomerset.gov.uk) or 01935 462690  
[Sharon.jones@southsomerset.gov.uk](mailto:Sharon.jones@southsomerset.gov.uk) or 01935 462256

### **Purpose of the Report**

To request that the District Executive approve the proposed amendments to the Council's Business Rates Discretionary Rate Relief Policy

### **Forward Plan**

This report appeared on the District Executive Forward Plan with an anticipated Committee date of 3 March 2016.

### **Public Interest**

A range of Mandatory and Discretionary Rate Reliefs exist to reduce (in some cases to Nil) the amount of Non-Domestic Rates (commonly known as business rates) a business or organisation has to pay. The qualifying rules and levels of relief for Mandatory Reliefs are set by Government and are the same throughout the country. The rules and levels of award for Discretionary Rate reliefs are set by each Council and as such may vary from Council to Council. A full review and updating of the policy was undertaken in 2014 with the policy coming in to effect from 1 April 2015.

### **Recommendations**

The District Executive is requested to:

- (a) Approve the amended Discretionary Rate Relief Policy(DRRP) which will come into effect on 1 April 2016;
- (b) Note the DRRP Overview and Scrutiny Committee Task and Finish Group have considered and support the proposed amendments

### **Background**

The Local Government Finance Bill 2012 introduced the Business Rates Retention Scheme. The scheme is designed to help achieve two of Government's key priorities: economic growth and localism. The scheme enables the retention of a proportion of the business rates revenue generated in a local area by the relevant local authorities. Business rates retention is intended to provide incentives for local authorities to drive economic growth, as the authorities will be able to retain a share of the growth that is generated in business rates revenue in their areas, as opposed to the current system where all business rates revenues are held centrally. The government has announced that the share to be paid to central

government from business rates collected will be 50%. Therefore 50% of business rates will be retained locally (40% District, 9% County, 1% Fire authorities). However, in reality only 5% is retained by SSDC once other deductions are made.

As part of the Retention Scheme Government changed the contribution it makes to the various rate reliefs. Reliefs were previously broken down into mandatory support (support set by central Government) that was repaid to the local authority in full from the Government on the basis that local authorities had no choice but to award it under set criteria. The remaining discretionary relief (support set through SSDC) that the authority had to pay either in full or a proportion of but allocation was based on the authority's own criteria.

Under the new Government rules SSDC has to contribute 40% towards all reliefs even those that it has no choice about awarding. It has therefore been important to recognise the financial risk of applying reliefs when considering the new policy. The financing of reliefs need to be both affordable and balance the needs of the business and those of the local tax payer.

This current policy was created after extensive work by the Council's Overview and Scrutiny Committee Task & Finish group and in consultation with both internal and external (business stakeholders). It came in to effect on 1 April 2015 with a transitional period of one year for current recipients.

### **Re-application process**

During this financial year we have been inviting current recipients of discretionary rate relief to reapply under the policy introduced on 1 April 2015.

It has come to light when processing applications under the new policy that a number of minor amendments and additions to the policy are required. These changes will improve clarity of the award criteria upon which a decision is based, and removes the incorrect requirement for certain organisations to be in a rural settlement.

These changes are highlighted in the policy shown at Appendix A as follows. The blue text is to be removed and the red text is to be added.

There are two types of organisation; Hostels and Stores/Warehouses (local and national charities) which formed part of the original policy review but were omitted from the award criteria table. These have now been added.

In the pre-April 2015 policy there was a £50k rateable value limit for applications by small Museum/Heritage, Theatres or Arts centres with charitable status. This limit was omitted from the award criteria table in the April 2015 Policy, and has been included in the proposed amendments.

As part of this policy content review we have also taken the opportunity to incorporate the following into the policy document:

1. The sliding scale award rates table which was previously contained in Schedule 1 to the original policy
2. The Retail Rate Relief and Transitional Rate Relief schemes which were approved by Council on 5 March 2015 (Item 5)

### **.Future monitoring and review**



The content of the policy will be reviewed annually and brought back before members where further updates are required.

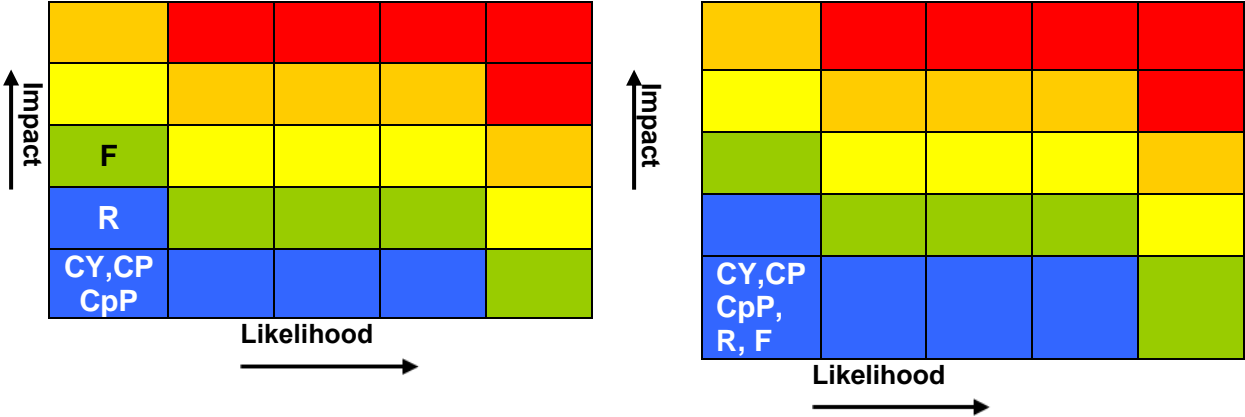
**Financial Implications**

There are no financial implications associated with the amended policy in this report.

**Risk Matrix**

**Risk Profile before officer recommendations**

**Risk Profile after officer recommendations**



**Key**

Categories	Colours (for further detail please refer to Risk management strategy)
R = Reputation	Red = High impact and high probability
CpP = Corporate Plan Priorities	Orange = Major impact and major probability
CP = Community Priorities	Yellow = Moderate impact and moderate probability
CY = Capacity	Green = Minor impact and minor probability
F = Financial	Blue = Insignificant impact and insignificant probability

**Council Plan Implications**

None associated with this report

**Carbon Emissions and Climate Change Implications**

None associated with this report

**Equality and Diversity Implications**

An equalities impact was carried out as part of the original policy review.

**Privacy Impact Assessment**

None associated with this report

**Background Papers**

- Report to District Executive – November 2014 item 8
- Report to Council – March 2015 item 5

**South Somerset District Council  
Policy for the granting of Discretionary  
Non-Domestic Rate Relief**

V.1.1 – 1 April 2016

## Version Control

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## 1.0 Purpose of the Policy

- 1.1 The purpose of this policy is to determine the level of discretionary relief to be granted to certain defined ratepayers within the Council's area.
- 1.2 The Local Government Finance Act 1988 and subsequent legislation requires the Council to grant mandatory relief for premises occupied by Charities and similar organisations that own or occupy them wholly or mainly for charitable purposes. Likewise certain premises situated within a rural settlement area will be eligible for mandatory relief. Powers have also been granted under the Localism Act 2011, which allow for the granting of discretionary rate relief to any premises where the Council feels the granting of such relief would be of benefit to the local community.
- 1.3 Further guidance has also been received from Central Government in respect of the granting of relief for:
- Unoccupied new structures (from 1<sup>st</sup> October 2013);
  - Retail relief (£1000) (from 1<sup>st</sup> April 2014);
  - Flood Relief; and
  - Retail reoccupation relief (from 1<sup>st</sup> April 2014).
- 1.4 Whilst the Council is obliged to grant relief to premises, which fall within the mandatory category, the Council also has powers to grant discretionary relief to ratepayers subject to certain criteria being met. In the case of new reliefs, guidance has been issued by Central Government outlining actions expected to be taken by local authorities.
- 1.5 Full details of the legislative requirements for both mandatory and discretionary relief are given within the following sections of this report.
- 1.6 This document also outlines the following areas:
- Details of the criteria for receiving Discretionary Relief for all relevant areas;
  - The Council's policy for granting of all types of Discretionary Relief;
  - Guidance on granting and administering the relief;
  - European Union requirements including provisions for State Aid; and
  - The Scheme of Delegation.
- 1.7 This policy covers all aspects of discretionary rate relief (subject to changes in legislation). Where organisations apply for relief they will be granted (or not granted) relief in line with the following policy.
- 1.8 This policy has been created after extensive work by the Council's **Overview and Scrutiny Committee** Task & Finish group and in consultation with both internal and external (business stakeholders).

## 2.0 Mandatory Relief - Legislative Background

### Charity Relief

- 2.1 The powers relating to the granting of mandatory<sup>1</sup> and discretionary relief are given to the Council under the Local Government Finance Act 1988<sup>2</sup>. Charities and Trustees for Charities are only liable to pay one fifth of the Non Domestic Rates that would otherwise be payable where property is occupied and used wholly or mainly for charitable purposes. This amounts to mandatory relief of 80%. For the purposes of the Act a charity is an organisation or trust established for charitable purposes, whether or not it is registered with the Charity Commission. The provision has recently been extended under the Local Government Act 2003 (effective from 1<sup>st</sup> April 2004) to registered Community Amateur Sports Clubs (CASCs).
- 2.2 The Council has discretion to grant relief of up to a further 20% for these cases under the discretionary provisions.

### Rural Rate Relief

- 2.3 From 1<sup>st</sup> April 1998, under powers originally granted to the Council under the Local Government and Rating Act 1997<sup>3</sup>, certain types of business in rural settlements, with a population below 3000 may qualify for mandatory rate relief of 50 per cent. Businesses that qualify for this relief are the sole general store and the sole post office in the village, provided it has a Rateable Value of up to £8500; any food shop with a Rateable Value of up to £8500; and the sole pub and the sole petrol station in the village provided it has a Rateable Value of up to £12500.
- 2.4 The Council has discretion to grant up to a further 50% relief of the remaining rates on such property.
- 2.5 In addition to this the Council may decide to give up to 100 per cent relief to any other business (not in receipt of mandatory relief) in such a rural settlement, with a Rateable Value of up to £16,500, if it is satisfied that the business is of benefit to the community and having regard to the interests of its Council Taxpayers.

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<sup>1</sup> S43 & S45 Local Government Finance Act 1988

<sup>2</sup> S47 & S48 Local Government Finance Act 1988

<sup>3</sup> LGFA 1988, s.47, as amended by Sch. 1 to the Local Government and Rating Act 1997

## 3.0 Discretionary Relief – Legislative Background

### Introduction

- 3.1 The original purpose of discretionary relief was to provide assistance where the property does not qualify for mandatory relief, or to ‘top’ up cases where ratepayers already receive mandatory relief.
- 3.2 Over recent years and particularly since 2011, the discretionary relief provisions have been amended to allow authorities the flexibility to provide assistance to businesses and organisations. Recent announcements by Central Government have also allowed for relief:
- to be targeted to certain business ratepayers;
  - to encourage building of business premises even though the developer may not be able to sell or let the premises immediately;
  - to alleviate the effects of the recession; and
  - to encourage the use of retail premises which have been unoccupied for a period of time.
- 3.3 The range of bodies, which are eligible for discretionary rate relief, is wide and not all of the criteria laid down by the legislation will be applicable in each case.
- 3.4 Unlike mandatory relief, ratepayers are obliged to make a written application to the Council.
- 3.5 The Council is obliged to consider carefully every application on its merits, taking into account the contribution that the organisation makes to the amenities of the area. There is no statutory appeal process against any decision made by the Council although as with any decision of a public authority, decisions can be reviewed by Judicial Review.
- 3.6 Granting of the relief falls broadly into the following categories:
- a. Discretionary Relief – Charities who already receive mandatory relief.
  - b. Discretionary Relief – Premises occupied by organisations not established or conducted for profit whose main objects are charitable or are otherwise philanthropic or religious or concerned with education, social welfare, science, literature or the fine arts;
  - c. Discretionary Relief – Premises occupied by organisations not established or conducted for profit and wholly or mainly used for purposes recreation;
  - d. Discretionary Relief – Rural Rate relief - premises that already receive mandatory relief (not applicable to the Council);
  - e. Discretionary Relief – Rural Rate relief - premises not receiving mandatory relief but of benefit to the local community and less than £16,500 RV.(not applicable to the Council);
  - f. Discretionary Relief – Granted under the Localism Act 2011 provisions
  - g. Discretionary Relief – Unoccupied New Structures (available from 1<sup>st</sup> October 2013);
  - h. Discretionary Relief - Retail relief (available from 1<sup>st</sup> April 2014);
  - i. Discretionary Relief – Flooding;
  - j. Discretionary Relief - Reoccupation Relief (available from 1<sup>st</sup> April 2014).

- 3.7 The decision to grant or not to grant relief is a matter purely for the Council although the general principles are a matter of concern to Central Government and in the case of e., f., and g. above, Central Government has provided specific guidance and finance.

### **The Council's approach to granting Discretionary Relief**

- 3.8 In deciding which organisations should receive discretionary Rate relief, the Council has taken into account the following factors and priorities:
- a. Provide assistance when there is evidence of financial need;
  - b. The policy should support business, charities, organisations and groups that help to retain services in rural areas;
  - c. Help and encourage business, charities, organisations, groups and communities to become self-reliant;
  - d. Awarding discretionary relief should not distort competition; and
  - e. Every business/ organisation should contribute something towards the provision of local services.



## 4.0 Effect on the Council's Finances

- 4.1 The granting of discretionary relief will, in all circumstances, involve a cost to the Council. Since the change to the funding for Non Domestic Rating in April 2013, the effect of the relief is complex.
- 4.2 Any amounts granted prior to 1<sup>st</sup> April 2013 and continuing since that date will be included in the Council's baseline within the Business Rates Retention Scheme. Any amounts granted for similar cases after 1<sup>st</sup> April 2013, the costs of the relief will be borne in accordance with the Business Rates Retention Scheme share namely 50% borne by Central Government and 40% by the Council. The remaining cost is borne by the major Precepting authorities.
- 4.3 The new areas for relief namely;
- Discretionary Relief – Unoccupied New Structures (available from 1<sup>st</sup> October 2013);
  - Discretionary Relief - Retail relief (available from 1<sup>st</sup> April 2014);
  - Discretionary Relief – Flooding
  - Discretionary Relief - Reoccupation Relief (available from 1<sup>st</sup> April 2014).
- are to be financed wholly by Central Government by direct grant under Section 31 of the Local Government Act 2003. A summary of the financial situation is given below.

	Relief Type	Granted after 1 <sup>st</sup> April 2013
	<b>Charity Relief</b>	
a.	Discretionary relief granted to Mandatory Relief recipients	40% borne by the Council
b.	Non profit Making Organisations	40% borne by the Council
c.	Sports Clubs and societies	40% borne by the Council
	<b>Rural Rate Relief</b>	
d.	Discretionary relief granted to Mandatory Relief recipients	40% borne by the Council
e.	Other premises within a rural settlement under £16500 RV	40% borne by the Council
	<b>Localism</b>	
f.	Discretionary Relief granted to ratepayers generally and not covered by any other section	40% borne by the Council
	<b>Unoccupied New Structures</b>	
g.	Granted after 1 <sup>st</sup> October 2013	Funded in full by Central Government under S31 Local Government Act 2003
	<b>Retail Relief</b>	
h.	Granted after 1 <sup>st</sup> April 2014	Funded in full by Central Government under S31 Local Government Act 2003
	<b>Flooding Relief</b>	
i.	Granted after 1 <sup>st</sup> April 2014	Funded in full by Central Government under S31 Local Government Act 2003
	<b>Re-occupation Relief</b>	
i.	Granted after 1 <sup>st</sup> April 2014	Funded in full by Central Government under S31 Local Government Act 2003

## 5.0 Charity Relief – Mandatory Relief recipients

### General Explanation

- 5.1 S43 of the Local Government Finance Act 1988 allows mandatory relief (80%) to be granted on premises if the ratepayer is a charity or trustees for a charity and the premises are wholly or mainly used for charitable purposes. No charge is made in respect of unoccupied premises where it appears that *when next in use* it will be used wholly or mainly for those purposes.
- 5.2 The legislation has been amended by the Local Government Act 2003 (effective from 1<sup>st</sup> April 2004) to include registered<sup>4</sup> Community Amateur Sports Clubs (CASC). These organisations can now receive the mandatory (80%) relief.

### Charity registration

- 5.3 Charities are defined within the legislation as being an institution<sup>5</sup> or other organisation established for charitable purposes only or by persons administering a trust established for charitable purposes only.
- 5.4 The question as to whether an organisation is a charity may be resolved in the majority of cases by reference to the register of charities maintained by the Charity Commissioners under s.4 of the Charities Act 1960. Entry in the register is conclusive evidence. By definition, under the Non Domestic Rating legislation, there is no actual need for an organisation to be a registered charity to receive the relief and this has been supported by litigation<sup>6</sup>, however in all cases the organisation must fall within the following categories:
- trusts for the relief of poverty;
  - trusts for the advancement of religion;
  - trusts for the advancement of education; and
  - trusts for other purposes beneficial to the community, but not falling under any of the preceding heads.
- 5.5 Certain organisations are exempted from registration generally and are not required to make formal application to the Charity Commissioners these are:
- the Church Commissioners and any institution administered by them;
  - any registered society within the meaning of the Friendly Societies Acts of 1896 to 1974 ;
  - units of the Boy Scouts Association or the Girl Guides Association; and
  - voluntary schools within the meaning of the Education Acts of 1944 to 1980
- 5.6 The Council would consider charitable organisations, registered or not, for mandatory relief.

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<sup>4</sup> Registered with HMRC as a CASC

<sup>5</sup> S67(10) Local Government Finance Act 1988

<sup>6</sup> Income Tax Special Commissioners v Pemsell (1891)

## **Use of Premises – wholly or mainly used**

- 5.7 Irrespective of whether an organisation is registered as a charity or not, the premises must be wholly or mainly used for charitable purposes. This is essential if any relief (either mandatory or discretionary) is to be granted. In most cases this can be readily seen by inspection but on occasions the Council has had to question the actual use to which the premises are to be put.
- 5.8 Guidance from the Department of Communities and Local Government (DCLG) has stated that in the case of ‘mainly’, at least 51% must be used for charitable purposes whether of that charity or of that and other charities
- 5.9 The following part of this section gives details on typical uses where relief may be given plus additional criteria that have to be satisfied. The list is not exhaustive but gives clear guidance on premises for which mandatory relief can be granted *and therefore* premises which could be equally considered for discretionary rate relief.

### **Offices, administration and similar premises**

- 5.10 Premises used for administration of the Charity including:
- Offices
  - Meeting Rooms
  - Conference Rooms

### **Charity shops**

- 5.11 Charity shops are required to meet additional legislative criteria if they are to receive mandatory relief. Section 64(10) of the Local Government Finance Act 1988 provides that a property is to be treated as being wholly or mainly used for charitable purposes at any time if, at the time, it is wholly or mainly used for the sale of goods donated to a charity and the proceeds of the sale of the goods (after any deduction of expenses) are applied for the purposes of the charity.
- 5.12 In order to ascertain whether an organisation meets these requirements, inspections may be made by staff when an application is received

### **Charity Relief – Mandatory Relief recipients, the Council’s Policy for granting discretionary relief.**

- 5.13 The Council has resolved to grant the following discretionary relief where the applicants already receives mandatory charity relief:

**Discretionary Relief where the organisation receives Mandatory Charity Relief**

	Organisation	Mandatory Relief	Criteria	Situated within a Rural Settlement	Amount of Discretionary Relief
1	Village Halls, Community centres and meeting rooms with charitable status	80%	Where helping to achieve the ambitions of the Council plan and related strategies	N/A	10%
			Where helping to achieve the ambitions of the Council plan or related strategies/policies or where it is helping to retain services in rural areas	N/A	20%
2	Scout, Guide and Youth Organisations with charitable status	80%	Where helping to achieve the ambitions of the Council plan and related strategies	N/A	10%
			Where helping to achieve the ambitions of the Council plan or related strategies/policies or where it is helping to retain services in rural areas	N/A	20%
3	Pre-Schools/ Play Groups and Nurseries	80%	Where helping to achieve the ambitions of the Council plan and related strategies	N/A	10%
			Where helping to achieve the ambitions of the Council plan or related strategies/policies or where it is helping to retain services in rural areas	N/A	20%
4	Schools/education & Academy's with charitable status, including private schools	80%		N/A	Nil
5	Local charity office	80%	Where solely an administration office	N/A	Nil
			Where Charitable service is also delivered from same premises	N/A	10%
			Where the charitable service is being delivered from the same premises and the work of the organisation helps SSDC meet its Council Plan and objectives to such an	N/A	20%

	Organisation	Mandatory Relief	Criteria	Situated within a Rural Settlement	Amount of Discretionary Relief
			extent that if the organisation did not operate SSDC would have to do the work or contract another provider		
6	Local Charity Shop	80%		N/A	Nil
7	National charity shop	80%		N/A	Nil
8	National Charity Administration office	80%		N/A	Nil
9	Sports Clubs/recreational facilities (with charity status)	80%	Where there is a bar offering alcohol at discounted or reduced prices to its members or the general public	N/A	Nil
			Where the bar is ancillary and is not offering discounted alcohol or there is no bar and the criteria below are not fulfilled.	N/A	10%
			Where: <ul style="list-style-type: none"> <li>• there is no bar; and</li> <li>• The club / facilities are open to all; and</li> <li>• Satisfies community need; and</li> <li>• Is run by a committee – that is constitutionalised and operates under good governance.</li> </ul>	N/A	20%
10	Community Amateur Sports Club (CASC)	80%	Where there is a bar offering alcohol at discounted or reduced prices to its members or the general public	N/A	Nil
			Where the bar is ancillary and is not offering discounted alcohol or there is no bar and the criteria below are not fulfilled.	N/A	10%
			Where: <ul style="list-style-type: none"> <li>• there is no bar; and</li> <li>• The club / facilities are open to all; and</li> <li>• Satisfies community need; and</li> <li>• Is run by a committee – that is</li> </ul>	N/A	20%

	Organisation	Mandatory Relief	Criteria	Situated within a Rural Settlement	Amount of Discretionary Relief
			constitutionalised and operates under good governance.		
11	Hospice/end of life care provider with charitable status	80%		N/A	20%
12	Lifesaving/rescue organisations with Charitable Status	80%	This does not apply to any retail premises. See organisation categories 6 and 7.	N/A	20%
13	Small Museum/Heritage or Arts centre with charitable status	80%	Up to a maximum RV of £50,000	N/A	10%
14	Theatres with charitable status	80%	Up to a maximum RV of £50,000	N/A	10%
15	Housing Association Offices	80%		N/A	Nil
16	Religious Organisations and groups with charitable status	80%		N/A	Nil
17	Hostel	80%	Where helping to achieve the ambitions of the Council plan and related housing strategies	N/A	20%
18	Stores/warehouses (local and national charities)	80%		N/A	Nil

## **6.0 Rural Rate Relief – Mandatory Relief recipients**

### **What are the qualifying criteria for Mandatory Relief?**

- 6.1 For a Post Office or General Store to be entitled to 50% Mandatory Relief, all the following criteria must be met:
- The Rateable Value of the property must not exceed £8,500 (from 1 April 2010);
  - The property must be used as a Post Office or a General Store (see below for definition), or both;
  - The property must be the only Post Office or the only General Store within the Rural Settlement.
- 6.2 For a Public House or Petrol Filling Station to be entitled to 50% Mandatory Relief, all the following criteria must be met:
- The Rateable Value of the property must not exceed £12,500 from 1 April 2010);
  - The property must be used as a Public House (see below for definition) or a Petrol Filling Station (see below for definition); and
  - The property must be the only Public House or the only Petrol Filling Station within the Rural Settlement.
- 6.3 For a village food shop to be entitled to 50% Mandatory Relief, all the following criteria must be met:
- The Rateable Value of the property must not exceed £8,500 from 1 April 2010); and
  - The property must be used as a shop selling mainly food (see below for definition).

### **What is the definition of a General Store?**

- 6.4 For the purposes of Rural Rate Relief, 'General Store' means a business or trade, which wholly or mainly sells by retail both food (other than confectionery) for human consumption and general household goods. Where there are two or more General Stores within the same Rural Settlement, none can qualify for Mandatory Relief on that basis, although if one of them functions as a Post Office or a Food Shop relief may be claimed independently on that ground. However, both a General Store and a Post Office in the same Rural Settlement will qualify for Mandatory Relief, provided that they both meet the criteria. Although a General Store or a Post Office may not meet the criteria for Mandatory Relief, they may still be eligible to apply for Discretionary Relief.

### **What is the definition of a Public House?**

- 6.5 For the purposes of Rural Rate Relief, 'Public House' means any premises as defined in the Licensing Act 2003, which has a premises license authorising sale by retail of alcohol for consumption on the premises. In addition the premises must be used principally for

retail sales of alcohol to members of the public for consumption on the premises, and sales must not be subject to the condition that buyers reside at or consume food on the premises.

### **What is the definition of a Petrol Filling Station?**

- 6.6 For the purposes of Rural Rate Relief, 'Petrol Filling Station' means premises where petrol or other automotive fuels are sold retail to the general public for fuelling motor vehicles intended or adapted for use on roads

### **What is the definition of a Food Shop?**

- 6.7 For the purpose of Rural Rate Relief, "Food Shop" means a trade or business consisting wholly or mainly of the sale by retail of food for human consumption (excluding confectionery and catering – in this context catering means any supply of food for consumption on the premises on which it is supplied and any supply of hot food for consumption off the premises). Thus, this definition may also include shops, which sell mainly household foods and which may partly also sell hot take away food or food consumed on the premises. But shops whose main business is a restaurant, tea-room, take-away, or confectionery sales are not Food Shops and so will not qualify for Mandatory Relief.

### **What are the qualifying criteria for Discretionary Relief?**

- 6.8 The Council may grant up to 50% Discretionary Relief in respect of any property which qualifies for 50% Mandatory Relief and the Council may also grant up to 100% Discretionary Relief to any rural business which does not meet the mandatory provisions (see Section 7).

### **Rural Rate Relief – Mandatory Relief recipients, the Council's Policy for granting discretionary relief.**

- 6.9 The Council has resolved to grant the following discretionary relief where the applicants already receive mandatory rural rate relief:



**Discretionary Relief where the organisation receives Mandatory Rural Rate Relief**

	<b>Organisation</b>	<b>Mandatory Relief</b>	<b>Criteria</b>	<b>Situated within a Rural Settlement</b>	<b>Amount of Discretionary Relief</b>
1	Rural Public House (£12,500 RV or less)	50%	Discretionary relief for the provision of community facilities and activities not provided elsewhere in the community	Yes	20%
			If they can demonstrate they are making significant efforts to help the business succeed	Yes	20%
2	Rural Post Office up to £8500 RV	50%		Yes	40%
3	Rural General Store up to £8500 RV	50%		Yes	40%
4	Rural Post Office and General Store up to £8,500 RV	50%		Yes	40%
5	Rural Food Shops up to £8500 RV	50%		Yes	Nil
6	Rural Petrol Filling Stations up to £12,500 RV	50%		Yes	Nil

## **7.0 Discretionary Relief – Premises within Rural Settlements**

- 7.1 In addition to having the ability to grant discretionary relief to those in receipt of mandatory relief, the Local Government and Rating Act 1997 allows discretionary relief of up to 100% to be granted where the rateable value is £16500 or less and:
- a. property is used for purposes which are of benefit to the local community, and
  - b. it would be reasonable for the billing authority to award relief, having regards to the Council's Council Taxpayers
- 7.2 As with all discretionary relief, part of the cost, is met by Central Government and the balance from local sources. In line with the Business Rates Relief principles, outlined earlier in this policy.
- 7.3 The main criteria for granting discretionary relief in respect of rural rate relief is that premises are used to benefit the local community.

### **Benefit to the local community**

- 7.4 Whilst each application for the relief will be considered on its own merits there are certain factors which weigh heavily in the decision making process. It is this Council's belief that the spirit of the legislation is to assist businesses and amenities, which contribute significantly to the quality of life of the people who have their main home in the Rural Settlement.
- 7.5 To be successful for consideration, a business must show that its existence is a significant benefit to the local community with the majority of local residents directly benefiting from services or facilities provided by that business

### **Rural Rate Relief – the Council's Policy for granting discretionary relief.**

- 7.6 The Council has resolved to grant the following discretionary relief where the applicants are not already in receipt of mandatory rural rate relief:

**Discretionary Relief - where the organisation is not in receipt of Mandatory Rural Rate Relief**

	<b>Organisation</b>	<b>Mandatory Relief</b>	<b>Criteria</b>	<b>Situated within a Rural Settlement</b>	<b>Amount of Discretionary Relief</b>
1	Rural Public House, up to £16,500 RV	No	Discretionary relief for the provision of community facilities and activities not provided elsewhere in the community	Yes	20%
			If they can demonstrate they are making significant efforts to help the business succeed	Yes	20%
2	Dentist, hairdresser, up to £16,500 RV	No	Discretionary relief for the provision of community facilities not provided elsewhere in the community	Yes	Up to 50%

## 8.0 Discretionary Relief – Non Profit Making Organisations including Recreation

### General explanation

#### Non-Profit

- 8.1 The legislation<sup>7</sup> allows the Council to grant discretionary relief where the property is not an *excepted* one and all or part of it is occupied for the purposes of one or more institutions or other organisations none of which is established or conducted for profit and each of whose main objects are charitable or are otherwise philanthropic or religious or concerned with education, social welfare, science, literature or the fine arts.
- 8.2 Relief cannot be granted to any premises occupied by the Council, or any town, parish council or major Precepting Authority (*excepted premises*).
- 8.3 A number of issues arise from the term 'not established or conducted for profit'. This requires the Council to make enquiries as to the overall purpose of the organisation although if surpluses and such amounts are directed towards the furtherance or achievement of the objects of the organisation then it does not necessarily mean that the organisation was established or conducted for profit.<sup>8</sup>

#### Recreation Clubs

- 8.4 Ideally all recreation clubs should be encouraged to apply for CASC status, which would automatically entitle them to 80% relief.
- 8.5 Recreation Clubs can also apply to the Charity Commissioners for registration as a Charity (thereby falling under the mandatory provisions for 80% relief) where they meet the following conditions:
- a. The promotion of community participation in healthy recreation and by the provision of facilities for the playing of particular sports; and
  - b. The advancement of the physical education of young people not undergoing formal education.
- 8.6 Where sports clubs do not meet the CASC requirement, and are not registered charities, discretionary relief can be granted (0-100%) where the property is not an *excepted* one, it is wholly or mainly used for purposes of recreation and all or part of it is occupied for the purpose of a club, society or other organisation not established or conducted for profit.

### Definition of Recreation

- 8.7 Recreation is clearly defined by the Sports Council as any of the following<sup>9</sup>

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<sup>7</sup> S47 Local Government Finance Act 1988

<sup>8</sup> National Deposit Friendly Society v Skegness Urban District Council (1958)<sup>1</sup> and Guinness Trust (London Fund) v West Ham County Borough Council (1959)

<sup>9</sup> Definition last reviewed by Sport England in 2002

Aikido	Croquet	Kabaddi	Real Tennis	Tang Soo Do
American Football	Crossbow	Karate	Roller Hockey	Tenpin Bowling
Angling	Curling	Kendo	Roller Skating	Trampoline
Archery	Cycling	Korfball	Rounders	Triathlon
Arm Wrestling Association	Disability Sport	Lacrosse	Rowing	Tug of War
Football	Dragon Boat Racing	Lawn Tennis	Rugby League	Unihoc
Athletics	Equestrian	Life Saving	Rugby Union	Volleyball
Australian Rules Football	Fencing	Luge	Sailing	Water Skiing
Badminton	Fives	Modern Pentathlon	Sand/Land Yachting	Weightlifting
Balloon	Flying	Motor Cycling	Shinty	Wrestling
Baseball	Gaelic Football	Motor Sports	Shooting	Yoga
Basketball	Gliding	Mountaineering	Skateboarding	
Baton Twirling	Golf	Movement, Dance, Exercise & Fitness	Skiing	
Biathlon	Gymnastics	Netball	Snowboarding	
Bicycle Polo	Hang/Para Gliding	Orienteering	Softball	
Billiards and Snooker	Highland Games	Parachuting	Sombo	
Bobsleigh	Hockey	Petanque	Wrestling	
Boccia	Horse Racing	Polo	Squash	
Bowls	Hovering	Pony Trekking	Skater/Street Hockey	
Boxing	Hurling	Pool	Sub-Aqua	
Camogie	Ice Hockey	Quoits	Surf Life Saving	
Canoeing	Ice Skating	Racketball	Surfing	
Caving	Jet Skiing	Rackets	Swimming & Diving	
Chinese Martial Arts	Ju Jitsu	Raquetball	Table Tennis	
Cricket	Judo	Rambling	Taekwondo	

### Access to clubs

- 8.8 Guidance issued by the DCLG also requires the Council to consider access to clubs within the community before granting discretionary relief.
- 8.9 Membership should be open to all sections of the community. There may be legitimate restrictions placed on membership which relate for example to ability in sport or to the achievement of a standard in the field covered by the organisation or where the capacity of the facility is limited, but in general membership should not be exclusive or restrictive.
- 8.10 Membership rates should not be set at such a high level as to exclude the general community. However, membership fees may be payable at different rates that distinguish the different classes of membership such as juniors, adults, students, pensioners, players, non-players, employed and unemployed. In general, the club or organisation must be prepared to show that the criteria by which it considers applications for membership are consistent with the principle of open access.

- 8.11 The Council also asks the following question to help establish the level of access ‘Does the organisation actively encourage membership from particular groups in the community e.g. young people, women, older age groups, persons with disability, ethnic minorities’ etc?’ – Where an organisation encourages such membership, the Council looks more sympathetically at their application. Likewise where facilities are made available to people other than members e.g. schools, casual public sessions etc. the Council will generally grant relief.

### **Provision of facilities**

- 8.12 Clubs which provide training or education are encouraged as are those who provide schemes for particular groups to develop their skills e.g. young people, the disabled, retired people.
- 8.13 A number of organisations run a bar. The mere existence of a bar should not in itself be a reason for not granting relief. However the Council focuses on the main purpose of the organisation. The Council is encouraged to examine the balance between playing and non-playing members. Likewise the level of bar profits is considered to be a gauge of how much relief should be given and the need for assistance.
- 8.14 Within this area the Council also considers whether the facilities provided relieve the Council of the need to do so, or enhance and supplement those that it does provide.

### **Discretionary Relief - Non-Profit Organisations including Recreation – the Council’s Policy**

- 8.15 Applications will be considered from non-profit making organisations, which can demonstrate the following:
- a. That the activities of the organisation are consistent with the Council's core values and priorities;
  - b. That they are non-profit making associations, groups, clubs which are accessible to all potential users, possess a representative management group and are clearly accountable to users, beneficiaries and members (e.g. evidence of constitution, membership and/or participation are required); and
  - c. That the membership comprises mainly residents of South Somerset or that activities are of direct benefit to residents of the District;
- 8.16 The current policy for granting relief is as follows:

	Organisation	Mandatory Relief	Criteria	Situated within a Rural Settlement	Amount of Discretionary Relief
1	Community Interest Company (or not for profit)	No	Where helping to achieve the ambitions of the Council plan or related strategies/policies and they operate similar to a charity with minimal costs and reinvest profit in the company. Up to a maximum Rateable Value of £8,500	No	80%
2	Sports Club / Recreational facility	No	Where there is <b>no bar or</b> the bar is ancillary and is not offering discounted alcohol, Rateable Value <b>up to</b> £8,500 (note not charities or CASCs)	No	90%
			Where there is <b>no bar or</b> the bar is ancillary and is not offering discounted alcohol, Rateable Value <b>over</b> £8,500 (note not charities or CASCs)	No	Sliding Scale (see table below)

Sliding Scale

Rateable value band	Level of relief
£8,501 to £13,499	80%
£13,500 to £18,499	70%
£18,500 to £23,499	60%
£23,500 to £28,499	50%
£28,500 to £33,499	40%
£33,500 to £38,499	30%
£38,500 to £43,499	20%
£43,500 to £49,999	10%
£50,000 and over	Nil

3	Hostels	No	Where helping to achieve the ambitions of the Council plan or related housing strategies/policies.	No	100%
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## 9.0 Discretionary Relief – Localism Act 2011

### General explanation

- 9.1 Section 69 of the Localism Act 2011 amended Section 47 of the Local Government Finance Act 1988. These provisions allow all Councils to grant discretionary relief in **any** circumstances where it feels fit having regards to the effect on the Council Tax payers of its area.
- 9.2 The provisions are designed to give authorities flexibility in granting relief where it is felt that to do so would be of benefit generally to the area and be reasonable given the financial effect to Council Tax payers.

### Discretionary Relief – Localism – the Council’s Policy

- 9.3 Applications will be considered from any ratepayer who wishes to apply however, where a ratepayer is suffering hardship or severe difficulties in paying their rates liability then relief can be granted under the existing provisions as laid down by Section 49 of the Local Government Finance Act 1988. There will be no requirement to grant relief in such cases under the Council’s discretionary relief policy.
- 9.4 Any ratepayer applying for discretionary rate relief under these provisions and who does not meet the criteria for existing relief (charities, non profit making organisations or rural premises) must meet **all** of the following criteria and the amount of relief granted will be dependant on the following key factors:
- a. The ratepayer **must not** be entitled to mandatory rate relief (Charity or Rural Rate Relief);
  - b. The ratepayer **must not** be an organisation that could receive relief as a non profit making organisation or as a sports club or similar;
  - c. The ratepayer **must** occupy the premises (no discretionary rate relief will be granted for unoccupied premises);
  - d. The premises and organisation **must** be of *significant* benefit to residents of the District;
  - e. The premises and organisation **must** relieve the Council of providing similar facilities;
  - f. The ratepayer **must**;
    - a. Provide facilities to certain priority groups such as elderly, disabled, minority groups, disadvantaged groups; **or**
    - b. Provide *significant* employment or employment opportunities to residents of the District; **or**
    - c. Provide the residents of the area with such services, opportunities or facilities that cannot be obtained locally or are not provided locally by another organisation;
  - g. The ratepayer **must** demonstrate that assistance (provided by the discretionary rate relief) will be for a *short time only* **and** that any business / operation is financially viable in the medium and long term; **and**
  - h. The ratepayer **must** show that the activities of the organisation are consistent with the Council's core values and priorities.
- 9.5 Where a ratepayer can demonstrate that **all** of the above criteria are met, relief will be considered for a period of one year.
- 9.6 A formal application from the ratepayer will be required in each case and any relief will be granted in line with State Aid requirements.



## 10.0 Discretionary Relief – Unoccupied New Structures

### General explanation

- 10.1 Central Government announced in December 2012 that, it would exempt all newly built unoccupied commercial property completed between 1st October 2013 and 30th September 2016 from empty property rates for the first 18 months, up to the state aids limits.
- 10.2 As this is a temporary measure, the Government are not changing the rules on when a property becomes liable for empty property rates (which would be charged at 100%). Instead they are providing the exemption by reimbursing local authorities that use their discretionary relief powers (under section 47 of the Local Government Finance Act 1988) to grant relief in prescribed circumstances.
- 10.3 It will be for the Council to decide to grant relief under section 47 but Central Government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under s31 of the Local Government Act 2003) based on outturn of relief granted in the circumstances specified. Through this mechanism, central government will guarantee to reimburse local within the rates retention system.
- 10.4 In order to receive the relief, the premises will be all unoccupied non-domestic properties that are **wholly or mainly** comprised of qualifying **new structures**.
- ‘Structures’ means:
- a) foundations ;and/or
  - b) permanent walls; and/ or
  - c) permanent roofs.
- The definition of ‘new’ means;
- a. Completed less that 18 months previously; and
  - b. Completed after 1<sup>st</sup> October 2013 and before 30<sup>th</sup> September 2016.
- 10.5 New structures are to be considered completed when the building or part of the building of which they form part is ready for occupation for the purpose it was constructed unless a completion notice has been served in respect of such a building or part of a building – in which case it would be the date specified in that notice.
- 10.6 The relief runs with the property rather than the owner so subsequent owners may also qualify.
- 10.7 In all cases the relief will be subject to State Aid requirements as mentioned later in this policy.
- 10.8 In all cases, an inspection of the premises shall be made by an officer of the Council, prior to granting any relief

### **Discretionary Relief – Unoccupied New Structures – the Council’s Policy.**

- 10.9 The relief is designed to provide an incentive to owners, developers etc. to build new non-domestic premises without the fear of facing unoccupied property rate charges. Central Government is also prepared to finance the relief through the Business Rates Retention scheme. In view of this the Council will grant the relief in accordance with Central Government guidance for all qualifying new structures.
- 10.10 An application from the ratepayer will be required in each case and any relief will be granted in line with State Aid requirements.
- 10.11 This exemption is available for unoccupied new structures that were completed between 1<sup>st</sup> October 2013 and 30<sup>th</sup> September 2016 and will be granted for a period of 18 months to include existing empty property exempt periods.

## 11.0 Discretionary Relief – Retail Relief

### General explanation

- 11.1 The Government announced in the Autumn Statement in December 2013 that it would allow for a relief of up to £1000 in 2014/15 and up to £1500 in 2015/16 to all **occupied** retail properties with a rateable value of £50,000 or less.
- 11.2 As this is a temporary measure only, the Government is not changing the legislation around the reliefs available to properties. Instead local authorities will use their discretionary relief powers, introduced by the Localism Act (under section 47 of the Local Government Finance Act 1988, as amended) to grant relief. It will be for individual authorities to adopt a local scheme and decide in each individual case when to grant relief under section 47.
- 11.3 Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003).
- 11.4 The Government expects local government to grant relief to qualifying ratepayers.
- 11.5 Properties that will benefit from the relief will be occupied properties with a rateable value of £50,000 or less that are **wholly or mainly** being used as:
- Shops;
  - Restaurants;
  - Cafes; and
  - Drinking establishments
- 11.6 This policy will follow Government guidance that considers shops, restaurants, cafes and drinking establishments to mean:
- i. Properties that are being used for the sale of goods to visiting members of the public:**
- Shops (such as: florist, bakers, butchers, grocers, greengrocers, jewellers, stationers, off licence, chemists, newsagents, hardware stores, supermarkets, etc.)
  - Charity shops
  - Opticians
  - Post offices
  - Furnishing shops/ display rooms (such as: carpet shops, double glazing, garage doors)
  - Car/ caravan show rooms
  - Second hand car lots
  - Markets
  - Petrol stations
  - Garden centres
  - Art galleries (where art is for sale/hire)
- ii. Properties that are being used for the provision of the following services to visiting members of the public:**

- Hair and beauty services (such as: hair dressers, nail bars, beauty salons, tanning shops, etc)
- Shoe repairs/ key cutting
- Travel agents
- Ticket offices e.g. for theatre
- Dry cleaners
- Launderettes
- PC/ TV/ domestic appliance repair
- Funeral directors
- Photo processing
- DVD/ video rentals
- Tool hire
- Car hire

**iii. Properties that are being used for the sale of food and/ or drink to visiting members of the public:**

- Restaurants
- Takeaways
- Sandwich shops
- Coffee shops
- Pubs
- Bars

11.7 To qualify for the relief the property should be wholly or mainly being used as a shop, restaurant, cafe or drinking establishment. In a similar way to other reliefs (such as charity relief), this is a test on use rather than occupation. Therefore, properties which are occupied but not wholly or mainly used for the qualifying purpose will not qualify for the relief.

11.8 The list set out above is not intended to be exhaustive as it would be impossible to list the many and varied retail uses that exist. There will also be mixed uses. However, it will be used as a guide as to the types of uses that government considers for this purpose to be retail. Properties not listed above which are broadly similar in nature to those above will be considered for the relief. Conversely, properties that are not broadly similar in nature to those listed above would not be eligible for the relief.

11.9 The list below sets out the types of uses that government does not consider to be retail use for the purpose of this relief. Again, it is for local authorities to determine for themselves whether particular properties are broadly similar in nature to those below and, if so, to consider them not eligible for the relief under their local scheme.

**i. Properties that are being used for the provision of the following services to visiting members of the public:**

- Financial services (e.g. banks, building societies, cash points, bureau de change, payday lenders, betting shops, pawn brokers)
- Other services (e.g. estate agents, letting agents, employment agencies)
- Medical services (e.g. vets, dentists, doctors, osteopaths, chiropractors)
- Professional services (e.g. solicitors, accountants, insurance agents/ financial advisers, tutors)
- Post office sorting office

**ii. Properties that are not reasonably accessible to visiting members of the public**

11.10 Central Government guidance gives a range of premises that may benefit from the relief and the Council will use this when deciding entitlement. It is acknowledged that this is guidance and each application will be looked at on its own merits.

11.11 The total amount of relief available for each eligible property for each of the years under this scheme is up to £1000. The amounts will not vary with rateable value and there is no taper. There is no relief available under this scheme for properties with a rateable value of more than £50,000. The eligibility for the relief and the relief itself will be assessed and calculated on a daily basis for each day of occupation. It will be granted after the application of any other relief, which may be applicable and also be granted for all properties meeting the criteria.

11.12 Any amounts granted will be subject to State Aid requirements.

**Discretionary Relief – Retail Relief – the Council’s Policy.**

11.13 The relief is designed primarily to assist businesses during the recession. Central Government is prepared to finance the relief through the Business Rates Retention scheme. In view of this the Council will grant the relief in accordance with Central Government guidance for all qualifying premises.

11.14 An application from the ratepayer will be required in each case.

11.15 This relief will only be available during the financial years 2014/15 and 2015/16

## **12.0 Discretionary Relief – Reoccupation Relief**

### **General explanation**

- 12.1 Central Government has introduced a 50% discount from non-domestic rates for new occupations of previously empty retail premises. The discount will last for 18 months and be available from 1st April 2014 until 31st March 2016.
- 12.2 The relief, which is available from 1st April 2014, can be granted for all occupations of premises, which meet the following criteria:
- The premises, when last in use were wholly or mainly used for retail purposes (see Section 8.6 above for definition of retail purposes);
  - The premises have been unoccupied for a period of 12 months or more immediately before their reoccupation;
  - The premises become reoccupied between 1 April 2014 and 31 March 2016; and
  - The premises are being used for any purpose (although it should be noted that the Government will only reimburse the Council for any relief granted so long as it is for any type of occupation except for those wholly or mainly being used as betting shops, payday loan shops, and pawn brokers).
- 12.3 There is no rateable value limit for the hereditament in respect of either the previous or reoccupied use and the amount of the relief is limited to 50% of the rate charge after taking into account all other mandatory and discretionary reliefs that may be available to the ratepayer.
- 12.4 The relief will run with the property rather than the ratepayer. So if premises are in receipt of the relief and a new ratepayer becomes liable for the property they will benefit from the remaining term of the relief.
- 12.5 The definition of retail premises is identical to that given within the retail relief provisions within this policy.
- 12.6 As this is a temporary measure only, the Government is not changing the legislation around the reliefs available to properties. Instead local authorities will use their discretionary relief powers, introduced by the Localism Act (under section 47 of the Local Government Finance Act 1988, as amended) to grant relief. It will be for individual authorities to adopt a local scheme and decide in each individual case when to grant relief under section 47.
- 12.7 Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003).
- 12.8 The Government expects local government to grant relief to qualifying ratepayers and any amounts granted will be subject to State Aid requirements.

## **Discretionary Relief – Reoccupation Relief – the Council’s Policy**

- 12.9 The relief is designed primarily to assist businesses during the recession and particularly in this case, to encourage the re-occupation of vacant retail premises. Central Government is prepared to finance the relief through the Business Rates Retention scheme. In view of this the Council will grant the relief in accordance with Central Government guidance for all qualifying premises.
- 12.10 An application from the ratepayer will be required in each case. This relief is available for a maximum of 18 months as long as it is claimed prior to 31st March 2016.

## **13.0 Discretionary Relief – Flooding Relief**

### **General explanation**

- 13.1 Central Government has introduced a new business rates relief for properties that have been flooded. It does not replace existing legislation or any other relief.
- 13.2 The Government will fund 100% rate relief for three months, for those properties, which meet the following criteria:
- For any day between 1st December 2013 and 31st March 2014:
- i. the property has been flooded in whole or in part as a result of adverse weather conditions; and
  - ii. on that day, as a result of the flooding at the property, the business activity undertaken at the property was adversely affected; and
  - iii. the rateable value of the property on that day was less than £10 million.
- 13.3 The impact of the flooding will be considered in the full context of all business activities undertaken at the hereditament. Very small or insignificant impacts will not attract this relief.
- 13.4 As this is a temporary measure only, the Government is not changing the legislation around the reliefs available to properties. Instead local authorities will use their discretionary relief powers, introduced by the Localism Act (under section 47 of the Local Government Finance Act 1988, as amended) to grant relief. It will be for individual authorities to adopt a local scheme and decide in each individual case when to grant relief under section 47.
- 13.5 Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003).
- 13.6 The Government expects local government to grant relief to qualifying ratepayers.

### **Definition of Flood**

- 13.7 The funding is for the impacts of flooding from the adverse weather conditions between 1st December 2013 and 31st March 2014, and not, for instance, from the failure of a water main, internal water systems or the failure of a sewerage system (unless the failure was itself caused by the adverse weather conditions).
- 13.8 A flood is defined in Section 1 of the Flood & Water Management Act 2010:
- 1(1) "Flood" includes any case where land not normally covered by water becomes covered by water.
- (2) It does not matter for the purpose of subsection (1) whether a flood is caused by—
- (a) heavy rainfall,
  - (b) a river overflowing or its banks being breached,
  - (c) a dam overflowing or being breached,



- (d) tidal waters,
- (e) groundwater, or
- (e) anything else (including any combination of factors).

(3) But “flood” does not include—

- (a) a flood from any part of a sewerage system, unless wholly or partly caused by an increase in the volume of rainwater (including snow and other precipitation) entering or otherwise affecting the system, or
- (b) a flood caused by a burst water main (within the meaning given by section 219 of the Water Industry Act 1991).

### **Discretionary Relief – Flooding Relief – the Council’s Policy**

- 13.9 An application from the ratepayer will be required in each case.
- 13.10 The scheme applies to all types and uses of non-domestic hereditaments (other than those occupied by the Council).
- 13.11 Funding will be provided to authorities for the 3 months of relief granted starting on the day the hereditament first met the criteria set out in paragraph 8. The 3 months relief will apply irrespective of how long the flooding or adverse business impacts last.
- 13.12 Where a hereditament has been flooded more than once and business activities are adversely impacted, only one period of 3 months relief will be funded and will be applied from the first date on which the criteria were met.
- 13.13 This flooding relief will be applied after any other relief has been applied, e.g. retail relief.
- 13.14 This relief will be calculated ignoring any prior year adjustments in liabilities, which fall to be liable on the day.
- 13.15 Ratepayers that occupy more than one property may be granted relief within the scheme for each of their eligible properties.
- 13.16 Funding for rate relief will continue to be given following a change of ratepayer. The relief will run with the property rather than the ratepayer.
- 13.17 Where a new hereditament is created as a result of a split or merger from a hereditament, which for the day immediately prior to the split or merger met the criteria above, funding will be provided to allow relief to be given for the remaining balance of the three months.
- 13.18 The scheme does not cover relief for any hereditament, which was empty at the time it was flooded as there was no business activity on the premises at the time.
- 13.19 Where a hereditament becomes empty after the flood then it will receive the normal 3 or 6 months (as applicable) empty property rate free period or will continue to receive the balance of the flooding relief.
- 13.20 Funding for the relief will be granted by Central Government as a Section 31 grant.

## **14.0 Discretionary Relief – Transitional relief Scheme**

### **General Explanation**

- 14.1 The Government announced in the Autumn Statement on 3 December 2014 that it will extend to March 2017 the current transitional relief scheme for properties with a rateable value up to and including £50,000.
- 14.2 As this is a temporary measure only, the Government is not changing the legislation around the reliefs available to properties. Instead local authorities will use their discretionary relief powers, introduced by the Localism Act (under section 47 of the Local Government Finance Act 1988, as amended) to grant relief. It will be for individual authorities to adopt a local scheme and decide in each individual case when to grant relief under section 47.
- 14.3 Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003).
- 14.4 The Government expects local government to grant relief to qualifying ratepayers.
- 14.5 The Transitional Relief Scheme was introduced in 2010 to help those ratepayers who were faced with higher bills. The scheme ends on 31 March 2015 and as a result a small number of ratepayers will face a jump to their full rates bill from 1 April 2015.
- 14.5 Properties that will benefit from the relief will be properties with a rateable value of £50,000 or less that would have continued to be eligible for this scheme.
- 14.6 Any amounts granted will be subject to State Aid requirements.

### **Discretionary Relief – Retail Relief – the Council’s Policy.**

- 14.7 The relief is designed primarily to assist businesses during the extension of the Valuation List. Central Government is prepared to finance the relief through the Business Rates Retention scheme. In view of this the Council will grant the relief in accordance with Central Government guidance for all qualifying premises.
- 14.8 An application from the ratepayer will be required in each case.
- 14.9 This relief will only be available during the financial years 2014/15 and 2015/16

## 15.0 Discretionary Relief – EU State Aid requirements

- 15.1 European Union competition rules generally prohibit Government subsidies to businesses. Relief from taxes, including non-domestic rates, can constitute state aid. The Council must bear this in mind when granting discretionary rate relief.
- 15.2 Rate relief for charities and non-profit making bodies is not generally considered to be state aid, because the recipients are not in market competition with other businesses. However, where other bodies receive relief and are engaged in commercial activities or if they are displacing an economic operator or if they have a commercial partner, rate relief could constitute state aid.
- 15.3 Relief will be State Aid compliant where it is provided in accordance with the De Minimis Regulations (1407/2013)<sup>10</sup>. The De Minimis Regulations allow an undertaking to receive up to €200,000 of De Minimis aid in a three year period (consisting of the current financial year and the two previous financial years).
- 15.4 Where the relief to any one business is greater than the De Minimis level then permission will need to be obtained from the European Commission. In such cases the matter will be referred to the DCLG for advice and then referred back to the Council for consideration. It will be for the ratepayer to provide confirmation as to whether the State Aid provisions apply to them.
- 15.5 In all cases, when making an application, ratepayers will be required to provide the Council with sufficient information to determine whether these provisions are applicable in their case.

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<sup>10</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:352:0001:0008:EN:PDF>

## **16.0 Administration of Discretionary Relief**

16.1 The following section outlines the procedures followed by officers in granting, amending or cancelling discretionary relief. This is essentially laid down by legislation<sup>11</sup>

### **Applications and Evidence**

16.2 Discretionary rate relief must be applied for in writing by the ratepayer. Application forms are produced within the Council and issued to all ratepayers requesting the relief.

16.3 Organisations are required to provide a completed application form plus any such evidence, documents, accounts, financial statements etc. necessary to allow the Council to make a decision. Where insufficient information is provided, despite reminders, then no relief will be granted.

### **Granting of relief**

16.4 In all cases, the Council will notify the ratepayer of decisions made.

16.5 Where an application is successful, then the following is notified to them in writing:

- The amount of relief granted and the date from which it has been granted;
- If relief has been granted for a specified period, the date on which it will end;
- The new chargeable amount;
- The details of any planned review dates and the notice that will be given in advance of a change to the level of relief granted; and
- A requirement that the applicant should notify the Council of any change in circumstances that may affect entitlement to relief.

16.6 Where relief is not granted then the following information is provided, again in writing:

- An explanation of the decision within the context of the Council's statutory duty; and
- An explanation of the appeal rights (see below).

16.7 Relief is to be granted from the beginning of the financial year in which the decision is made. Since 1997 decisions can be made up to 6 months after the end of the financial year for which the application was made. Where the relief is only available for a limited period as defined by Central Government then it will only be granted for that period.

16.8 A decision to award discretionary relief and how much relief is given is only applicable to the financial year for which the application is made.

16.9 A fresh application for discretionary relief will be necessary for each financial year.

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<sup>11</sup> The Non-Domestic Rating (Discretionary Relief) Regulations 1989

## **Variation of a decision**

16.10 Variations in any decision will be notified to ratepayers as soon as practicable and will take effect as follows:

- Where the amount is to be increased due to a change in rate charge – from the date of the increase in rate charge;
- Where the amount is to increase for any other reason (other than a general termination of relief under Central Government guidelines)– takes effect at the expiry of a financial year, and so that at least one year’s notice is given;
- Where the amount is to be reduced due to a reduction in the rate charge – from the date of the decrease in rate charge;
- Where the amount is to be reduced for any other reason (other than a general termination of relief under Central Government guidelines) – takes effect at the expiry of a financial year, and so that at least one year’s notice is given

16.11 A decision may be revoked at any time and the change will take effect at the expiry of a financial year (other than a general termination of relief under Central Government guidelines).

## **17.0 Scheme of Delegation**

### **Granting, Varying, Reviewing and Revocation of Relief**

- 17.1 Under powers given to the Council by section 223 of the Local Government Act 1992, all permissions for the granting, varying, reviewing and revocation of discretionary relief given under the Local Government Finance Act 1988, the Local Government and Rating Act 1997, the Local Government Act 2003 and the Localism Act 2011 be delegated to the Head of Revenues and Benefits.
- 17.2 The method of administration shall be that laid down within this policy document. The level of the discretionary relief shall be calculated in accordance with guidance given within this policy and determined by the Head of Revenues and Benefits
- 17.3 The policy for granting relief will be reviewed where there is a substantial change to the legislation or funding rules. At such time a revised policy will be brought before the relevant committee of the Council.
- 17.4 The amount of funding to be provided by the Council in respect of discretionary relief granted shall be determined by the S151 Officer and approved by Council in the normal budgeting process.

### **Appeals**

- 17.5 Where the Council receives an appeal from the ratepayer regarding the granting non-granting or the amount of any discretionary relief, in line with DCLG guidelines, the case will initially be reviewed by the Head of Revenues and Benefits in conjunction with the s151 Officer. Where a decision is revised then the ratepayer shall be informed likewise if the original decision is upheld.

# Agenda Item 11

## **SSDC Response to New Homes Bonus Consultation**

*Executive Portfolio Holders:* Peter Seib, Finance and Legal Services  
Angie Singleton, Strategic Planning (Place - Making)  
*Heads of Service:* Donna Parham, Finance and Corporate Services  
Martin Woods, Assistant Director - Economy  
Jayne Beevor, Principal Accountant – Revenues  
*Lead Officers:* Paul Wheatley, Principal Spatial Planner  
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### **Purpose of Report**

To enable Members to review the response to the current Government's Department for Communities and Local Government (DCLG) consultation on New Homes Bonus (NHB).

### **Forward Plan**

This report appeared on the District Executive Forward Plan for March 2016.

### **Public Interest**

This report outlines the Council's response to Government consultation on the future criteria for payment of New Homes Bonus.

### **Recommendation**

That the District Executive approve the response to the DCLG Consultation on New Homes Bonus attached at Appendix A.

### **Background**

New Homes Bonus was implemented as an incentive for local authorities to increase housing growth from the 2011/12 financial year (based on the previous year's growth). A sum equivalent to 80% of the average annual council tax is received in grant for every new home once occupied. This sum is payable for six years with an additional bonus of £350 per annum for every affordable home occupied. Authorities also receive the bonus if the number of empty homes reduces. South Somerset in 2016/17 received £4.6 million in New Homes Bonus.

### **The Consultation**

The consultation seeks to reduce the overall amount allocated to New Homes Bonus with an emphasis of transferring £800 million of the current grant to support Adult Social Care. A reduction has already been reflected within the four year settlement figures provided by the Government. The figures indicate that there is likely to be a transitional period with the cut being fully implemented by 2018/19.

The key headline changes that the consultation seeks a response to are as follows:

- Reducing the number of years the bonus is payable for from six to four and possibly further to two years;
- To reduce or remove the bonus paid to authorities that do not have an adopted local plan;
- To remove or reduce the bonus for new homes that were subject to a successful planning appeal;
- Only applying a bonus above a notional baseline i.e. removing the incentive for homes that are part of natural housing growth.

The response as attached covers these points but also asks that the Government reviews the funding for empty properties, the affordable housing premium, and starter homes.

### Financial Implications

There are no direct financial implications of responding to the Government Consultation. However, if implemented the finance settlement figures regarding spending power for SSDC shows that the NHB forecast reduces to £2.8 in 2019/20 compared to the £4.6 million received for 2016/17.

### Public/Stakeholder Consultation

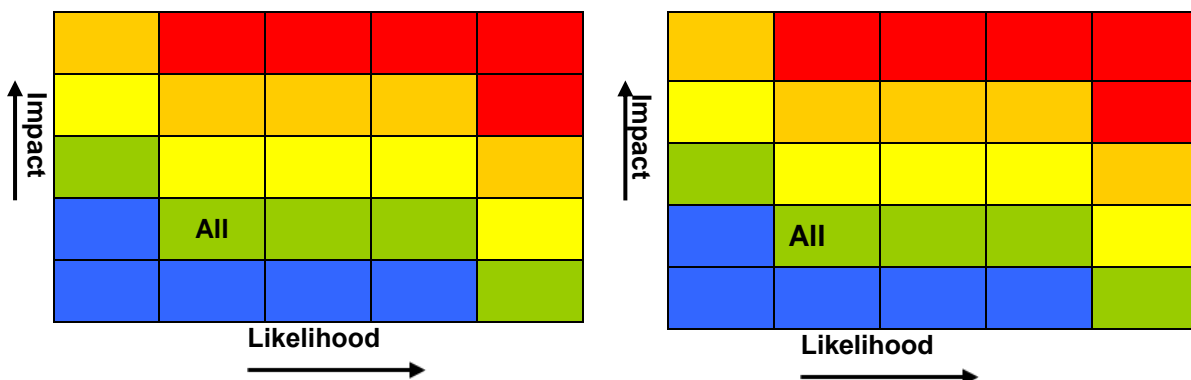
Stakeholders have the ability to respond directly to the consultation.

### Equality and Diversity Implications

There are no implications regarding the response to the consultation.

### Risk Matrix

Risk Profile before officer recommendations      Risk Profile after officer recommendations



#### Key

Categories	Colours (for further detail please refer to Risk management strategy)
R = Reputation	Red = High impact and high probability
CpP = Corporate Plan Priorities	Orange = Major impact and major probability
CP = Community Priorities	Yellow = Moderate impact and moderate probability
CY = Capacity	Green = Minor impact and minor probability
F = Financial	Blue = Insignificant impact and insignificant probability

### Background Papers

Consultation response attached at Appendix A



### **New Homes Bonus (NHB) Response to DCLG**

South Somerset District Council (hereon “the Council”) has delivered 3,541 homes since the New Homes Bonus (NHB) was introduced. This has resulted in substantial NHB payments to the Council.

The Council notes that the current scheme is simple to understand and administer. The council tax charge for each Band D property raises £147.75 for the Council, so the Bonus of 80% (£1,186.86) of the average Band D for 6 years is a substantial incentive. The fundamental fault with the suggested changes is that an incentive for economic regeneration and provision of housing is being redirected into social care which has no direct connection to the incentive.

NHB was put in place to provide a financial incentive to encourage local authorities to respond to the challenge of significantly boosting the supply of housing. All of the proposals being put forward offer mostly disincentives or complications that may serve to reduce the amount of housing delivered.

The calculation should reward local authorities for being positive planners and allowing appropriate development. A suggested alternative would be to give local authorities some credit for full permissions *approved* whether or not the developer actually completes any homes. A way of incentivising local authorities would be to apply a single one-off payment per home on grant of any permission. The proposal to penalise planning authorities (districts) when delays or refusals may arise from taking into account the views of other agencies is unfair.

The Council also requests that the NHB calculated for long term empty dwellings brought back into use should be a gross, not net, figure – netting off others that have become empty (which is very likely in an area of high elderly demography and given the time probate takes) is a disincentive. A longer timeframe for long term empty properties of two years should be used as it more accurately incentivises local authorities for actively bringing those properties into use.

The consultation does not mention or address the affordable housing premium. Given the importance of proving sub-market tenures through the planning system, the Council feel that this premium should be increased. A similar premium should also be awarded for ‘Starter Homes’ in keeping with the Government’s own agenda – they may be exempt from s106/CIL contributions and the premium would help local authorities provide some of the appropriate associated infrastructure required.

Our response to the specific questions asked are as follows:-

**Question 1 – What are your views on moving from 6 years of payments under the Bonus to 4 years, with an interim period for 5 year payments?**

Reducing the number of years only serves to reduce the incentive and cut the grant. This could itself lead to more resistance to housing growth, as councils are unable to finance required services and infrastructure associated with new development.

**Question 2 – Should the number of years of payments under the Bonus be reduced further to 3 or 2 years?**

Please see the response made above.

**Question 3 – Should the Government continue to use this approach? If not, what alternatives would work better?**

There is no evidence that the current approach favours higher band homes. In South Somerset 2,744 (77.5%) homes in Bands A to D have been provided compared to 797 (22.5%) in band E to H. It would be acceptable if all properties were assumed to be Band D's for this purpose and would further simplify the NHB mechanism.

**Question 4 – Do you agree that local authorities should lose their Bonus allocation in the years during which their Local Plan has not been submitted? If not, what alternative arrangement should be in place?**

This proposal still runs the risk of not rewarding those councils for homes which are being delivered under extant Local Plans. It would be illogical to penalise local authorities who are successfully discharging planning applications, which facilitate new homes from plans which are say five or more years old. The houses agreed in extant Local Plan may take 5-10 years to be built, which is entirely normal given the housebuilding industry's operating model – especially on larger sites. Given that the Bonus equates to homes completed the proposal for periods of abatement appear overly complicated, unwieldy and subject to change; which appears contrary to the overall proposal to bring clarity to the implementation of the incentive.

Government will also be aware that an emerging Local Plan, prior to publication, submission, examination or adoption gathers weight in terms of being able to be used in statutory decision-making on planning applications. This in turn brings greater certainty to the development industry in choosing to submit planning applications.

The proposal seems to operate on the basis that the development industry waits until a Local Plan is submitted before progressing sites through the planning system. It is this Council's experience that the development industry reacts immediately to the earliest stages of Local Plan-making and begins to deliver homes on those locations identified in emerging Local Plans. So, to withhold the Bonus until a plan reaches a set milestone fails to reflect the way that the development industry utilises the Local Plan and interacts with local planning authorities in terms of positioning their sites in the planning process.

The preferred approach appears to make the incentive overly complicated.

**Question 5 – Is there merit in a mechanism for abatement which reflects the date of the adopted plan?**

The Council does not believe that a period of abatement after the adoption of a Local Plan will be effective.

This option fails to recognise that some sites, especially larger sites, will take a number of years to come forward following the adoption of a local plan. A good site, locally endorsed, allocated within a Local Plan which was approved by the Planning Inspectorate, should be allowed to come forward as and when the development industry chooses to, based upon the unique circumstances of that site. After adoption, the local planning authority has limited ability to force the development industry to bring forward complex large sites sooner than it is able. With little or no additional fiscal support or incentive to the development industry, it is not the case that these sites will come forward quicker. To then ratchet down the amount of Bonus received from said site, purely based upon time, without first appreciating the circumstances which dictate why a sites may take six years or more to come forward, showcases a disconnect between the preferred approach to the amendments to the Bonus and the planning system's function to bring forward sites set out in a Local Plan.

The preferred approach needs to avoid being overly short-termist, and reflect that the fact that substantial numbers of homes come forward in the middle to later years after a Local Plan has been adopted.

**Question 6 – Do you agree to this mechanism for reflecting homes only allowed on appeal in Bonus payments?**

The preferred approach claims that the Bonus should be withdrawn for decisions "*which do not always reflect positive decisions to allow development...*" and do not "*...reflect the additional costs and delays for applicants arising as a result of the appeal process.*" There are two serious issues which arise from this statement, and which demonstrate a lack of proper consideration of the planning system.

First, the statement does not account for the fact that legally, the starting point for decisions on planning applications is whether or not the application is in accordance with a development plan. If it is not, then the application should be refused (subject to material considerations). Therefore, there will be legitimate reasons for local planning authorities to refuse applications, especially where they are speculative in nature. Therefore any notion of "*not making positive decisions on development*" fails to grapple with the fundamental aspects of decision-making. Furthermore, the inference that refusals of planning applications are not positive decisions is wide of the mark. There must be room in the process for a poor application resulting in poor development to be refused. There is danger that the preferred approach will mean local planning authorities are cowed from making important decisions, and in turn perversely incentivises poor development in locations not agreed with the local community.

Second, as accepted under the terms of the preferred approach, the number of homes stated within a planning application is not always the number of homes actually built. There is also no mechanism set out for dealing with the timing or phasing of delivery. For example, it would be wholly unacceptable to reduce payments of the Bonus based upon a 500-home development in the first year, given that such a development will actually be built out over a 8-10 year period. The intended sanction does not align with the current and future payment schedule of the Bonus and so appears to be unnecessarily severe. The Council has significant concerns over the paucity of detail surrounding this proposal. Each appeal and each subsequent trajectory of homes being built will be different throughout the country. Any notion of a 'one-size fits all' fixed mechanism for rolling out the preferred approach is rejected. The Government's own admission that a more bespoke arrangement would essentially be too complicated is very concerning. Unless this is tailored to the unique circumstances of a local authority it will generate confusion and make the incentive overly complicated. The reduction in the bonus payment could become less than the administration and bureaucracy attached to calculating it.

**Question 7 – Do you agree that New Homes Bonus payments should be reduced by 50%, or 100%, where homes are allowed on appeal? If not, what other adjustment would you propose, and why?**

This approach may be more workable, but will have to have safeguards in place to ensure that local planning authorities are not overly penalised for making valid planning judgements to refuse planning applications. Furthermore, given the Bonus is intended to provide mitigation for the overall impacts of development it would seem odd to reduce the incentive when the homes will still ultimately be built.

A more workable suggestion would be to temper the percentage reduction linked to the size and scale of the proposed development. For larger schemes the percentage reduction would be lower, for smaller schemes the percentage reduction would be higher. This would reflect the proportional increase in impact felt by communities who are accommodating larger developments.

The Council would expect thresholds and percentages to be clearly defined and consulted upon before any firm proposal was accepted.

**Question 8 – Do you agree that reductions should be based on the national average Band D council tax? If this were to change (see question 3) should the new model also be adopted for this purpose?**

We do not agree that the reductions should be applied but if they are it should be consistent with the approved resolution to question 3.

**Question 9 – Do you agree that setting a national baseline offers the best incentive effect for the Bonus?**

No. The preferred approach again fails to have regard to the required activities during the local plan-making process. The National Planning Policy Framework requires all local authorities to plan the housing numbers to cater for their local area's housing need.

A responsible local authority, taking a Local Plan-led approach to delivering homes, will not be delivering “*new housing regardless*”, nor will they necessarily be “*demonstrating stronger than average commitments to growth*”. They will be delivering the homes that are needed. The formulation of the housing needed in a given area is rigorously tested during the local plan-making process and during the Independent Examination of the Local Plan. Those failing to account for their local area’s housing needs are found unsound and their Local Plan does not progress.

So, the idea of a baseline misunderstands the fact that, for responsible authorities, Local Plan-led housing growth is occurring – not growth regardless. The economic term “*deadweight*” is a slightly alien concept in this field. Housing growth is planned, shaped by the required need for housing, addressing the national and local issues of availability and affordability. The Council strongly rejects any notion that housing is happening in any case, or in spite of local authority efforts.

Later, in discussing the alternative option, the consultation document discusses “*rewarding*” those who have achieved low growth, whilst penalising those who are “*doing well*”. But again this notion is presented as though delivery is arbitrary, and so fails to grapple with the fact that local authorities, such as South Somerset are delivering the number of homes actually required.

The concept of a naturally increasing baseline would erode the significant effort that local authorities, such as South Somerset, have undertaken to properly address the number of homes required to be delivered in their area. Furthermore, given the baseline figure appears un-evidenced, it would subtract an unjustified amount of housing from the Council’s housing delivery figures, when in fact those are the exact amount of homes that are required in the given area.

The preferred approach appears unjustified, is not in alignment with the rest of Government policy to properly account for the true amount of housing needed in a given area, and would appear to be unnecessary.

**Question 10 – Do you agree that the right level for the baseline is 0.25%?**

No, see above. There is no logic attached to this percentage, it is not evidenced, and misunderstands the relationship between the proper approach to planning for housing growth and the payment of the Bonus.

**Question 11 – Do you agree that adjustments to the baseline should be used to reflect significant and unexpected housing growth? If not, what other mechanism could be used to ensure that the costs of the Bonus stay within the funding envelope and ensure that we have the necessary resources for adult social care?**

This is illogical. The Government’s agenda is to increase housing delivery, yet advocates a larger reduction in the amount paid when housing delivery increases...this would appear to be the opposite of what an “incentive” is meant to achieve.

If the funding envelope is finite why not use the known parameters of the funding envelope for distributing the bonus. Ensure stability for authorities by ensuring the

funding for what is already banked in houses provided is paid at the same level but adjust the provision for the new year with the remaining provision within the envelope.

**Question 12 – Do you agree that the same adjustments as elsewhere should apply in areas covered by National Parks, the Broads Authority and development corporations?**

Not National Parks and the Broads Authority

**Question 13 – Do you agree that county councils should not be exempted from adjustments to the Bonus payments?**

Yes.

**Question 14 – What are your views on whether there is merit in considering protection for those who may face an adverse impact from these proposals?**

Authorities should retain the funding for the six years outlined where there has already been delivery. If the decision is made to reduce the incentive to 5, 4 years or less the amount already banked should not be affected for 6 years.

In conclusion, the consultation only serves to reduce payments of NHB and reduces transparency, rather than offer a simplified approach to the NHB. We are however, grateful to see that the NHB for 2016/17 remains unaffected, and that should NHB reduce in future years, there is consideration of transition arrangements to give authorities time for forward plan their medium term financial planning.



Department for  
Communities and  
Local Government

# New Homes Bonus: Sharpening the Incentive

Technical Consultation



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# Section 1: Consultation Procedure

## Scope of the consultation

<b>Topic of this consultation:</b>	<b>This consultation seeks views on options on changes to the New Homes Bonus in order to better reflect authorities' delivery of new housing. It also seeks views on reducing the number of years in which current and future payments are made.</b>
<b>Scope of this consultation:</b>	This consultation sets out a variety of options for increasing the focus of the New Homes Bonus ("the Bonus") on delivery of new homes and freeing up resources to be recycled within the local government settlement to support authorities with particular pressures, such as adult social care, following the outcome of the 2015 Spending Review. The options on which views are sought are: withholding the Bonus from areas where an authority does not have a Local Plan in place; abating the Bonus in circumstances where planning permission for a new development has only been granted on appeal; and adjusting the Bonus to reflect estimates of deadweight. The consultation also sets out proposals for reductions in the number of years for which the Bonus is paid from the current 6 years to 4 years. The consultation considers mechanisms by which the changes could be calculated and provides exemplifications to show how the changes would work in practice alongside indications of the total cost. The changes are only proposed for 2017-18 onwards so exemplifications of impacts on individual local authorities have not been provided.
<b>Geographical scope:</b>	This consultation is applicable to England only.
<b>Impact Assessment:</b>	Impact Assessments are required where policies have a potential regulatory impact. This consultation focuses on an existing spending policy - the New Homes Bonus - so is not accompanied by an Impact Assessment.

## Basic Information

<b>To:</b>	Local Authorities Housing Bodies
<b>Body/bodies responsible for the consultation:</b>	Housing Markets Division Department for Communities and Local Government
<b>Duration:</b>	12 weeks

<b>Enquiries:</b>	<a href="mailto:newhomesbonus@communities.gsi.gov.uk">newhomesbonus@communities.gsi.gov.uk</a>  Noemi Chlopecka Housing Markets Division Department for Communities and Local Government Fry Building 2 Marsham Street London SW1P 4DF Tel: 0303 444 4561
<b>How to respond:</b>	If possible, please respond to the questions in this consultation via the online form <a href="https://www.surveymonkey.co.uk/r/X8RHS5">https://www.surveymonkey.co.uk/r/X8RHS5</a>  Responses may also be sent to: <a href="mailto:newhomesbonus@communities.gsi.gov.uk">newhomesbonus@communities.gsi.gov.uk</a>  The deadline for responses is 10 March 2016.
<b>After the consultation:</b>	Comments received on the proposals set out in the consultation will be collated and a formal response document published within three months of the closing date of the consultation.
<b>Compliance with the Consultation Principles:</b>	This consultation document and consultation process adhere to the Government's consultation principles, these can be found at:  <a href="https://www.gov.uk/government/publications/consultation-principles-guidance">https://www.gov.uk/government/publications/consultation-principles-guidance</a>  Information provided in response to this consultation, including personal information, may be published or disclosed in accordance with the access to information regimes (these are primarily the Freedom of Information Act 2000, the Data Protection Act 1998 and the Environmental Information Regulations 2004).  If you want the information that you provide to be treated as confidential, please be aware that, under the Freedom of Information Act, there is a statutory code of practice with which public authorities must comply and which deals, amongst other things, with obligations of confidence. In view of this it would be helpful if you could explain to us why you regard the information you have provided as confidential. If we receive a request for disclosure of the information we will take full account of your explanation, but we cannot give an assurance that confidentiality can be maintained in all circumstances. An automatic confidentiality disclaimer generated by your IT system will not, of itself, be regarded as binding on the department.

	<p>The Department for Communities and Local Government will process your personal data in accordance with the Data Protection Act and in the majority of circumstances this will mean that your personal data will not be acknowledged unless specifically requested.</p> <p>Your opinions are valuable to us. Thank you for taking the time to read this document and respond.</p> <p>If you have any observations about how we can improve the consultation process, please contact:</p> <p>DCLG Consultation Co-ordinator  Department for Communities and Local Government  Fry Building  2 Marsham Street  London  SW1P 4DF</p> <p>Or by email to:</p> <p><a href="mailto:Consultationcoordinator@communities.gsi.gov.uk">Consultationcoordinator@communities.gsi.gov.uk</a></p>
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## Background

<p><b>Getting to this stage:</b></p>	<p>The New Homes Bonus was introduced in 2011 to provide an incentive for local authorities to encourage housing growth in their areas. Since its launch, over £3.4 billion has been allocated, recognising delivery of over 700,000 homes and bringing over 100,000 long term empty homes back into use.</p>
<p><b>Previous engagement:</b></p>	<p>The Department for Communities and Local Government carried out a consultation on the New Homes Bonus in 2010.</p> <p>A further consultation on putting some of the Bonus into the Local Growth Fund was carried out in 2013.</p>

## Section 2: Introduction

### Aim

2.1. The New Homes Bonus (“the Bonus”) was introduced in order to provide a clear incentive to local authorities to encourage housing growth in their areas. The Government now thinks that it is appropriate to consider how the incentive element of the Bonus could be further tightened alongside possible changes to respond to the move towards full retention of business rates and the potential for further devolution of powers and responsibilities to local authorities.

### Background

2.2. The New Homes Bonus reflects the crucial role local authorities play in supporting housing and wider economic growth by rewarding additional homes built in their areas. The Bonus rewards local authorities for each additional new build and conversion using the national average council tax in each band. Long-term empty properties brought back into use are also included and there is a premium for affordable homes. Each year’s grant is paid for 6 years. The Bonus is not ring-fenced. In two-tier areas payments are split between both county (20%) and district (80%) authorities. From 2016-17, allocations to local authorities made under the Bonus are expected to total in the region of £1.4 billion to £1.5 billion annually. Since its introduction, payments to local authorities have totalled just under £3.4 billion reflecting over 700,000 new homes and conversions and over 100,000 empty homes brought back into use. Of the total, over 200,000 were affordable homes.

2.3. Last year, the then Government carried out an evaluation of the Bonus, examining its impact to date on attitudes and behaviours of key players in relation to housing delivery and examining the impact on the finances of local authorities. The findings of the evaluation can be found at <https://www.gov.uk/government/publications/evaluation-of-the-new-homes-bonus> and have been taken into account in designing this consultation proposal. Key findings were that almost 50% of planning officers agreed that the Bonus was a powerful incentive to support housing growth; the Bonus is seen to be simple, transparent and flexible; and that, in 2014-15, 75% of local authorities were net gainers from the policy.

2.4. Proposed changes to the distribution of the Bonus should be seen in the context of the outcome of the 2015 Spending Review. This confirmed the intention to move to full retention of business rates by 2020 and a preferred option for savings of at least £800 million, which can be used for social care. Savings in the overall cost of the Bonus will be redistributed with the local government settlement, in particular to support authorities with specific pressures, such as in adult social care budget.

2.5. Although the Government is not proposing changes for 2016-17 payments, reductions in payments will be necessary in order to stay within this new funding envelope from 2017-18 onwards. This can be combined with reforms to both sharpen its incentive

effect and free up resources for authorities with particular pressures, such as adult social care.

2.6. This consultation, therefore, seeks views on the options for change to two aspects of the Bonus: reducing overall costs by moving from 6 years to 4 of payments and reform of the Bonus in order to better reflect local authorities' performance on housing growth. It also considers options for staying within the funding envelope in the event of a sudden surge in housing growth.

## Section 3: Options for Change

3.1. This section outlines the options that the Government has been considering for changes to the Bonus in more detail. It sets out the principles involved and describes the approach that could be taken. In most cases, the Government's preferred approach is described together with any other options that have been considered. Where appropriate, exemplifications are included to show how the proposed changes would work. The impact of each possible change on the total funds required by the Bonus is also exemplified for illustrative purposes only using the total provisional allocations for 2016-17.

3.2. It is important to stress that the changes proposed in this section would only be implemented for payments in 2017-18 onwards. **No changes are proposed for either calculation of 2016-17 allocations or payments due to be made in 2016-17 relating to previous years.** This is to ensure that local authorities have sufficient time to reflect the proposed changes in their forward planning.

### Changing the number of years for which payments are made

3.3. At present, each year's allocation under the Bonus leads to "legacy" payments over 6 years. Originally, this was to compensate for reductions in settlement allocations which reflected growth in an authority's Council Tax base. However, since 2011, the decision has been taken not to reduce allocations in this way. At the same time, the way in which each year's allocations lead to commitments over several years leads to a build up of costs over time. Table 1 below shows how payments relating to allocations up to and including those for 2016-17 would, if allowed to continue unaltered, would lead to substantial costs even with no further new allocations.

	£m	Payments already made		Payments to be made		Estimated future payment					
	£m	Payments already made		Payments to be made		Estimated future payment					
	£m	Payments already made		Payments to be made		Estimated future payment					
Payment relating to:		2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
2011/12	199	199	199	199	199	199					
2012/13		233	233	233	233	233	233				
2013/14			236	236	236	236	236	236			
2014/15				249	249	249	249	249	249		
2015/16					251	251	251	251	251	251	
2016/17						293	293	293	293	293	293
2017/18							293	293	293	293	293
2018/19								293	293	293	293
2019/20									293	293	293
2020/21										293	293
<b>Annual total (£m)</b>		<b>199</b>	<b>432</b>	<b>668</b>	<b>917</b>	<b>1,168</b>	<b>1,461</b>	<b>1,555</b>	<b>1,615</b>	<b>1,672</b>	<b>1,716</b>

Chart 1: existing unreformed scheme<sup>1</sup>

<sup>1</sup> 2016-17 costs reflect provisional allocations for the year 2016-17 published alongside this document.

## Legacy Payments

3.4. Allowing legacy payments to continue unchanged would also reduce the impact of the proposals in this section (see paragraphs 3.10 to 3.31) to increase the incentive effect of the Bonus since legacy payments relating to earlier, less focussed, allocations would, in the first few years, significantly outweigh new allocations calculated to better reflect local authorities' performance.

3.5. **The Government is therefore consulting on whether from from 2017-18, the number of years for which legacy payments under the Bonus are to be paid will be reduced from 6 years to 4 years.** This is the Government's preferred option. But it is considering whether to move further and reduce payments to 3 or 2 years.

## Transition

3.6. There are several ways in which a reduction in the number of years over which payments would be made could be introduced. In considering options, the Government will aim to strike a balance between achieving the required level of reductions within the Spending Review period and protecting the forward planning which local authorities may have done in anticipation of the payments linked to past allocations.

3.7. One option is to reduce the numbers of years for which payments are made for both existing and future allocations to 5 years in 2017-18 and 4 years in 2018-19. The impact on total annual payments, assuming no other changes, is exemplified in Table 2 below. It has the advantage of protecting existing payments for both 2016-17 and 2017-18 whilst freeing up funding from 2018-19.

Payment relating to:	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
2011/12	199	199	199	199	199	199				
2012/13		233	233	233	233	233				
2013/14			236	236	236	236	236			
2014/15				249	249	249	249			
2015/16					251	251	251	251		
2016/17						293	293	293	293	
2017/18							293	293	293	293
2018/19								293	293	293
2019/20									293	293
2020/21										293
<b>Annual total (£m)</b>	<b>199</b>	<b>432</b>	<b>668</b>	<b>917</b>	<b>1,168</b>	<b>1,461</b>	<b>1,322</b>	<b>1,130</b>	<b>1,173</b>	<b>1,173</b>

**Chart 2: Reducing payment period to 4 years (5 years in 2017/18 and 4 years form 2018/19 onward)**

3.8. An **alternative** to this approach could be to introduce the reduction in years earlier or without the intermediate step to 5 years. Chart 3 below shows the impact this might have on overall costs. A **further alternative** would be to reduce the numbers of years for which payments are made to 3 or 2 years.



£m	Payments already made
£m	Payments to be made
£m	Estimated future payment

Payment relating to:	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
2011/12	199	199	199	199	199	199				
2012/13		233	233	233	233	233				
2013/14			236	236	236	236				
2014/15				249	249	249	249			
2015/16					251	251	251	251		
2016/17						293	293	293	293	
2017/18							293	293	293	293
2018/19								293	293	293
2019/20									293	293
2020/21										293
<b>Annual total (£m)</b>	<b>199</b>	<b>432</b>	<b>668</b>	<b>917</b>	<b>1,168</b>	<b>1,461</b>	<b>1,086</b>	<b>1,130</b>	<b>1,173</b>	<b>1,173</b>

**Chart 3: reducing payment period to 4 years without an interim 5 year stage**

**Consultation question 1**

What are your views on moving from 6 years of payments under the Bonus to 4 years, with an interim period for 5 year payments?

**Consultation question 2**

Should the number of years of payments under the Bonus be reduced further to 3 or 2 years?

3.9. Bonus allocations are currently calculated using the council tax returns. The net increases in numbers of homes falling within each council tax band are established by comparing successive years' returns. The numbers of homes falling outside band D are then scaled to reflect their equivalence to band D. The resulting total figure is then applied to the national average band D council tax bill for the year to generate the total allocation for that year. There are some concerns that this approach, by favouring higher band homes above those falling into lower bands, could result in some skewing of allocations in favour of areas with higher house prices although this may be partially mitigated by the use of an average value for the band D council tax bill.

**Consultation question 3**

Should the Government continue to use this approach? If not, what alternatives would work better?

## Reforms to improve the incentive

3.10. At present, the Bonus rewards all net additions to housing in an area regardless of the path leading to their construction. It is possible to argue that the Bonus is, therefore, insufficiently focused on really strongly performing authorities. In order to counteract these effects, the Government has considered three ways in which the incentive impact of the Bonus could be improved:

- (a) withholding new Bonus allocations in areas where no Local Plan has been produced in accordance with the Planning and Compulsory Purchase Act 2004;

(b) reducing payments for homes built on appeal; and

(c) only making payments for delivery above a baseline representing deadweight.

3.11. An option would be for the Government to only introduce the improved incentives. The illustrative costs are shown in chart 4. This model still frees up resources, but at reduced levels.

	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m
	Payments already made	Payments to be made	Payments to be made	Payments to be made	Payments to be made	Payments to be made	Estimated future payment	Estimated future payment	Estimated future payment	Estimated future payment
<b>Payment relating to:</b>	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	199	199	199	199	199	199				
		233	233	233	233	233	233			
			236	236	236	236	236	236		
				249	249	249	249	249	249	
					251	251	251	251	251	251
						293	293	293	293	293
							168	168	168	168
								168	168	168
									168	168
										168
<b>Annual total (£m)</b>	<b>199</b>	<b>432</b>	<b>668</b>	<b>917</b>	<b>1,168</b>	<b>1,461</b>	<b>1,430</b>	<b>1,365</b>	<b>1,297</b>	<b>1,217</b>

**Chart 4: introducing all the incentives in the government’s preferred model from 17/18, but making payments for 6 years.**

**A. Withholding the Bonus where no Local Plan has been produced**

3.12. Local Plans are the primary basis for identifying what development is needed in an area and deciding where it should go. Plans give communities and businesses alike certainty about what development is appropriate and where, and set out how local housing and other development needs will be met. Plans are the mechanism through which national policies are applied to specific localities. By identifying sites in a Local Plan authorities can guide development to the most suitable locations, supported by the right infrastructure. Plans provide the starting point for dealing with planning applications as applications must be determined in accordance with the development plan, unless material considerations indicate otherwise. Where a plan is not in place an area may be more vulnerable to unwanted or speculative development.

3.13. Local authorities have had more than a decade to produce Local Plans in accordance with the Planning and Compulsory Purchase Act 2004<sup>2</sup> (“the 2004 Act”). Most have done so – 83% of local planning authorities have published a Local Plan and 66% of

<sup>2</sup> Local Plan means any document of the description referred to in regulation 5(1)(a)(i), (ii) or (iv) or 5(2)(a) or (b), and for purposes of section 17(7)(a) of the Act these documents are prescribed as development plan documents. See Town and Country Planning (Local Planning) (England) Regulations 2012 [http://www.legislation.gov.uk/ukxi/2012/767/pdfs/ukxi\\_20120767\\_en.pdf](http://www.legislation.gov.uk/ukxi/2012/767/pdfs/ukxi_20120767_en.pdf). The National Planning Policy Framework sets an expectation that each local planning authority should produce a single Local Plan which sets out the strategic planning priorities for the area. In practice authorities may adopt multiple development plan documents which collectively constitute the area’s Local Plan.

planning authorities have an adopted Local Plan<sup>3</sup>. At present, local authorities currently receive Bonus payments even where they have not yet put a Local Plan in place<sup>4</sup>. Given the importance of a Local Plan in identifying housing needs in an area and setting the framework for decisions on individual planning applications the Government is considering options for withholding some or all of the Bonus from local authorities that have not yet produced a Local Plan.

3.14. The **Government's preferred option** is that from 2017-18 onwards, local authorities who have not submitted a Local Plan prepared under the 2004 Act should not receive new New Homes Bonus allocations for the years for which that remains the case. Their legacy payments relating to allocations in previous years would be unaffected. An alternative would be for local authorities to receive a set percentage (50%) of the Bonus allocation where they have published a Local Plan but not yet submitted it to the Secretary of State for examination. This approach would recognise progress against the different stages in the plan-making process.

3.15. In July 2011, the Government wrote to local planning authorities and asked that they notify the Planning Inspectorate three months before the publication date of any development plan document and then continue with regular contact prior to the formal submission<sup>5</sup>. The Planning Inspectorate uses this information to maintain a list of how local planning authorities across England are progressing their Local Plans. The Government proposes to use this information to determine the level of abatement. Local authorities will, of course have the usual opportunity between the publication of provisional and confirmed allocations to challenge where they believe that an error has been made in the calculation of the allocation.

**Consultation question 4**

Do you agree that local authorities should lose their Bonus allocation in the years during which their Local Plan has not been submitted? If not, what alternative arrangement should be in place?

3.16. To be effective, Local Plans need to be kept up-to-date. Policies will age at different rates depending on local circumstances, and local planning authorities should review the relevance of the Local Plan at regular intervals to assess whether some or all of it may need updating. Most Local Plans are likely to require updating in whole or in part at least every five years. The Government has, therefore, considered an alternative approach to abatement based on a banded mechanism whereby authorities would lose a fixed percentage of the Bonus they would otherwise have received based on the date of their adopted Local Plan. However, while this would provide an incentive for authorities to keep their plans up-to-date, this option would bring more complexity to the bonus calculation.

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<sup>3</sup> Figures based on 336 relevant local planning authorities as at end November 2015.

<sup>4</sup> By Local Plan we mean a development plan document that sets the strategic planning policies for the whole of an authority's administrative area, and which has been prepared, examined, and adopted under the provisions of the 2004 Act. Such documents are often referred to as a "Core Strategy", a "Local Plan" or a "Local Plan (Part 1)."

<sup>5</sup> For further details see: <https://www.gov.uk/guidance/local-plans#monitoring-local-plans>.

**Consultation question 5**

Is there merit in a mechanism for abatement which reflects the date of the adopted plan?

3.17. The Government wants to ensure that plans are in place that set out the strategic priorities for an area, including a clear assessment of housing needs, and that identify key sites which are critical to the delivery of the housing strategy over the plan period. The Government is not, therefore, proposing to link Bonus payments to the type of plans that are commonly prepared by County Councils in two tier areas. County Councils do, however, have an important role in delivering essential infrastructure. Arguably this could have an impact on the ability of District Councils to produce their Local Plan. We would, therefore, welcome views on whether in two tier areas where a Local Plan has not been published, there should be a corresponding percentage reduction in the bonus available to County Councils.

3.18. If the Government's preferred option outlined in paragraph 3.14 (but not those in 3.16 and 3.17) for withholding and reducing the Bonus had applied in 2016-17, there would have been a £34 million increase in resource available for other pressures.

3.19. As described in paragraph 3.12, the impacts on Bonus payments would only apply during the years for which a local authority had not published or submitted a Local Plan. For instance, if, in normal circumstances, a local authority would have been entitled to grant payments under the Bonus in 2017-18, but had not published its Local Plan until 2019-20, that authority would not receive any payments in the years 2017-18 and 2018-19. But it would receive legacy payments relating to allocations in previous years including 2017-18 and 2018-19, alongside any new allocation, in 2019-20.

#### B. Reducing payments for homes allowed on appeal

3.20. Currently, where a development is granted planning permission on appeal, overturning the original decision made by a local planning authority (or in place of a decision by the authority in the case of appeals against non-determination), councils receive the same reward as when development takes place that the local planning authority has permitted. This means that Bonus payments do not always reflect positive decisions to allow development, and nor do they reflect the additional costs and delays for applicants arising as a result of the appeal process. The Government is, therefore, proposing to reduce new in-year allocations payments to individual authorities where residential development is allowed on appeal.

3.21. Government's **preferred approach** is to use existing data collected by the Planning Inspectorate as the basis for these adjustments. The Inspectorate record the number of houses associated with each planning appeal decision (which may be indicative numbers in the case of applications for outline planning permission). This data would be used on an annual basis to calculate the change required to the overall New Homes Bonus grant for each local authority, to reflect the total number of homes allowed on appeal in a given year. This would allow adjustments to be calculated in a relatively straightforward and transparent manner.

3.22. Some time can elapse between a decision by a local planning authority to refuse an application, any subsequent appeal decision and when the resulting homes get built and

added to the council tax base. To allow for this, there would be a time lag between the appeal outcomes that are counted for the purposes of New Homes Bonus adjustments, and the point at which those changes are then applied to Bonus payments. This will reduce any possibility of a significant mismatch between the pattern of current planning decisions by an authority and any change in Bonus payments which is made.

3.23. The Government has considered whether, as an alternative option, individual planning appeal decisions involving housing could be tracked through to completion, so that adjustments to New Homes Bonus payments are made only when the properties concerned are built and occupied (with the change then reflected in the next applicable New Homes Bonus calculation). However this would add significantly to the data that needs to be collected and reported by local planning authorities, so it is not government's preferred approach.

**Consultation question 6**

Do you agree to this mechanism for reflecting homes only allowed on appeal in Bonus payments?

3.24. Government proposes that there would be a reduction in the New Homes Bonus payment per home allowed on appeal, rather than it being withheld in full. This is for two reasons:

- Not all refusals of permission – and subsequent appeals – result from authorities opposing the principle of development (some, for example, arise from unresolved disagreements over technical issues such as the adequacy of highways access).
- The New Homes Bonus is intended to provide a benefit to the community as a whole, and there is a limit to the extent to which local people should be penalised as a result of poor decisions made by their local planning authority.

3.25. The Government is therefore consulting on whether to reduce New Homes Bonus payments by 50%, or 100% where homes are allowed on appeal, although we are interested in views on other percentage reductions that could be applied. This adjustment would be applied to all six years for which the Bonus would otherwise have been paid in full.

**Consultation question 7**

Do you agree that New Homes Bonus payments should be reduced by 50%, or 100%, where homes are allowed on appeal? If not, what other adjustment would you propose, and why?

3.26. At the time of an appeal decision the ultimate council tax banding of the homes being proposed is not known (as this will depend on their valuation once built). For this reason the calculation of what adjustment should be made, where homes are allowed on appeal, will need to be based on a proxy value. Government's preferred approach is to use the standardised flat rate reduction in payments – for example based on a national average New Homes Bonus figure for Band D properties<sup>6</sup>. The use of the average council tax, for the existing housing stock in each authority was considered as an alternative proxy value, to avoid the risk of over-penalising authorities with high percentages of stock in lower

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<sup>6</sup> This is in line with the current approach of calculating the New Homes Bonus.

council tax banding (and, conversely, of applying a reduced penalty in areas where high value properties predominate). In order to maintain consistency with the rest of the New Homes Bonus allocations process this was rejected in favour of the simplicity and transparency inherent in the national Band D average.

**Consultation question 8**

Do you agree that reductions should be based on the national average Band D council tax? If this were to change (see question 2) should the new model also be adopted for this purpose?

3.27. We estimate that the overall impact of the Government's preferred approach to abatement to reflect housing permissions given on appeal would have been a reduction in 2016-17 New Homes Bonus allocations of around £17m. To understand the process in detail a worked **example** for a "typical" authority, is provided in the Annex to this consultation paper.

### C. Removing deadweight

3.28. The Bonus is currently paid on all new housing regardless of whether or not it would have been built without an incentive. Removing this deadweight from the calculation of the Bonus would allow payments to be more focussed on local authorities demonstrating a stronger than average commitment to growth.

3.29. **One option** for removing deadweight from payments would be to set a single baseline for all areas and only make payments under new allocations relating to housing above that baseline. Details of the calculation are outlined in the Annex to this consultation. A possible level of the baseline is 0.25%. This is lower than the average housing growth over the years prior to the introduction of the Bonus in order to ensure that, whilst it acts as an incentive, not too many authorities fall outside the Bonus entirely. The approach proposed also has the advantage of setting an expectation for growth for all authorities and allowing some flexibility to respond to a changing funding envelope if necessary.

**Consultation question 9**

Do you agree that setting a national baseline offers the best incentive effect for the Bonus?

**Consultation question 10**

Do you agree that the right level for the baseline is 0.25%?

3.30. An **alternative option** would be to set a baseline based on the average growth rate of dwellings in each local authority or local area. However, potentially, this would have the impact of "rewarding" authorities who had only achieved low growth in the past and penalising those who had done well. In addition, it could result in large numbers of authorities not receiving a Bonus payment at all (using 2016-17 provisional figures, we estimate that around 65 authorities would fall outside the Bonus with a "moderate" baseline of 0.5%). This could have the perverse impact of reducing the significance of the Bonus for those authorities and, thus, eroding its incentive effect overall.

3.31. Government would also make **adjustments to the baseline in order to reflect significant and unexpected housing growth**. Under the current proposals for calculation of allocations, there is a risk that the overall cost of the Bonus could go over budget in a given year in the event of a sudden national surge in housing building leading to increased allocations. As explained above, the current proposed level for the deadweight threshold is set around a third of historic levels of housing growth. This leaves considerable scope to increase the threshold without impinging significantly on additional growth. Increasing the threshold would allow the cost of the Bonus to be brought back within budget. It would also be consistent with the Government's intention to ensure that the Bonus acts as a true incentive to housing growth. Changes to the baseline would only be implemented where there was concern that budgets would be breached and would be included in the annual consultation on provisional allocations.

**Consultation question 11**

Do you agree that adjustments to the baseline should be used to reflect significant and unexpected housing growth? If not, what other mechanism could be used to ensure that the costs of the Bonus stay within the funding envelope and ensure that we have the necessary resources for adult social care?

### Impacts on equalities groups

3.32. In exercising its functions, the Government is required to comply with the public sector equality duty. This means that the government must have due regard, in making any decision, to the need to eliminate discrimination and other conduct prohibited under the Equality Act 2010, advance equality of opportunity and foster good relations between persons who share a relevant protected characteristic and those who do not. The protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion and belief, sex and sexual orientation.

3.33. Government would welcome information on any impacts that consultees can foresee these proposals having on specific protected equalities groups under the Equalities Act 2010. The protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion and belief, sex and sexual orientation.

### Worked examples

3.34. Chart 5 below exemplifies the overall impact of the changes proposed using the provisional allocations published alongside this consultation for 2016-17 and assuming that these would be unchanged in future years without the proposals in this consultation. A detailed example showing the impact on an imaginary local authority is set out in the Annex to this consultation paper.

£m	Payments already made
£m	Payments to be made
£m	Estimated future payment

Payment relating to:	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
2011/12	199	199	199	199	199	199				
2012/13		233	233	233	233	233				
2013/14			236	236	236	236	236			
2014/15				249	249	249	249			
2015/16					251	251	251	251		
2016/17						293	293	293		
2017/18							168	168	168	168
2018/19								168	168	168
2019/20									168	168
2020/21										168
<b>Annual total (£m)</b>	<b>199</b>	<b>432</b>	<b>668</b>	<b>917</b>	<b>1,168</b>	<b>1,461</b>	<b>1,197</b>	<b>880</b>	<b>798</b>	<b>673</b>

**Chart 5 – preferred option, combined impact**

## National parks, development corporations and county councils

3.35. National Park Authorities (and the Broads Authority) are responsible for decisions on planning applications in their areas, and for producing a Local Plan; whereas New Homes Bonus payments are made to the relevant district and county councils. This reflects the fact that local authorities are responsible for many of the services that would be affected by increased population in their areas. The original scheme design for the New Homes Bonus<sup>i</sup> did, however, make clear that billing authorities were expected to discuss with National Park Authorities and the Broads Authority the use of Bonus receipts in their areas. This could, for example, conclude in an agreement to split New Homes Bonus funding between them at a locally determined rate, or to reach an agreement on funding a specific community project.

3.36. Government has considered whether, in such areas, the Bonus paid to local authorities should be removed or reduced in the circumstances set out in this consultation: that is, where a local plan is not yet in place, where homes are allowed on appeal or where the homes being delivered are not additional to planned targets. As a more tightly-focused Bonus would have an increased focus on rewarding proactive planning, we think that the same approach should apply in these areas as elsewhere: in other words, the appropriate reductions would apply.

3.37. The same considerations apply where development corporations are established – whether Urban Development Corporations, or Mayoral Development Corporations in London. These bodies are again the local planning authority for Local Plan preparation and decisions on planning applications and, in some cases, plan making, but not the recipients of the New Homes Bonus.

### **Consultation question 12**

Do you agree that the same adjustments as elsewhere should apply in areas covered by National Parks, the Broads Authority and development corporations?

3.38. Government has also considered the position of county councils in two tier areas, who receive 20% of Bonus payments, but are not the planning authority for decisions



involving residential development. Again, Government is not proposing to exempt county councils from the calculation of any adjustments, given the need to more tightly focus future Bonus payments.

**Consultation question 13**

Do you agree that county councils should not be exempted from adjustments to the Bonus payments?

## Protecting individual local authorities

3.39. In proposing the reforms set out in this consultation, Government has sought to ensure that impacts strike the right balance between rewarding local authorities who are truly open to housing growth in their areas and the provision of sufficient resources, when taken with those provided under the wider local government settlement, to meet local needs. It is possible, however, that some local authorities might be particularly adversely affected by the changes which Government is proposing. Whilst this might reflect unwillingness to support and encourage housing growth in their areas, it might also suggest factors which are outside that local authority's control. Government would, therefore, welcome views on whether there is merit in some form of mechanism to protect local authorities who are particularly adversely affected by the reforms proposed in this consultation paper.

**Consultation question 14**

What are your views on whether there is merit in considering protection for those who may face an adverse impact from these proposals?

## Section 4: Summary of Questions

**Question 1** What are your views on moving from 6 years of payments under the Bonus to 4 years, with an interim period for 5 year payments?

**Question 2** Should the number of years of payments under the Bonus be reduced further to 3 or 2 years?

**Question 3** Should the Government continue to use this approach? If not, what alternatives would work better?

**Question 4** Do you agree that local authorities should lose their Bonus allocation in the years during which their Local Plan has not been submitted? If not, what alternative arrangement should be in place?

**Question 5** Is there merit in a mechanism for abatement which reflects the date of the adopted plan?

**Question 6** Do you agree to this mechanism for reflecting homes only allowed on appeal in Bonus payments?

**Question 7** Do you agree that New Homes Bonus payments should be reduced by 50%, or 100%, where homes are allowed on appeal? If not, what other adjustment would you propose, and why?

**Question 8** Do you agree that reductions should be based on the national average Band D council tax? If this were to change (see question 3) should the new model also be adopted for this purpose?

**Question 9** Do you agree that setting a national baseline offers the best incentive effect for the Bonus?

**Question 10** Do you agree that the right level for the baseline is 0.25%?

**Question 11** Do you agree that adjustments to the baseline should be used to reflect significant and unexpected housing growth? If not, what other mechanism could be used to ensure that the costs of the Bonus stay within the funding envelope and ensure that we have the necessary resources for adult social care?

**Question 12** Do you agree that the same adjustments as elsewhere should apply in areas covered by National Parks, the Broads Authority and development corporations?

**Question 13** Do you agree that county councils should not be exempted from adjustments to the Bonus payments?

**Question 14** What are your views on whether there is merit in considering protection for those who may face an adverse impact from these proposals?

# Section 5: Next Steps

## Next steps

5.1 You should respond by 10 March 2016. If possible, please respond to the questions in this consultation via the online form: <https://www.surveymonkey.co.uk/r/X8RHS5>. Responses may also be sent to: [newhomesbonus@communities.gsi.gov.uk](mailto:newhomesbonus@communities.gsi.gov.uk) (With attachments in Microsoft Word only).

5.2 Comments received on the proposals set out in the consultation will be collated and a formal response document published within three months of the closing date of the consultation.

## Annex – Worked Example

Suppose a unitary local authority has 10,000 dwellings in their council taxbase in October 2015 and these are spread evenly across the council tax bands. If there was a net increase of 80 dwellings added during the following year, evenly spread across the council tax bands, then this would equate to an increase of 97 band D equivalent dwellings.

	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H	Total
Adjustment factor for Band D	6/9	7/9	8/9	9/9	11/9	13/9	15/9	18/9	
2015 council taxbase	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	<b>10,000</b>
Net additions	10	10	10	10	10	10	10	10	<b>80</b>
Additions (Band D equivalents)	7	8	9	10	12	14	17	20	<b>97</b>

Assuming 10 of these new dwellings were eligible for the affordable housing premium and applying the latest average Band D council tax rate (2015/16 - £1,483.58) then that local authority would be eligible for the following payments under an unreformed New Homes Bonus scheme in 2017/18:

Band D equivalents	97
Average band D	£1,483.58
<b>Sub-total:</b>	<b>£143,413</b>
Affordable housing premium (per unit)	£350
Affordable housing supply	10
<b>Sub-total:</b>	<b>£3,500</b>
<b>Total Bonus:</b>	<b>£146,913</b>

The impact of policy proposals – withholding the Bonus where there is no Local Plan

If the same hypothetical authority was allocated a New Homes Bonus payment of £120,000 in 2016/17 and each year from 2017/18 would generate the same payment, as outlined above (£146,913) the impact of the reforms will depend on the

status of their local plan in each year. Assuming that the local authority does not have a plan in place in 2017/18 but publishes one in 2018/19 and submits it in 2019/20 their new homes bonus payments are illustrated below:

		Payment received in:					
		Bonus amount:	2016/17	2017/18	2018/19	2019/20	2020/21
Payment relating to:	2016/17	£120,000	£120,000	£120,000	£120,000	£120,000	£120,000
	2017/18	£146,913	n/a	£0	£0	£146,913	£146,913
	2018/19	£146,913	n/a	n/a	£0	£146,913	£146,913
	2019/20	£146,913	n/a	n/a	n/a	£146,913	£146,913
	2020/21	£146,913	n/a	n/a	n/a	n/a	£146,913
Local plan status			No Local Plan	No Local Plan	Plan published	Plan submitted	

Having no plan in 2017/18 means that aside from payments from allocations on or before 2016/17 the local authority receives no additional New Homes Bonus allocation in that year, losing £146,913. In the following year on publication of their Local Plan they still do not receive a bonus allocation for 2017/18 and 2018/19. Once the local plan is submitted in 2019/20 all payments resume in full.

In two tier areas, we are proposing that the impacts would only affect the district authority and not the County Council (although, in paragraph 3.15, the question is explored further). As such, under the same circumstances the impacts would be 80% of the full payment outlined for the hypothetical unitary authority used in this example.

#### The impact of policy proposals - reducing payments for homes allowed on appeal

Suppose now the local authority had seen several recent planning decisions appealed and as a result the Planning Inspectorate had given permission for 10 dwellings on appeal. This would trigger a 50% reduction in the New Homes Bonus allocation awarded for 10 dwellings.

Band D equivalents	97
Average band D	£1,483.58
<b>Affordable Homes premium</b>	£3,500
<b>Sub-total:</b>	£146,913

50% of average Band D	£741.79
Homes permitted on appeal	10
<b>Sub-total – reduction in bonus</b>	£7,418
<b>Total Bonus:</b>	<b>£139,495</b>

If this were a two tier authority the reduction would be incurred by both tiers in the same proportions as the bonus is awarded because the reduction in award is determined as above before being distributed to local authorities according to the tier split. As such, under the same circumstances a district authority would receive £111,596 and the County Council £22,319, as opposed to £117,530 and £23,506 respectively.

In any local authority area where the level of appeals were so high in a year as to exceed the effective growth (measured in Band D equivalents) of their council taxbase, their only award would be based on the affordable housing premium with all other elements of the payment being reduced to zero.

The impact of policy proposals – removing deadweight

The baseline growth in the council taxbase proposed in this worked example is 0.25% of the growth in Band D equivalents and this is applied to all local authorities. This level of baseline removes an element of the allocation on the basis of underlying growth, whilst trying to limit the extent to which local authorities do not receive any award under the New Homes Bonus. This approach alone would affect all authorities to some extent but in 2016/17 provisional allocations only 8 would have failed to reach the threshold growth in their council taxbase to receive no payment whatsoever and two of those authorities would not have been rewarded anyway because they saw a decrease in total Band D equivalents.

	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H	Total
Adjustment factor for Band D	6/9	7/9	8/9	9/9	11/9	13/9	15/9	18/9	
2015 council taxbase	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	<b>10,000</b>
Band D equivalents (start year)	833	972	1,111	1,250	1,528	1,806	2,083	2,500	<b>12,083</b>
Net additions	10	10	10	10	10	10	10	10	<b>80</b>

Additions (Band D equivalents)	7	8	9	10	12	14	17	20	<b>97</b>
Baseline growth (deadweight 0.25%)	2	2	3	3	4	5	5	6	<b>30</b>
Growth above baseline	5	5	6	7	8	10	11	14	<b>66*</b>

\*Totals may not sum due to rounding (after adjusting to Band D equivalent numbers)

Taking the example of the hypothetical authority described above once more. The growth in band D equivalents of 97 represents a 0.8% increase in their stock of Band D equivalents. Therefore the baseline growth of 0.25% would represent 30 of these and as such the New Homes Bonus allocation would be calculated by applying the national average Band D council tax (£1483.58) to the remaining 66, to give an allocation of £102,096. This represents a reduction of £44,816 when compared to the unreformed system.

#### The combined impact

Band D equivalents (growth)	97
Average band D	£1,483.58
<b>Affordable Homes premium</b>	£3,500
<b>Sub-total:</b>	£146,913
Reduction in bonus - appeals	£7,418
Reduction in bonus - deadweight	£44,816
<b>Total reduction in bonus</b>	<b>£52,234</b>
<b>Final Bonus allocation:</b>	<b>£94,678</b>

# Agenda Item 12

## **District Executive Forward Plan**

*Executive Portfolio Holder:* Ric Pallister, Leader, Strategy and Policy  
*Assistant Director:* Ian Clarke, Legal and Corporate Services  
*Lead Officer:* Ian Clarke, Legal and Corporate Services  
*Contact Details:* [ian.clarke@southsomerset.gov.uk](mailto:ian.clarke@southsomerset.gov.uk) or (01935) 462184

### **1. Purpose of the Report**

1.1 This report informs Members of the current Executive Forward Plan, provides information on Portfolio Holder decisions and on consultation documents received by the Council that have been logged on the consultation database.

### **2. Public Interest**

2.1 The District Executive Forward Plan lists the reports due to be discussed and decisions due to be made by the Committee within the next few months. The Consultation Database is a list of topics which the Council's view is currently being consulted upon by various outside organisations.

### **3. Recommendations**

3.1 The District Executive is asked to:-

- I. approve the updated Executive Forward Plan for publication as attached at Appendix A;
- II. note the contents of the Consultation Database as shown at Appendix B.

### **4. Executive Forward Plan**

4.1 The latest Forward Plan is attached at Appendix A. The timings given for reports to come forward are indicative only, and occasionally may be re scheduled and new items added as new circumstances arise.

### **5. Consultation Database**

5.1 The Council has agreed a protocol for processing consultation documents received by the Council. This requires consultation documents received to be logged and the current consultation documents are attached at Appendix B.

### **6. Background Papers**

6.1 None.



## Appendix A - SSDC Executive Forward Plan

Date of Decision	Decision	Portfolio	Service Director	Contact	Committee(s)
April 2016	Westland Leisure Complex Progress Report	Portfolio Holder Leisure & Culture	Assistant Director (Health and Well-Being)	Steve Joel, Assistant Director (Health & Well-Being)	District Executive
April 2016	Somerset Waste Partnership New Waste Collection Model	Portfolio Holder for Environment & Economic Development	Strategic Director (Operations & Customer Focus)	Vega Sturgess, Strategic Director (Operations & Customer Focus) / Interim Chief Executive	District Executive
April 2016	Adoption of the Revised County Wide Tenancy Strategy	Portfolio Holder for Strategy and Policy	Assistant Director (Economy)	Colin McDonald, Corporate Strategic Housing Manager	District Executive
May 2016					South Somerset District Council
April 2016	Community Right to Bid Quarterly Update Report	Portfolio Holder for Strategic Planning (Place Making)	Assistant Directors (Communities)	Helen Rutter, Area Development Manager (East) / Assistant Director (Communities)	District Executive
April 2016	South Somerset Together Annual Update	Portfolio Holder for Strategy and Policy	Assistant Directors (Communities)	Chereen Scott, South Somerset Together Co-ordinator	District Executive
April 2016	Designation of Martock Neighbourhood Area	Portfolio Holder for Strategic Planning (Place Making)	Assistant Director (Economy)	Jo Wilkins, Policy Planner	District Executive
April 2016	Asset Transfer - Castle Cary Market House, Castle Cary	Portfolio Holder for Property & Climate Change	Assistant Director (Environment)	Laurence Willis, Assistant Director (Environment)	District Executive

Date of Decision	Decision	Portfolio	Service Director	Contact	Committee(s)
May 2016	Approval of the Somerset District Authorities Regulatory Services Enforcement Policy 2015-2020 and the Environmental Protection Enforcement Policy 2015-2020	Portfolio Holder for Area West	Assistant Director (Environment)	Alasdair Bell, Environmental Health Manager	District Executive
May 2016	Capital and Revenue Budget monitoring reports for Quarter 4 (out-turn reports)	Portfolio Holder for Finance and Legal Services	Assistant Director (Finance and Corporate Services)	Donna Parham, Assistant Director (Finance & Corporate Services)	District Executive
May 2016	Intelligent Enforcement Proposal for Council car parks	Portfolio Holder for Property & Climate Change	Assistant Director (Environment)	Garry Green, Engineering & Property Services Manager	District Executive
June 2016	Quarterly Performance and Complaints Monitoring Report	Portfolio Holder for Strategy and Policy	Strategic Director (Place & Performance)	Andrew Gillespie, Area Development Manager (West) / Performance Manager	District Executive
June 2016 June 2016	Approval of the Homefinder Somerset Allocations Policy	Portfolio Holder for Strategy and Policy	Assistant Director (Health and Well-Being) Assistant Director (Health and Well-Being)	Kirsty Larkins, Housing and Welfare Manager	District Executive South Somerset District Council

**APPENDIX B - Current Consultations – March 2016**

Purpose of Document	Portfolio	Director	Response to be agreed by	Contact	Deadline for response
<p><b>New Homes Bonus: sharpening the incentive: technical consultation</b></p> <p>This consultation seeks views on options for changes to the New Homes Bonus to better reflect authorities' delivery of new housing.</p> <p>It also seeks views on reducing the number of years in which current and future payments are made.</p> <p><a href="https://www.gov.uk/government/consultations/new-homes-bonus-sharpening-the-incentive-technical-consultation">https://www.gov.uk/government/consultations/new-homes-bonus-sharpening-the-incentive-technical-consultation</a></p>	<p>Finance and Legal Services / Strategy and Policy</p>	<p>Assistant Director (Finance and Corporate Services)</p>	<p>To be discussed at District Executive – March 2016</p>	<p>Donna Parham</p>	<p>10<sup>th</sup> March 2016</p>
<p><b>Implementation of planning changes: technical consultation</b></p> <p>This consultation is seeking views on the proposed approach to implementation of measures in the Housing and Planning Bill, and some other planning measures.</p> <p>Responses to the consultation will inform the detail of the secondary legislation which will be prepared once the Bill gains Royal Assent.</p> <p><a href="https://www.gov.uk/government/consultations/implementation-of-planning-changes-technical-consultation">https://www.gov.uk/government/consultations/implementation-of-planning-changes-technical-consultation</a></p>	<p>Strategic Planning (Place Making)</p>	<p>Assistant Director (Economy)</p>	<p>Officers in consultation with Portfolio Holder</p>	<p>David Norris</p>	<p>15<sup>th</sup> April 2016</p>

# Agenda Item 13

## **Date of Next Meeting**

Members are asked to note that the next scheduled meeting of the District Executive will take place on **Thursday, 7<sup>th</sup> April 2016** in the Council Chamber, Council Offices, Brympton Way, Yeovil commencing at 9.30 a.m.