

Guildhall Gainsborough
Lincolnshire DN21 2NA
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This meeting will be webcast live and the video archive published on the Council's website

AGENDA

Prayers will be conducted prior to the start of the meeting.
Members are welcome to attend.

PLEASE NOTE DUE TO CONTINUED SOCIAL DISTANCING REQUIREMENTS THE PUBLIC VIEWING GALLERY IS CURRENTLY SUSPENDED

This Meeting will be available to watch live via: <https://west-lindsey.public-i.tv/core/portal/home>

Notice is hereby given that a meeting of the Council will be held in the Epic Centre - Lincolnshire Showground - LN2 2NA, , on **Monday, 28th June, 2021 at 7.00 pm**, and your attendance at such meeting is hereby requested to transact the following business.

To: Members of West Lindsey District Council

1. APOLOGIES FOR ABSENCE

2. MEMBERS' DECLARATIONS OF INTEREST
Members may make any declarations of interest at this point and may also make them at any point during the meeting.

3. DISTRICT COUNCIL BY-ELECTION RESULTS - MAY 2021
To receive the results of the District Council By-Election held on 6 May 2021.

Agendas, Reports and Minutes will be provided upon request in the following formats:

Large Clear Print: Braille: Audio: Native Language

(PAGE 6)

4. CHAIRMAN'S CHAPLAIN

- a) to move a vote of thanks to the previous Chairman's Chaplain for their services over the past year two years; and
- (b) to receive the appointment of Chairman's Chaplain for the remainder of the Civic Year 2021/22.

5. TO ELECT A LEADER OF THE COUNCIL

6. TO ELECT A DEPUTY LEADER OF THE COUNCIL

7. MINUTES OF THE PREVIOUS MEETING

To confirm and sign as a correct record both the Minutes of the previous Full Council Meeting held on 12 April 2021 and the Annual Meeting of Full Council held on 4 May 2021.

(PAGES 7 - 23)

8. MATTERS ARISING

Matters Arising Schedule as at 18 June 2021.

(PAGES 24 - 27)

9. ANNOUNCEMENTS

- i) Chairman of Council
- ii) Leader of the Council
- iii) Chief Executive

10. PUBLIC QUESTION TIME

Questions, if received, under this Scheme will be published by way of supplement.

Agendas, Reports and Minutes will be provided upon request in the following formats:

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11. QUESTIONS PURSUANT TO COUNCIL PROCEDURE RULE NO. 9
Questions submitted by Members Under Procedure Rule No. will be published as a supplement following closure of the deadline.

12. MOTIONS PURSUANT TO COUNCIL PROCEDURE RULE NO. 10
Motion 1 – Street Lighting in West Lindsey

“Chairman

In 2016 Lincolnshire County Council turned off almost half of the street lights across the County resulting in many residents living in fear for their safety at night.

At a recent presentation by Lincolnshire Police (18th Feb) it was stated that the lack of street lighting has significantly impacted on crime levels in parts of the Gainsborough South West Ward and their ability to effectively deal with crime during hours of darkness.

Perception of personal safety is important especially for the vulnerable. The recent events of the Sarah Everards case have placed emphasis on women’s safety, particularly at night time.

Surely it is time this position was re-considered?

I call upon Members to support this motion requesting that the Leader of this Council commences robust discussions with Leading Members of the County Council with a view to seeking the re-introduction of street lighting in parts of West Lindsey, particularly into those communities we ourselves have deemed to be vulnerable.

Furthermore, the Leader be required to feed back to this Council, by way of report to Prosperous Communities, the outcome of these discussion, potential options which could be investigated and their associated costs.

I so move”

Councillor Trevor Young, Leader of the Opposition, and Ward Member for the Gainsborough South- West Ward.

13. REPORTS FOR DETERMINATION

Agendas, Reports and Minutes will be provided upon request in the following formats:

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a. REVIEW OF THE ALLOCATION OF SEATS TO POLITICAL GROUPS ON COMMITTEES/SUB -COMMITTEES

To note the number of Members to be appointed to serve on each Committee in accordance with the provisions of Section 15 of the Local Government Act.

(PAGES 28 - 38)

b. APPOINTMENT OF COMMITTEES, COMMITTEE CHAIRMEN AND COMMENCEMENT TIME OF MEETINGS

In accordance with the provisions of Section 16 of the Local Government and Housing Act 1989, to appoint Members to Committees for the Civic Year, in accordance with the wishes expressed by the Political Groups

(PAGES 39 - 47)

c. APPOINTMENT OF SUB-COMMITTEES, BOARDS AND OTHER BODIES (INCLUDING ANY OUTSIDE BODIES DUE TO EXPIRE)

(PAGES 48 - 62)

d. Adoption of the Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans

(PAGES 63 - 70)

e. Appointment to Remuneration Panel

(PAGES 71 - 80)

f. The Council's Carbon Management Plan and draft Sustainability, Climate and Environment Strategy and action plan

(PAGES 81 - 217)

g. Annual Constitution Review 19/20 and 20/21 and Monitoring Officer's Annual Report covering the same period, as recommended by the Governance and Audit Committee

(PAGES 218 - 385)

h. Report on work undertaken by the Governance & Audit Committee 2020/21

(PAGES 386 - 393)

Agendas, Reports and Minutes will be provided upon request in the following formats:

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i. Overview and Scrutiny Annual Report
(PAGES 394 - 403)

Ian Knowles
Head of Paid Service
The Guildhall
Gainsborough

Friday, 18 June 2021

Agendas, Reports and Minutes will be provided upon request in the following formats:

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DECLARATION OF RESULT OF POLL

WEST LINDSEY DISTRICT COUNCIL

Election of a District Councillor for Kelsey Wold Ward

on Thursday 6 May 2021

I, Ian Knowles, being the Returning Officer at the above election, do hereby give notice that the number of votes recorded for each Candidate at the said election is as follows:

Name of Candidate	Description (if any)	Number of Votes*
MORRIS, Peter David	The Conservative Party Candidate	565 Elected
REECE, Louise Amanda	Liberal Democrats	243
SAYWELL, Colin	Labour Party	94

* If elected the word 'Elected' appears against the number of votes.

The number of ballot papers rejected was as follows:	Number of ballot papers
A want of an official mark	0
B voting for more Candidates than voter was entitled to	1
C writing or mark by which voter could be identified	2
D being unmarked or wholly void for uncertainty	4
E rejected in part	0
Total	7

Vacant Seats: 1

Electorate: 2210

Ballot Papers Issued: 909

Turnout: 41.13%

And I do hereby declare that,

Peter David Morris

is duly elected Councillor for the said Ward.

Dated Friday 7 May 2021

Ian Knowles
Returning Officer

WEST LINDSEY DISTRICT COUNCIL

Minutes of the Meeting of Council held in the Via MS Teams at <https://west-lindsey-public-i.tv/core/portal/home>, on 12 April 2021 at 7.00 pm.

Present: Councillor Steve England (Chairman)
Councillor Mrs Angela Lawrence (Vice-Chairman)

Councillor Owen Bierley	Councillor Matthew Boles
Councillor Mrs Jackie Brockway	Councillor Stephen Bunney
Councillor Liz Clews	Councillor David Cotton
Councillor Mrs Tracey Coulson	Councillor Christopher Darcel
Councillor Timothy Davies	Councillor Michael Devine
Councillor David Dobbie	Councillor Jane Ellis
Councillor Ian Fleetwood	Councillor Mrs Caralyne Grimble
Councillor Cherie Hill	Councillor Paul Howitt-Cowan
Councillor Mrs Cordelia McCartney	Councillor Giles McNeill
Councillor John McNeill	Councillor Mrs Jessie Milne
Councillor Keith Panter	Councillor Roger Patterson
Councillor Mrs Judy Rainsforth	Councillor Tom Regis
Councillor Mrs Diana Rodgers	Councillor Jim Snee
Councillor Mrs Mandy Snee	Councillor Jeff Summers
Councillor Robert Waller	Councillor Mrs Anne Welburn
Councillor Mrs Angela White	

In Attendance:

Ian Knowles	Chief Executive
James O'Shaughnessy	Head of Policy Strategy and Sustainable Environment / Deputy Monitoring Officer
Katie Storr	Democratic Services & Elections Team Manager (Interim)
Ele Snow	Democratic and Civic Officer

Apologies Councillor Mrs Lesley Rollings

66 REGISTER OF ATTENDANCE

Prior to requesting the Deputy Monitoring Officer to undertake the formal roll-call to confirm all Members were in attendance, having offered Prayers for HRH The Duke of Edinburgh, prior to the start of the meeting, the Chairman opened the meeting sombrely. He asked that Members join him in a minute's silence, as mark of respect to Britain's longest serving Consort and beloved husband of Her Majesty The Queen.

Both the Chairman and Leader of the Council paid tribute to the Duke and spoke of his service and dedication to both Queen and Country.

The roll-call for both Members and Officers was undertaken, during which apologies were noted from Councillors Lesley Rollings. Councillor Tracey Coulson had indicated she may need to leave the meeting prior to it's conclusion.

67 MINUTES OF THE PREVIOUS MEETING

a) Minutes of the Meeting of Full Council held on 1 March 2021

Having being moved and seconded, and with no questions raised, it was: -

RESOLVED that the Minutes of the Meeting of Full Council held on 1 March 2021 be confirmed and signed as a correct record.

68 MEMBERS' DECLARATIONS OF INTEREST

No declarations of interest were made at this point of the meeting.

69 MATTERS ARISING

The Chairman introduced the report advising Members that the report would be taken "as read" unless Members had any questions.

Members commented on the notably brief response received from the United Lincolnshire Hospital Trust, appended to the report.

With no further comments or questions and with no requirement for a vote, the Matters Arising were **DULY NOTED**.

70 ANNOUNCEMENTS

Chairman

The Chairman started his announcements advising that Civic commitments for obvious reasons continued to be limited. He was hopeful for more positive times ahead due to the successful vaccine rollout. However the Chairman had had the pleasure of supporting the Armed Forces Charity, who would usually hold a local event at Hemswell Court. This year the event had taken place virtually, and had been a national event.

The Chairman had also joined the Leader of the Council in a visit to the vaccination centre at the Lincolnshire Showground. Both had been tested on entry, providing negative results, before both then having the opportunity to see behind the scenes and thank all involved for their amazing efforts to deliver a successful roll-out.

Leader

The Leader made the following address to Council: -

“To begin with the coronavirus pandemic, or more specifically the recovery from it, it is hugely reassuring to note that progress is still in full alignment with the roadmap originally set out by Government. The vaccination programme continues to be delivered at pace and scale with increasing focus on second doses for older age groups and with younger economically active ages being invited for their first appointments. Thinking around self-testing using lateral flow devices has evolved to make the kits much more widely available with people encouraged to collect a supply and to adopt their own testing routine. The devices are simple to use and hugely valuable for the reassurance they provide as well as for the data.

May I take this opportunity to thank the team for the remarkable work they have done so far in preparation for the delivery of a Covid-safe Elections day on Thursday, 6th May? Whilst more electors than usual may opt for a postal or proxy vote others will undoubtedly prefer to follow the traditional route of visiting a polling station, many of them in buildings that have been either fully or partially closed since the announcement of the initial lockdown last year. Members will be aware that the regulations allowing Council meetings to be held remotely are due to expire on 6th May. There is a legal challenge, to be heard in the High Court, seeking an extension beyond that date and having implications for all tiers of local government.

I'm delighted that, in March, Lea Fields Crematorium received a prestigious and highly regarded Civic Trust Award for 'demonstrating excellence in architecture and design, whilst being sustainable, accessible and providing a positive civic contribution'. This adds to the award last year of 'Best Service Team of the Year: Cemetery and Crematorium Services' by APSE, the Association of Public Service Excellence. It again reflects great credit on all those involved in the delivery, opening and running of the facility, which is genuinely an initiative that the District Council collectively can take enormous pride in.

On 3rd March the Chancellor announced two new grant schemes, the UK Community Renewal Fund (CRF) and the Levelling Up Fund (LUF) to which Councils are invited to apply before the first round deadline of 18th June. The CRF is a forerunner to the UK Shared Prosperity Fund (due to be introduced in 2023) however both funds are intended to assist those areas at risk of being left behind. Importantly they create a direct relationship between government and those local areas with a desire to move at pace to effect change. West Lindsey is listed as a Priority 2 area and accordingly work is already underway both within the district and with our partners in Lincolnshire to produce a compelling, well-evidenced and strong application.

Finally Chairman, Members will be aware that our own new grant schemes to support businesses and help to promote sustainable economic recovery are being finalised for their launch. Whilst I recognise that much remains to be done and will be done on behalf of those we represent, my heartfelt thanks go to each

and every one of you, to our colleagues in local government and to all of our partners in the community for what has been achieved and delivered so far.”

Chief Executive

The Chief Executive addressed Council and commenced with a Covid Update as follows: -

Covid infections as at the 4th April, 54 cases across the District. The Infection rate for the District was 48.1 per 100,000, England’s comparable rate was 40.9 per 100,000, and the rate for Lincolnshire as a whole was 48.2 per 100,000. The Over 60’s infection rate had fallen from 111.8 per 100,000 to 9.9 per 100,000 with the England average of 10.8per 100,000. A testing centre had been opened within Gainsborough and plans were well underway for a second centre in Market Rasen.

The Chief Executive was pleased to confirm to Members two appointments he had recently made; the appointment of James O’Shaughnessy to the post of Head of Policy, Strategy and Sustainable Environment and the appointment of Emma Redwood to the role of Assistant Director of People and Governance.

Personal condolences were offered to Her Majesty the Queen and the Royal family. Thanks were paid to the civic team and colleagues for responding swiftly on Friday and ensuring that West Lindsey District Council responded well and met all our responsibilities.

The Chief Executive concluded his announcements, with the pleasure of announcing the Crematorium which opened in February 2020, had won a fourth award. He placed on record his thanks to the team for the work they were doing, with special thanks to Celia Chapman and Trudi Hayes who had become qualified to operate the cremator over the last twelve months.

71 PUBLIC QUESTION TIME

The Chairman advised the meeting that no public questions had been received.

72 QUESTIONS PURSUANT TO COUNCIL PROCEDURE RULE NO. 9

The Chairman advised the meeting that no questions, Under Council Procedure Rule No.9, had been received for consideration.

73 MOTIONS PURSUANT TO COUNCIL PROCEDURE RULE NO. 10

The Chairman advised the meeting that one motion pursuant to Council Procedure Rule No.10 had been submitted to the meeting, this was as set out in the agenda.

Councillor Anne Welburn, Ward Member for Cherry Willingham, was invited to put her motion to the meeting, as follows: -

Support for Farmers

“Chairman, Councils in England dealt with 976,000 fly-tipping incidents in 2019-20, according to figures released by Defra. These figures account for waste illegally dumped on public land, reported to the local authorities and represent a 2% increase from the 957,000 reported incidents in 2018-19.

Just under two thirds (65%) of these fly-tips involved household waste. The most common place for fly-tipping was on pavements and roads, which accounted for 43% of total incidents in 2019-20. Fly-tipping incidents in England have risen by nearly 40% in the past five years, according to official council figures. Significantly, these figures do not include incidents of dumping on private land and there is therefore widespread under-reporting.

Farmers and landowners are plagued by fly-tipping and there is widespread anger and frustration that existing laws do not go far enough in supporting victims.

Responsibility for dealing with fly-tipping on private land rests with the private landowner and is not subject to mandatory data reporting, so is not included in the Defra report and cases of fly-tipping on privately owned land are significantly more than on public land.

When litter and fly tipping occur on private land such as farmers' fields, it is down to the owner to have it removed – and to foot the bill for doing so. The costs involved are huge. The effects are not all financial either. Fly tipping takes time to clear responsibly, can block access and can cause safety issues not only for farmers and their employees, but also for livestock and wildlife.

Part of the problem is that it's currently too simple to gain a waste-carriers licence, these are issued by the Environment Agency to businesses who wish to transport waste. Residents may check online whether a business has one of these licences, however there is no guarantee that their waste will be disposed of responsibly. This system needs urgent reform in order that residents can be reassured their waste is being disposed of in the correct way. A revamped system would act as a deterrent; in addition, there should be new legislation which would allow farmers to recover the cost of fly tipping on private land when it is obviously household waste.

I ask that Councillors support a motion to write to the Government and ask for new legislation around waste carriers licences and farmers rights to help with removal of household waste. We should also commission our Member representative on Lincolnshire Waste Partnership to encourage partners in that forum to similarly raise concerns with the Government.

I so move.

Councillor Anne Welburn”

The Leader of the Council made an initial response to the motion: -

“Thank you Chairman and thank you Cllr Mrs Welburn for bringing this important issue forward, I would like to second your motion and trust others will support it too.

You are absolutely right to set out the scale of the problem and to highlight the inequity whereby responsibility for (and the cost of) clearing fly-tips from private land falls on the landowner. The most recent estimate I’ve seen suggests this equates to an average cost to farmers of £900.00 a year.

Much work is underway to achieve a sustained reduction in instances of fly tipping, based on the recognition that partnership working is crucial to success. For example 2019’s Fly-Tipping Roundtable brought together representatives from local authorities, the Environment Agency, Lincolnshire Police, the Internal Drainage Boards, the Country Land and Business Association and the National Farmers Union to share insight and best practice and to discuss the most effective use of powers. Subsequently the SCRAP campaign, of which West Lindsey is a leading and proactive member, was introduced throughout Lincolnshire.

More clearly needs to be done, so I welcome your proposals as being most helpful and timely and will be pleased to action them as requested, should the Chamber support that.

Thank you Chairman.”

Debate ensued and Ward Member for Nettleham, Councillor G McNeill made reference to recent complaints regarding the state of the roadsides on the approach into Lincoln City. This matter had been discussed with the relevant Director and the Ward Member indicated he shared the concerns of the resident. The location given the numerous local drive through lent itself for fly tipping. He considered the Authority previously had undertaken a good job in maintaining such areas. However given a recent change in legislation, which now required roads with a speed limit in excess of 50mph must be closed for such work to be undertaken, made it very difficult to undertake such work; work which residents would consider a very much ordinary and expected activity for the Council to undertake. It was suggested the Council in considering the motion from Councillor Welburn, should also maybe consider lobbying on this connected matter; questioning whether the Government had made the correct decision with this regard. This change in legislation seriously affected how the Council considered its approach to the environment and the countryside and its ability to deal with issues raised by residents in the area.

Many Members spoke in support of the motion, it was suggested that the Authority as the disposal authority, should be permitted to assist those farmers where fly tipping had clearly occurred on their land. Private landowners not only were left to deal with household waste but often waste which could also cause a contamination hazard. As the disposal Authority, the Council had much easier access to resources required to appropriately and safely dispose of such waste.

Some Members suggested the revised rules and regulations at local recycling sites were to some degree responsible for increased fly tipping, citing recent experiences. Members also

questioned the recent change in practice and operation of the site and considered this had been at the detriment of the service, which had previously worked well. Members concurred that licences were granted too readily and with few checks.

Councillor Brockway as a serving Member of the County Council spoke to clarify why it had been necessary to amend practices at recycling sites and confirmed that these were temporary measures only.

With further Members speaking in support of the motion and of the other matters raised throughout the course of the debate, on being put to the vote, it was **RESOLVED** that the motion as submitted, be **ACCEPTED**.

As such Full Council requests the Leader writes to the Government requesting new legislation around waste carriers licences and farmers rights to help with removal of household waste. Furthermore, West Lindsey District Council's Member representative on Lincolnshire Waste Partnership is requested to encourage partners in that forum to similarly raise concerns with the Government.

74 REVIEW OF THE ALLOCATION OF SEATS TO POLITICAL GROUPS ON COMMITTEES AND SUB-COMMITTEES

The Chairman presented the report, which set out details of the political groups on the Council, the number of Members to be appointed to serve on each Committee, and the allocation of seats on each of the Committees based on political groupings.

The requirement to review the allocations was as a result of Councillor Paul Howitt-Cowen giving due notice under regulation 10 of the Local Government (Committees & Political Groups) Regulations 1990 that he no longer wished to be treated as a member of the Conservative Group nor the Administration. Councillor Jeff Summers had also given due notice under Regulation 9b that he wished to be treated as Member of both the Conservative Group and the Administration.

This was a matter, which had been determined by the Head of Paid Service under his delegated authority, and as such, there was no requirement for a vote.

With no questions posed, the following was **DULY NOTED**: -

- (a) the details of the political groups, as set out in Appendix A of the report,
- (b) the number of Members to be appointed to serve on each committee and sub-committee; and
- (c) the allocation to different political groups of seats on committees/sub-committees, as set out in Appendix B of the report.

75 APPOINTMENT OF COMMITTEES

The Chairman of the Council presented the report which set out the wishes expressed by

the political groups in respect of the appointment of Members to serve on each of the Council's formal Committees for the remainder of the 20/21 Civic Year.

Requests had been received that the Overview and Scrutiny be not politically balanced.

Members were asked to suspend the rules relating to proportionality in respect of the Overview and Scrutiny Committee and appoint the Members named in the report to the respective Committees.

Whilst the Council had had the need to re-appoint the Committees in accordance with its duty to make appointments to Committees in accordance with the wishes expressed by political groups, all Group Leaders had indicated they have no wish to amend the Chairmen and Vice-Chairmanship appointments previously made.

In light of this position, Members were merely asked to re-affirm the appointments previously made to these positions.

With no questions posed, following a unanimous vote in favour it was

RESOLVED that: -

- (a) the rules relating to proportionality be suspended in relation to the Overview and Scrutiny; and
- (b) in accordance with the provisions of section 16 of the Local Government and Housing Act 1989 and the wishes expressed by political groups, the following members be appointed to serve on the Council's committees for the remainder of the civic year as follows:

Chief Officer Employment Committee (10 Members)

Councillor Owen Bierley (Vice-Chairman)

Councillor Jackie Brockway – Chairman

Councillor Mick Devine

Councillor Cherie Hill

Councillor Angela Lawrence

Councillor Diana Rodgers

Councillor Lesley Rollings

Councillor Anne Welburn

Councillor Angela White

Councillor Trevor Young

Corporate Policy and Resources Committee (14 Members)

Councillor Owen Bierley

Councillor Matthew Boles

Councillor Stephen Bunney

Councillor David Cotton

Councillor Mick Devine

Councillor Ian Fleetwood
Councillor Paul Howitt-Cowan
Councillor Giles McNeill
Councillor John McNeill
Councillor Mandy Snee
Councillor Jeff Summers – Vice-Chairman
Councillor Robert Waller
Councillor Anne Welburn –Chairman
Councillor Trevor Young

Governance and Audit Committee (7 Members)

Councillor Jackie Brockway – Vice Chairman
Councillor Stephen Bunney
Councillor Tracey Coulson
Councillor David Dobbie
Councillor Caralyne Grimble
Councillor John McNeill – Chairman
Councillor Angela White

Licensing Committee (11 Members)

Councillor David Cotton
Councillor Liz Clews
Councillor Tim Davies
Councillor Caralyne Grimble
Councillor Paul Howitt-Cowan
Councillor Angela Lawrence – Vice Chairman
Councillor Cordelia McCartney
Councillor Jessie Milne – Chairman
Councillor Judy Rainsforth
Councillor Jim Snee
Councillor Jeff Summers

Regulatory Committee (11 Members)

Councillor David Cotton
Councillor Liz Clews
Councillor Tim Davies
Councillor Caralyne Grimble
Councillor Paul Howitt-Cowan
Councillor Angela Lawrence – Vice Chairman
Councillor Cordelia McCartney
Councillor Jessie Milne – Chairman
Councillor Judy Rainsforth
Councillor Jim Snee
Councillor Jeff Summers

Planning Committee (14 Members)

Councillor Owen Bierley
Councillor Matthew Boles
Councillor David Cotton
Councillor Mick Devine
Councillor Jane Ellis
Councillor Ian Fleetwood – Chairman
Councillor Cherie Hill
Councillor Cordelia McCartney
Councillor Jessie Milne
Councillor Keith Panter
Councillor Roger Patterson
Councillor Judy Rainsforth
Councillor Robert Waller – Vice Chairman
Councillor Angela White

Prosperous Communities Committee (14 Members)

Councillor Owen Bierley – Chairman
Councillor Stephen Bunney
Councillor Tracey Coulson – Vice-Chairman
Councillor Chris Darcel
Councillor Mick Devine
Councillor Steve England
Councillor John McNeill – Vice Chairman
Councillor Jessie Milne
Councillor Judy Rainsforth
Councillor Tom Regis
Councillor Jim Snee
Councillor Mandy Snee
Councillor Anne Welburn
Councillor Trevor Young

Overview and Scrutiny Committee (12 members – not politically balanced)

Councillor Liz Clews
Councillor Tim Davies
Councillor David Dobbie
Councillor Jane Ellis
Councillor Caralyne Grimble
Councillor Cherie Hill
Councillor Angela Lawrence
Councillor Keith Panter
Councillor Roger Patterson

Councillor Diana Rodgers – Vice Chairman
Councillor Lesley Rollings – Chairman
Councillor Angela White – Vice Chairman

- (c) the current committee Chairmen, and Vice-Chairmen (shown in bold above) be re-affirmed.

Note: Councillor Coulson left the meeting following consideration of the above item.

76 APPOINTMENTS TO NEW OUTSIDE BODIES - GAINSBOROUGH TRANSPORT STRATEGY DELIVERY BOARD (GTSDB) AND THE LINCOLN TRANSPORT STRATEGY DELIVERY BOARD (LTSDB)

As advised within the accompanying report, now active within West Lindsey are the Gainsborough Transport Strategy Delivery Board (GTSDB) and the Lincoln Transport Strategy Delivery Board (LTSDB).

Both meetings of, and attendance at these Boards, had to date, been on an ad hoc basis.

In order that the Council could maintain effective partnerships within these Boards and in recognition that WLDC holds the role of a key stakeholder it was recommended to Members that Membership of these Boards be formalised beyond the current ad hoc arrangements.

Members were therefore asked to formally recognise the Gainsborough Transport Strategy Delivery Board (GTSDB) and the Lincoln Transport Strategy Delivery Board (LTSDB) as formal outside bodies and to formally appoint Members to serve on each of the Boards as set out within the report.

Members were made aware of a recent appointment made to the North Notts Community Rail Partnership, which was a welcomed development.

A Councillor who had attended some of the meetings questioned the description of the Gainsborough group. The report suggested that the Group looked at an area wider than Gainsborough, however this had not been the case. As such he was disappointed that Gainsborough Members were not being proposed for appointment.

The Chief Executive confirmed the description of the Group had been provided by the organiser of the meetings at the County Council, however further investigations could be undertaken.

The Chief Executive at the request of a Member clarified, that he would seek confirmation that the Group were operating within their description and make amendments if deemed necessary either to the description of the Group or the Membership, should that seem appropriate.

It was suggested that the appointments be revisited at Annual Council, in response to numerous comments and points raised. The Democratic Team Manager confirmed that whilst the Group had been in operation for a number of years, the Council had never

formally appointed representatives. Representation appeared to have changed and had fluctuated. This paper merely served to formalise membership and recognise the appointments as outside bodies. It was not being suggested that those Members listed in the report had been the Members previously attending such meetings. The report had been shared with the two leading groups Group Leaders' and the nominations had arisen as a result. Whilst all outside body membership could be reviewed at any time should Members deem it necessary the report did recommend these appointments be made until 2023 to bring them in line with the vast majority of the Council's other outside body appointments.

Councillor Boles confirmed this to be his understanding and confirmed he had been in attendance as a County Councillor. Re-affirming his position that the Group very much had a Gainsborough focus and that the description was inaccurate.

On being put to the vote it was **RESOLVED** that : -

- (a) Council formalises appointments to the Gainsborough Transport Strategy Delivery Board (GTSDDB) and the Lincoln Transport Strategy Delivery Board (LTSDB) and as such these Boards be recognised as Outside Bodies; and
- (b) That the following Councillors be appointed to the following Boards until Annual Council in May 2023.

Gainsborough Transport Strategy Delivery Board –GTSDDB

Councillor Tracey Coulson
Councillor Trevor Young
Councillor Jim Snee (Reserve)

Lincoln Transport Strategy Delivery Board - LTSDB

Councillor Steve England
Councillor Giles McNeill
Councillor Angela White (Reserve)

Note: The Deputy Monitoring Officer left the meeting prior to consideration of the next item of business due to a conflict of interest.

77 APPOINTMENT OF MONITORING OFFICER

Members gave consideration to a report which sought the re-designation of the statutory position of Monitoring Office under the provisions of the Local Government Act Housing Act 1989.

Members commented positively on the capability of the Officer proposed for appointment and offered him congratulations in his absence.

On being put to the vote it was **RESOLVED** that: -

- (a) In accordance with the terms of Part I, 5 of the Local Government and Housing Act 1989 (as amended) and all subsequent related legislation, Mr James O'Shaughnessy be appointed as the Council's Monitoring Officer, with immediate effect; and
- (b) the Constitution be amended, as necessary, to reflect this revised appointment.

The meeting concluded at 8.09 pm.

Chairman

WEST LINDSEY DISTRICT COUNCIL

Minutes of the Meeting of Council held Via MS Teams at <https://west-lindsey-public-i.tv/core/portal/home> on 4 May 2021 at 7.00 pm.

Present: Councillor Steve England (Chairman)
Councillor Mrs Angela Lawrence (Vice-Chairman)

Councillor Owen Bierley	Councillor Mrs Jackie Brockway
Councillor Mrs Tracey Coulson	Councillor Michael Devine
Councillor Jane Ellis	Councillor Ian Fleetwood
Councillor Mrs Caralyne Grimble	Councillor Cherie Hill
Councillor Mrs Cordelia McCartney	Councillor Giles McNeill
Councillor John McNeill	Councillor Roger Patterson
Councillor Mrs Judy Rainsforth	Councillor Mrs Diana Rodgers
Councillor Jeff Summers	Councillor Robert Waller
Councillor Mrs Anne Welburn	Councillor Mrs Angela White

In Attendance:

Ian Knowles	Chief Executive
James O'Shaughnessy	Head of Policy Strategy and Sustainable Environment / Deputy Monitoring Officer
Emma Redwood	Assistant Director People and Democratic Services
Katie Storr	Democratic Services & Elections Team Manager (Interim)
Ele Snow	Democratic and Civic Officer

Apologies

Councillor Matthew Boles
Councillor Stephen Bunney
Councillor Liz Clews
Councillor David Cotton
Councillor Timothy Davies
Councillor David Dobbie
Councillor Jim Snee
Councillor Mrs Mandy Snee
Councillor Trevor Young

1 CHAIRMAN'S WELCOME

The Chairman of Council welcomed Members, Officers and Members of the Public viewing remotely to what marked the 48th Annual Meeting of West Lindsey District Council, the start of the 2021/22 Civic Year, and the last time the Council would be meeting under remote arrangements.

2 REGISTER OF ATTENDANCE

The Monitoring Officer was requested to undertake the formal roll-call to confirm all

Members were in attendance.

The roll-call for both Members and Officers was undertaken during which apologies were noted from Councillors M Boles, S Bunney, L Clews*, D Cotton*, T Davies, D Dobbie, J Snee, M Snee, and T Young.

At the request of the Chairman, the Monitoring Officer confirmed the meeting was quorate.

* *Provided apologies in writing prior to the start of the meeting, but which the Clerk did not provide verbally to the meeting.*

3 MEMBERS' DECLARATIONS OF INTEREST

No declarations of interest were made at this point of the meeting.

4 OUTGOING CHAIRMAN'S ANNOUNCEMENTS

Before commencing the civic proceedings for the evening, the outgoing Chairman, Councillor Steve England took the opportunity to share with Council some of the highlights from and successes achieved during his year in Office.

It had been, to say the least, a very usual and difficult year, with many traditional events cancelled as the world moved on line and remote working the norm. During the brief respite between lockdowns the Chairman had had the pleasure of visiting winners of the community awards at their homes to present their awards, the more personal approach was something the Chairman had welcomed. Despite the difficulties, the Authority had delivered on its plan for a new operational depot with the Chairman attending the turf cutting ceremony. In recent months the Chairman had visited and seen first hand the remarkable work being undertaken at the vaccination centres. It was hoped the roll out would see life restored to a little more like what could be considered normal.

In concluding his outgoing announcements, the Chairman outlined the remembrance services he had been able to attend albeit in a different format to what was usually expected. He also expressed his sadness, like so many others, at not having been able to pay final respects to colleagues lost during the year, serving Councillor, Councillor Lewis Strange and former Councillor and a former Chairman of the Council, Malcolm Parish.

5 TO ELECT A CHAIRMAN OF THE DISTRICT COUNCIL FOR THE 21/22 CIVIC YEAR

Nominations for the position of Chairman of the Council were sought.

It was proposed and seconded that Councillor Steve England be appointed the Chairman of Council for the civic year 2021/22.

With no further nominations made, on being put to the vote it was: -

RESOLVED that Councillor Steve England be elected Chairman of the Council for the 2021/22 civic year.

With no requirement to present the Chain of Officer to his predecessor, Councillor England made the statutory declaration of acceptance of office and remained in the Chair for the remainder of the meeting.

Councillor England thanked the Council for his appointment and advised it was an honour to have been re-elected Chairman for the coming year. He looked forward to meeting many people from the District, from throughout Lincolnshire and beyond, and indicated he would do all he could to uphold the good name of West Lindsey in all the duties she carried out.

The Chairman, light heartedly suggested that a vote of thanks to the outgoing Chairman for his services to the Council was not required this year, however the Leader, took the opportunity to thank Councillor England for his previous years work and congratulated him on his re-appointment.

6 TO ELECT A VICE-CHAIRMAN OF THE DISTRICT COUNCIL FOR THE 2021/22 CIVIC YEAR

Nominations for the position of Vice- Chairman of the Council were sought.

It was proposed and seconded that Councillor Angela Lawrence be appointed the Chairman of Council for the civic year 2021/22.

With no further nominations made, on being put to the vote it was: -

RESOLVED that Councillor Angela Lawrence be elected Chairman of the Council for the 2021/22 civic year.

Councillor England as Chairman of Council, was the first to congratulate Councillor Lawrence on her re-appointment to Office of Vice-Chairman.

Councillor Lawrence made the statutory declaration of acceptance of office and resumed the Vice-Chairmanship for the remainder of the meeting.

Councillor Lawrence thanked the Council for her appointment and advised it was an honour to have been re-elected Vice- Chairman for the coming year. She looked forward to supporting the Chairman in every way possible during the coming year and would strive at all times to promote and uphold the good name of West Lindsey.

The Chairman advised Council that both himself and Councillor Lawrence would be attending the Office to physically sign the acceptance of Office in the coming days.

7 CLOSING REMARKS

The Chief Executive congratulated both the Chairman and Vice-Chairman on their re-appointment and confirmed to the meeting that arrangements were being made for the

physical signing of Acceptance of Office.

The Chairman thanked all Members of the Democratic and Civic Team for their support and guidance throughout his Chairmanship and looked forward to working with them again through the new Civic Year.

Bringing the meeting to a close, the Chairman looked forward to the next meeting of Full Council, which would see the Council brought together in person for the first time since March 2020.

The meeting concluded at 7.26 pm.

Chairman

Purpose:

To consider progress on the matters arising from previous Council meetings.

Recommendation: That members note progress on the matters arising and request corrective action if necessary.

Matters arising Schedule

Meeting	Full Council				
Status	Title	Action Required	Comments	Due Date	Allocated To
Black	motion to Council - combating litter	<p>extract from mins of mtg held on 2/11/20 RESOLVED that the motion as amended, be ACCEPTED and as such the Council commits to : -</p> <p>(b) by way of report to Prosperous Communities Committee, examine the merits of becoming a local authority member of the Keep Britain Tidy Network, and identify which of the campaign's including Love Parks and Charity Bins, could be introduced in the District;</p> <p>(d) by way of report to Prosperous Communities Committee, investigate whether promoting take-up of the DEFRA voluntary code amongst our fast food businesses and local business partnerships is appropriate and investigate the resource and capacity implications, of seeking their sponsorship for the introduction of a Charity Bin scheme and for a public education programme. Prosperous Communities Committee are charged with making a formal decision in respect of this aspect of the motion.</p>	<p>This item has now been re-scheduled for September as opposed to June as previously indicated to Members .</p> <p>Item will remain on the schedule until the report has completed its route through Committee</p>	15/12/20	Ady Selby

Black	Anti-Semitism in constitution	<p>extract from mins 20/1/20</p> <ul style="list-style-type: none"> The Leader had been in correspondence with the Secretary of State for Housing, Communities and Local Government about Anti-Semitism and he had asked that Mr. Robinson and Councillor J. McNeill look at ways to incorporate this into our Constitution and procedures 	<p>this will be considered as part of the annual review of the constitution .</p> <p>Report has been considered by G and A Cttee awaiting annual council for approval . Report is included on this agenda</p>	11/05/21	James O'Shaughnessy
Black	motion regarding flyposting	<p>extract from mins of mtg 25/1/21</p> <p>On being put to the vote, it was RESOLVED that the motion be ACCEPTED and be REFERRED to the Council's Regulatory Committee for further exploration.</p>	<p>This matter has been added to the regulatory committee workplan for june 2021.</p> <p>Item will remain on the schedule until the report has completed its committee route.</p> <p>This matter was considered at Regulatory Committee on 10 June the relevant report can be viewed here. https://democracy.west-lindsey.gov.uk/documents/s24416/Fly%20Posting%20-%20Regulatory%20Powers.pdf</p> <p>The recommendations in the report were supported.</p>	01/03/21	Andy Gray
Black	motion to Council 12 April - Support for Farmers	<p>extract from minutes of meeting 12/4/21</p> <p>As such Full Council requests the Leader writes to the Government requesting new legislation around waste carriers licences and farmers rights to help with removal of household waste.</p> <p>Furthermore, West Lindsey District Council's Member representative on Lincolnshire Waste Partnership is requested to encourage partners in that forum to similarly raise concerns with the Government.</p>	<p>Appropriate letter has been sent to he Rt Hon George Eustice MP, Secretary of State for Environment, Food and Rural Affairs</p> <p>Members will be made aware should any response be received.</p> <p>West Lindsey District Council's Member representative on Lincolnshire Waste Partnership has been requested to raise this matter at future meetings</p>	18/06/21	Katie Storr

Black	motion to council on slow ways	<p>extract from mins of mtg 25/1/21</p> <p>use its Social Media Platforms and communication tools to encourage our residents and communities to sign-up personally, to walk and review a Slow Way.</p>	<p>Council have passed a motion to support slow ways, please can you undertake work necessary to promote this. Full detail of the motion, are on the website for council meeting on 25/1/21. Cllr A Welburn was the motion submitter.</p> <p>Please feed back through this matters arising what activities and actions have been undertaken: -</p> <p>As at 31/3 -</p> <p>Slow ways was due to be promoted nationally in the last week of January but due to Covid and the current conditions they have delayed this until conditions improve.</p> <p>The Communications Team are waiting on a new date for the launch but as soon as it launched we will be promoting in the residents newsletter, parish news and social media and the website and local press.</p> <p>https://slowways.uk/</p> <p>The national scheme was launched again in April 23 . The Council since that date has promoted the slow ways website through social media . Similar posts are planned at regular intervals. This was also featured in the parish news end of April edition.</p>	30/04/21	Julie Heath
Green	Appointment of Returning Officer	<p>Extract from mins of meeting 1/3/2021</p> <p>Ian Knowles be appointed and the Constitution be amended as required to reflect such</p>	revision made to scheme of delegation and will be re-published as part of the Annual Review	15/07/21	Katie Storr

Green	APPOINTMENT OF MONITORING OFFICER	<p>extract from minutes of meeting 12/4/21</p> <p>(a) In accordance with the terms of Part I, 5 of the Local Government and Housing Act 1989 (as amended) and all subsequent related legislation, Mr James O'Shaughnessy be appointed as the Council's Monitoring Officer, with immediate effect; and</p> <p>(b) the Constitution be amended, as necessary, to reflect this revised appointment</p>	<p>these amendments will be picked up on the publication of the revised Constitution following Junes Full Council</p>	15/07/21	Katie Storr
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Agenda Item 13a



Full Council

28 June 2021

Subject: REVIEW OF THE ALLOCATION OF SEATS TO POLITICAL GROUPS ON COMMITTEES/SUB -COMMITTEES

Report by:

Chief Executive

Contact Officer:

Katie Storr
Democratic Services & Elections Team Manager
(Interim)

katie.storr@west-lindsey.gov.uk

Purpose / Summary:

This report sets out the details of the political groups on the Council, the number of Members to be appointed to serve on each committee and the allocation to different political groups of seats on the committees. As a result of Notices being received in accordance with the Local Government (Committees & Political Groups) Regulations 1990 following the recent by-elections.

RECOMMENDATION(S):

- 1) that the details of political groups, as set out in Appendix A, be noted;**
- 2) that the number of Members to be appointed to serve on each Committee be noted; and**
- 3) that the allocation to different political groups of seats on committees, as set out in Appendix B, be noted.**

IMPLICATIONS

Legal:

Council is required to review the allocation to different political groups of seats on committees and sub-committees.

In accordance with the provisions of Section 15 of the Local Government and Housing Act 1989, the

Financial : FIN/48/22/TJB

None directly arising as a result of this report.

Staffing :

None directly arising as a result of this report.

Equality and Diversity including Human Rights :

None directly arising as a result of this report.

Data Protection Implications :

None directly arising as a result of this report.

Climate Related Risks and Opportunities :

None directly arising as a result of this report.

Section 17 Crime and Disorder Considerations :

None directly arising as a result of this report.

Health Implications:

None directly arising as a result of this report.

Title and Location of any Background Papers used in the preparation of this report:

Risk Assessment :

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

Introduction

- 1.1 In accordance with the provisions of Section 15 of the Local Government and Housing Act 1989, the Council is required to review the allocation to different political groups of seats on committees and sub-committees.
- 1.2 The requirement to review the allocations is as a result of the recent by-election held in the Kelsey Wold Ward at which Councillor P Morris was elected . Councillor Peter Morris has given due notice under Regulation 9b that he wishes to be treated as Member of both the Conservative Group and the Administration.
- 1.3 The Council once again has a full complement of Members. As such, for the purposes of the political balance calculation, the calculation is based on 36 seats, as opposed to the 35 which has been applied in the most recent calculations.
- 1.4 Existing political groups for the purposes of the Local Government (Committees & Political Groups) Regulations 1990 are as follows:

Group	No.	Leader/Spokesperson	Deputy Leaders
West Lindsey Administration Group	21	Councillor Owen Bierley	Councillor Anne Welburn
Liberal Democrat Group	12	Councillor Trevor Young	Councillor Lesley Rollings
Lincolnshire Independents	2	Councillor Chris Darcel	Councillor Cherie Hill

- 1.5 Councillor Paul Howitt-Cowan, West Lindsey Independent is not aligned to any Group.
- 1.6 The Council has delegated authority to the Head of Paid Service to agree, following consultation with the Group Leaders, the overall allocation of seats to groups resulting from the application of rounding.
- 1.7 Full details of group membership are set out in Appendix A.

2. The Allocations

- 2.1 In accordance with the provisions of section 15 of the Local Government and Housing Act 1989 (Duty to allocate seats to political groups), the Council is required to give effect, so far as reasonably practicable, to the following specified principles:
- (a) that not all the seats on a Committee/Sub-Committee are allocated to the same political group;
 - (b) that the majority of the seats on a Committee/Sub-Committee are allocated to a particular political group where the number of persons belonging to that group is a majority of the authority's membership;
 - (c) subject to paragraphs (a) and (b) above, that the number of seats on the ordinary Committees which are allocated to each political group bears the same proportion to the total of all the seats on the ordinary Committees of that authority as is borne by the number of **Members of that group** to the membership of the authority;
 - (d) subject to paragraphs (a) to (c) above, that the number of seats on the Committee/Sub-Committee which are allocated to each political group bears the same proportion to the number of all the seats on that Committee/Sub-Committee as is borne by the number of **members of that group** to the membership of the authority.
- 2.2 (b) above applies as there is a group with a majority of seats on the Council.
- 2.3 In order to give effect, so far as is **reasonably practicable**, to the principles specified above and in consultation with group leaders as required by the delegation, it has been determined that the best fit to meet the political balance rules is for the: -
- **Planning Committee, Corporate Policy and Resources Committee, Prosperous Communities Committee, Licensing Committee, Regulatory Committee and Overview and Scrutiny Committee (if Politically balanced) * to comprise 12 Members;**
 - **Chief Officer Employment Committee to comprise 8 Members**
 - **Governance and Audit Committee to comprise 7 Members;**
- 2.4 ***It should be noted that it was requested that the political balance for the Overview and Scrutiny Committee not be applied (as was agreed following the District wide elections in May 2019).**

To retain the suspension of political balance a separate vote will be required on the appointment of Committees report). **As such 11 Places have been afforded to the Overview and Scrutiny Committee.** The allocations have therefore been calculated on this basis.

- 2.5 As agreed as part of the Annual Review of the Constitution during 2017/2018, the same 12 Members comprise both the Licensing Committee and the Regulatory Committee.
- 2.6 All of the Group Leaders have been consulted on the number of Members appointed to serve on the Committees/Sub-Committees.
- 2.7 Applying group numbers to the seats available on the Committees and Sub-Committees gives the allocation set out in Appendix B, as the most reasonably practical in the circumstances.

Local Government & Housing Act 1989

The Local Government (Committees and Political Groups) Regulations 1990

Political Groups on the District Council – June 2021

West Lindsey Administration Group (21 Councillors)

(Comprising 17 Conservatives, 2 Independents and 2 Gainsborough Independent Councillors)

Conservatives (17)

Councillor Owen Bierley

Councillor Jackie Brockway

Councillor Tracey Coulson

Councillor Jane Ellis

Councillor Steve England

Councillor Ian Fleetwood

Councillor Caralyne Grimble

Councillor Angela Lawrence

Councillor Cordelia McCartney

Councillor John McNeill

Councillor Jessie Milne

Councillor Peter Morris

Councillor Roger Patterson

Councillor Tom Regis

Councillor Jeff Summers

Councillor Robert Waller

Councillor Anne Welburn

Independent Councillors

Councillor Giles McNeill

Councillor Diana Rodgers

Gainsborough Independents

Councillor Timothy Davies

Councillor Mick Devine

Liberal Democrat Group (12 Councillors)

Councillor Matthew Boles

Councillor Stephen Bunney

Councillor Liz Clews

Councillor David Cotton

Councillor David Dobbie

Councillor Keith Panter

Councillor Judy Rainsforth

Councillor Lesley Rollings

Councillor Jim Snee

Councillor Mandy Snee

Councillor Angela White

Councillor Trevor Young

Lincolnshire Independents Group (2 Councillors)

Councillor Chris Darcel

Councillor Cherie Hill

West Lindsey Independent Unaligned to any Group (1 Councillor)

Councillor Paul Howitt-Cowan

Appendix B

Political Make-up of the Council, on which calculations have been based: -

West Lindsey Administration Group (WLAG)	Lib Dem	Lincs Ind	Ind	Total
21 members	12 Members	2 Members	1 Member	36 Members
58.33%	33.33%	5.56%	2.78%	100%

TABLE 1 – ORDINARY COMMITTEES

	WLAG	Lib Dem	Lincs Ind	Ind Mbr	Total
Prosperous Communities (12)	7	4	1	0	12
Corporate Policy and Resources (12)	7	4	0	1	12
Governance and Audit (7)	4	2	1	0	7
Planning (12)	7	4	1	0	12
Chief Officer Employment (8)	5	3	0	0	8
Total no. of seats (51)	30	17	3	1	51
As a %	58.82	33.33	5.88	1.96	100

NOTES: This would meet the criteria with the WLAG having a majority on each Committee, followed by the Liberal Democrats having the next largest proportion and so on.

TABLE 2

IF POLITICAL BALANCE APPLIED	WLAG	Lib Dem	Lincs Ind	Ind Mbr	Total
Overview and Scrutiny Committee (12)	7	4	1	0	12
Total no of seats as a %	58.33	33.33	8.33	0	100

POLITICAL BALANCE SUSPENDED	WLAG	Lib Dem	Lincs Ind	Ind Mbr	Total
Overview and Scrutiny Committee (11)	5	5	1	0	11
Total no of seats as a %	45.45	45.45	9.09	0	100

TABLE 3

	WLAG	Lib Dem	Lincs Ind	Ind Mbr	Total
Licensing (12)	7	4	0	1	12
Regulatory (12)	7	4	0	1	12
Total no. of seats (24)	14	8	0	2	24
Total no of seats as a %	58.33	33.33	0	8.33	100

Note the membership of the two committees above has to be identical



Full Council

28 June 2021

Subject: APPOINTMENT OF COMMITTEES, COMMITTEE CHAIRMEN AND COMMENCEMENT TIMES OF MEETINGS.

Report by:	Chief Executive
Contact Officer:	Katie Storr Democratic Services & Elections Team Manager (Interim) katie.storr@west-lindsey.gov.uk
Purpose / Summary:	<p>This report sets out the wishes expressed by political groups in respect of appointment of Members to serve on the Committees of the Council.</p> <p>The report further seeks to appoint Chairmen and Vice/Chairmen for the remainder of the 21/22 civic year and determine the normal commencement time for each Committee .</p>

RECOMMENDATION(S):

- (1) That the rules relating to proportionality be suspended in relation to the Overview and Scrutiny Committee; and**
- (2) In accordance with the provisions of section 16 of the Local Government and Housing Act 1989 and the wishes expressed by political groups, Members be appointed to serve to the Council's Committees for the remainder of the civic year as set out within this report;**

- 3) The current committee Chairmen, and Vice-Chairmen (shown throughout the report and summarised in table 1) be re-affirmed, and the amended Vice-Chairmanship relating to the Chief Officer Employment Committee be approved; and**
- 4) That Council agree the normal commencement time for each of the Committees in accordance with the schedule detailed in table 2 of the report.**

IMPLICATIONS

Legal:

In accordance with the provisions of section 16 of the Local Government and Housing Act 1989 and the wishes expressed by political groups

Financial : FIN/49/22/TJB

Special responsibility allowances for the proposed Chairs and Vice Chairs are met from the Members Allowance budget.

Staffing :

None directly arising as a result of this report.

Equality and Diversity including Human Rights :

None directly arising as a result of this report.

Data Protection Implications :

None directly arising as a result of this report.

Climate Related Risks and Opportunities:

None directly arising as a result of this report.

Section 17 Crime and Disorder Considerations:

None directly arising as a result of this report.

Health Implications:

None directly arising as a result of this report.

Title and Location of any Background Papers used in the preparation of this report :

Notices received from the Group Leaders on the allocation of Committee/ Sub-Committee places – documents available from the Guildhall, Gainsborough (on request).

Risk Assessment : N/A

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Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Introduction

1.1 In accordance with the provision of section 16 of the Local Government and Housing Act 1989, it is the duty of the Council to make appointments to Committees in accordance with the wishes expressed by political groups following the determination under section 15 (the allocation of seats to political groups).

1.2 Section 2 details the wishes expressed by the political groups.

2. Appointment of Committees

2.1 Chief Officer Employment Committee (8 Members)

Councillor Owen Bierley	
Councillor Jackie Brockway	Chairman
Councillor Mick Devine	Vice-Chairman **
Councillor Diana Rodgers	
Councillor Lesley Rollings	
Councillor Anne Welburn	
Councillor Angela White	
Councillor Trevor Young	

2.2 Corporate Policy and Resources Committee (12 Members)

Councillor Owen Bierley	
Councillor Matt Boles	
Councillor Stephen Bunney	
Councillor Mick Devine	
Councillor Ian Fleetwood	
Councillor Paul Howitt-Cowan	
Councillor Giles McNeill	
Councillor John McNeill	
Councillor Mandy Snee	
Councillor Jeff Summers	Vice-Chairman
Councillor Anne Welburn	Chairman
Councillor Trevor Young	

2.3 Governance and Audit Committee (7 Members)

Councillor Jackie Brockway	Vice-Chairman
Councillor Stephen Bunney	
Councillor Tracey Coulson	
Councillor Chris Darcel	
Councillor David Dobbie	
Councillor John McNeill	Chairman
Councillor Anne Welburn	

2.4 Licensing Committee (12 Members)

Councillor Liz Clews
Councillor David Cotton
Councillor Tim Davies
Councillor Caralyne Grimble
Councillor Paul Howitt-Cowan
Councillor Angela Lawrence Vice-Chairman
Councillor Cordelia McCartney
Councillor Jessie Milne Chairman
Councillor Peter Morris
Councillor Judy Rainsforth
Councillor Jim Snee
Councillor Jeff Summers

2.5 Regulatory Committee (12 Members)

Councillor Liz Clews
Councillor David Cotton
Councillor Tim Davies
Councillor Caralyne Grimble
Councillor Paul Howitt-Cowan
Councillor Angela Lawrence Vice-Chairman
Councillor Cordelia McCartney
Councillor Jessie Milne Chairman
Councillor Peter Morris
Councillor Judy Rainsforth
Councillor Jim Snee
Councillor Jeff Summers

2.6 Planning Committee (12 Members)

Councillor Matthew Boles
Councillor David Cotton
Councillor Mick Devine
Councillor Jane Ellis.....
Councillor Ian Fleetwood Chairman
Councillor Cherie Hill
Councillor Cordelia McCartney
Councillor Jessie Milne
Councillor Roger Patterson
Councillor Bob Waller Vice-Chairman
Councillor Judy Rainsforth
Councillor Angela White

2.7 Prosperous Communities Committee (12 Members)

Councillor Owen Bierley	Chairman
Councillor Stephen Bunney	
Councillor Tracey Coulson	Vice-Chairman
Councillor Chris Darcel	
Councillor Mick Devine	
Councillor Steve England	
Councillor John McNeill	Vice-Chairman
Councillor Jessie Milne	
Councillor Mandy Snee	
Councillor Jim Snee	
Councillor Tom Regis	
Councillor Trevor Young	

3. Suspension of Political Balance

The Council can, by way of a separate vote, agree to not apply the provisions of the Local Government (Committees and Political Groups) Regulations 1990 to a Committee or Committees. Requests have been received that the Overview and Scrutiny Committee be not politically balanced.

The proposed unbalanced Committee Membership is set out below.

3.1 Overview and Scrutiny Committee (11 members)

Councillor Liz Clews	
Councillor Tim Davies	
Councillor David Dobbie	
Councillor Caralyne Grimble.....	
Councillor Cherie Hill	
Councillor Angela Lawrence.....	
Councillor Keith Panter	
Councillor Roger Patterson	
Councillor Diana Rodgers	Vice-Chairman
Councillor Lesley Rollings	Chairman
Councillor Angela White	Vice-Chairman

Should this proposal not be unanimously supported the Committee will have to be balanced. The Chairmanships for this committee will also be amended in the event a balanced committee is agreed

The proposed balanced Committee membership is as set out below: -

3.2 Overview and Scrutiny Committee –balanced (12 members)

Councillor Tim Davies
 Councillor David Dobbie
 Councillor Jane Ellis
 Councillor Caralyne Grimble
 Councillor Cherie Hill

Councillor Angela Lawrence
 Councillor Peter Morris
 Councillor Keith Panter.....

Councillor Roger Patterson
 Councillor Diana Rodgers
 Councillor Lesley Rollings
 Councillor Angela White

4. Committee Chairmen and Vice-Chairmanships

4.1 Whilst the Council has had the need to re-appoint the Committees in accordance with its duty to make appointments to Committees in accordance with the wishes expressed by political groups following the determination under section 15 (the allocation of seats to political groups), all Group Leaders have indicated they have no wish to amend the Chairmen and Vice-Chairmanship appointments previously made, with the exception of one. This being the Vice-Chairmanship for Chief Officer Employment Committee (COEC).

4.2 This report therefore merely seeks the re-affirmation of the majority of these positions and asks Council to approve the change in vice-chairmanship for the COEC from Councillor Owen Bierley to Councillor Mick Devine

4.3 The positions and nominations are summarised below for ease.

Table 1

Committee	Chairman	Vice-Chairman/men
Chief Officer Employment	Councillor Jackie Brockway	Councillor Mick Devine
Corporate Policy and Resources	Councillor Anne Welburn	Councillor Jeff Summers
Planning	Councillor Ian Fleetwood	Councillor Robert Waller
Governance and Audit	Councillor John McNeill	Councillor Jackie Brockway
Licensing	Councillor Jessie Milne	Councillor Angela Lawrence
Overview and Scrutiny	Councillor Lesley Rollings	Councillor Diana Rodgers Councillor Angela White

Regulatory	Councillor Jessie Milne	Councillor Angela Lawrence
Prosperous Communities	Councillor Owen Bierley	Councillor Tracey Coulson Councillor John McNeill
Standards Sub-Committee	Councillor Anne Welburn	David Cotton

5 Commencement Times of Committees

- 5.1 Council are also responsible annually for determining the normal commencement time for each of the Committees.
- 5.2 The Table below sets out the proposed commencement time for each Committee.

Table 2

Committee	Chairman
Chief Officer Employment	Meeting to be convened as and when required
Corporate Policy and Resources	6.30pm
Planning	6.30pm
Governance and Audit	2.00pm
Licensing*	6.30pm
Overview and Scrutiny	6.30pm
Regulatory*	6.30pm
Prosperous Communities	6.30pm
Standards Sub-Committee	Meeting to be convened as and when required

- * =Sub Committees for these meetings will be convened as required and will be held at various times during office hours.

Agenda Item 13c



Full Council

28 June 2021

Subject: APPOINTMENT OF SUB-COMMITTEES, WORKING GROUPS, PANELS, BOARDS AND OTHER BODIES (INCLUDING ANY OUTSIDE BODIES DUE TO EXPIRE)

Report by:

Chief Executive

Contact Officer:

Katie Storr
Democratic Services & Elections Team Manager
(Interim)

katie.storr@west-lindsey.gov.uk

Purpose / Summary:

To appoint Members to Sub-Committees, Working Groups, Panels, Boards and Outside Bodies which are due to expire or where notification has been received from the main Group Leaders.

RECOMMENDATION(S):

Council are asked to : -

(a) Appoint Councillors Steve England and Caralyne Grimble to the Climate and Sustainability Working Group.
(Membership of the remaining bodies detailed in Appendix A will remain unchanged)

(b) Re-appoint Councillor Judy Rainsforth to the following Outside Bodies, for a further four year term, expiring Annual Council 2025 (subject to re-election in May 2023): -

- * Trustees of Francis Barker Trust
- * Trustees of Gainsborough Education Charity
- * Trustees of WG Rose Memorial

IMPLICATIONS

Legal:

Appointment to such bodies is a requirement of the Constitution.

Financial : FIN/47/22/TJB

Members are entitled to claim allowances for attendance at bodies and groups they have been formally appointed to. Costs can be met from within existing member travel budgets.

Staffing :

None

Equality and Diversity including Human Rights :

N/A

Data Protection Implications :

N/A

Climate Related Risks and Opportunities:

N/A

Section 17 Crime and Disorder Considerations:

N/A

Health Implications:

N/A

Title and Location of any Background Papers used in the preparation of this report :

Correspondence with Group Leaders .

Risk Assessment :

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1 Introduction

- 1.1 The Council has a number of formally appointed internal Working Groups, Panels, and Boards, membership of which is reviewed at least annually.
- 1.2 The two main Group Leaders were provided with a full list of such internal bodies and provided opportunity to amend membership where they considered it necessary.
- 1.3 The list of internal groups and current membership is attached at Appendix A.
- 1.4 With the exception of the Climate and Sustainability Working Group, (see Section 2) Group Leaders have indicated they have no desire to amend memberships on these internal groups at the current time.
- 1.5 The Council also makes a number of appointments to Outside Bodies, where such bodies have requested formal representation, and is required annually to make appointments to such outside bodies where vacancies exist.
- 1.6 The majority of Outside Body appointments now have a four-year term and expire in-line with the elections cycle.
- 1.7 However there are a few exceptions, with three having expired in May 2021
- 1.8 The Full list of Outside Bodies, their current representation and term of office is attached at Appendix B

2. Changes to Internal Working Groups Panels and Boards

- 2.1 As indicated at 1.4 above, Group Leaders have indicated they have no desire to amend memberships on these internal groups at the current time, with the exception of the Climate and Sustainability Working Group.
- 2.2 Having received a resignation, the Group have been carrying a vacancy since March 2021. Council Bierley, due to an increasingly large workload as Leader, has also indicated his desire to step down from the Working Group Meetings.
- 2.3 Council are therefore asked to appoint Councillors Steve England and Caralyne Grimble to the Climate and Sustainability Working Group.
- 2.4 Membership of the remaining bodies detailed in Appendix A will remain unchanged.

3 Outside Bodies

3.1 The following Outside Bodies currently have vacancies: -

- * Trustees of Francis Barker Trust
- * Trustees of Gainsborough Education Charity
- * Trustees of WG Rose Memorial

3.2 Council are asked to re- appoint Councillor Judy Rainsforth to all three positions, for a further four year term, expiring Annual Council 2025 (subject to re-election in May 2023).

Appendix A to Council Report – June 2021 Working Groups currently in existence – as listed in the Year Book and therefore formally appointed through Council Annually

Name of Group	Current Membership	Limits on Membership
Editorial Advisory Board	<ul style="list-style-type: none"> • <u>Councillor Mrs Tracey Coulson</u> • <u>Councillor Christopher Darcel</u> • <u>Councillor Michael Devine</u> • <u>Councillor David Dobbie</u> • <u>Councillor Mrs Diana Rodgers</u> 	Five Members – One for Each Group ideally
Lincolnshire Show Task and Finish Group	<ul style="list-style-type: none"> • <u>Councillor Mrs Angela Lawrence</u> • <u>Councillor Liz Clews</u> • <u>Councillor Steve England</u> • <u>Councillor Giles McNeill</u> • <u>Councillor Mrs Lesley Rollings</u> • <u>Councillor Robert Waller</u> • <u>Councillor Mrs Angela White</u> 	Any six Members plus Chair of Council

Name of Group	Current Membership	Limits on Membership
Community Awards Panel	<ul style="list-style-type: none"> • <u>Councillor David Cotton</u> • <u>Councillor Steve England</u> • <u>Councillor Mrs Judy Rainsforth</u> • <u>Councillor Mrs Diana Rodgers</u> • <u>Councillor Robert Waller</u> 	Chair of Council plus 4 cross party members
Leisure, Culture, Events and Tourism Group	<ul style="list-style-type: none"> • <u>Councillor Owen Bierley</u> • <u>Councillor Stephen Bunney</u> • <u>Councillor Timothy Davies</u> • <u>Councillor Paul Howitt-Cowan</u> • <u>Councillor Mrs Lesley Rollings</u> • <u>Councillor Mrs Anne Welburn</u> 	6 Cross Party Members

Name of Group	Current Membership	Limits on Membership
Community Grants Panel	<ul style="list-style-type: none"> • <u>Councillor Owen Bierley</u> • <u>Councillor Liz Clews</u> • <u>Councillor John McNeill</u> • <u>Councillor Mrs Judy Rainsforth</u> • <u>Councillor Mrs Anne Welburn</u> 	5 cross party members
Funding Consultative Panel	<ul style="list-style-type: none"> • <u>Councillor Owen Bierley</u> • <u>Councillor Liz Clews</u> • <u>Councillor Michael Devine</u> • <u>Councillor Mrs Anne Welburn</u> • <u>Councillor Tom Regis</u> (Reserve) • <u>Councillor David Dobbie</u> (Reserve) • <u>Councillor Mrs Diana Rodgers</u> (Reserve) 	to appoint four Members and three reserves to serve on the Funding Consultative Panel – At least one Member of the Panel should be from the Prosperous Communities Committee and one from the Corporate Policy and Resources Committee .

Name of Group	Current Membership	Limits on Membership
Scampton Local Plan and Infrastructure	<ul style="list-style-type: none"> • <u>Councillor Owen Bierley</u> • <u>Councillor Ian Fleetwood</u> • <u>Councillor Giles McNeill</u> • <u>Councillor Roger Patterson</u> 	Two Members – plus Leader of Council and Chair of Planning
Community Rights Panel	<ul style="list-style-type: none"> • <u>Councillor Timothy Davies</u> • <u>Councillor Mrs Mandy Snee</u> • <u>Councillor Mrs Anne Welburn</u> 	3 Members Members can not be from the Planning Cttee

Name of Group	Current Membership	Limits on Membership
Transport Working Group	<ul style="list-style-type: none"> • <u>Councillor Owen Bierley</u> • <u>Councillor Stephen Bunney</u> • <u>Councillor Cherie Hill</u> • <u>Councillor John McNeill</u> • <u>Councillor Mrs Jessie Milne</u> • <u>Councillor Keith Panter</u> • <u>Councillor Mrs Lesley Rollings</u> • <u>Councillor Robert Waller</u> 	6 Cross Party Members plus Chair of PC Cttee
Honours Panel	<ul style="list-style-type: none"> • Chairman of the Council (replaced by the Vice-Chairman of the Council when a conflict of interest occurs) • Chairman of Challenge and Improvement Committee (replaced by the Vice-Chairman on the committee when a conflict of interest occurs) • An Independent Co-Opted Member of the Council (an existing member, chosen by the Chairman upon receipt of a nomination who has no conflict of interest) • Chief Executive or Monitoring Officer • Civic Officer 	<p>Panel is only convened when an honour is received</p> <p>Due to the nature of these awards, the most appropriate Members will be called together on a nomination by nomination basis. The reason for this is that nominees may reside within a Member's ward / may have been a political party colleague / may have worked with a Member in other voluntary roles they may have held. It would be impractical to appoint to this Panel on a yearly or office term basis.</p>

Name of Group	Current Membership	Limits on Membership
Member Development Group	<ul style="list-style-type: none"> • <u>Councillor John McNeill</u> • <u>Councillor Michael Devine</u> • <u>Councillor Mrs Caralyne Grimble</u> • <u>Councillor Keith Panter</u> • <u>Councillor Mrs Diana Rodgers</u> • <u>Councillor Robert Waller</u> • <u>Councillor Mrs Anne Welburn</u> • <u>Councillor Paul Howitt-Cowan</u> (Reserve) • <u>Councillor Mrs Angela White</u> (Reserve) • <u>Councillor Stephen Bunney</u> (Reserve) • <u>Councillor Steve England</u> (Reserve) 	All Members have been invited to be involved with the group. It was agreed that there should be the opportunity for membership across all political parties and for both newer and more established Councillors to be involved. Core membership has since been identified – see left
Climate and Sustainability Group	<p>Councillor Tracey Coulson (Chairman) Councillor Owen Bierley Councillor Stephen Bunney Councillor Jane Ellis Councillor Lesley Rollings</p> <p>1 x vacancy (Admin Group) created by resignation</p>	<p>Taken from approved T of R</p> <p>The Working Group shall comprise six Members including the Member Champion for Environment and Climate Change, Councillor Tracey Coulson.</p>

Name of Group	Current Membership	Limits on Membership
		<p>The remaining five Members will be made up from serving Members of either the Prosperous Communities Committee or the Overview and Scrutiny Committee.</p> <p>Membership will comprise cross party representation.</p>

Appendix B to Council report June 2021

Appointments are due to expire in 2021 as highlighted in yellow

Name of body	Type of organisation	no. of places	member 1	member 2	member 3	member 4
Age UK Lindsey	Charity	1	Cllr Owen Bierley 2023			
Ancholme Internal Drainage Board	Statutory	1	Cllr Jeff Summers 2023			
APSE LEADER		1	Cllr Owen Bierley 2023			
Citizens Advice Lindsey	Charity	1	Cllr Angela White 2023			
The Conservation Volunteers	Charity	2	Cllr Tracey Coulson 2023	Cllr Jim Snee 2023		
DLJSPC Central Lincs Joint Strategic Planning Committee (LEADER)		3 + 1 reserve	Cllr Owen Bierley 2023	Cllr Ian Fleetwood 2023	Cllr David Cotton 2023	Cllr Giles McNeill 2023 (reserve)
District Councils' Network LEADER	Strategic	1 + sub	Cllr Owen Bierley 2023	Can appoint a sub		
District Health and Wellbeing Network	Community	1	Cllr Owen Bierley 2023			
East Midlands Council LEADER & DEPUTY LEADER	Strategic	1 + sub	Cllr Owen Bierley 2023	Can appoint a sub		
Flood & Water Management Scrutiny Cttee		1 + sub	Cllr Ian Fleetwood to 2023	Cllr Robert Waller 2023		
Gainsborough Adventure Playground Association	Charity	1	Cllr Matthew Boles 2023			
Gainsborough Transport Strategy Delivery Board (GTSDDB)	Strategic	2 + res	Cllr Tracey Coulson 2023	Cllr Trevor Young 2023	Cllr Jim Snee 2023 (reserve)	
Health Scrutiny Committee for Lincolnshire MEMBER OF SCRUTINY BUT NOT PROSPEROUS	Strategic	1 + sub (O and S)	Cllr Angela White 2023	Cllr Diana Rodgers 2023 (sub)		
Healthwatch Provider Network Meeting (West Lincs) renamed YourVoice@HWL	Strategic	4	Cllr Owen Bierley 2023	Cllr Diana Rodgers 2023	Cllr Angela White 2023	

Heritage Trust of Lincolnshire	Charity	1	Cllr Jackie Brockway 2023			
Housing, Health & Care Delivery Group (HHCDG) CHAIR OF PROSPEROUS	Statutory	1	Cllr Owen Bierley 2023			
Humber 2100+ Elected Member Forum		1	Cllr Ian Fleetwood 2023			
Humberside International Airport Consultative Committee	Statutory	1	Cllr Owen Bierley 2023			
LGA General Assembly LEADER	Strategic	1	Cllr Owen Bierley 2023			
Lincoln Area Dial-a-Ride Management Committee	Community	1	Cllr Caralyne Grimble 2023			
Lincoln Transport Strategy Delivery Board (LTSDB)	Strategic	2 + res	Cllr Steve England 2023	Cllr Giles McNeill 2023	Cllr Angela White 2023 (reserve)	
Lincolnshire Branch of the Campaign for the Protection of Rural England	Charity	1	Cllr Owen Bierley 2023			
Lincolnshire Forum for Agriculture and Horticulture	Community	1	Cllr Tom Regis 2023			
Lincolnshire Police and Crime Panel	Statutory	1	Cllr Anne Welburn 2023			
Lincolnshire Sports Partnership	Charity	1	Cllr Lesley Rollings 2023			
Lincolnshire Waste Partnership	Strategic	1	Cllr Owen Bierley 2023			
Lincolnshire Wolds Countryside Management Project	Community	2	Cllr Angela Lawrence 2023	Cllr Tom Regis 2023		
Local Crime Prevention Panel	Community	1	Cllr Judy Rainsforth 2023			
PATROL (CPE)	Statutory	1 + sub	Cllr Giles McNeill 2023	Cllr Owen Bierley(sub) 2023		
Pensions Committee	Statutory	1	Cllr Robert Waller 2023			
Robin Hood Doncaster Sheffield Airport Consultative Committee	Community	1	Cllr Jessie Milne 2023			

Safer Lincolnshire Partnership – Overview & Scrutiny Board	Strategic	1	Cllr Angela White 2023	Cllr Robert Waller (sub) 2023		
Scunthorpe & Gainsborough Water Level Management Board	Statutory	2	Cllr Lesley Rollings 2023	Cllr Ian Fleetwood 2023		
SPARSE (renamed Rural Services Network)	Community	1	Cllr Owen Bierley 2023			
Sure Start Gainsborough Partnership Board	Strategic	1	Cllr Matthew Boles 2023			
Trustees of Charles Cooper Trust	Charity	4	Cllr Jessie Milne to 2022 (and 4 year appointments thereafter)	Cllr Judy Rainsforth (to 2023)	Cllr Mandy Snee (to 2023)	Cllr Paul Howitt-Cowan (to 2022)
Trustees of Dixons Almshouses	Charity	1	Cllr Angela Lawrence (to 2023)			
Trustees of Francis Barker Trust	Charity	2	Cllr Jessie Milne (to 2022)	Cllr Judy Rainsforth (to 2021)		
Trustees of Gainsborough Education Charity	Charity	2	Cllr Jessie Milne (to 2022)	Cllr Judy Rainsforth (to 2021)		
Trustees of W G Rose Memorial	Charity	2	Cllr Jessie Milne (to 2022)	Cllr Judy Rainsforth (to 2021)		
Upper Witham Internal Drainage Board	Statutory	1	Cllr Steve England 2023			
Wellbeing Lincs Reference Group CHAIR OF PROSPEROUS	Statutory	1	Owen Bierley 2023			
West Lindsey Churches Festival	Charity	2	Cllr Paul Howitt-Cowan 2023	Cllr Tim Davies 2023		
West Lindsey Dementia Action Alliance		2	Cllr Jeff Summers 2023	Cllr Chris Darcel 2023		
Witham Third Internal Drainage Board	Statutory	4	Cllr Steve England 2023	Cllr Ian Fleetwood 2023	Cllr Caralyne Grimble 2023	Mr Terry Williams
Wolds Community Transport Association Limited	Charity	1	Cllr Tom Regis 2023			



Council

Monday, 28 June 2021

Subject: Adoption of the Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans

Report by:

Assistant Director of Planning and Regeneration

Contact Officer:

Nev Brown
Senior Neighbourhood Planning Policy Officer

nev.brown@west-lindsey.gov.uk

Purpose / Summary:

To adopt the Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans.

RECOMMENDATION(S): To adopt the Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans in accordance with the Neighbourhood Planning Regulations 2012.

IMPLICATIONS

Legal: This work is a duty under the Localism Act 2011 and the Neighbourhood Planning Regulations 2012.

Financial : FIN/35/22/JA

For every completed neighbourhood plan the Council receives a grant of £20k from the Ministry for Housing, Communities and Local Government to help support its neighbourhood planning role in the district.

A total grant of £80k was claimed for in 2020/21 for 'Scotton', 'Bishop Norton and Atterby', 'Gainsborough' and 'Morton' of which £40k has been received and £40k is expected imminently.

At the year-end 2020/21 £33.1k of Neighbourhood Planning Grant (NPG) was transferred to the NPG earmarked reserve – with a balance of £67.8k at 31st March 2021, to support future costs of the neighbourhood planning process.

No further financial implications arising due to this report.

Staffing :

Internal resources in place to deal with neighbourhood planning.

Equality and Diversity including Human Rights : The Plan has been examined under the Neighbourhood Planning Regulations for any issues relating to equality and diversity.

Data Protection Implications : n/a

Climate Related Risks and Opportunities : To succeed at examination the neighbourhood plans had to comply with national and strategic planning guidance on climate change. For each plan, the examiner found them to be sound in this respect. Climate change related policies in the NPs include, for example, ones on facilitating flood resilience/protection and encouraging carbon minimisation features in developments.

Section 17 Crime and Disorder Considerations : n/a

Health Implications: To succeed at examination the neighbourhood plans had to comply with national and strategic planning guidance on health and well-being. For each plan, the examiner found them to be sound in this respect. Health and well-being related policies in the NPs include, for example, ones on the provision of accessible homes, protection of local green spaces, safeguarding residential amenities, and identification of walkable routes.

Title and Location of any Background Papers used in the preparation of this report:

Scotton Neighbourhood Plan:

<https://www.west-lindsey.gov.uk/my-services/planning-and-building/neighbourhood-planning/all-neighbourhood-plans-in-west-lindsey/scotton-neighbourhood-plan/>

Bishop Norton and Atterby Neighbourhood Plan:

<https://www.west-lindsey.gov.uk/my-services/planning-and-building/neighbourhood-planning/all-neighbourhood-plans-in-west-lindsey/bishop-norton-and-atterby-neighbourhood-plan/>

Gainsborough Neighbourhood Plan:

<https://www.west-lindsey.gov.uk/my-services/planning-and-building/neighbourhood-planning/all-neighbourhood-plans-in-west-lindsey/gainsborough-town-neighbourhood-plan/>

Morton Neighbourhood Plan:

<https://www.west-lindsey.gov.uk/my-services/planning-and-building/neighbourhood-planning/all-neighbourhood-plans-in-west-lindsey/morton-neighbourhood-plan/>

Risk Assessment : n/a

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Introduction

- 1.1 This report seeks Members' approval to adopt (make) the Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans as part of the West Lindsey Development Plan. The report follows the plans' successful referendums which were held recently having been delayed by the coronavirus pandemic.

2. Background

- 2.1 Key stages/dates in the preparation of the plans up to their referendums were as follows:

- Scotton Parish Council, as the qualifying body, received Council approval in February 2017 for the parish to be designated as a neighbourhood area for the purposes of preparing a neighbourhood plan. The plan was submitted to the Council for examination in November 2019 and comments were invited from the public and stakeholders.
- As the qualifying body, Bishop Norton and Atterby Parish Council received Council approval in May 2016 for the parish to be designated as a neighbourhood area for the purposes of preparing a neighbourhood plan. In January 2020 the public and stakeholders were invited to formally comment on the plan as part of its submission to the Council for examination.
- Gainsborough Town Council, as the qualifying body, received Council approval in January 2017 for the parish to be designated as a neighbourhood area for the purposes of preparing a neighbourhood plan. The plan was submitted to the Council for examination in May 2020. Comments were invited from the public and stakeholders.
- In September 2016 Morton Parish Council as the qualifying body received Council approval for the parish to be designated as a neighbourhood area for the purposes of preparing a neighbourhood plan. In June 2020 the plan was submitted to the Council for examination and representations were requested from interested parties.

3. Decision & Reasoning

- 3.1 For each plan, the Council in agreement with its town/parish council appointed an independent examiner to examine whether the plan met the basic conditions required by legislation and if it should proceed to referendum.
- 3.2 The examiner's report for each plan concluded that it met the basic conditions, and that subject to the modifications proposed in the report, the plan should proceed to a referendum. Each report was considered

under the Council's delegated powers and it was agreed that each plan should proceed to referendum and in the outcome of a successful referendum result it should be made by the Council.

- 3.3 The referendums for each plan met the requirements of the Localism Act 2011 and were held on 6 May 2021 and posed the question using the Scotton NP as an example:

'Do you want West Lindsey District Council to use the Neighbourhood Plan for Scotton to help it decide planning applications in the neighbourhood area'

- 3.4 The results of the referendums were:

Scotton NP	Votes recorded *	Percentage
Number of votes cast in favour of 'yes'	170	83.8%
Number of votes cast in favour of 'no'	30	14.8%

* 3 ballot papers rejected

Bishop Norton and Atterby NP	Votes recorded *	Percentage
Number of votes cast in favour of 'yes'	88	91.6%
Number of votes cast in favour of 'no'	7	6.8%

* 1 ballot paper was rejected

Gainsborough NP	Votes recorded *	Percentage
Number of votes cast in favour of 'yes'	2867	88.4%
Number of votes cast in favour of 'no'	286	8.8%

* 89 ballot papers were rejected

Morton NP	Votes recorded *	Percentage
Number of votes cast in favour of 'yes'	329	86%
Number of votes cast in favour of 'no'	47	12%

* 6 ballot papers were rejected

- 3.5 Legislation requires that the Council must make the neighbourhood plan if more than half of those voting have voted in favour of the plan. For each plan, greater than 50% of those who voted were in favour of the plan being used to help decide planning applications in the plan area.

- 3.6 The duty of adopting (making) each plan would not apply if the plan was found to breach, or would otherwise be incompatible with any EU obligation or Convention rights. The Council has assessed that each plan has been prepared in accordance with these requirements.

- 3.7 In accordance with national planning guidance, the adopted (made) Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans must be given full weight in the determination of planning applications within their parish areas.

- 3.8 The four newly adopted plans will mean that West Lindsey will have a total of 21 neighbourhood plans in place covering a large part of the

district. Neighbourhood plans have given many of our local communities the tools to shape and protect their areas. This is welcomed by the Government which sees neighbourhood planning as a key part of its ambition to deliver the Localism Act.

- 3.9 The total number should continue to rise as there are currently 24 neighbourhood plans in various stages of preparation. There are also 2 plans being reviewed and potentially 42 areas in the district that are suitable for neighbourhood plans but have yet to start the process. Compared to nationally, West Lindsey is performing well in terms of neighbourhood plan coverage.

4. Recommendation:

- 4.1 That Members agree to adopt the Scotton, Bishop Norton and Atterby, Gainsborough, and Morton Neighbourhood Plans in accordance with the Neighbourhood Planning Regulation**



Council

28 June 2021

Subject: Appointment to the Remuneration Panel

Report by:

Monitoring Officer

Contact Officer:

James O'Shaughnessy
Head of Policy, Strategy and Sustainable
Environment/Monitoring Officer
james.o'shaughnessy@west-lindsey.gov.uk
01427 676537

Purpose / Summary:

To appoint an Independent Member to serve on
the Council's Remuneration Panel.

RECOMMENDATION(S):

(a) That the person named in paragraph 2.1 be appointed to serve on the Remuneration Panel from 28 June 2021 for a period of 3 years to Annual Council 2024.

IMPLICATIONS

Legal: None associated with this report

Financial : FIN/28/22/JA The level of remuneration is as set out in the Council's Constitution at £200 per person per Civic year. This appointment is filling an existing position and therefore funded from existing budgets.

Staffing : None from this report

Equality and Diversity including Human Rights :

None from this report

Data Protection Implications: None

Climate Related Risks and Opportunities:

None from this report

Section 17 Crime and Disorder Considerations: None

Health Implications: None

Title and Location of any Background Papers used in the preparation of this report :

Risk Assessment :

N/A

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

1. Background

- 1.1 West Lindsey's Remuneration Panel was first appointed in 2001 and can consist of up to seven members (statutory minimum 3).
- 1.2 The period of office of one Member of the Remuneration Panel expired in May 2021.
- 1.3 The Council's website, social media and the voluntary sector were used to advertise the vacancy, alongside vacancies for Independent Members to sit on the Governance & Audit Committee. Interested candidates were asked to express their interest in either one or both of the positions on offer and were interviewed on that basis. Copies of the advertisement, person specification and background information are attached at Appendix A.
- 1.4 Interviews were held on 23 March 2021. The Panel comprised Councillor J McNeill, Alan Robinson (Director of Corporate Resources) and James O'Shaughnessy (Corporate Policy Manager/Deputy Monitoring Officer).

2. Recommended for Appointment

- 2.1 It is **RECOMMENDED** that the following candidate be appointed to serve on the Remuneration Panel, from Full Council 28 June 2021 for a three year period, until Annual Council 2024:

Mr R Harvey

Independent Remuneration Panel Member

Would you like to be an Independent Member of West Lindsey's Remuneration Panel?

We are looking to appoint to roles on our independent Remuneration Panel, which is responsible for making recommendations to the authority about the allowances to be paid to members. We are looking for people who are not directly involved with the council to make certain that the work of the panel is fair, open and effective.

We need people who are resident or working in the district, who are objective and politically independent, with the ability to analyse information, to join the Panel.

In return you can look forward to doing something interesting and worthwhile for the local community. You will be paid an annual allowance of £200 plus travelling expenses.

To apply:

If you would like to discuss the role, contact James O'Shaughnessy, Corporate Policy & Governance Manager / Deputy Monitoring Officer on 01427 676537

Alternatively, you can request an information pack and application details by calling 01427 676594 / 676595, or by email on committeeadmin@west-lindsey.gov.uk

Please note we do not accept CV's as a form of application.

Applicants will be subject to a Basic Disclosure Scotland check.
All recruitment correspondence, including interview invites will be sent out via email.

Closing date: 10 March 2021

Interview date: 23 March 2021 Please note that due to Covid- 19, interviews will be held "remotely" via MS Teams software

The Council has a commitment to equal opportunities and welcomes applicants from all sections of the community. Also we operate a no smoking policy.

West Lindsey District Council Employer of Choice



REMUNERATION PANEL PERSON SPECIFICATION

General

To be eligible for appointment, a person must not be disqualified from holding office as a member of the local authority. Accordingly, any person who is recommended for appointment will be required to confirm that he/she is not disqualified. Details of the disqualifications are set out overleaf.

Selection Criteria

Prospective members should –

1. Live or work in the West Lindsey District.
2. Have an understanding of Local Government and broader community issues.
3. Have the ability to act impartially.
4. Be aged over 18.
5. Not be a Councillor of any local authority (including Town/Parish Councils).
6. Not be directly related to a West Lindsey District Councillor.
7. Not be employed by West Lindsey District Council.
8. Not be a member of any political party.
9. Be able to analyse information, ask pertinent questions and maintain confidentiality.



If you require this Person Specification in another format eg large print, please contact Customer Services on 01427 676676, by email customer.relations@west-lindsey.gov.uk or by asking any of the Customer Services staff.

DISQUALIFICATIONS FOR APPOINTMENT

Summary of Sections 80 and 81 of the Local Government Act 1972

1. A person shall be disqualified from being appointed if he/she:
 - (a) holds any paid office or employment with the Authority;
 - (b) is a person who has been adjudged bankrupt or made a composition or arrangement with his/her creditors;
 - (c) has, within five years before the day of his/her appointment, been convicted of any offence and had passed upon him/her a sentence of imprisonment (whether suspended or not) for a period of not less than three months without the option of a fine;
 - (d) has been convicted of a corrupt or illegal practice under Part III of the Representation of the People Act 1983;
 - (e) is disqualified for membership for a specified period by Order of the Court because of his/her involvement in expenditure contrary to law; and
 - (f) is disqualified from membership for five years following an Auditor's certificate that a loss or deficiency has been caused by his/her wilful misconduct while a member of a local authority.
2. The disqualification attaching to a person by reason of having been adjudged bankrupt ceases:–
 - (a) on his/her discharge from bankruptcy unless the bankruptcy order made against the person is previously annulled; and
 - (b) if the bankruptcy order is so annulled, on the date of the annulment.
3. The disqualification attaching to a person by reason of his/her having made a composition or arrangement with his/her creditors ceases:–
 - (a) on the date on which payment is completed if he/she pays the debts in full; or
 - (b) in any other case, on the expiration of five years from the date on which the terms of the deed of composition or arrangement are fulfilled.

If you have any queries as to whether or not you may be disqualified from appointment, please ring Alan Robinson, Monitoring Officer on 01427 676509



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The Local Government Act 2000 reformed the system for paying allowances to elected members and, in particular, required the establishment and maintenance of an independent Remuneration Panel to provide the Council with advice on its Members' Allowances Scheme. The Council must have regard to this advice.

West Lindsey's Remuneration Panel was first appointed in 2001 and comprised three members and a reserve member. The Council has since decided to increase the size of the Panel to five or six members.

The Panel makes recommendations to the Council about the level of basic allowance paid to all members, the categories of special responsibilities for which special responsibility allowances may be made, the levels of those allowances, the rates of any child care/dependant carers' allowance and travel and subsistence allowances.

The Council provides the Remuneration Panel with appropriate administrative support, information about the roles of Councillors and the way in which the Authority operates and discharges its functions.

Members of the Remuneration Panel receive £200 per annum and their travelling expenses.

It is for the Council itself to approve the Members' Allowances Scheme; the role of the Remuneration Panel is to make recommendations.

The Council recognises the importance of finding the right independent people for appointment to the Remuneration Panel and aims to select appointees not only based on skills and experience, but also on attitude and approach. The successful applicant will need to demonstrate that he/she matches the person specification. The Council sees the operation of the Independent Remuneration Panel as crucial in providing an impartial element which will enhance public confidence in the allowances system.



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Formed on 1st April 1974 by the amalgamation of five constituent Authorities (*Gainsborough Urban, Market Rasen Urban, Caistor Rural, Gainsborough Rural and Welton Rural District Councils*), West Lindsey District Council covers the north- western area of Lincolnshire, an area of some 445 square miles, and serves a population of approximately 91,800. The District contains part of the Lincolnshire Wolds area of natural beauty, 25 conservation areas and 1,000 listed buildings.

The new administrative headquarters of the District Council are located at the Guildhall, Marshall's Yard, Gainsborough. Gainsborough stands on the western boundary and is a river port which serves the Humber. The town also boasts a particularly fine example of a 15th Century Manor House -The Old Hall.

Area Offices are situated in Market Rasen and Caistor. Operational Works Depots are located at Gainsborough and Market Rasen.

The Council has currently 35 Members with one vacancy (16 Conservatives, 12 Liberal Democrats, 2 Lincs Independent, 2 Gainsborough Independent, 1 Independent, 1 Independent, 1 Independent) who are elected to serve for 4 years. The 36 Councillors represent the 20 Wards within West Lindsey. The concentration of population in some Wards necessitates their representation by two, or even three, councillors.

The Council currently employs around 300 people. The Council operates through a number of Committees and Directorates/Divisions which are responsible for advising in terms of service delivery, policy formation, expenditure, etc. There are two policy committees – Corporate Policy and Resources Committee and Prosperous Communities Committee, as well as Challenge and Improvement Committee (Scrutiny), Planning Committee, Governance and Audit Committee, Standards Committee, Regulatory Committee and a Licensing Committee.



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Full Council

28 June 2021

Subject: The Council's Carbon Management Plan and draft Sustainability, Climate and Environment Strategy and action plan

Report by:

Head of Policy, Strategy and Sustainable Environment

Contact Officer:

Head of Policy, Strategy and Sustainable Environment

Purpose / Summary:

To present the Council's Carbon Management Plan and draft Sustainability, Climate and Environment Strategy and action plan for approval.

RECOMMENDATION(S):

1. That Council accepts the recommendations made on 22nd April 2021 by the Prosperous Communities and Corporate Policy and Resources Committees and in doing so approves the Council's Carbon Management Plan and the Sustainability, Climate and Environment Strategy and action plan, for formal adoption.
2. That delegated authority be granted to the Head of Policy Strategy and Sustainable Environment in conjunction with the Chairs of The Prosperous Communities and Corporate Policy and Resources Committees to undertake housekeeping amendments to the Strategy document.

IMPLICATIONS

Legal: The UK Climate Change Act of 2008 was the first piece of legislation to legally mandate a nation to reduce greenhouse gas (GHG) emissions - in this case by 80% of 1990 levels by 2050. Many countries have subsequently introduced their own equivalent legislation and in 2015, the Paris Agreement was signed by 197 countries with the aim of limiting “the increase in the global average temperature to well below 2°C above pre-industrial levels and pursuing efforts to limit the temperature increase to 1.5°C above pre-industrial levels”. The 2018 Special report of the Intergovernmental Panel on Climate Change (IPCC) on the impact of a 1.5°C rise in global temperatures above pre-industrial levels further highlighted the urgency with which GHG emissions must be reduced to avoid the worst impacts of climate change. In May 2019, the UK Government declared a non-legally binding Climate Change Emergency declaration and the Committee on Climate Change recommended a new emissions target for the UK: net-zero greenhouse gases by 2050. This was made a statutory target in June through the Climate Change Act (2050 Target Amendment) Order 2019.

Financial: FIN/7/22/TJB

The Council has earmarked £500k to support delivery of the Carbon Management Plan, however in addition we will need to develop realistic, viable and affordable funding solutions to deliver this Strategy whilst still continuing to fund our services.

There are a number of options of how this might be achieved as detailed within the Strategy document Resourcing and Finance (page 31-33)

The Council’s Carbon Management Action Plan investment cost is estimated at £6,458k which would equate to £67.50 per head of population.

All projects will be subject of full Business Cases and funding strategies will be developed as appropriate.

The capital programme 2021-22 to 2025-26 includes for £260K of carbon reduction initiatives.

Staffing: Staffing and skills requirements to deliver the strategy will be continually reviewed and monitored.

Equality and Diversity including Human Rights: The Council’s ambition is to ensure that neither the effects of climate change, nor the costs of reducing emissions, disproportionately affect any residents of the District.

The action plan will reap many co-benefits that have the potential to increase equality and community cohesion. These include improving health and wellbeing through more active travel, improving air quality with reduced vehicle use, increasing social inclusion through community activities and reducing fuel poverty by insulating homes and installing on-site renewable energy.

In practice the actions are too high-level and long term to undertake a meaningful equality assessment on the Council’s Strategy and Action Plan. Individual equality assessments will be undertaken as actions are developed.

Data Protection Implications: None

Climate Related Risks and Opportunities: The Carbon Management Plan, Climate Strategy and Action Plan contain proposals aimed at reducing the Council’s carbon emission to a net-zero position by 2050 and achieve the same across the District of West Lindsey within the same timescale.

The Council’s current carbon footprint has been calculated at 3429tCO₂e and that of the District is calculated at 524ktCO₂e. These are baseline figures relating to 2019/20 and 2018 respectively. Carbon emissions fluctuate for many reasons, but having accurate baseline data provides a sound starting point of reference against which the impact of subsequent work can be evaluated.

Climate related risks are inherent. The risk of not approving the strategy and its aims and objectives could lead to the Council contributing to irreversible temperature rises and subsequent damage to the climate and natural environments. Additionally, sudden and unexpected changes in global temperatures which result in the forecasts of the IPCC, upon which our work is predicated, being no longer valid, would require an even more urgent response to climate challenges.

Section 17 Crime and Disorder Considerations: None

Health Implications: : Health and wellbeing are strongly linked and interwoven into the aims of the strategy as co-benefits of taking positive action to address climate change and enhance the environment and sustainability.

Title and Location of any Background Papers used in the preparation of this report:

Update Position on Work to Develop Sustainability, Climate Change and Environment Strategy - Council 29th June 2020

Risk Assessment:

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

Executive Summary

1. This report is presented to Council following a recommendation made on 22nd April 2021 at a concurrent meeting of the Prosperous Communities and Corporate Policy and Resources Committees. In accepting the recommendation Council is requested to:
 - (a) approve the Carbon Management Plan (CMP) and the Sustainability, Climate and Environment Strategy and action plan for adoption
 - (b) grant delegated authority to the Head of Policy, Strategy and Sustainable Environment, in conjunction with the Chairs of the Prosperous Communities and Corporate Policy and Resources Committees, to undertake housekeeping amendments to the Strategy document.
2. A key message of the strategy is that in addressing climate change a number of important co-benefits can accrue. In addition to greenhouse gas reductions, long-term sustainable financial savings; better development; improved health and wellbeing; new technologies and skilled employment; greater community resilience and secure energy supplies can be realised.
3. Alongside the Covid-19 pandemic, climate change and its adverse impacts is the biggest issue we face as individuals, communities, organisations and nations. The special report of the Intergovernmental Panel on Climate Change (IPCC) highlights the irreversible impact of a 1.5°C rise in global temperatures above pre-industrial levels and stresses the urgency with which greenhouse gas emissions must be reduced to avoid the worst impacts of climate change.
4. The draft strategy and action plan, supported by a CMP, sets out the Council's response to this challenge. It provides a path way for the Council to follow in order to reach a net-zero carbon position across its own operations and for the wider District to achieve the same position by 2050 at the latest. Not taking immediate action is not an option.
5. The scale of the carbon reduction challenge has been calculated. The Council's most recent carbon footprint has been calculated at 3428 tCO₂e p.a, with an initial targeted footprint of 2089 tCO₂e p.a. to be tackled and the Council's current carbon 'hotspots' have been identified. Also the carbon footprint of the whole District is estimated at 524 ktCO₂e p.a. which signifies that the Council's overall impact is minimal in comparison. However, as a leader of place it is vitally important that the Council brings to bear its influencing skills to support and encourage all stakeholders across the District to also meet the challenge.
6. The key contributory factors to climate change have been identified and are discussed within the strategy. Their identification provides a robust framework against which action can be taken to mitigate their harmful effects.
7. The report sets out the key steps undertaken during the strategy's production. These include work with the Carbon Trust to deliver the CMP; two phases of consultation; training/awareness packages for staff and Members; the production of a communications plan; updates to the website and keeping abreast of the review of the Central Lincolnshire Local Plan.

8. A number of matters remain to be determined. These relate to the overall internal governance arrangements of the work required; how to achieve both District and County-wide collaboration and exert influence and on-going resourcing requirements in terms of officer capacity and skills and finances.
9. In conclusion, the route towards achieving a net-zero carbon position will require a strong level of ambition. However, consultation and feedback have shown that the Council has considerable support from stakeholders across the District.

1 Introduction

1.1 This report presents to Members:

- A brief reminder to Members setting out the original rationale for this work and the approach adopted to undertake the task
- A report produced by the Carbon Trust detailing the Council's revised carbon footprint and an associated carbon reduction action plan.
- The Council's Sustainability, Climate Change and Environment Strategy and action plan.
- An outline of the process followed to develop the Strategy.
- Matters for consideration to progress this agenda.

2. Background

2.1 In response to the UK Government's 2019 amendment to its Climate Change Act 2008, whereby it revised its greenhouse gas emissions reduction target to achieve a 'net-zero' position by 2050, the Council passed a motion in November 2019 to:

- I. Make the Council's activities net-zero carbon by 2050, in line with the UK Government's target.
- II. Ask the Prosperous Communities Committee to develop a new strategy on sustainability, climate change and the environment for the Council, with an initial outline being present to the next Annual Council, looking toward achieving the above target.

2.2 Such a strategy was also asked to consider:

- I. Achieving 100% clean energy across the Council's full range of functions by 2040;
- II. How to ensure that all strategic decisions, budgets and approaches to planning decisions are in line with a shift to zero carbon by 2050, working to ensure that the Central Lincolnshire Local Plan review embraces this approach;
- III. How to support and work with all other relevant agencies towards making the entire area zero carbon within the same timescale;
- IV. Suggestions for budget actions and a measured baseline;
- V. How the Prosperous Communities Committee can consider the impact of climate change and the environment when reviewing Council policies and strategies;

- VI. Any available research (that is expected to be forthcoming) from APSE relevant to this work;
 - VII. Report on the level of investment in the fossil fuel industry that our pensions plan has;
 - VIII. Ensure that all reports in preparation for the 2021/22 budget cycle and investment strategy will take into account the actions the council will take to address this agenda;
 - IX. Call on the UK Government to provide the powers, resources and help with funding to make this possible and ask local MPs to do likewise.
- 2.3 To progress work on this agenda a cross-party Member Working Group, chaired by Cllr Tracey Coulson, was formed and at the Full Council meeting of 29th June 2020, Members gave consideration to a report which presented an initial scoping document, which allowed for an “interim” update to be provided in respect of work undertaken in progressing the Council resolution to consider environmental and other implications associated with climate change. The report presented set out a strategy development plan, as requested by Council in November 2019 which had been recommended to Council by the Prosperous Communities Committee.
- 2.4 Cllr Coulson, as Chair of the Working Group, presented the report to the meeting and highlighted several key points including, the work undertaken to-date (Section 3 of the report); the interim findings (Section 4 of the report) and arising from this, the proposed way in which the Strategy would be developed: namely by adopting the Ashden toolkit, which would provide a robust framework around which the Strategy could be built.
- 2.5 The report on the whole was welcomed, as was the proposed approach.
- 2.6 Since that time further work has progressed to develop the Council’s Sustainability, Climate Change and Environment Strategy. Key facets of this work are set out below.
- 3. Carbon Footprint and Carbon Management**
- 3.1 A reduction in the emission of greenhouse gases (CO₂ equivalent) to a net-zero position by a certain point in the future is the main driver in tackling climate change. Such a reduction has to be achieved on an individual, local, regional, national and international basis and must include sectoral participation i.e. business, industry, logistics, agriculture, transport etc. Gaining an understanding and baseline of an organisation’s emission levels is crucial therefore to provide a starting point to work from.

- 3.2 It is important to stress that CO2 emissions vary over time as an organisation develops, improves efficiency and/or disposes of/brings new assets into use. External factors play a part also such as the decarbonisation of the electricity supply which in turn reduces the carbon impact of energy usage.
- 3.3 As an organisation, the Council has been working to reduce its CO2e emissions for more than 10 years and has worked through two Carbon Management Plans (CMPs), 2010-2015 and 2016-2021. Delivering against these plans was intended to produce a reduction in emissions of 35% to 1325 tCO2e, based on 2008/09 baseline figures of 2036 tCO2e emitted p.a. Projects implemented to secure such reductions include the installation of solar panels on certain assets (which also produce an income of approx. £21k p.a. to the Council), LED lighting in buildings; voltage optimisation initiatives and more energy efficient replacement ICT infrastructure.
- 3.4 In September 2020, the Council commissioned the Carbon Trust to re-calculate the Council's carbon footprint and produce a Carbon Management Plan (CMP) for the period 2021-2026. The results of this work are set out in Appendix One.
- 3.5 This piece of work is integral in supporting the Council to reduce the carbon impact of its operations to a net-zero position by 2050. It also forms a key element of, and lies within the overall context of, the Council's Sustainability, Climate Change and Environment Strategy.
- 3.6 The scope of the work required of the Carbon Trust was to determine emissions relating to:

Scope 1	Org Facilities	Y
	Org Vehicles	Y
Scope 2	Emissions due to purchase electricity, steam, heat, cooling	Y
Scope 3 Upstream	Purchased goods and services	
	Capital Goods	
	Fuel and energy related activities	Y
	Upstream transportation/distribution	
	Waste generated in operations	Y (waste water calculation?)
	Business Travel	Y
	Employee Commuting	Y
	Upstream leased assets	Y
Scope 3 Downstream	Downstream transportation/distribution	
	Processing of sold products	
	Use of sold products	
	End of life treatment of sold products	
	Downstream leased assets	Y – where we are landlord energy usage?
	Franchises	
	Investments	

- 3.7 The Carbon Trust have worked (remotely) with officers to collate data relating to energy and fuel usage, mileages (fleet and officers) and heating systems. Where accurate data is not available, proxies have

been used and certain assumptions have been made from which to calculate carbon emissions.

- 3.8 The year 2019/20 was used to provide a baseline for the Council's carbon footprint. However, to ensure that as many of the Council's operations as possible were captured during this exercise, Lea Fields Crematorium and the Market Rasen Leisure facility were also included, even though in the case of the Crematorium it was not in operation for the whole of 2019/20 and the leisure facility only came on stream last Autumn. Emissions calculations for these facilities were based on profiled energy usage based on one quarter's actual (Crematorium) and building industry standard data (leisure facility).
- 3.9 Taking all factors into account, the Council's carbon footprint has been calculated as 3428tCO₂e. This figure is greater than that expected upon the completion of the CMP 2016-2021 (as detailed at 3.3 above). This is due to the fact since the inception of that CMP, the Council has built or acquired new assets which contribute to its carbon footprint and the CO₂e impact of these assets has been included when calculating a new baseline figure. This demonstrates that CO₂e emissions are not a static phenomenon; they do fluctuate over time.
- 3.10 Scope of emissions: 69% of the footprint is associated with scope 3 emissions from leased buildings, leisure centres, business travel and commuting, water and waste. Scope 1 emissions account for 25% of the overall footprint, whilst scope 2 emissions account for the remaining 6%.
- 3.11 Emissions by activity: Approximately 55% of the measured footprint emissions are associated with electricity and gas use across the council's leased buildings. This includes emissions arising from the Gainsborough and Market Rasen Leisure Centre facilities, which account for 16% of the overall footprint. Fleet fuel consumption is responsible for 26%, whilst electricity and gas use across council operated buildings accounts for 11% of the total footprint. Approximately 8% of emissions are associated with the treatment and disposal of water and waste across council operated sites, alongside emissions from business travel and commuting. The table below illustrates this breakdown:

Scope	Emission Source	tCO ₂ e
1	Natural Gas	83.6
1	Other fuels	67.4
1	Fleet	881.1
2	Electricity	241.7
3	Leased Buildings	1339
3	Leisure Centres	530.7
3	Employee Commuting	214.8
3	Business Travel	66.4
3	Water	2.1
3	Waste	1.0
Total Emissions		3428

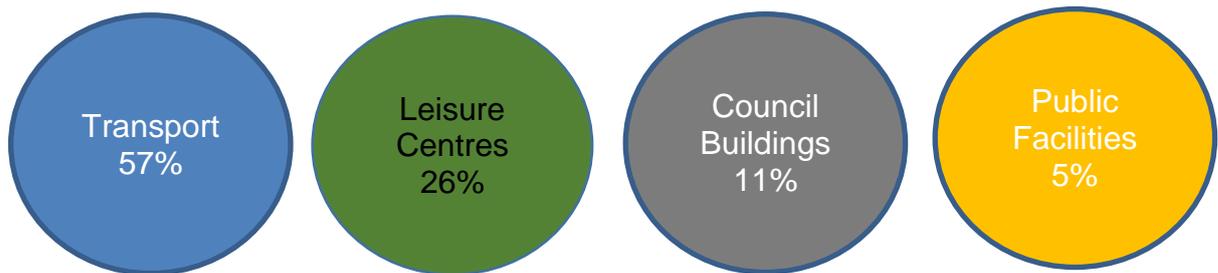
3.12 Targeted Footprint

3.12.1 The Carbon Trust have advised that the Council’s initial targeted footprint should exclude those emissions created by leased buildings, which the Council owns but are run by other operators. This accounts for 1339 tCO₂e and therefore produces an initial net-zero target of 2089 tCO₂e.

3.12.2 The Carbon Trust’s rationale for the exclusion at this stage of emissions related to leased buildings is that, in calculating the emission figures across this estate a series of proxies and estimates had to be used in the absence of actual energy consumption data. The Carbon Trust advise that it is in the Council’s medium-term interests to work with the operators of these buildings to obtain verifiable data, re-calculate a more reliable emission figure across the estate and consider at that point what remedial actions are required to reduce emissions.

3.13 Carbon Reduction Opportunities

3.13.1 Four emission ‘hotspots’, accounting for a combined total of 99% of the targeted footprint, have been identified:



3.13.2 Having reviewed existing energy sources, fuel usage data and operational practices and considering existing technologies, the Carbon Trust has produced a summary of recommended actions that the Council should consider to reduce its targeted carbon footprint. The recommendations also carry estimated costs of implementation and expected tCO₂e reductions, but carry a caveat that actual figures would be subject to robust business case development and the future maturity of technologies. Suggested implementation dates have also been provided.

Emissions hotspot	Project	CAPEX [GBP]	Annual savings [GBP]	Simple payback [yrs.]	Annual savings [tCO ₂ e]	CAPEX/ tCO ₂ e	Implementation
Transport	Review all travel related policies and ensure alignment with decarbonisation ambitions	Internal costs only	0	Instant	21.09	0	2021
Transport	Incorporate fuel efficient driving into driver training and refresher courses	8,000	10,800	0.8	26.43	303	2022

Transport	Replacement of manager vans with electric vehicles	12,000	3,900	3.1	15.17	791	2025
Transport	Waste and Street Cleansing fleet electrification	6,264,000	17,300	362.5	865.93	7,234	TBC
Leisure Centres	Require third-party operators to implement a formal energy management system, e.g. ISO 50001	Internal costs only	0	Instant	26.54	0	2022
Leisure Centres	Implement requirement for third-party operators to report energy/carbon performance of buildings, at least annually	Internal costs only	0	Instant	10.61	0	2022
Leisure Centres	Compile plant and equipment inventory and work with site operators to implement a replacement schedule based on life cycle analysis	Internal costs only	0	Instant	39.46	0	2022
Leisure Centres	Solar PV at Market Rasen Leisure Centre	18,000	1,912	9.4	5.03	3,576	2028
Council Buildings	Implement a formal energy management system to cover all major energy consuming sites	Internal costs only	1,900	Instant	6.87	0	2022
Council Buildings	Compile HVAC plant inventory and implement a replacement schedule based on life cycle analysis	Internal costs only	2,200	Instant	11.08	0	2021
Council Buildings	Electrification of space heating	TBC	TBC	TBC	83.64	TBC	2035
Public Facilities	LED street lighting	155,900	20,800	7.5	54.82	2,843	2035
Totals		6,457,900	58,812		1,230.03	5,250	

3.13.4 The estimated cost to deliver this plan in its entirety, based on the estimated figures provided, would be £6.458m and would generate on-going savings of almost £59k p.a. The targeted footprint would reduce by 1230 tCO₂e leaving a residual balance of approximately 859 tCO₂e to deal with. The costs, which are predominantly in respect of low carbon waste and street cleansing vehicles, are in addition to those already profiled in capital budgets.

3.13.5 In reviewing the recommendations, consideration has been paid to the initial allocation of £500k granted by Council (and reflected in the

MTFP) to support emission reduction projects. Such a sum would enable all of the actions, where costs have been estimated, to be undertaken; bar the de-carbonising of the waste fleet. Timescales are as suggested, but it is recommended that LED street lighting be brought forward, as should explorations related to the electrification of space heating in council buildings and solar PV at Market Rasen Leisure Centre.

3.13.6 Early action to work with the operators of leased buildings to establish more verifiable data relating to emissions from these assets should also be prioritised.

3.14 Carbon Offsetting

3.14.1 The residual balance of 859 tCO₂e referred to at 3.13.4 above, illustrates the difficulty in achieving a truly zero carbon position. Hence decisions would have to be made at the appropriate time as to how best 'net-off', or offset, the 859 tCO₂e. Options currently include tree planting, renewable energy production and carbon storage.

3.14.2 It should be noted that in the hierarchy of carbon reduction methods, offsetting is regarded as relatively expensive per tCO₂e removed and should be viewed as a last option once all practical means of reducing the amount of carbon produced have been explored.

4. Sustainability, Climate Change and Environment Strategy

4.1 As set out above, the Council's own carbon reduction efforts sit within the overarching strategy. This ensures that the focus of the strategy is not only on carbon reduction, but also considers wider aspects pertaining to sustainability and the environment and the enabling role the Council must play. Great emphasis is placed on the co-benefits that will accrue from taking action such as improved health and wellbeing; reduced costs; new technologies and skilled employment opportunities.

4.2 The framework agreed and used to develop the strategy covers the following 10 themes set out below. Diagrammatically, this illustrates how the framework complements the Council's Corporate Plan themes of Our People, Our Place, and Our Council.



4.3 The strategy in full, forms Appendix Two and sets out the compelling scientific argument for taking positive action; references the (fast-moving) social, political, legislative and policy contexts within which the work has been and will continue to be developed; details the size of the task at hand in terms of setting out the size of the Council's own carbon footprint and that of the wider district (524kt CO₂e p.a.); provides evidence (in the form of introducing the concept of carbon budgets) to illustrate that urgency is required and concludes with thoughts on how progress will be monitored and reported and that success will be very much dependant on a strong level of ambition and commitment, backed up by significant interventions and investment across the Council.

4.4 Within each of the themes, commentary is provided to explain the nature of each of the topics and pointers are provided to illustrate the role they can play in addressing climate change, promoting sustainability and enhancing the environment.

4.5 Supporting the strategy is a detailed action plan built around the themes set out above. It acts as a repository for recording ideas and is a working document which will flex over time and will provide a means of recording actions; their progress and success. A summary version of the action plan will act as a front-facing document, used to highlight and publicise live projects. A copy of the summary is set out in Appendix Three.

5. Council's Pension Plan

5.1 The motion also requested that the level of investment in the fossil fuel industry that the Council's pensions plan be established.

5.2 This information was included in the update report to Prosperous Communities Committee in June 2020, but is repeated here. As at December 2019, pension funds held in holdings classified as "Oil, Gas

and Consumable Fuels” amounted to £20.7m (0.83%) of the total fund value of approximately £2.5bn.

6. Supporting Actions

- 6.1 To arrive at this position a number of supporting tasks have been undertaken. These have contributed to the content of and thinking behind the strategy and the ability to comprehend unfamiliar concepts and theories.
- 6.2 CONSULTATION: Firstly, consultation and engagement. Effective consultation and engagement is a key supporting aspect of strategy development, as it allows initial thoughts and considerations to be shared with interested stakeholders and the receipt of feedback and opinion on the material presented.
- 6.2.1 Under ‘normal’ circumstances a range of consultation methods would be utilised. However, due to Covid19, the Council was restricted to the use of on-line surveys supported by direct messaging to key stakeholder groups (schools, Parish/Town Councils, businesses); updated web-pages showing related content (www.west-lindsey.gov.uk/climate/); media coverage including social media messaging and radio broadcasts; the creation of a dedicated email address (climate@west-lindsey.gov.uk) to receive associated correspondence; the Members’ bulletin and the Council’s intranet.
- 6.2.2 Two phases of consultation were undertaken. Phase 1, which ran in the summer of 2020 and took the form of a survey, questioned respondents on how important a topic climate change, the environment and sustainability is to them and also asked for feedback on the areas the Council proposed to cover in the Strategy. The survey asked if the scope was wide enough, was targeting the correct areas and for any other relevant thoughts.
- 6.2.3 In summary over 150 responses were received, with the vast majority supportive of the actions the Council was proposing to take.
- 6.2.4 The findings were reflected upon as the Strategy was further developed to the point where Phase 2 consultation was undertaken in December 2020. This again took the form of a web-based survey and used the draft Strategy as a basis for further questioning on matters such as: Is it ambitious enough? Is it achievable? Again direct messages were issued to relevant stakeholders and media communications, including a radio interview were issued, raising awareness of the survey’s purpose and existence.
- 6.2.5 Phase 2 elicited 294 responses and the results show that the issue of climate change does concern respondents to a significant degree. The Council has a strong level of support among respondents for the action it is taking and its ambitions are deemed to be achievable. Points raised which may hinder the Council’s progress related to resourcing, apathy among the public; the difficulty in engineering behavioural and societal change and the degree of collaboration required.

- 6.2.6 Appendix Four offers a summary of both consultation exercises.
- 6.3. TRAINING & AWARENESS: Climate change and the associated science is a technical and complex subject, therefore it is important to be able to understand some of the basic concepts and theories that underlie the science.
- 6.3.1 To increase knowledge, both corporately and across Members, a mixed group of 20 individuals (including all members of the Working Group) have partaken in an accredited Climate Literacy Course run by APSE. This took delegates through areas such as the science of climate change; global and local climate change policy; carbon foot printing and planning for change and influencing local stakeholders.
- 6.3.2 Attendees found the material stimulating, thought provoking and it provided a really useful source of information and reference. It has enabled the Working Group to more quickly gain an understanding of some of the key concepts, terminology and science that support the work required to develop the Strategy.
- 6.3.3 It is envisaged that on-going formal training for a wider cohort of staff and Members will become a feature of both staff and Member development packages.
- 6.3.4 In addition to training, engagement exercises based around a number of staff workshops and Member facing presentations have been held. In total approximately 50 individuals have taken part across these cohorts. The purpose has been to set the policy context for the development of the Strategy, highlight the science that points to the need for urgent climate action to be taken; detail activities the Council has undertaken to date and what actions are to be completed. Sessions for both staff and Members have been well received and for some, provided a useful starting point in respect of this subject matter. Again, on-going updates and awareness raising packages are planned for staff and Members alike.
- 6.3.5 External awareness and engagement packages have been difficult to arrange under the prevailing circumstances. One Parish Council has been in contact and a constrictive discussion took place. It is intended that use will be made of the principles within the refreshed Parish Charter and use this vehicle as a means of holding session(s) with Parish and Town Councils across the District to inform, facilitate discussion and develop networks. The UK will host the 26th UN Climate Change Conference of the Parties (COP26) in Glasgow in November 2021. The summit will bring parties together to accelerate action towards the goals of the Paris Agreement and the UN Framework Convention on Climate Change. This will provide an excellent backdrop for the Council's engagement plans.
- 6.4 COMMUNICATIONS: a significant amount of time has been spent on ensuring that communication messages related to this work are as effective as possible. Clear, consistent messaging, delivered to the

appropriate stakeholder(s), via the most appropriate means, at the most appropriate times is essential. The aims therefore of the Communications Plan have been determined as thus:

- Raise awareness and engagement of sustainability, climate change and the environment
- Demonstrate the agenda is real
- Facilitate change
- Engage hard to reach groups (under 40's)
- Develop a significant programme for the climate change initiative; including businesses, schools and residents. Press coverage and events; creating content for officers to deliver

6.4.1 The key messages which form the bedrock of the communications strategy, which must be stressed by officers and Members alike, at all opportunities are:

- Science demonstrates that urgent and radical action is needed to avert severe and widespread environmental, social and economic disaster
- Action on climate change is required to support the most vulnerable in society
- Emphasising the co-benefits of delivering the Strategy i.e. investment, employment, economic recovery, social and well-being related benefits
- The green agenda is relevant to us all
- Every small step can have a big impact on our environment

7. Current Considerations

7.1 At this moment in time the Council is nearing the 'end of the beginning' of its work to address climate related matters within the Council and across the wider district. Attention has therefore been paid as to what will be required to ensure the achievement of the Council's ambitions can be attained and reported.

7.2 Oversight of Delivery

7.2.1 From an internal perspective, mechanisms are required to ensure the effective oversight and delivery of the action plan, to assess, appraise and oversee implementation of new related projects and initiatives and to ensure that climate, sustainability and environmental related concerns are hard-wired into Council decision making and wider corporate activity such as procurement decisions, risk management, business planning, financial planning, programme/project management and performance management.

7.2.2 To achieve this, it is intended that an internal board is formed to take responsibility and have oversight of all related activity. Membership will be drawn from relevant officers from across the Council and will also have senior officer representation.

- 7.2.3 The Council's performance management systems will be used to monitor and report on progress. Suitable measures will be determined (qualitative and quantitative). The Council's robust programme and project management methodology will provide a framework to ensure that business case development, project development, delivery and outcomes monitoring are routinely undertaken.
- 7.2.4 Also, the Council's Overview and Scrutiny function may have a key role to play in examining proposals, tracking the delivery of projects and the realisation of expected benefits and overseeing delivery of the CMP action plan and other associated performance management.
- 7.3 District-Wide Leadership
- 7.3.1 Looking towards the wider-district, the Council's role is to facilitate, encourage, co-ordinate; acting as a fulcrum bringing together organisations from the business, voluntary, government and educational sectors from across the District to participate in meaningful discussion and activity. Working at scale; identifying mutually beneficial initiatives; forming an effective lobbying, campaigning and influencing alliance and feeding into county-wide structures would be more achievable via the formation of a district-wide grouping and provide a strong collective voice. Initial thoughts are that the Place Board may be a suitable structure for this and developments will progress from this starting point.
- 7.3.2 Consideration also needs to be paid as to how the District's interests are represented and considered on a county-wide basis. LCC has adopted its own Green Masterplan which it will be progressing and therefore it is vital that their actions and intentions and ours, are complementary. The outcome of the review of the CLLP, which has considered how it can contribute to the achievement of a net-zero carbon position, will provide a strong policy framework from which to work.
- 7.4 Resources
- 7.4.1 To deliver the action plan, consideration needs to be paid to resources, in both financial and officer capacity/capability terms. However, one of the main considerations in respect of finances is that, often investing in climate related initiatives at an early stage can reduce futures costs and/or generate additional income. Hence, the financial aspect of business cases must explore all possibilities and set out viable costed options and associated payback considerations. Members will have noted the estimated costs to implement the CMP as calculated by the Carbon Trust. These are undoubtedly significant and need to be considered and prioritised on an investment v carbon reduction basis.
- 7.4.2 An initial sum of £500k has been agreed by Members to support the delivery of the strategy's aims. This was agreed by Council and is set out in the MTFP. This is a considerable amount of money and signifies the seriousness with which the Council is taking the subject. Such a

commitment will no doubt be beneficial in attracting further external funding as and when opportunities arise.

7.4.3 The strategy explores various possible means of resourcing the action plan. Working closely with finance colleagues, keeping abreast of opportunities and new funding streams and innovative funding arrangements will be an on-going process.

7.4.4 Staff resources pertaining to capacity and capability are also to be considered. An immediate action has been the creation of, and appointment to, the role of Head of Policy, Strategy and Sustainable Environment. However, as detailed, the breadth of work is broad and in some cases very deep. The subject matter is fast-moving with regular policy, technology and initiative announcements to keep abreast of. It can also be technical and complex, requiring a high level of understanding of key terms and concepts and an ability to transfer the theory and apply it to the context of the organisation; thereby ensuring that climate related considerations are accurately reflected and reported and decision-making processes fully contain related information.

7.4.5 The on-going training and awareness packages on sustainability, climate and environment issues for staff and Members will play a key role in increasing general knowledge. But while awareness and understanding of the subject matter has increased among a small cohort of enthusiastic officers over the past year or so, the Council does not currently possess any real technical expertise. Options will have to be explored as to how best remedy this and provide capacity alongside the Head of Policy, Strategy and Sustainable Environment, for the action plan to gain traction. Potential solutions include:

- The recruitment of relevantly qualified staff and/or the commitment to support any current staff member(s) who may be interested in obtaining professional accreditation in the subject matter.
- Secure expert/technical support on a retained contract(s) to draw on at appropriate times for project development and delivery. Progress on this as a solution is underway.

8. Conclusion

8.1 The production of this strategy and action plan has involved considerable work across many topic areas. However, it has led to the Council being in a position where it has met the requirements of the Council motion made in November 2019 and is now fully appraised of its own climate reduction challenge and responsibilities and also of the issues facing the wider District. The strategy provides a roadmap to achieving a net zero carbon position across both Council operations and on a district wide basis. Input into the development of the strategy from interested parties via two consultation exercises has to a large extent validated the Council's intent and shows that there is a high level of support. It is imperative therefore that progress is consistent,

transparent and evaluated to ensure actions taken are meeting their intended objectives on an on-going basis.

9. Recommendations

1. That Council accepts the recommendations made on 22nd April 2021 by the Prosperous Communities and Corporate Policy and Resources Committees and in doing so approves the Council's Carbon Management Plan and the Sustainability, Climate and Environment Strategy and action plan, for formal adoption.
2. That delegated authority be granted to the Head of Policy Strategy and Sustainable Environment, in conjunction with the Chairs of The Prosperous Communities and Corporate Policy and Resources Committees, to undertake housekeeping amendments to the Strategy document.



West Lindsey
District Council

West Lindsey District Council

Carbon Action Plan

February 2021



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1. Executive summary

Background and Context

Growing acknowledgement of the latest science and recommendations from the Committee on Climate Change have resulted in unprecedented recognition of the global climate emergency and the need to act urgently in order to reduce carbon emissions to limit further global warming and associated environmental impacts. Global initiatives are now focused on limiting warming to well below 2°C, aligning to the pledges outlined in the Paris Agreement. Despite this, warming continues, with the impacts being felt both nationally and internationally. Across the UK, continued warming is projected to make winters warmer and summers hotter and drier. Sea levels will also continue to rise and threaten many coastal communities across the country. Many industrial and farming processes will also be affected by a continuation of rising temperatures, exacerbating impacts that warming will have on communities across the UK.

In 2019, the UK Government became the first major economy in the world to pass laws to end its contribution to global warming by 2050 by setting a target of achieving net zero emissions by 2050. Local authorities have a crucial role to play in developing effective pathways towards reducing their emissions, which, if successfully achieved, will help to reduce climate impacts at both the local and national scale as well as delivering public health co-benefits resulting from cleaner air and leading a more active lifestyle.

In November 2019, West Lindsey District Council (WLDC) resolved to make the council's activities net zero carbon by 2050. To support this target, the council are developing a new Sustainability, Climate Change and Environment Strategy, due to be launched in May 2021. This report has been commissioned by the Council to help achieve their carbon reduction targets.

Action Plan summary

- This Carbon Action Plan will form a key part of WLDCs response to the climate crisis and emerging Sustainability, Climate Change and Environment Strategy. This Plan sets out a number of recommendations that WLDC should initially work towards in order to accelerate carbon reduction across the Council, actions that will seek to support their carbon reduction target.
- The Council has recently produced an updated Carbon Management Plan, which has enhanced overall understanding of the key emissions hotspots across the organisation, allowing for the targeted analysis identified throughout this Action Plan.
- WLDC has set a carbon reduction target of achieving net zero emissions across their own operations by 2050. The Council recognises the importance of decisive action on this issue, and will work closely with members and the wider district to ensure that this target is continually reviewed and updated to reflect emerging carbon reduction ambitions.

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Carbon reduction opportunities

A summary of the recommendations identified are listed below:

Emissions hotspot	Project	CAPEX [GBP]	Annual savings [GBP]	Simple payback [yrs]	Annual savings [tCO ₂ e]	CAPEX/tCO ₂ e
Transport	Review all travel related policies and ensure alignment with decarbonisation ambitions	Internal costs only	0	Instant	21.09	0
Transport	Incorporate fuel efficient driving into driver training and refresher courses	8,000	10,800	0.8	26.43	303
Transport	Replacement of manager vans with electric vehicles	12,000	3,900	3.1	15.17	791
Transport	Waste and Street Cleansing fleet electrification	6,264,000	17,300	362.5	865.93	7,234
Leisure Centres	Require third-party operators to implement a formal energy management system, e.g. ISO 50001	Internal costs only	0	Instant	26.54	0
Leisure Centres	Implement requirement for third-party operators to report energy/carbon performance of buildings, at least annually	Internal costs only	0	Instant	10.61	0
Leisure Centres	Compile plant and equipment inventory and work with site operators to implement a replacement schedule based on life cycle analysis	Internal costs only	0	Instant	39.46	0
Leisure Centres	Solar PV at Market Rasen Leisure Centre	18,000	1,912	9.4	5.03	3,576
Council Buildings	Implement a formal energy management system to cover all major energy consuming sites	Internal costs only	1,900	Instant	6.87	0
Council Buildings	Compile HVAC plant inventory and implement a replacement schedule based on life cycle analysis	Internal costs only	2,200	Instant	11.08	0
Council Buildings	Electrification of space heating	TBC	TBC	TBC	83.64	TBC
Public Facilities	LED streetlighting	155,900	20,800	7.5	54.82	2,843

2. Carbon footprint

Carbon Footprint Methodology

This chapter provides an inventory of greenhouse gas emissions for WLDC for the financial year 2019/20. This inventory, or footprint, provides the council with a 'baseline' of emissions for this period.

Council Target

It is important to note that the emissions included in the council's footprint measurement are different to those emissions included in the council's carbon reduction target (see slide 17). It is these emissions included under the council's target that will be used to measure and evaluate the council's carbon reduction progress going forward.

Methodology

This footprint has been calculated according to the [Greenhouse Gas \(GHG\) Protocol](#), the most widely used and accepted methodology for greenhouse gas accounting. The GHG Protocol classifies emissions as either scope 1, 2, or 3 (Figure 1). This chapter presents the scope 1,2 and selected scope 3 footprint for WLDC. In the case of the council, a scope 1 and 2 footprint measures those emissions associated with direct council-led operations, whilst scope 3 elements of the footprint account for the emissions associated with indirect activities.

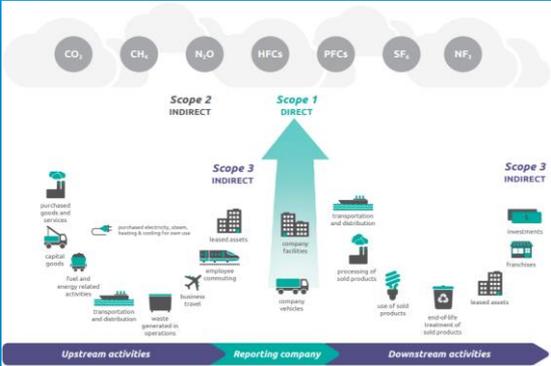
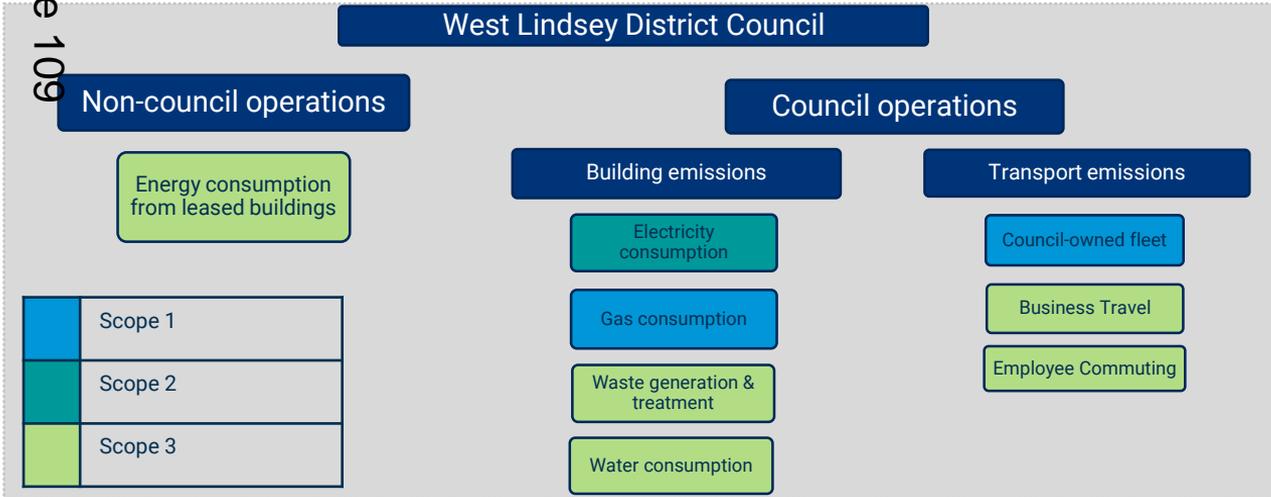


Figure 1: The GHG Protocol emissions classification

- **Scope 1:** Direct emissions from combustion of gas and other fuels.
- **Scope 2:** Emissions resulting from purchased electricity, heat, or steam.
- **Scope 3:** Emissions made by third parties in connection with operational activities.

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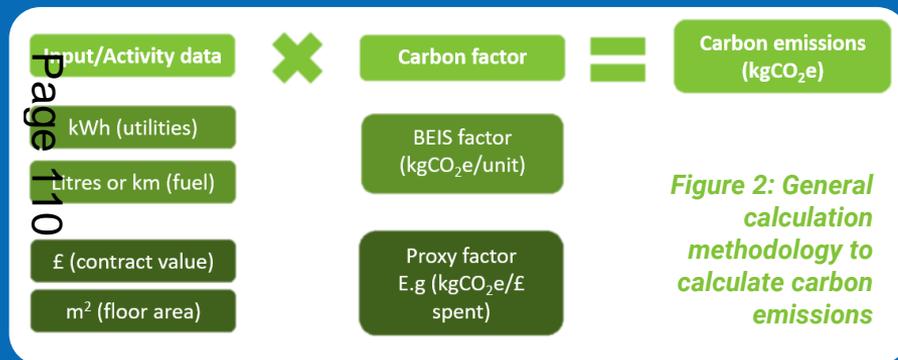


Scope 1	
Scope 2	
Scope 3	

How carbon footprints are calculated

Calculating a carbon footprint

A carbon footprint is calculated by multiplying **activity data** (e.g. litres of vehicle fuel, kWh of electricity/gas) by an associated **emissions factor**.



What does CO₂e mean?

Carbon dioxide (CO₂) is the most well known of all of the greenhouse gases. There are six other commonly reported GHGs, which can be seen in Figure 1 on the previous page. In footprinting carbon dioxide equivalent (CO₂e) is used in order to express the impact of the other gases in terms of the amount of CO₂ that would create the same amount of warming.

Data availability and the use of benchmarks

Where possible, real activity data should be collected throughout the reporting period for use in the footprint calculation.

- Emission factors are updated annually and published by the UK Government's department for Business, Energy and Industrial Strategy (BEIS).

If activity data is not available, various **benchmarks and proxies** can be used:

- Benchmarks can be used to approximate activity data. For example, typical electricity consumption per m² of a building.
- When input data is scarce, proxy factors can be used in place of the BEIS factors to approximate emissions from the available input data (e.g. contract value).

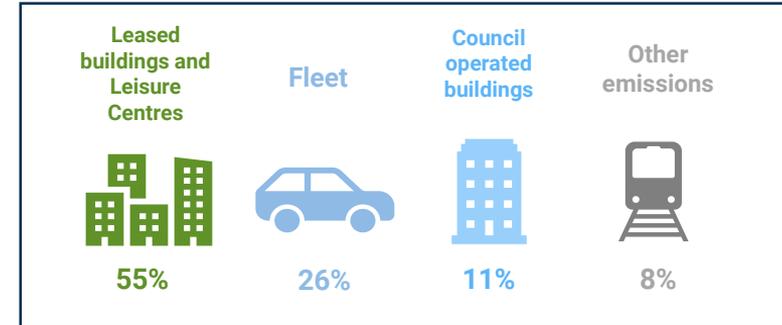
West Lindsey District Council has worked closely with the Carbon Trust to ensure that their carbon footprint is as comprehensive and accurate as practically possible at this time. Real activity data for gas and electricity consumption has been used for all council-operated sites. Additional assumptions have been made in order to obtain a full data-set for LPG emissions at the council's Lea Fields Crematorium, alongside data for employee commuting (see Footprint Report for full breakdown of assumptions).



West Lindsey District Council FY 19/20 Footprint

West Lindsey District Council's total measured carbon footprint for the 2019/20 financial year is 3,428 tonnes of CO₂ equivalent (tCO₂e).

- Scope of emissions:** 69% of the footprint is associated with scope 3 emissions from leased buildings, leisure centres, business travel and commuting, water and waste. Scope 1 emissions account for 25% of the overall footprint, whilst scope 2 emissions account for the remaining 6%.
- Emissions by activity:** Approximately 55% of the measured footprint emissions are associated with electricity and gas use across the council's leased buildings. This includes emissions across the Gainsborough and Market Rasen Leisure Centre facilities, which account for 16% of the overall footprint. Fleet fuel consumption is responsible for 26%, whilst electricity and gas use across council operated buildings accounts for 11% of the total footprint. Approximately 8% of emissions are associated with the treatment and disposal of water and waste across council operated sites, alongside emissions from business travel and commuting.



Scope	Emission source	tCO ₂ e
1	Natural gas	83.6
1	Other fuels	67.4
1	Fleet	881.1
2	Electricity	241.7
3	Leased Buildings	1339
3	Leisure Centres	530.7
3	Employee Commuting	214.8
3	Business Travel	66.4
3	Water	2.1
3	Waste	1.0
	Total Emissions	3,428

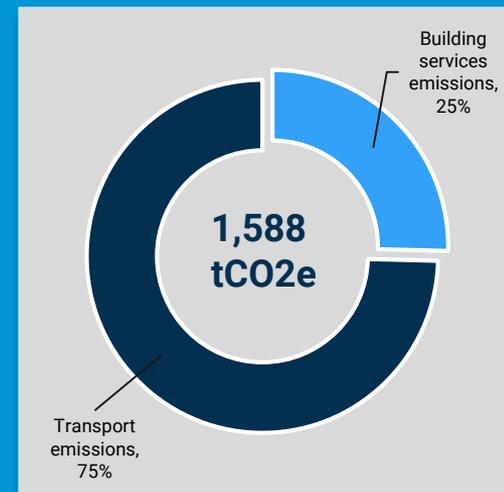
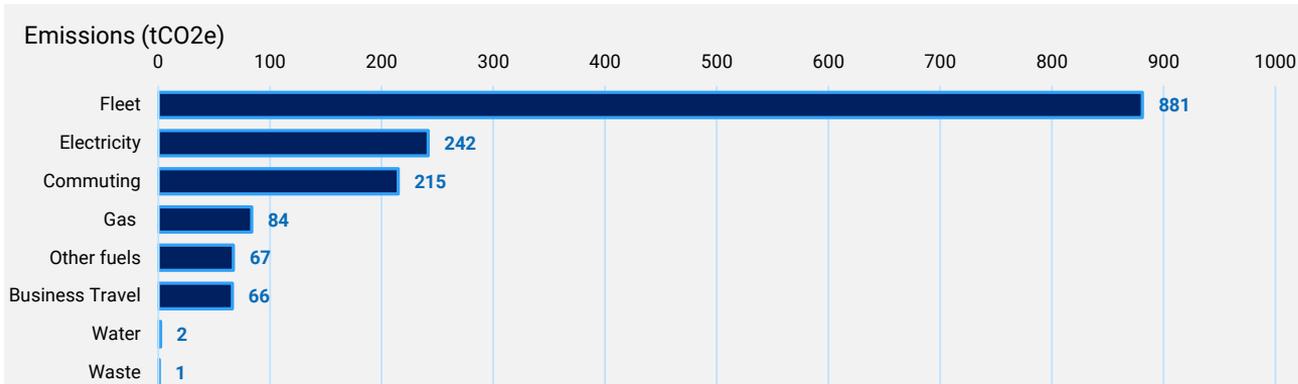


Footprint in Detail: Operational emissions

The next pages in this chapter explore the **operational carbon emissions of WLDC**. These include a mix of direct and indirect emissions associated with the council's direct operations and use of their own buildings and assets, i.e:

- **Scope 1:** Gas (primarily for heating buildings and water), other fuels (LPG), and vehicle fuel consumption across the Council's own fleet;
- **Scope 2:** Electricity consumption within WLDC buildings and across council owned car parks (streetlighting);
- **Scope 3:** Waste, water supply & treatment (arising from WLDC operated buildings), business travel and commuting.

Operational emissions across WLDC total 1,588 tCO₂e (45% of the total footprint). Fleet and electricity consumption are the two largest sources of emissions. Operational emissions across the council can be categorised into two main sources: **Building Services and Transport emissions**. 75% of emissions are associated with activities relating to transport, including the operation and use of the council's fleet vehicles, employee commuting and business travel.



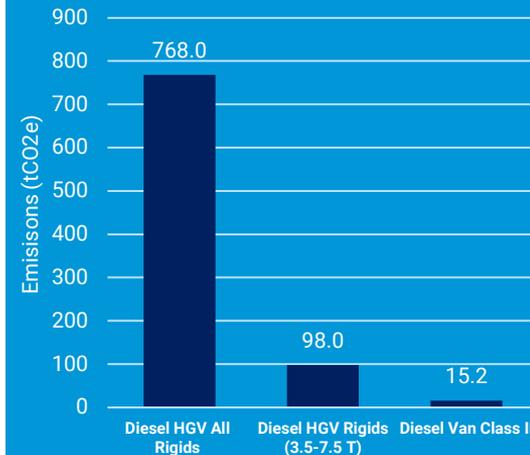
Breakdown of WLDC operational emissions by source



Footprint in detail: Transport emissions

The council own and operate a large fleet of vehicles, all of which are diesel powered. **Emissions from council-owned fleet vehicles account for 26% of the overall carbon footprint, the largest operational source of emissions.**

- The majority of emissions from fleet vehicles are associated with the use of Heavy Goods Vehicles (HGVs) across the council. HGVs of all sizes account for 98% of total emissions from fleet vehicles.
- The common decarbonisation pathway for fleet vehicles is the adoption of low carbon alternatives. The share of low carbon vehicles across the Council's fleet will therefore have to grow in order to achieve decarbonisation targets.



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Emissions associated with business travel and employee commuting total 281 tCO₂e, accounting for 8% of the council's overall footprint.

Business Travel

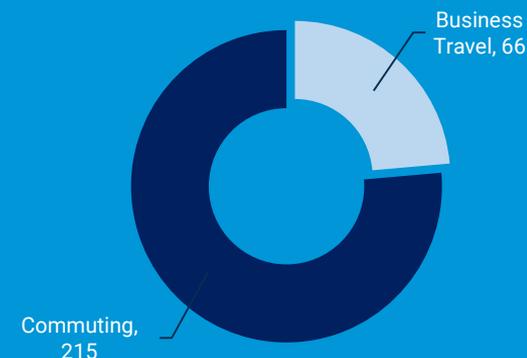
- Includes the emissions associated with vehicles not directly operated by the council, but used to perform council business (i.e. use of employee vehicles during business hours)
- An overall mileage of 179,464.9 was provided and used to calculate emissions for business travel.

Employee Commuting

- Emissions associated with vehicles not directly operated by the council, but used by employee to travel to and from a place of work (i.e. use of employee vehicles outside of business hours).
- A number of assumptions have been used to calculate commuting mileage in the absence of first-hand data. A representative sample of 139 employees was used and average commuting distance calculated to obtain commuting mileages (See Footprint Report).



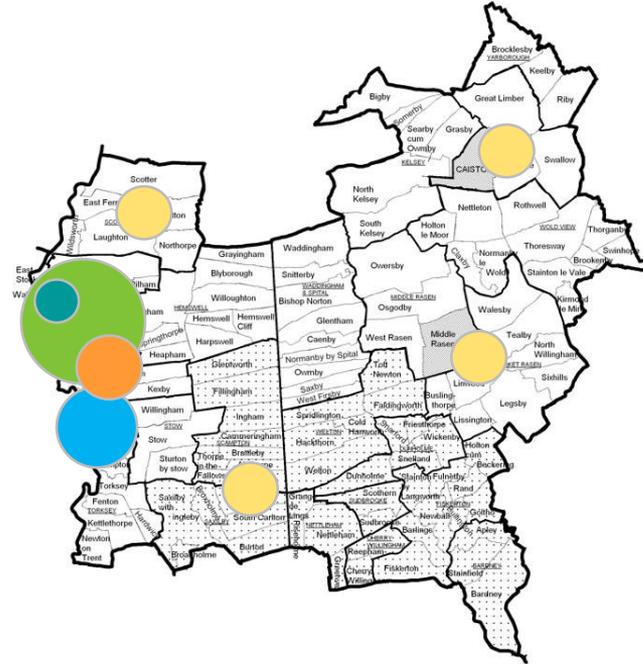
Emissions (tCO₂e)



Footprint in detail: Building Services emissions



The majority of carbon emissions from WLDC operated buildings and sites are associated with the Council's main office building, **Guildhall Marshalls Yard**, which accounts for **39% of total gas and electricity emissions across council operated sites**. Emissions from streetlighting across council operated car parks are also included in the council's carbon footprint measurement, accounting for 24% of total emissions across council operated sites.



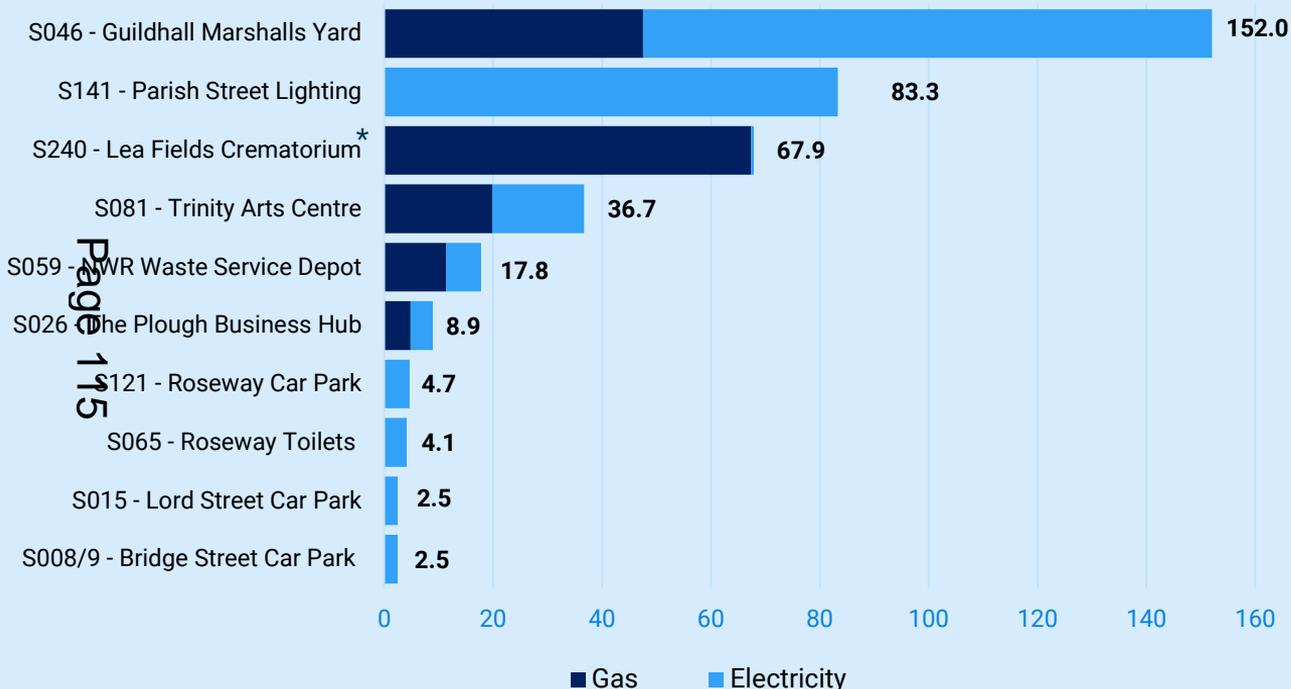
Building/Site*	Total tCO ₂ e
Guildhall Marshalls Yard	152
Parish Street Lighting	83.3
Lea Fields Crematorium	67.9
Trinity Arts Centre	36.7
NWR Waste Service Depot	17.8

* Only the top 5 buildings/sites are shown, ordered by total emissions



Footprint in detail: Building services emissions

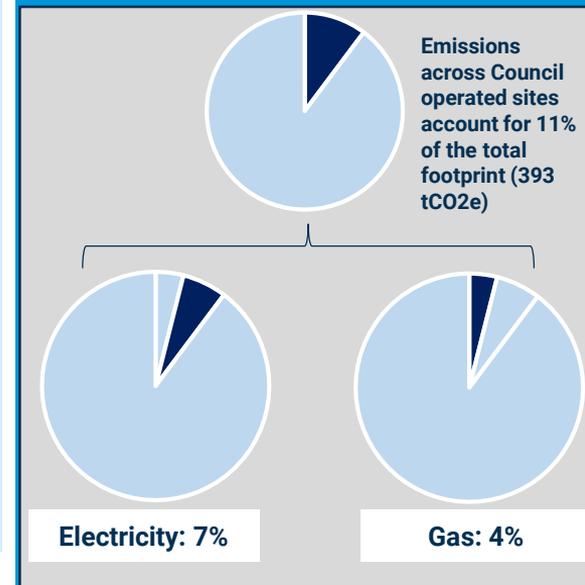
Emissions (tCO₂e)



* Emissions from the Lea Fields Crematorium site are as a result of Liquid Petroleum Gas (LPG) consumption

Analysis of emissions

- Only the top 10 buildings/sites are shown
- Total emissions from electricity and gas consumption across all council operated sites are **393 tCO₂e**, accounting for approximately 11% of the council's overall carbon footprint.





Footprint in Detail: Leased Buildings and Leisure Centres

Emissions (tCO₂e)



Leased Buildings

- For this iteration of the Council's footprint, the majority of emissions from leased buildings have been calculated using CIBSE benchmarks, taking into account overall floor area. Where available, actual consumption data has been used to calculate a buildings emissions e.g. Gainsborough Leisure Centre.
- Energy consumption (gas & electricity) in buildings owned by the Council and leased to a 3rd party operator accounts for approximately **55% of the Council's total carbon footprint (1339 tCO₂e)**.
- The council has 32 buildings that they own and lease out to a third party operator. Only the top 10 highest emitting sites are shown.
- WLDC owns the Gainsborough and Market Rasen leisure centres but leases both these sites to a third-party operator who is in charge of operations across the centres. **Both these sites account for 16% of the overall carbon footprint.**
- The Council acknowledges the fundamental role that both leisure centre facilities have on council operations. The decision has been made to include both facilities in the Council's Net Zero target for carbon reduction moving forward (see Slide 17).

3. Net Zero target

A note on the net zero target boundary

West Lindsey District Council's total measured carbon footprint for the 2019/20 financial year is **3,428 tonnes of CO2 equivalent (tCO2e)**. Full details of this can be found in the WLDC Footprint Report.

WLDC has set a carbon reduction target of achieving net zero emissions across their own operations by 2050.

This target covers those emissions sources that are under the operational control of the Council, as well as emissions associated with the provision of services to the community, Leisure Centres (which are currently operated by third parties on behalf of the Council). A full list of the emissions sources covered by the Council's net zero target is shown in the table opposite.

A decision has been made to exclude all other leased buildings from the Council's net zero target. The Council acknowledges the importance of reducing emissions across these sites, and will work closely with building operators in order to improve overall understanding of emissions across these buildings, however, in the short term WLDC's Action Plan will focus on reducing emissions from the sources opposite.



Below: WLDC Net Zero Target Boundary

WLDC Net Zero Target Boundary

- | | |
|---------|---|
| Scope 1 | <ul style="list-style-type: none"> Natural gas Other fuels (LPG) Fleet vehicles |
| Scope 2 | <ul style="list-style-type: none"> Purchased electricity |
| Scope 3 | <ul style="list-style-type: none"> Water Waste Business travel Employee commuting Emissions from the council's leisure centres (Gainsborough and Market Rasen) |

Excluded scope 3 emissions (to be considered for future inclusion in the net zero target boundary):

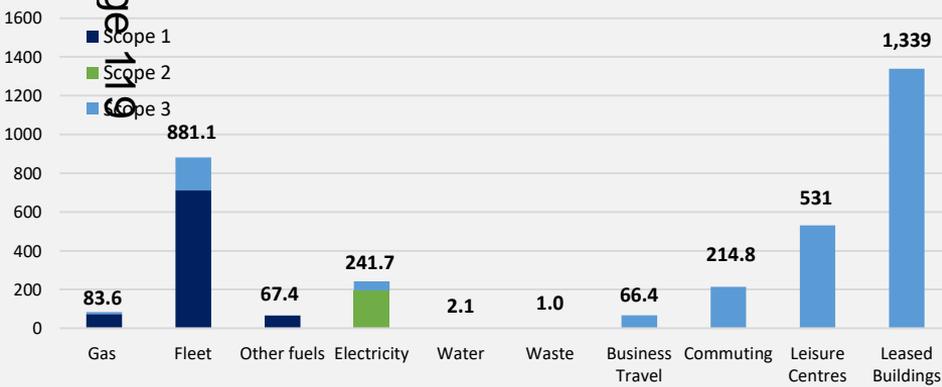
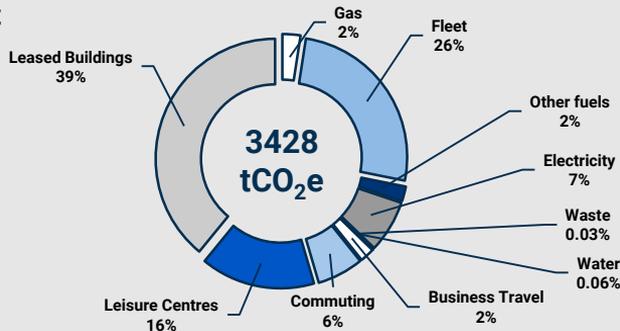
- Leased buildings (excluding leisure centres)
- Capital goods
- Procured goods and services
- Investments

Measured Footprint vs Targeted Footprint

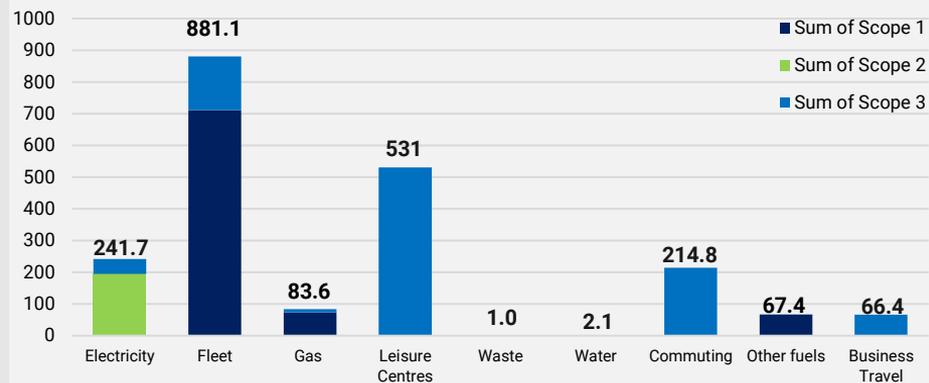
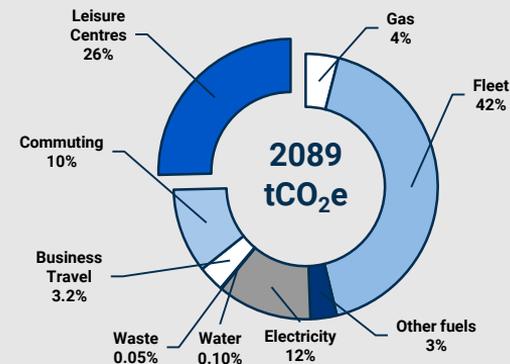
Total measured footprint



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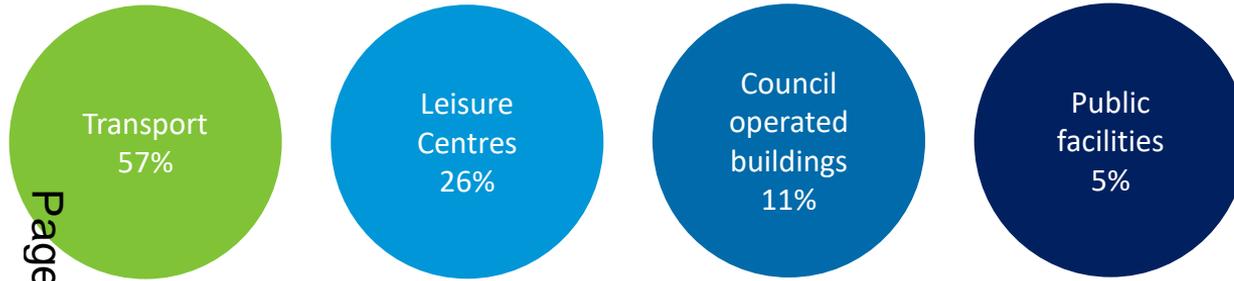
Targeted footprint



4. Carbon reduction opportunities

Introduction to project identification

The Carbon Trust has performed desk-based analysis to identify decarbonisation initiatives across the targeted footprint. This analysis focused on 4 emissions 'hotspots' which when combined are responsible for approximately 99% of the targeted footprint:



A data collection phase was initiated for each emissions hotspot. The project identification was based on the data received, primarily a fleet inventory, site audit data collection forms, streetlighting inventories, footprint data, and interviews with key stakeholders. The expected carbon savings and costs of the initiatives (where these could be reasonably estimated) are presented in the following pages. Recommendations in the report cover:

-  Transport policy
-  Monitoring & reporting
-  HVAC plant
-  Driver training
-  Carbon accounting
-  Solar PV
-  Fleet electrification
-  General energy management
-  LED streetlighting



Between now and 2030, the carbon intensity of the UK's national grid is expected to reduce by 64%.

The carbon intensity of the UK's electricity supply is reducing as renewable generation (e.g. wind, solar) is replacing traditional fossil fuels (e.g. coal, natural gas). Many of the recommendations made in this report focus on the 'electrification' of conventional fuel sources so that this greener electricity can be utilised by the Council.

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Recommendations summary

The anticipated financial requirement for each of the recommendations was estimated, including capital costs (CAPEX), annual savings, and cost of carbon abated, wherever data was available to calculate this. **IMPORTANT NOTE:** The costs, technologies and emissions provided in this report are estimates and the order (CAPEX / tCO₂e) may be subject to change when actual quotes are received from contractors as individual technologies mature and projects progress. All suggestions are subject to further feasibility/design studies and procurement processes.

The results show that the environmental and business case for many of the technologies are conflicting. This demonstrates the need for WLDC to:

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- Actively include environmental considerations and weighting in procurement decisions
- Avoid siloing individual projects and take an estate-wide view to optimise the distribution of technologies across the estate
- Retain an active view of the market (e.g. cost reductions, government support) and be prepared to engage with specialised market instruments to improve the financial viability of marginal business cases (e.g. specialised tariffs)

Some recommendations will require significant capital investment and will be subject to suitable technologies becoming available on the market, e.g. waste fleet electrification, space heating electrification. These recommendations are likely to be viewed by WLDC as longer term opportunities/investments, some of which may not be practically implementable immediately, i.e. not within the next 1-3 years, however, at the same time will contribute significantly to decarbonisation of the Council's operations. Electrification of vehicle fleet and space heating systems recommendations assume that electricity is procured on renewable electricity tariffs until the UK electricity grid mix fully decarbonises.



Recommendations summary

Emissions hotspot	Project	CAPEX [GBP]	Annual savings [GBP]	Simple payback [yrs]	Annual savings [tCO ₂ e]	CAPEX/tCO ₂ e
Transport	Review all travel related policies and ensure alignment with decarbonisation ambitions	Internal costs only	0	Instant	21.09	0
Transport	Incorporate fuel efficient driving into driver training and refresher courses	8,000	10,800	0.8	26.43	303
Transport	Replacement of manager vans with electric vehicles	12,000	3,900	3.1	15.17	791
Transport	Waste and Street Cleansing fleet electrification	6,264,000	17,300	362.5	865.93	7,234
Leisure Centres	Require third-party operators to implement a formal energy management system, e.g. ISO 50001	Internal costs only	0	Instant	26.54	0
Leisure Centres	Implement requirement for third-party operators to report energy/carbon performance of buildings, at least annually	Internal costs only	0	Instant	10.61	0
Leisure Centres	Compile plant and equipment inventory and work with site operators to implement a replacement schedule based on life cycle analysis	Internal costs only	0	Instant	39.46	0
Leisure Centres	Solar PV at Market Rasen Leisure Centre	18,000	1,912	9.4	5.03	3,576
Council Buildings	Implement a formal energy management system to cover all major energy consuming sites	Internal costs only	1,900	Instant	6.87	0
Council Buildings	Compile HVAC plant inventory and implement a replacement schedule based on life cycle analysis	Internal costs only	2,200	Instant	11.08	0
Council Buildings	Electrification of space heating	TBC	TBC	TBC	83.64	TBC
Public Facilities	LED streetlighting	155,900	20,800	7.5	54.82	2,843

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Carbon Reduction Pathway

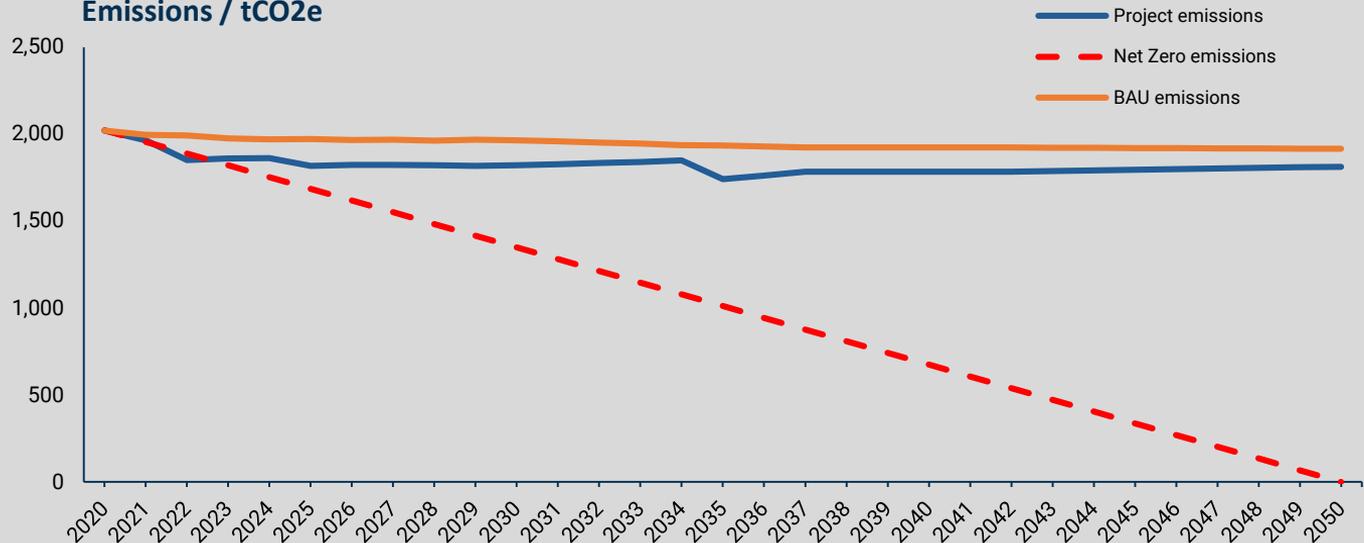
- In a do-nothing scenario, WLDC’s footprint is expected to decrease as a result of the decarbonisation of the national grid. Taking into account those emissions sources included under the council’s net zero target, projected Business as Usual (BAU) emissions fall to **1915 tCO2e** by 2050.
- In addition to a BAU scenario, a project emissions scenario* has also been modelled, taking into account the projected levels of carbon reduction associated with the recommendations provided across the WLDC estate** (see previous slide). Based on potential recommendations and decarbonisation of the national grid, the council’s footprint in 2050 could be reduced to **1811 tCO2e**, from a baseline of **2089 tCO2e**.
- Under the project emissions scenario, WLDC will still have a gap to target of **1811 tCO2e**. Under this scenario, greenhouse gas removals (e.g. forestation) would therefore be required to reduce residual emissions in order for the council to achieve net zero emissions by 2050.

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* See appendices for further explanation of the modelled scenarios shown.

** The project emissions scenario shown does not include the modelled carbon reduction associated with the electrification of the council’s fleet of waste vehicles (866 tCO2e). Additional technical information on alternative fleets (i.e. electric waste vehicles) is required in order to develop a robust pathway projection. Due to the fact that electric waste vehicles are still considered an emerging technology, there is currently a shortage of data which covers the technical specifications of selected vehicles.

Emissions / tCO2e



Travel related policies

Summary Recommendation. It is recommended that a review of all travel related policies be carried out to ensure alignment with current carbon reduction targets.

Introduction. The emissions associated with transport (including operation of the Council's vehicle fleet, staff commuting and business travel) currently total 1,162 tCO₂e, or 34% of the Council's footprint. During the transport audit it was noted that some transport related policies may no longer be aligned to WLDC's increasingly ambitious carbon reduction targets, e.g. vehicle procurement, staff travel, remote working.

Project identification. The following are examples of areas of policy guidance that could be updated to encourage a reduction in transport associated emissions:

- Ensure that the Council's procurement policies and processes reflect its ambition to decarbonise its vehicle fleet, e.g. by setting requirements for new vehicles to have electric motors, or be the most fuel-efficient model available, ensuring EV charging infrastructure is installed as standard at new-build sites.
- Providing all staff with the option of working remotely on an ongoing basis, where appropriate, to reduce commuting mileage.
- The use of video-conferencing tools could be promoted to cut down on travel to face to face meetings.
- Car sharing and encouragement of the use of active and public transport where possible should also be investigated.



Fuel efficient driver training

Summary Recommendations. Driving style has a big impact on all fleet fuel efficiency and driver training can reduce fuel consumption and emissions, as well as maintenance costs and risks of accidents. Typically training can save around 5-10%. Sustaining these savings over the longer term is challenging, so we have assumed that all drivers of fleet vehicles attend the training twice between 2021 and 2030. We have estimated that WLDC could achieve a 3% reduction in fleet emissions by ensuring that all drivers attend driver training.

Introduction. Fuel consumption of the Council's vehicle fleet accounts for 42% of the targeted footprint. While in the longer term it is anticipated that most (if not all) vehicles will be replaced by electric vehicles, ensuring that all drivers receive fuel efficient driver training will help to reduce this footprint the short term by encouraging drivers to improve fuel performance.

State of play. WLDC currently operate a fleet of over 30 diesel engine vehicles, which are a mix of refuse collection vehicles (rigid HGVs) and medium sized vans. A range of fuel efficiency technologies are fitted to the waste fleet, including: vehicle telemetry systems, soft pedals and electric bin lifts. Annual 'round reviews' are carried out to identify any potential to reduce waste fleet mileages, however, as the district grows it is anticipated that mileages will increase overall. All drivers are required to attend initial and refresher driver training courses at least annually, however, fuel efficient driving is not currently covered. This could be integrated into the training sessions to promote best practice amongst drivers. Driver league tables could also be used to promote healthy competition and actively engage drivers in WLDC's efforts to decarbonise its operations.

Fuel efficient driver training

All drivers of fleet vehicles attend the training twice between 2021 and 2030

- 26.43 tCO₂e/year saving
- 8,231 litres/year diesel saving
- £10,372/year fuel cost saving



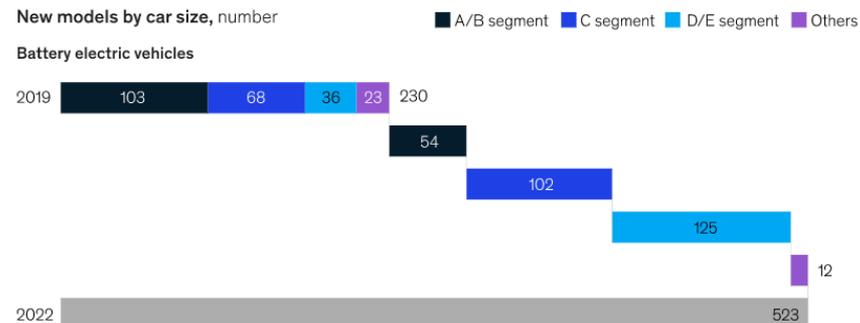
Fleet electrification

Summary Recommendations. Significant fuel-switching of the fleet is required for the Council to achieve their decarbonisation ambitions. The Council should commit to a phased fuel-switching of the fleet, accounting for vehicle type and use. The supporting infrastructure requirement is the largest constraint to electric vehicle (EV) deployment and the Council should, as a priority a) ratify internal support for infrastructure roll-out, b) understand the financial and technical requirements accounting for local constraints, c) explore potential funding avenues, and d) seek collaborative partnerships.

Introduction. Fuel consumption of the Council's fleet accounts for 42% of the baseline footprint. As with gas, the emission factors associated with liquid fossil fuels will not decrease significantly between now and 2030 and fuel-switching will be required to achieve meaningful reductions in emissions. However, the provision of a reliable, efficient and available waste and street cleansing fleet is central to the Council's function and cannot be compromised in any decarbonisation strategy.

State of play. WLDC currently operate a fleet of over 30 vehicles, which are a mix of refuse collection vehicles (rigid HGVs) and medium sized vans. All vehicles have diesel engines. Uptake and use of EVs within the Council has been low, predominately due to their limited range and lack of understanding amongst users. However, EV technology has improved drastically in recent years and the market is becoming far more saturated and competitive as mainstream manufacturers begin to offer electric ranges. This is expected to continue, and McKinsey estimate that 523 new electric vehicle models will be launched between 2019 – 2022 across a variety of vehicle sizes.

Despite the growing market, the current capital costs of specialised electric waste fleet vehicles are prohibitively expensive. It is therefore recommended that the Council focus initially on the electrification of manager vans where there is a far more established market for low-to-zero emission vehicles. Government grants are available for the procurement of electric vans.



Above: the global EV market is undergoing a period of rapid growth

Source: McKinsey, Electric Vehicle Index 2020

Fleet electrification

Project identification. The Council operate a small fleet of 6 manager vans which are appropriate to be considered for immediate electrification. For each vehicle a suitable electric vehicle (EV) model was identified and life cycle costs were compared with a similar internal combustion engine (ICE) model. Similarly, replacement of the 27 waste fleet HGVs with new-to-market electric refuse collection vehicles was modelled. Key findings include:

- At the point-of-use the **business case for replacing manager vans with EVs is favourable** over their lifetime compared to ICE equivalents.
- Due to capital cost there is currently no business case for replacing the waste fleet with EVs. However, these vehicles account for ~270,000 L of annual fuel consumption (98% of the Council's total), therefore, **in order to materially reduce the Council's footprint the waste fleet will need to decarbonise.**
- Full fleet electrification could result in annual emission reductions of **881 tCO₂e, 43% of the targeted footprint.**

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Manager van electrification

Replacement of 6 diesel engine fleet vehicles with equivalent EVs

- 15.17 tCO₂e/year saving
- £12k estimated marginal capital cost vs ICE procurement (BAU)
- £3,850/year cost saving (difference between EV and current vehicle running costs)
- £791/tCO₂e saved

Waste fleet electrification

Replacement of 27 diesel-fuelled HGVs with e-HGVs

- 865.93 tCO₂e/year saving
- £6.2m estimated marginal capital cost vs ICE procurement (BAU)
- £17,280/year cost saving (difference between EV and current vehicle running costs)
- £7,234/tCO₂e saved

N.B.

- These calculations assume that EV's are operated according to manufacturer's specifications.
- It is currently unclear whether electric or hydrogen fuel cell waste collection vehicles (or both) will become established as the market standard, with neither solution being widely available yet. WLDC are encouraged to conduct further feasibility studies when alternatives for waste fleet vehicles are further developed.

Electric vehicle infrastructure

The business and environmental case for electric vans at the point-of-use is convincing. The Council should prioritise securing access to a robust and available charging network to facilitate the roll-out of electric vehicles. Detailed technical and economic analysis of infrastructure requirements is outside of the scope of this assessment, however it is recommended that the Council:

Understand the financial and technical requirements accounting for local constraints

Charging infrastructure costs vary significantly based on the number, wattage and specification of chargers required. Higher wattage charge-points are more expensive but required if vehicles need to charge rapidly over shorter periods of time, whereas more lower-wattage charge-points could be installed if it's feasible for EVs to charge over longer periods. The specification for any given-wattage varies too; the cost of a basic 7.4 kW charger (common for van charging) could be as low as £300 but rise to over £1,200 if smart-charging is incorporated. Civil and engineering costs have to be taken into account, which are heavily influenced by site conditions (e.g. length of any trenchwork, ground conditions); assessments in some areas of the UK estimate the installation cost of a 7kW charger at £5,000 with the caveat that these can vary significantly. Once the charging requirement is estimated, a site survey should be conducted to determine the available grid capacity at the site. Depending on local network capacity, grid upgrades may be required that will carry significant additional cost.

Explore potential funding avenues

Recognising the potential costs of EV infrastructure, grant schemes and innovative financing mechanisms exist that can support infrastructure deployment. The UK Government operates a workplace charging scheme, offering a grant contribution of £500 per socket for charge points installed at the workplace. Depending on ownership model preferences, various levels of private-sector involvement can also be sought to minimise the upfront financial requirement.

Seek collaborative partnerships and engage with support schemes

Local and national-level initiatives exist that can help the Council develop a network of usable infrastructure. ESPO Vehicle Charging Infrastructure and CCS Vehicle Charging Infrastructure Solutions are two national frameworks that can support Central Purchasing Bodies in the procurement and installation of infrastructure. The Energy Savings Trust offer free fleet strategic assessment the UK that can assist with initial strategic and technology advice. Currently, Flexible Power Systems Ltd. is also offering free fleet strategy assessments for vans that are monitored with telematics or a job management system as part of an Innovate UK funded project.

Leisure Centres: energy management

Summary Recommendations. Significant reductions in Leisure Centre energy consumption will be required for the Council to achieve their decarbonisation ambitions. Adoption of an energy management system, such as the ISO 50001 standard, at these sites will help energy performance improvement via the development and use of an energy management system (EnMS) based on a model of continual improvement.

Introduction. Energy consumption of the Gainsborough and Market Rasen Leisure Centres accounts for **approximately 15% of the targeted footprint**. As the Council do not have operational control over these assets and their associated emissions they will need to work closely with third party operators to implement energy management systems and reduce the carbon footprint of the buildings.

Steps of play. Audits of leased buildings highlighted that no formal energy or environmental management systems have been put in place by building operators. This is of particular concern at the high energy consuming leisure and fitness centres, which account for 28% of the leased building footprint. It is recommended as a first step that WLDC work with the operators of Gainsborough and Market Rasen Leisure Centres (the two sites included in the targeted footprint) to implement formal energy management systems at each site. It is expected that, given their significant energy consumption, improving the management systems at these sites will result in significant carbon footprint reductions. By managing energy as a controllable resource it is conservatively estimated that a 5% reduction in gas and electricity consumption could be achieved at both Gainsborough and Market Rasen Leisure Centres, this is equivalent to a **26.54 tCO₂e/year saving**.



Above: the ISO 50001 'plan, do, check, act' model

Implement energy management systems

Require third-party leisure centre operators at Gainsborough and Market Rasen to implement a formal energy management system

- 26.54 tCO₂e/year saving
- 119,507 kWh/year energy saving
- £5,795/year cost saving (to building operators)

Leisure Centres: performance monitoring

Summary Recommendations. Significant reductions in Leisure Centre energy consumption will be required for the Council to achieve their decarbonisation ambitions. Implementing basic energy performance monitoring at these sites will enable the Council to understand the energy consumption and review performance against its carbon reduction targets, without the need for estimation. Through improved awareness of the energy performance of these sites the Council will be able to better understand the potential to improve it.

Introduction. Energy consumption of the Gainsborough and Market Rasen Leisure Centres accounts for approximately **26% of the targeted footprint**. As the Council do not have operational control over these assets and their associated emissions they will need to work closely with third party operators to monitor the energy consumption of these sites and reduce the carbon footprint of the buildings.

State of play. There is currently no requirement for third party operators to share energy consumption/carbon performance data with the Council. As stated in the footprint report, this means that the majority of WLDC's scope 3 footprint has been estimated using building energy consumption benchmarks. This lack of data visibility means the Council cannot monitor the energy consumption of these buildings, which account for the majority of its carbon footprint. By requiring building operators to annually report energy and carbon performance WLDC will be able to monitor and review the footprint of leased buildings against its carbon reduction targets. As a first step it is recommended that the Council ask the operators of the Gainsborough and Market Rasen Leisure Centres to report annually on site energy consumption. This data can then be fed into the Council's annual footprint calculation compared against previous years. It is conservatively estimated that monitoring of the Council's Gainsborough and Market Rasen Leisure Centre footprints will result in a 2% reduction in gas and electricity consumption, equivalent to a **10.61 tCO₂e/year saving**.

Annual reporting of building energy performance

Require third-party leisure centre operators at Gainsborough and Market Rasen to report energy consumption annually

- 10.61 tCO₂e/year saving
- 47,803 kWh/year energy saving
- £2,318/year cost saving (to building operators)



Leisure Centres: energy efficiency improvements

Summary Recommendations. Heating, ventilation and air conditioning (HVAC) systems typically account for the majority of energy consumption and associated emissions at Leisure Centres, therefore, there are often significant savings to be achieved from refurbishing or upgrading these systems. It is recommended that the Council, along with third party operators, compile an inventory of HVAC plant at the Gainsborough and Market Rasen Leisure Centres and develop a replacement schedule based on a life cycle analysis' of each replacement option.

State of play. It is understood that a mix of gas-fired and electrical HVAC systems are in place at both Leisure Centres, however, details of these were not readily available during the remote audits. By compiling an inventory of this plant the Council will be able to assess the replacement options for each item of plant and when it would be economically feasible to replace. A life cycle analysis of all options should be carried out to assess the lifetime cost and carbon impact of each.

As a general rule, the installation of heat pumps should be considered for every heating system requiring replacement and installed as standard in new builds. Heat pumps are not a like-for-like replacement with gas boilers or conventional electric heating and improved energy efficiency in buildings is a pre-requisite for heat pump retrofit. Whilst not practically suitable for all applications, the electrification of heat will be required for the Council to achieve their decarbonisation targets.

It is conservatively estimated that moderate upgrades to HVAC plant at Gainsborough and Market Rasen Leisure Centre will result in a 10% reduction in gas and electricity consumption, equivalent to a **39.46 tCO₂e/year saving**.



HVAC plant upgrades

Compile plant inventory for Gainsborough and Market Rasen Leisure Centres and develop replacement schedule based on life cycle analysis

- 39.46 tCO₂e/year saving
- 189,918 kWh/year energy saving
- £5,698/year cost saving (to building operators)

Leisure Centres: solar photovoltaic (PV)

Summary Recommendations. Solar PV is the most affordable method of producing on-site renewable electricity. In the absence of feed-in-tariffs, solar PV should be prioritised where on-site usage can be maximised. Emission reductions relative to the National Grid will decrease out to 2030 and solar will increasingly be viewed from a financial standpoint, rather than one that achieves significant emissions reductions across the estate.

Introduction. Solar PV is a modular, scalable technology that allows for renewable electricity to be produced at source. Cost reductions over the past decade have made it an increasingly-attractive technology and resulted in its accelerated roll-out at both utility and small-scale.

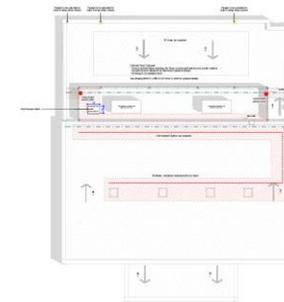
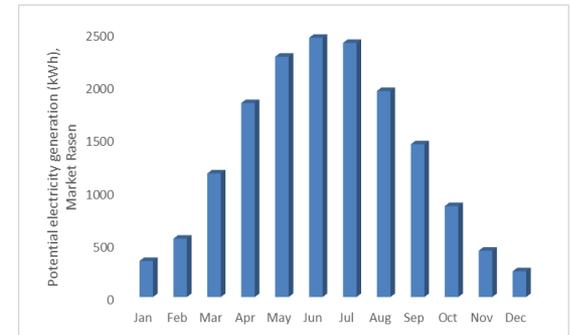
State of play. 49kWp of solar PV was installed on the roof of Gainsborough Leisure Centre in 2012, for which the Council receives Feed in Tariff payments. It is understood no solar PV was installed on the recently built Market Rasen Leisure Centre – although this is referenced in the plans. The market in the UK is now well established and there are plentiful providers of solar PV and related services. However, UK government support for small-scale projects has been significantly curtailed and any new project will be subject to market prices.

Project identification. MCS calculations were used to model retrofitting a rooftop solar PV array at Market Rasen. Key findings include:

- Around **20 kWp** of solar PV could be feasibly installed, generating 15,930 kWh per annum
- This represents a **5.03 tCO₂e** emission saving using 2019 emission factors
- The financial case for solar PV is significantly improved when more solar PV is consumed on site (displacing grid electricity at 12 p/kWh) as opposed to exporting to the grid (5 p/kWh)

Emission reduction

The avoided emissions of solar installations will decrease out to 2030 as the national grid decarbonises and the variance between local, zero-carbon generation and national generation decreases.



Above: Modelled generation profile of a 20kWp solar PV array at Market Rasen Leisure Centre. **Left:** Roof Plan of Market Rasen Leisure Centre.

Council Buildings: energy management

Summary Recommendations. Reductions in energy consumption across the Council's buildings estate will be required for WLDC to achieve their decarbonisation ambitions. Adoption of an energy management system, such as the ISO 50001 standard, across these sites will help energy performance improvement via the development and use of an energy management system (EnMS) based on a model of continual improvement.

Introduction. Energy consumption of Council-operated buildings accounts for **approximately 11% of the targeted footprint**. While this footprint is less material than that of the Council's vehicle fleet or leisure centres it is likely that this will still need to be reduced in order for the Council to achieve its decarbonisation targets.

State of play. While a number of energy efficiency improvements have been implemented across the Council's built estate, remote audits of these buildings highlighted that no formal energy or environmental management systems are in place. The lack of a coordinated plan to reduce the footprint of Council buildings means that some carbon reduction opportunities may have been missed, particularly behavioural and operational measures. Therefore, it is recommended that the Council implement formal energy management systems to cover all Council-operated sites. By managing energy as a controllable resource it is conservatively estimated that a 3% reduction in gas and electricity consumption could be achieved across Council buildings, this is equivalent to a **6.87 tCO₂e/year saving**.



Implement energy management systems

Implement a formal energy management system to cover all Council-operated sites

- 6.87 tCO₂e/year saving
- 24,888 kWh/year energy saving
- £1,910/year cost saving

Council Buildings: energy efficiency improvements

Summary Recommendations. Similar to the Leisure Centres, Heating, ventilation and air conditioning (HVAC) systems are expected to account for the majority of energy consumption and associated emissions at Council-operated buildings, therefore, again, there are often significant savings to be achieved from refurbishing or upgrading these systems. It is therefore recommended that the Council also compile an inventory of HVAC plant across Council-operated buildings and develop a replacement schedule based on a life cycle analysis' of each replacement option.

Introduction. Energy consumption of Council-operated buildings accounts for **approximately 11% of the targeted footprint**. While this footprint is less material than that of the Council's vehicle fleet or leisure centres it is likely that this will still need to be reduced in order for the Council to achieve its decarbonisation targets.

State of play. A mix of gas-fired and electrical HVAC systems are in place across the Council-operated buildings, however, a detailed list of these assets does not currently exist. By compiling an inventory of this plant the Council will be able to assess the replacement options for each item of plant and when it would be economically feasible to replace. A life cycle analysis of all options should be carried out to assess the lifetime cost and carbon impact of each.

As a general rule, the installation of heat pumps should be considered for every heating system requiring replacement and installed as standard in new builds. Heat pumps are not a like-for-like replacement with gas boilers or conventional electric heating and improved energy efficiency in buildings is a pre-requisite for heat pump retrofit. Whilst not practically suitable for all applications, the electrification of heat will be required for the Council to achieve their decarbonisation targets.

It is conservatively estimated that moderate upgrades to HVAC plant across Council buildings will result in a 10% reduction in gas and electricity consumption, equivalent to a **11.08 tCO₂e/year saving**.



HVAC plant upgrades

Compile plant inventory for Council-operated buildings and develop replacement schedule based on life cycle analysis

- 11.08 tCO₂e/year saving
- 82,962 kWh/year energy saving
- £2,233/year cost saving

Heat hierarchy

Gas consumption for space and water heating in buildings (including leisure centres) accounts for approximately 24% of WLDC's targeted footprint. Compared to electricity, the emission factor for gas usage is less sensitive to policy and technology changes and is expected to remain relatively constant between now and 2030. In order to achieve their decarbonisation targets, the Council will therefore have to proactively target a significant reduction in gas use across the estate.

The challenge of heat decarbonisation is multifaceted and there is no one-size-fits-all solution that can be implemented across the estate. However, we recommend that any approach to heat decarbonisation should consider the heat hierarchy outlined below. The hierarchy has four key stages, which should be addressed in chronological order:

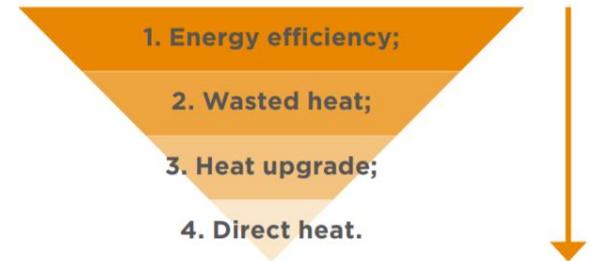
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Energy efficiency. Reduce the heating demand of the building by improving its thermal performance through fabric upgrades (e.g. insulation, draught proofing). As the initial step, this is referred to as a fabric-first approach and should be maximised for each building within the bounds of reasonable viability (i.e. respecting technical and financial constraints) regardless of the heat source.

Wasted heat. Utilise any heat that is already being produced in other processes but wasted.

- **Heat upgrade (i.e. heat pumps).** 'Upgrading' heat refers to the process of raising a low-temperature heat source to a higher temperature that can be utilised in heating system. This process requires an energy input (e.g. electricity) and is the function of heat pumps.
- **Direct heat.** This is where energy is directly inputted for the *creation* of heat (e.g. fuel into a boiler). This should be restricted to when wasted heat is not available, or the use of a heat pump is not technically or financially feasible.

A decarbonised WLDC will likely involve a combination of the above measures in varying proportions. The appropriateness of each option needs to be assessed in the context of the fabric and efficiency of each building to ensure that the space is adequately heated. Due to the remote nature of the assessment, the Council should look to consolidate this work with further site specific investigations, using the heat hierarchy as a foundation.



Above: the heat hierarchy

Source: ADE, *A framework for net-zero for new and existing buildings.*

Applying the heat hierarchy and moving to low carbon heat

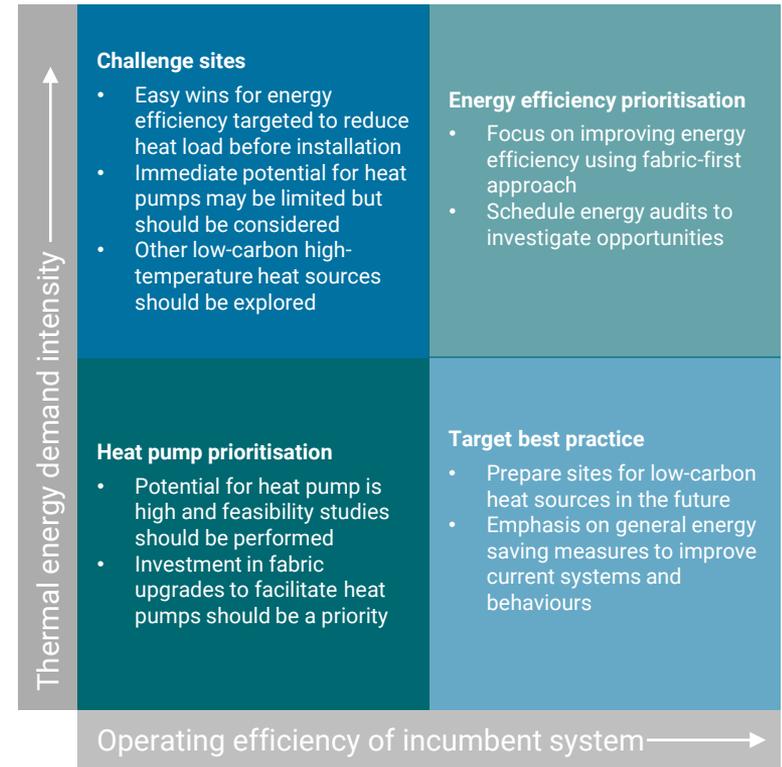
A broad approach to applying the heat hierarchy should be understood and established. However, it should be recognised that site specific conditions will ultimately determine which technologies and interventions are both appropriate and financially viable.

Technology Replacement Mapping. As a good first step, mapping the expected heating technology replacement timeline and the operation efficiency of current systems will help prioritise sites for energy audits and heat pump assessment. This mapping should be updated regularly; any heating system that comes up for renewal should have an assessment performed that considers alternative heating technologies including heat pumps – as set out in previous recommendations.

The approach will vary site-by-site. The matrix to the right explores likely actions depending on the thermal energy demand intensity of the site and the immediacy of heating technology replacement. This matrix is only a start, each site is unique in practice, and the approach will be different site-by-site. Low carbon heating will be technically feasible for every site, but some sites will be financial prohibitive due to the amount of retrofit required to achieve the required levels of thermal performance.

Top tips for low carbon heating:

- Understanding flow temperature is important. Lower flow temperatures are more compatible with the efficient operation of heat pumps, and heat pump business cases become favourable when temperatures are <45°C.
- Flow temperatures are a function of the building's thermal retention and area of heat emitters (e.g. radiators). A building with high heat retention and large heat emitters is a prime candidate for installation of a heat pump.

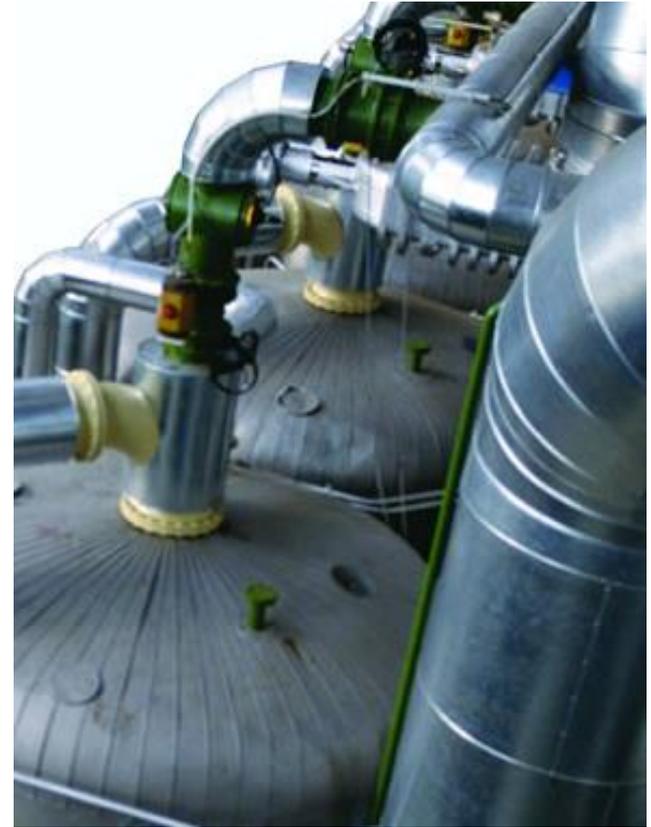


Boiler upgrades

In accordance with the heat hierarchy, alternative heat sources are preferred solution over boiler upgrades. However, it is recognised that technical and/or financial constraints may limit the feasibility of these alternative sources (e.g. heat pumps). When this is the case, boiler upgrades can contribute to decarbonisation through efficiency gains while also making sure that the building is heated properly.

Introduction. Though gas-fired boilers are carbon intensive, they provide flexibility in heating several building archetypes and often present attractive business case relative to low-carbon alternatives. This has resulted in gas boilers being the preferred heating mechanism in the UK, with 1.67 million gas boilers sold in 2019. Technology advances and stricter government legislation has led to advances in boiler design that has increased the efficiency of new boilers to over 90% when properly applied.

State of play. It is understood that most sites (Council-operated and leisure centres) have gas-fired boilers connected to central heating with radiators. At Gainsborough Leisure Centre gas-fired boilers also provide pool heating. Replacement gas boilers will present a strong financing case as current boilers approach end of life. However, the emission savings associated with their widespread replacement is not compatible with the Council's decarbonisation ambitions, particularly for leisure centres. Emission savings can be realised through increased efficiencies and the reduction in gas consumption for a given heat load. However, their relative carbon intensity means that the Council should only pursue like-for-like replacement when the financial or technical constraints for low-carbon technologies are overwhelming.



Heat pumps

The installation of heat pumps should be considered for every heating system requiring replacement and installed as standard in new builds. Heat pumps are not a like-for-like replacement with gas boilers or conventional electric heating and improved energy efficiency in buildings is a pre-requisite for heat pump retrofit. Whilst not practically suitable for all applications, the electrification of heat at some sites will be required for the Council to achieve their decarbonisation targets.

Introduction. Heat pumps are a highly efficient form of electric heating; as such they save ~60-70% of emissions compared to conventional electric heating and have lower running costs. Compared to an A-rated gas boiler, heat pumps save ~55-65% of CO₂. Heat pumps perform optimally at lower temperatures than conventional heating systems and require a thermally efficient site to operate effectively.

State of play. Currently, it is understood there are no heat pumps installed in the WLDC estate. The business case for installing a heat pump is expected to be poor for the majority of sites and **environmental weighting** will have to be included to promote their procurement. Current government support to incentivise heat pump use in the form of the non-domestic renewable heat incentive (RHI) is due to finish in March 2021. WLDC should keep an eye out for a new mechanism that is expected to be announced that may improve the business case. It should be noted that the emission savings associated with electrifying heat increase as the national grid decarbonises. This will be further improved if the heat pump is powered by on-site renewable power. The emissions saving stated opposite is based on the projected scenario of the UK electricity grid fully decarbonising as electricity generation becomes 100% renewable.



Electrification of space heating

Replace gas-fired space heating systems in all Council buildings with air source heat pump systems

- 83.64 tCO₂e/year saving

Public Facilities: LED streetlighting

Summary Recommendations. Good quality LED luminaires offer superior illumination, control and energy performance over many of the Council's incumbent lamp types. They should be installed by default wherever streetlighting and car park lighting is replaced. Once LEDs are installed, additional savings will also be possible through implementing control savings such as dimming and/or trimming. Beyond energy and carbon savings, WLDC would also benefit from reduced maintenance and lamp replacement lifecycle costs thanks to the significant additional burn hours that LED alternatives bring over traditional lighting.

Introduction. LEDs have the highest efficiency and lamp life of all widely used lighting types. Cost reductions and a step-change in the technological performance of LED lighting over the past 10-15 years has made them the mainstream solution for the vast majority of lighting applications in the UK.

State of play. WLDC has responsibility for over 300 MWh per annum of street and car park lighting across the District, equivalent to **106 tCO₂e, 5.2% of the targeted footprint**. Some streetlighting has already been upgraded to LED however the majority of lamps are efficient low pressure sodium and fluorescent lamps. No information has been received regarding their state of repair (or column upgrade needs). Based on the Council's lighting inventory, streetlighting is responsible for ~264 MWh of electricity consumption per annum while car park lighting results in ~46 MWh of electricity consumption.

Project identification. A Council-provided streetlighting inventory was used to determine the current luminaire/lamp types and annual burn hours. The costs and emission savings from replacing each luminaire (excluding column) with a like-for-like LED luminaire were estimated and these are shown opposite.



LED streetlighting

Replace low pressure sodium and fluorescent street and car park lighting with LED lighting

- 54.82 tCO₂e/year saving
- 173,502 kWh/year energy saving
- £20,820/year cost saving

5. Governance and engagement

Programme management



To manage the implementation of a carbon reduction programme, it is important that organisational procedures and resources are put in place to maintain a focus on carbon reduction over time.

In order to achieve the carbon reduction target, the Council will have to consider robust yet dynamic organisational structures to ensure that they remain flexible in the approaches being taken to tackle climate change through time.

Key functions of the dedicated project team across the Council will include:

- Gaining senior endorsement and publication of the Council's Carbon Reduction Plan
- Providing regular and ongoing oversight and monitoring of progress towards achieving WLDC's Net Zero target across key delivery teams
- Ensuring that carbon reduction stays on the strategic agenda across WLDC, including at senior management level and among the elected members
- Managing the expectations of key stakeholders and recognising achievements on carbon reduction across the organisation



Stakeholder engagement



Robust engagement with stakeholders from across the Council and beyond will be crucial for successful implementation of climate action.

- Achieving the greatest possible input and buy-in will allow WLDC to work closely with all stakeholders to identify the areas of the Council to prioritise and implement action in order to reduce emissions.
- It will be important for the Council to remain transparent throughout all engagement activities to provide stakeholders with the opportunity to contribute towards the planned reduction activities that the Council intends to implement across its own estate.

Developing a robust stakeholder engagement plan should build on previous engagement to:

- Develop an initial list of key stakeholders from across the Council with whom to engage on an ongoing basis
- Complete internal in-depth stakeholder mapping exercise to identify, map and prioritise key stakeholders from across the Council. This will ensure that key stakeholder needs are identified and understood, with the relevant resources being targeted effectively.
- Develop and agree a communications/engagement strategy that clearly details the Council's approach towards stakeholder engagement, ensuring complete transparency.
- Develop the appropriate tools to accurately plan and track all stakeholder interaction and store



5. Monitoring and reporting

Monitoring and reporting



Once a carbon footprint has been measured and a target set, monitoring progress is an important part of implementation. Monitoring and reporting are essential activities that should be undertaken at least annually between the baseline year and target year, and beyond.

Monitoring

- Collecting the data should be completed internally on a regular basis. This process should become streamlined as the necessary data sources and associated contacts/owners become familiar with the process and adopt best practice data management.
- Not only does the footprint need to be monitored at least annually but progress with implementing carbon reduction opportunities should be actively monitored too, including implementation year, energy reduction and cost savings. In this way, successful projects can be reported in a quantitative as well as a qualitative way. This can help to drive momentum and support the securing of budget for future measures.
- In addition to monitoring the footprint itself, the project team should continually monitor how local plans and policies will affect the Council's footprint and affect the ability of the Council to reach its carbon reduction targets. This will help the team to identify other potential carbon reduction opportunities and ensure that any carbon reduction co-benefits of specific policies and actions can be delivered.



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7. Appendices

Detailed calculations

Transport

Site	Current fuel consumption [litres]	Current spend [GBP]	Footprint [tCO ₂ e]	Annual saving [litres]	Annual saving [GBP]	Annual saving [tCO ₂ e]	CAPEX [GBP]	Simple payback [years]
Review all travel related policies and ensure alignment with decarbonisation ambitions	unknown	unknown	281.26	unknown	unknown	21.09	£0	instant
Incorporate fuel efficient driving into driver training and refresher courses	274,381	£345,720	881.09	8,231	£10,372	26.43	£8,000	0.8
Replacement of manager vans with electric vehicles	4,723	£5,951	15.17	4,723	£3,850	15.17	£12,000	3.1
Waste and Street Cleansing fleet electrification	269,658	£339,769	865.93	269,658	£17,280	865.93	£6,264,000	362.5

- Policy review savings assume a 7.5% reduction in business travel and commuting mileage can be achieved as a result.
- Driver training savings assume that fleet fuel consumption can be reduced by 3%. This does not include potential associated maintenance cost savings.
- A capital cost of £200 per driver has been applied to the Driver Training recommendation, based on 40 drivers attending.
- CAPEX figures applied to EV procurement are marginal costs against a business as usual scenario of procuring internal combustion engine vehicles.
- A cost of £1.26/litre of diesel has been used to calculate current spend.

Detailed calculations

Leisure Centres

Site	Current energy consumption [kWh]	Current spend [GBP]	Footprint [tCO ₂ e]	Annual saving [kWh]	Annual saving [GBP]	Annual saving [tCO ₂ e]	CAPEX [GBP]	Simple payback [years]
Require third-party operators to implement a formal energy management system, e.g. ISO 50001	2,390,139	£115,890	530.72	119,507	£5,795	21.09	£0	instant
Implement requirement for third-party operators to report energy/carbon performance of buildings, at least annually	2,390,139	£115,890	530.72	47,803	£2,318	26.43	£0	instant
Compile plant and equipment inventory and work with site operators to implement a replacement schedule based on life cycle analysis	1,899,184	£56,976	394.57	189,918	£5,698	39.46	£0	instant
Solar PV at Gainsborough Leisure Centre	311,824	£37,419	86.47	39,825	£4,779	12.58	£45,000	9.4

- A gas cost of 3p/kWh and an electricity cost of 12p/kWh have been applied to energy consumption at both sites.
- The energy management system recommendation assumes a 5% reduction in annual gas and electricity consumption can be achieved.
- The energy reporting recommendation assumes a further 2% reduction in annual gas and electricity consumption can be achieved.
- The plant and equipment inventory and replacement schedule recommendation assumes a 10% reduction in annual HVAC energy consumption can be achieved.
- The solar PV figures are based on installing a 50kWp array on the flat roof of Gainsborough Leisure Centre.

Detailed calculations

Council Buildings

Site	Current energy consumption [kWh]	Current spend [GBP]	Footprint [tCO ₂ e]	Annual saving [kWh]	Annual saving [GBP]	Annual saving [tCO ₂ e]	CAPEX [GBP]	Simple payback [years]
Implement a formal energy management system to cover all major energy consuming sites	829,616	£63,662	229.02	24,888	£1,910	6.87	£0	instant
Compile HVAC plant inventory and implement a replacement schedule based on life cycle analysis	487,978	£22,326	110.85	48,798	£2,233	11.08	£0	instant
Electrification of space heating	402,569	£12,077	83.64	TBC	TBC	83.64	TBC	TBC

Public Facilities

Site	Current energy consumption [kWh]	Current spend [GBP]	Footprint [tCO ₂ e]	Annual saving [kWh]	Annual saving [GBP]	Annual saving [tCO ₂ e]	CAPEX [GBP]	Simple payback [years]
LED streetlighting	334,402	£40,128	105.66	173,502	£20,820	54.82	£155,850	7.5

- A gas cost of 3p/kWh and an electricity cost of 12p/kWh have been applied to energy consumption at all sites.
- The energy management system recommendation assumes a 3% reduction in annual gas and electricity consumption can be achieved.
- The plant and equipment inventory and replacement schedule recommendation assumes a 10% reduction in annual HVAC energy consumption can be achieved.



Resources to help deliver decarbonisation

Resource Name	Resource type	Notes	Link
Salix Finance	<ul style="list-style-type: none"> Interest-free finance Recycling Fund 		https://www.salixfinance.co.uk/
Non-domestic Renewable Heat Incentive (RHI)	Financial incentive; payments received based on heat generation	Due to finish March 2021; expected to be replaced by another mechanism	https://www.ofgem.gov.uk/environmental-programmes/non-domestic-rhi
Energy Technology List	List of the top performing equipment to help make sure new purchases are efficient. Includes heat pumps, boiler equipment, automatic monitoring and targeting equipment, and more.		https://etl.beis.gov.uk/purchasers
Local authorities and sixth carbon budget	A guide for local authorities on their local contributions to the sixth carbon budget		https://www.theccc.org.uk/wp-content/uploads/2020/12/Local-Authorities-and-the-Sixth-Carbon-Budget.pdf

Carbon Reduction Pathways

Key assumptions

- The project emissions scenario shown demonstrates the potential to reduce emissions from the installation of low carbon technologies across the key sites evaluated as well as fleet electrification of management vans.
- The scenario shown does not include the modelled carbon reduction associated with the transition of Waste and Street Cleansing to low-carbon vehicles. More information on alternative fleets (i.e. electric waste vehicles) is required in order to develop a robust pathway projection.
- The project emissions scenario has been quantified based on the reductions associated with the indicative recommendations provided on slide 23. For the purposes of this scenario modelling and to allow for a realistic phased approach, the LED street lighting recommendation has been separated into two separate project phases.
- Phasing for individual projects has been based on assumptions surrounding the ease of implementation associated with individual measures e.g. scale of the recommendation and development of individual technologies. In reality, these projects would be appropriately phased out over a prolonged project timeline and would be dependent on a number of factors not assessed within e.g. available funding, operational impacts.
- Further information on the phasing of individual projects is provided on the next slide.

Carbon Reduction Pathways

Project phasing

Hotspot	Recommendation	Year of implementation
Transport	Review all travel related policies and ensure alignment with decarbonisation ambitions	2021
Council buildings	Compile HVAC plant inventory and implement a replacement schedule based on life cycle analysis	2021
Transport	Incorporate fuel efficient driving into driver training and refresher courses	2022
Leisure Centres	Support/require third party operators to implement formal energy/environmental management systems, e.g. ISO 14001/50001	2022
Leisure Centres	Set requirements for third party operators to report energy/carbon performance of buildings to the Council, at least annually	2022
Leisure Centres	Compile plant and equipment inventory and work with site operators to implement a replacement schedule based on life cycle analysis	2022
Council buildings	Implement formal energy management systems across all sites, e.g. ISO 50001	2022
Transport	Replacement of manager vans with electric vehicles	2025
Public facilities	LED streetlighting phase 1	2025
Council buildings	Solar PV at Market Rasen Leisure Centre	2028
Council buildings	Electrification of space heating	2035
Public facilities	LED streetlighting phase 2	2035



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Sustainability, Climate Change and Environment Strategy



Contents

West Lindsey District Council's Sustainability, Climate Change and Environment Strategy defines our vision, aims and high-level ambition for the Council itself, as well as wider aspirations for the district that we think are achievable by working in partnership.

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Foreword

Our goal is to reduce the carbon emissions produced by the council to net zero and achieve the same position across the district by 2050 at the latest. This strategy and action plan are designed to achieve this.

A number of projects will sit underneath our strategy. These will be specifically geared to help us slow down and reverse our contribution to climate degradation, but also deliver outcomes that our residents and businesses tell us that we should be working towards.

It is clear that we have to act now, and we have tough international and national targets to achieve. But we think that by working together, the Council can exceed these targets and become a leading Green Council. This will deliver community benefits by safeguarding our natural environment and bringing economic growth and jobs.

Our strategy explains some of the climate science and why we need to change. It then sets out our aspirations for a greener, sustainable and thriving, low carbon West Lindsey for the next 10 years and beyond.

The environmental challenges that we face today are well known. Climate breakdown is happening before our eyes, and as traditional resources are becoming harder to obtain and the environmental impact of their extraction and unconstrained use more difficult to justify, it is clear that change is coming in the way we go about our lives. It will also affect the way our council operates.

However, with change comes opportunity and we are in a great position to act. We haven't declared a 'Climate Emergency' as some have, because we recognised what climate scientists were saying a long time ago. As a result, we embraced environmental policies and have a carbon management plan that is already delivering – not just

in reducing greenhouse gas emissions, but real, cashable savings for our Council – and our residents. This means that we have committed political and managerial leadership that are on board and passionate about driving this agenda forward.

We are also fortunate that we have businesses and people living in our district who take the environment seriously. Climate change and protecting the environment are often seen as big issues that only world governments tackle. But we all have a part to play and it cannot be done in isolation. We will need to work together and take action.

During the development of the Strategy we have undertaken two phases of consultation. These have generated around 400 responses and the feedback we have received has been reflected upon and referenced within this document. There is a real sense that among our residents, businesses, parish and town councils, climate, sustainability and environmental matters are of real importance to them; they want the Council to take urgent action and are supportive of the aims of this Strategy.



Our Strategy

We examine 10 key topic areas in the strategy, but all are interlinked and taken together the outcomes of the strands are clear: reduced carbon emissions, improved quality of life, a protected natural environment, community and economic benefit.



The council has an ambition to be a Green Council and that means taking ownership of our own activities and actions. We also recognise that we have a role to play in facilitating and developing partnerships to create Green Communities and if we want a Green District and a supporting local economy, we need to use our leadership and influencing skills to achieve this.

However, it is clear that the achievement of the district wide target will be difficult without additional support from Government and effective collaboration with key partner organisations and stakeholders.



Ian Knowles
Chief Executive of West Lindsey
District Council



Cllr Tracey Coulson
Chair Person of the Environment
and Sustainability Working
Group

Our Framework

We have developed a robust framework with three key policy strands Green Council, Green Communities and Green Business, to support the delivery of our action plan. It supports our Corporate Plan for 2019-2023 which sets out the vision based around Our People, Our Place, Our Council.

“West Lindsey is a great place to be where people, businesses and communities can thrive and reach their potential.”

Specific reference is made within the Corporate Plan of the need to improve the quality of our **built environment**, whilst ensuring **our natural environment is preserved** for the benefit of both current and future residents and the Council promotes environmental sustainability and conducts its own business accordingly.

Emphasis is also placed on achieving sustainable growth as the key to the future prosperity of the district. However, it is recognised that we must work simultaneously to ensure our natural environment is protected and where development occurs, look to ensure that appropriate green space and recreational facilities are provided.

Strand: Green Council
Key Focus: Own activity/emissions
Example: Carbon Management Plan/Project delivery

Strand: Green Communities
Key Focus: Facilitation/Partnership
Example: Town/Parish Council initiatives

Strand: Green Business
Key Focus: Leadership influence
Example: Greater Lincolnshire Local Enterprise Partnership/
Economic Recovery Plan



Introduction

Global changes in the earth's average temperature have been rapidly increasing and is impacting on the planet's environments, which is everything natural around us, rivers, trees, plants and animals. Human activities such as the way we dispose of waste, burn oil, coal and gas, deforestation and population growth have led to this rise. Approximately 1.0°C of global warming above pre-industrial levels is a result of human activities with a likely range of 0.8°C to 1.2°C. Global warming is likely to reach 1.5°C between 2030 and 2052 if it continues to increase at the current rate.

The Paris Agreement

This is the first truly global effort to reduce emissions. To date, 160 United Nations Framework Convention on Climate Change (UNFCCC) parties have made voluntary pledges to reduce emissions up to 2030, including China, the US and the European Union (on behalf of the UK and other EU nations).

The main aim of the Paris Agreement is to hold the increase in global average temperature to well below 2°C, above pre-industrial levels, and to pursue efforts to limit warming to 1.5°C. Overall, the current pledges would lead to lower global emissions compared to previous expectations. However, further action will be required to keep warming to below 2°C or 1.5°C.

Carbon Budgets

A carbon budget is the cumulative amount of carbon dioxide (CO₂) emissions permitted over a period of time to keep within a certain temperature threshold. In the context of the Paris Agreement, calculations have been made to determine what level of additional CO₂ emissions could be produced before global temperatures exceed 2°C or 1.5°C above pre-industrial levels. Keeping within the

budget figure should enable climate change to be tolerable. Budget calculations have been produced on a global, international, national, regional and local authority scale.

National Context

The UK Climate Change Act commits the UK Government by law to reducing greenhouse gas emissions by 100% of 1990 levels (net zero) by 2050. To ensure significant early progress is made towards achieving this target, in December 2020, the Government announced an ambitious target to cut emissions by 68% by 2030 based on those same 1990 levels. This was amended in April 2021 to 78% by 2035.

Furthermore, to strengthen the UK's commitment to achieving a net zero carbon position by 2050, the Government has set out an ambitious ten-point plan for a green industrial revolution. The plan covers clean energy, transport, nature and innovative technologies, mobilising £12bn of government investment to create and support up to 250,000 highly-skilled green jobs in the UK.

The Government's 25 year Environment Plan sets out the action it will take to deliver cleaner air and water and to protect threatened species and provide richer wildlife habitats.

The UK Climate Change Risk Assessment has identified six priority risk areas:

1. Flooding
2. High temperatures
3. Water supply shortages
4. Natural capital
5. Food production
6. Pests and diseases.

The Environment Bill

This puts into legislation a series of environmental principles and establishes an Office for Environmental Protection, which will have scrutiny, advice and enforcement functions. It also makes provision for the setting of long-term, legally binding environmental targets in four priority areas:

1. Air Quality
2. Water
3. Biodiversity
4. Resource Efficiency and Waste Reduction

This is along with the production of statutory Environmental Improvement Plans as part of the Government's 25 Year Environment Plan.

Future Homes Standard

Homes are a significant contributor to greenhouse gas emissions. The Committee on Climate Change (CCC) reports that they were responsible for 14% of the UK's total emissions in 2018. Unlike other sectors such as business, transport and energy supply, residential homes saw emission levels rise between 2017 and 2018. Additionally, the CCC suggest that efforts to adapt the UK's housing stock to the impacts of the changing climate: for higher average temperatures, flooding and water scarcity, are also lagging far behind what is needed to keep us safe and comfortable, even as these climate change risks grow.

- Around 4.5 million homes overheat, even in cool summers
- Average UK water consumption is higher than in many other European countries.

- 1.8 million people live in areas at significant risk of flooding
- Cost-effective measures to adapt the UK housing stock are not being rolled-out at anywhere near the required level. The UK Green Building Council (UKGBC) calculates that 40% of the UK's total emissions are derived from the whole built environment.

The Government is planning to introduce a new Future Homes Standard by 2025, helping us towards that net zero goal. Homes being built now will still be there in 2050 so getting them built right and to high environmental standards is a crucial part of meeting the targets.

Green Homes Grant

There have been a number of Government backed schemes designed to encourage home owners to improve the energy efficiency of their homes. This £2bn initiative is aimed at giving over 600,000 homeowners in England up to £10,000 to install insulation, heat pumps, draught proofing and more to help households cut energy bills and improve energy efficiency. The jobs created by such a scheme are also designed to form part of an overarching 'Green Recovery' from the effects of the Covid-19 pandemic. Commentators however are querying the effectiveness of this initiative. Uptake has been not as expected and delays in works being commenced and completed have been experienced by householders.

Climate Assembly

The first UK-wide citizens' assembly on climate change, was commissioned by six House of Commons Select Committees. It has published its final report on how the UK can reach its legally binding target of net zero emissions by 2050. The work was commissioned to

understand public preferences on how the UK should tackle climate change because of the impact these decisions will have on peoples' lives. The Climate Assembly UK's report, The Path to Net Zero, detailed recommendations across ten areas on how we can meet our target. This includes: how we travel; what we eat and how we use the land; what we buy; heat and energy use in the home; how we generate our electricity; and greenhouse gas removals. Each chapter details assembly members' views on the advantages and disadvantages, including the trade-offs and co-benefits of different ways of reaching net zero.

It also includes recommendations on Covid-19 recovery and the path to net zero. In total, the report contains over 50 recommendations for policy measures designed to meet the net zero target by 2050. The report also conveys assembly members' agreement on themes that recurred throughout their discussions, on the need for:

- Improved information and education for all on climate change
- Fairness, including across sectors, geographies, incomes and health
- Freedom and choice for individuals and local areas
- Strong leadership from government

It also stresses the assembly's support for protecting and restoring nature, and the value of 'co-benefits' to tackling climate change, such as improved health, advantages for local communities, high streets and the economy, including by the promotion of innovation in technology. It calls on policy makers to make use of the report as an "invaluable resource" for decision making.



Greater Lincolnshire Local Enterprise Partnership

Across Lincolnshire, the Greater Lincolnshire Local Enterprise Partnership (GLLEP) is working in a collaborative nature with public and private sector bodies to position the region in an advantageous position to attract inward and external investment. The Local Industrial Strategy and embedded Economic Recovery Strategy are in place for all partners to deliver against. However, the GLLEP is conscious that growth must be sustainable and also complement the climate and carbon reduction agendas. Hence, the creation of a low carbon economy across the region is a key priority sector to support growth in offshore wind as well as in the development of other low carbon goods and services.

The agri-food sector is another priority to ensure that agriculture and associated, research, manufacturing and logistics take account of climate change to ensure sustainability in production and adaptation in the event of the worst effects of climate change. Water management is also a concern of the GLLEP as it recognises the need for reliable water supplies to support growth, bio-diversity and also the need to mitigate against the worst effects of flooding and coastal erosion.

Central Lincolnshire Local Plan

The Central Lincolnshire Local Plan (CLLP) aims to prepare plans and policies that help create places that are sustainable and attractive to live in. The Local Plan should work together with other plans and policies, such as economic, housing and environmental strategies. The delivery of new homes and jobs for Central Lincolnshire up to 2036, will be provided for through a new single Local Plan.

The CLLP for the period 2012 to 2036 has been adopted but is

currently the subject of review to ensure that it remains fit for purpose. Part of the review is to investigate the role of the CLLP in addressing climate change and to investigate whether a carbon neutral plan can be delivered. To this extent consultancy support has been sourced to bring together existing evidence on climate change and carbon emissions that is widely recognised and endorsed as being robust, and developing bespoke evidence for the Central Lincolnshire area, to build up a clear and robust picture of the carbon implications arising from the Local Plan, and thereby delivering options for how the plan might reduce or negate this to deliver a carbon neutral plan.



Lincolnshire County Council and Lincolnshire District Councils

Across Lincolnshire all councils are acting to address climate change, enhance the environment and promote sustainability. Considerations are underway with regard to the best means of collating and combining efforts to ensure that the councils as a whole work in partnership and lead the engagement with the wider community around the county on climate change issues. Efforts have to be

particularly concentrated on the business community to assist in delivering a community wide low carbon economy that meets the local and national targets of achieving a net zero carbon emissions by 2050. A Lincolnshire Sustainability Officers Group has already been established to facilitate cross-learning and collaboration and this will be developed further to support the wider concept of partnership working.

Neighbourhood Plans

At a local level the council fully supports and endorses the concept of Neighbourhood Plans. At the time of writing 15 have been 'made' with 28 at various stages of development. This work is important so that communities and parishes take an active part in influencing development in their local area and identify local solutions to local problems. It is a key role for the council to ensure that at a local level, climate, sustainability and environmental concerns are reflected in Neighbourhood Plans. It is evident that for international, national and local climate related targets to be achieved, all must play their part by identifying supporting initiatives and implementing changes to current practises or behaviours.

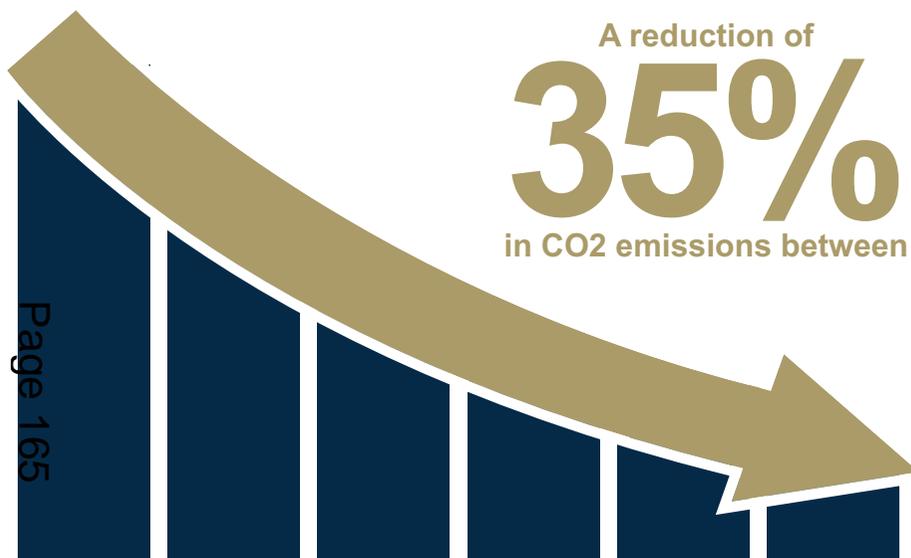
Parish/Town Councils

Engagement at a grass-roots level is vital to ensure that a collaborative approach is adopted in the efforts to tackle climate change. Across the district there is great enthusiasm and interest among parish and town councils to enhance the natural environment of their local communities and in some instances they are devising their own local strategies. Building on this interest, joining communities together and facilitating the sharing of information will be a key role for the Council.



Carbon Management

The council has been taking action to reduce the impact of its operations on the environment for a number of years and has worked through two Carbon Management Plans (CMP). From an initial baseline of 2036 tCO₂e, over the lifetime of the two CMPs, emissions have reduced by 711 tonnes.



Work undertaken to reduce the footprint includes the introduction of LED lighting in council buildings, replacement of ICT equipment and infrastructure with lower energy using alternatives, a greater adoption of flexible and remote working facilitated by tele-conferencing, a move to paper-light meetings, introduction of more energy efficient and less polluting waste fleet vehicles and the addition of solar panels to a number of council buildings.

Since the inception of the last CMP, the council has acquired and built additional assets that have added to its carbon footprint. These include Lea Fields Crematorium, Market Rasen Leisure Centre and the new Waste Depot.

Whilst built to high energy efficiency standards (and in the case of the new Waste Depot incorporating solar and battery storage capabilities), it is important that the impact of these assets on the council's emissions is evaluated. Hence, to arrive at a new baseline and to identify a road map of projects to reduce emissions to net zero, the council has engaged the Carbon Trust to assist in the development of the next Carbon Management Plan, which will run for the period 2021-2026. This work has completed and has provided the council with a revised carbon footprint of 3429 tCO₂e. This demonstrates that carbon emissions are fluid in nature and can change over time.

Having this new baseline has identified a number of actions (short, medium and longer-term) that the council should consider to continue its carbon reduction journey. These actions have been incorporated into the action plan that supports this Strategy.

District Data

The table (right) illustrates the level of carbon emissions that are emitted across the whole of the district by sector, as calculated by the Office for National Statistics (2018).

This demonstrates the scale of the challenge to achieve a district wide net-zero carbon position. It is evident that the council's impact on the district as a whole is minimal when compared to the total of 524kt of CO₂e emitted across the district. This means that on average each person living in the district is responsible for approximately 5.4 tCO₂e. That is equivalent to the weight of an African elephant. However, it is vitally important that as a leader of place, the council takes positive steps to reduce its own emissions whilst also supporting and encouraging residents and businesses across the district to do the same.

District Wide Emissions

Sector Name	CO2 (kt)
Industry & Commercial Electricity	51
Industry & Commercial Gas	35
Large Industrial Installations	0
Industrial & Commercial Other Fuels	33
Agricultural Combustion	29
Domestic Electricity	38
Domestic Gas	83
Domestic Other Fuels	32
Road Transport (A roads)	148
Road Transport (Motorways)	0
Road Transport (Minor roads)	66
Diesel Railways	7
Transport Other	5
Land Use, Land Use Change & Forestry (LULUCF) Net Emissions	-4
Total for all sectors	524

Research by the Tyndall Centre for Climate Change has provided a means of calculating carbon budgets on an international, national, regional and local scale. Their research has calculated that the district of West Lindsey's share of the remaining global carbon budget is 3.2Mt CO₂. Therefore, at current emission rates it would be entirely consumed within seven years (by 2028). To stay within its carbon budget, the district should reduce emissions by 13.7% every year, or by 50% every five years. Urgent action is therefore required to 'turn the curve' and drastically reduce emissions as quickly as possible.



Decision Making

For the Council to achieve its environment and sustainability related ambitions, it is imperative that such matters are at the forefront of the Council's decision making. Decision makers should be presented with accurate, reliable and up to date information and be sufficiently knowledgeable to effectively scrutinise the information to achieve the best outcomes.

Competing and conflicting needs concerning climate related matters may be simultaneously in play and therefore must be weighed against each other. For example, green spaces not only mitigate heat, but also provide biodiversity, recreational and wellbeing benefits.

However, at the same time the need for more green spaces competes with the need for more housing or commercial space across the district. In such respects environmental and sustainability concerns link to other political agendas, on local, regional, national and international bases. This underscores the need for decision makers to consider issues well beyond the climate change agenda.



There are a number of actions the council can take to ensure that climate concerns are at the heart of decision-making

Corporate Priority

To ensure that due consideration is paid to the environment and sustainability across all council activity it is important that all key plans, policies and guidance are aligned to reflect the council's intentions to reduce carbon emissions and promote bio-diversity.

The Corporate Plan (2019-2023) presents a key challenge for the council to improve the quality of our built environment, whilst ensuring our natural environment is preserved for the benefit of both current and future residents and the council promotes environmental sustainability and conducts its own business accordingly. The plan therefore sets out a strategic aim to create a safer, cleaner district in which to live, work and socialise.

Actions to achieve this (including the implementation of this Strategy) will be drawn up through the council's annual business planning process with agreed initiatives to take forward referenced within the annual Executive Business Plan. This sets out key activity to progress each year in support of the priorities contained within the Corporate Plan with the financial implications contained within the council's Medium Term Financial Plan (MTFP). By ensuring that the decisions developed within these key strategic documents pay due reference to the climate change agenda, will demonstrate that this focus and emphasis runs throughout the council.

Reporting

The council must ensure all reports requiring a decision clearly set out the climate related issues, benefits, opportunities, risks and

associated costs. Sufficient attention must be paid to climate, environment and sustainability related aspects within policy or project development which can clearly set out the impacts/benefits of alternative options.

Training

The climate agenda is complex and technical and additional training to increase awareness for Councillors and officers will be required. Carbon literacy training, for example, would provide a sound basis from which further knowledge could be developed. The appointment of specialist officers or training existing officers in this area of expertise and drawing upon expert advice at the appropriate time(s) during the implementation stage of the strategy or project development must be considered. This would evidence that the Council has drawn upon and adopted best practice.

Governance

The appointment of a lead Councillor to act as a champion/figurehead for the council, for climate change across the district and region and to promote, lobby and encourage other stakeholders to follow suit is a key step. The council has appointed a Member Champion for Sustainability, Climate Change and Environment and a working group has also been formed, comprising Councillors and officers. Consideration must also be paid to the formation of a Board comprising of representatives from different sectors across the district to identify mutually beneficial initiatives, oversee the delivery of projects and track progress towards carbon reduction targets. The Council has a key influencing and leadership role to play in this regard.

Data

The use of accurate data is a key concept to aid effective decision making. Hence a reset of the baseline of the council's emissions was required to inform the next version of the council's CMP which will cover the period 2021-2026. This will significantly challenge the council to further reduce its carbon footprint. Previous plans have not generally received the focus and publicity that they might otherwise have benefitted from, therefore ensuring the tracking and reporting of progress in a transparent manner will demonstrate key accountability for this work. Collaboration across Lincolnshire and perhaps further afield may be required to ensure that the CMP (2021-2026) marries with and complements wider macro concerns.

Consultation and Engagement

Decision-making relating to the environment and sustainability needs to be inclusive with the public and other key stakeholders kept abreast of developments and provided with opportunities to feed into policy development where appropriate. The council has a strong record of consultation and has recently refreshed its Consultation Strategy. It sets out the council's aim to support strong, active and inclusive communities who could influence and shape the district of West Lindsey, helping to create a more transparent and accountable council.

The council's Citizen's Panel comprising of over 1600 residents is used as a basis for consultation across a wide range of subject matter. The council is well versed in holding theme-based consultation events across the district to impart information, gauge opinion and receive feedback. The council is identifying and considering the adoption of alternative consultation methods which would complement those currently in place. All methods would be

effective vehicles to obtain opinions and feedback from the public on climate and environment related issues which would be fed into strategy and/or project development. This would also serve to demonstrate that the Council is acting in a transparent manner and is upholding the public interest.

Progress and Delivery

The impact(s) of some decisions may not be evidenced for a considerable time and may involve determined, contributory actions on the part of others. It is essential that the council identifies its own sphere of influence and sets out the actions and outcomes that lie within this. Mechanisms need to be established that enable all interested parties to ascertain whether the decisions made have been effective and are achieving their desired outcomes. It is key to set measurable interim and long-term goals and targets to track progress towards the council's ambition of achieving a net-zero carbon position across its activities by 2050, in line with the UK Government's target. The monitoring and reporting of progress is essential to determine whether the decisions made are realising their intended outcomes and to also retain the trust and confidence of the public and stakeholders alike in the council's plans and to demonstrate that the council is taking a lead, example setting role. Importantly, where progress is identified as not being as intended, swift corrective decisions and actions will be required, following the decision-making principles set out above.

Procurement

As a major procurer of goods and services, the choices the council makes in respect of its procurement decisions can have a major impact on climate and environmental related matters.

The awarding of contracts for goods and services goes through an evaluation process with different weightings applied to aspects such as price and quality, and the introduction of the Public Services (Social Value) Act 2012 also compels the council to consider the way in which what is to be procured may improve social, environmental and economic well-being.

To ensure that the correct level of emphasis is placed on the climate agenda during the assessment of bids for contracts, the council will have to consider whether the current weighting it applies to environmental related matters is adequate. Procurement Lincolnshire are currently writing guidance for partner councils to review and we await further information and advice in this regard.



Land Use and Green Space

West Lindsey is defined by its unique natural environment that so many people enjoy living and working within and visiting. The district's wide open landscapes and rich farmlands not only create jobs through agriculture and associated businesses, but they define a way of life and help our residents to experience nature and live healthy lives, consuming local produce in a place that particularly engenders a sense of belonging. The Lincolnshire Wolds, which provide valuable and natural environment capital, run through the district and contain an Area of Outstanding Natural Beauty (AONB) which we strive to preserve for our existing and future residents, yet also promote to attract new residents and visitors.

To make the most of these natural resources and preserve and enhance them for future generations, we need to work in partnership. The council has a leadership role not only in improving its own performance in carbon reduction and provision of natural and green spaces, but also in pushing forward and inspiring businesses and communities to reach their full potential.

As part of this leadership role, it is important that we also consider what the possibilities of a low carbon society, with good provision of and access to its natural and historic environment will offer both to our people and the economy. Along with our obligations to reduce CO2 emissions, we must not lose focus on issues such as improving physical and mental health. Fortunately, all of these things can be encouraged through practical measures designed to achieve increased tree planting, biodiversity and creating a healthy living environment.

One issue with land use is that it can be a delicate balancing act with multiple competing priorities, but the flip side is that the possibilities are endless. Taken together though, the outcomes of our focus on green land use are very clear; higher levels of renewable energy

production, reduced carbon emissions, improved quality of life, a protected natural environment, community and economic benefits.

It will be impossible to fully deliver on these outcomes by ourselves. Our strategy aims to focus the work of the programme on bringing together the combined knowledge, enthusiasm and expertise of a wide range of partners who collectively can work with us to deliver on our aspirations.

We will work with our district council partners, Lincolnshire County Council, Parish/Town councils and land owners to consider land use schemes that work best at scale. This gives us greater lobbying power in the national arena and will allow us to utilise more effective planning processes so that, for instance new developments in West Lindsey incorporate proper provision for green spaces.

West Lindsey is already seen as a leader by many in areas such as green agriculture and agri-tech technologies that could place us not only at the heart of the regional picture but also nationally and internationally with huge economic benefits.

To ensure that the use of land across the district fully complements the climate and environment agendas, the Council must use its influence to ensure its aims are fully reflected in the CLLP and Lincolnshire County Council's newly emerging 'Green Masterplan' and their renewables and low carbon energy study. A main thrust of this strategy is that the council is open to business and we have tried to ensure that wider corporate leadership aspirations are captured in the programme and action plan.

We have identified a number of priority areas where we think we all need to do things differently in the future. They are areas where we have identified key short/medium term actions, showing how we will start to deliver the strategy happen.

The areas and their aims are as follows:

Biodiversity

Protect and enhance the diverse natural habitats of the district and the wildlife they support, making them more resilient to climate change, reversing biodiversity loss, and help create conditions for sustainable agriculture. Promote the use of open spaces as part of healthier and more active lifestyles.



Living Environment

Promote the use of open spaces as part of healthier and more active lifestyles. Improve the quality of the environment and our health by reducing air and noise pollution.

Built Environment

Develop high quality environments and green spaces in our towns and villages and protect and enhance the distinctive character of our landscapes. Show respect and care for the built heritage of West Lindsey.

Carbon Offsetting

Consider offsetting practices within the boundaries of the district (and possibly beyond) and this includes tree planting, woodland and parks management for example. This increases the capture of CO₂, in a process called sequestration and would allow us to offset emissions elsewhere in the district, helping to achieve our carbon neutral commitment. Whilst offsetting practices, which can be undertaken to help the council's carbon neutral ambition, will begin to be identified, offsetting will not be actively promoted above actions to reduce carbon emissions directly.

We are already making good progress in some areas but the vision is not something that will be fulfilled overnight. It will require partners to work together and show huge commitment and foresight to achieve it, but the stakes are too high for us to contemplate failure.

In 10 years' time we hope to see that ...

- There is a better quality environment which has made people healthier
- People are more aware of how important the environment is to our prosperity and where there are more 'low carbon' and environmental jobs
- We are more self-sufficient and use energy and our land resources better
- We are an important agricultural area that feeds the nation in the most carbon efficient environmentally friendly way possible
- The landscape and built and historic environment retains its unique character and has been protected and enhanced so that it benefits all – visitors, businesses and residents
- Areas of high nature conservation quality have been preserved and the loss of plant and animal species has been reversed
- We are firmly on track to becoming a 'low carbon' district and are more adaptive to climate change
- People have become 'greener' in the way they live their lives
- Local businesses are seen to have the most environmentally friendly land use practices and are leaders in green technologies
- The environment lies at the heart of other strategies and plans for the district and the county and where we have worked together better to implement them



Buildings

Buildings are currently responsible for more than 40% of global energy and one third of global greenhouse gas emissions. As well as being already significant in absolute and relative terms, emissions from the building sector are increasing. It is therefore vitally important that we take action in this area as a priority.

Work will encompass the built environment as a whole taking into consideration:

- How our towns and villages, buildings and communities, existing and new are constructed, located, powered, heated, function
- How resilient they are to the expected local impacts of climate change
- How they need to change in order to align with, and contribute towards, the aims of the strategy

The built environment interacts with other work streams (for instance energy usage of buildings under the 'Power' work stream, or 'Access' to active travel infrastructure and public transport under the Transport work stream). It is an area which the council, working as part of the CLLP Team, can exercise influence and control over new development through the Local Planning Policy.

There are also opportunities in partnership with Lincolnshire County Council to support future transport planning via locally specific transport strategies such as the Gainsborough Transport Strategy. It is currently under development and considers shared transport methods and encouraging modal shift. The unique position of the Council in terms of its prominent role in the community creates opportunities to act as an enabler to kick start and support wider regeneration initiatives as well as leading innovative projects on council-owned buildings.

The emerging CLLP review is a key document in this area which will identify priority themes and actions and opportunities to 'combat climate change' for the built environment. Climate change and the opportunities the Local Plan review presents to ensure a transition to zero carbon are currently being subjected to robust scrutiny. Existing planning policies support and encourage building development, which provides measures to combat carbon emissions. However they often do not go as far as to give decision makers a clear ability to refuse a development on climate or sustainability grounds, or place a mandatory obligation on developers to provide additional sustainability measures as part of a development.



It is important that the CLLP establishes planning policy requirements that fit into wider corporate initiatives across the three district councils concerned, West Lindsey District Council, City of Lincoln Council and North Kesteven District Council.

The council cannot work alone, we need help from the public to ensure our agreed approach complements our wider council(s) priorities whilst driving the move to net zero and combatting and adapting to climate change.

The council's Building Control service will contribute to achieving the outcomes. Building regulations encourage higher energy efficiency standards in new builds and refurbishments and it is highly likely over the coming years that these regulations will be overhauled to take these requirements further. The introduction of higher energy efficiency standards in building regulations, updates to the CLLP and requirements as drafted within the Environment Bill in relation to ecology and the environment will provide a clear framework to deliver outcomes against this 'Buildings' work stream. Additionally, recent government backed initiatives such as the Future Homes Standard and Green Homes Grant will also play a contributory role in this area.

We believe that there are two main themes for this work stream that can form part of our strategy: New Building Development and Existing Buildings and Communities.

The development of the CLLP Framework will help identify outcomes and key tasks, particularly for new building development.



This section looks at how we generate, store and consume power more smartly in terms of both heat and electricity. It considers how we can deliver greater levels of low carbon and renewable energy generation, store this energy so that it is available for use when we need it, improve our levels of energy security, reduce levels of fuel poverty, and improve energy efficiency across all aspects of society.

We will need to consider that we have made a commitment to achieving 100% clean energy across the council's full range of functions by 2040. We will be looking to do that much sooner as we seek to drive progress towards our zero carbon commitment. The council's main energy usages are identified in the CMP. The council does not have a large balance of assets when compared to other councils and those we have are new and energy efficient already and have been the subject of a renewable energy assessment.



Solar panels have been fitted to a number of our buildings and there is a significant income generation each year of more than £21,000 from the use of these panels on the Guildhall, West Lindsey Leisure Centre, Market Rasen Festival Hall and the Trinity Arts Centre. This demonstrates that green initiatives don't have to cost more and can generate cash and savings. We need to better understand their energy contribution and the contribution of energy that comes from other renewable sources through our existing green energy tariff.

Power interacts with other workstreams (energy efficiency of buildings under the Buildings workstream or proliferating Electric Vehicles (EVs) and reducing our fleet emissions under the Transport workstream). It is an area within which the council can potentially exercise a fair amount of influence and control, through planning, council procurement and operations, as well as acting as an enabler and supporter for others and developing renewable energy projects. We have identified three possible priority themes for 'Power' where we think we can deliver projects that will have most impact:

1. Reducing and Shifting Energy Demand

Reducing the amount of energy consumed to the lowest possible levels is an obvious means of reducing emissions. Initiatives to promote energy efficiency are common place and include, installing more energy efficient heating sources and appliances, the use of Smart meters and water saving techniques and the use of grey water. Across the council's operations, the CMP has identified a number of possible actions for the council to take. Action however is also required across the district with householders and businesses. Therefore the council must also actively encourage development that incorporates energy efficiency at the design stage and promote energy efficiency measures, campaigns and schemes that offer opportunities to reduce demand and usage.

2. Low Carbon and Renewable Energy Generation and Storage Technologies

The means by which energy is produced is a key consideration. The electricity grid is being decarbonised as less reliance on fossil fuels to produce energy gathers pace. This, coupled with the increase in generation of renewable energy in the form of wind, wave and solar power is a major advance in combatting emissions across the planet. As a council, we must keep abreast of developments and maximise and realise the potential for low carbon and renewable energy generation and storage, using our own assets and across the district, whilst taking account of major constraints to deployment such as the Lincolnshire Wolds AONB. The CLLP will be a major consideration in determining the scope for renewable energy production and storage across the District.

3. The Council's Own Estate and Operations

The council's CMP (2021-2026) sets out a series of actions for the Council to take to reduce its energy consumption. The aim will be to decarbonise direct and indirect emissions arising from the council's own operations as quickly and effectively as possible. It is acknowledged that the council will always require energy to carry out its operations, but taking action such as ensuring energy is obtained from renewable sources, switching the existing corporate fleet to EV/Hybrid/ULEV at the most appropriate points and promoting energy efficiency among staff and Members as part of the way in which we conduct our business, will have a positive impact on reducing the council's carbon footprint.



Campaigning and Lobbying

It is vital that the council's declaration to reach a net-zero carbon position across its operations by 2050 and to see that the whole district achieves the same position, leads to real action. Stakeholders will be monitoring and holding the council to account as it progresses its plans and actions. However, the council will need support and assistance from other organisations, councils and central government, as it may require legislative change, additional powers and resources to achieve success.

Over recent years, the council has dealt with a reduction in government grants and the loss of key specialist staff. Deregulation and changing government guidance have also had an adverse impact on the council's ability to address climate change as effectively as it would have liked.

Infrastructure developments in the district, such as the new build Lea Fields Crematorium and Market Rasen Leisure Centre, have primarily focused on the financial cost, with climate related matters taking a secondary role. Concerns remain related to on-going budgetary and proposed structural reforms therefore the need to campaign and lobby is paramount, so that the tools are provided for the council to achieve its goals.

It is important that the council leads from the front and represents the best interests of its communities and businesses to secure the resources and other changes required. The council must campaign, lobby and send a strong message to Westminster individually or collectively with other Lincolnshire Councils or with the local government community as a whole.

The Friends of the Earth identify a number of actions or support that the council should call for. In doing so the council must stress the positive benefits, set out below, that will ensue from success and help to bring about a genuine green recovery.

- Improved access to nature for all
- Tackling health inequalities such as fuel poverty and exposure to air pollution
- Creating jobs fit for the future and giving people the skills to do them
- Supporting resilient local low-carbon economies



1. Resourcing the low-carbon economy

Direct funding

The UK government will need to provide a proportion of the funds needed for a green recovery. For example, funds intended to boost economic recovery like the Shared Prosperity Fund and Industrial Strategy Challenge funds must be used to drive the transition to zero carbon. Councils hold key relationships with training institutions, businesses and communities, making them well placed to deliver both economic recovery and a joined-up response to the climate and ecological emergencies. National economic recovery schemes should include location-based funding to enable spending in places where the need is greatest.

COVID-19 has placed enormous financial burdens on national and local government. This makes it even more important to deliver a cost-effective response that also delivers on health. For example, supporting more active travel and better insulated homes.

Examples of direct-funding needs include:

- Low-carbon infrastructure – Friends of the Earth estimates that between £7 and £10 billion per year is needed to fund urban public transport and cycling across the UK. This can be raised by re-allocating transport budgets from climate “bads”, such as new roads, to climate “goods”.
- Skills – funding low-carbon skills development (including via the National Skills Fund and National Retraining Scheme) enables councils to align training with local low-carbon employment opportunities, like housing retrofits and heat-pump installation.

Increase powers to raise money

It would also be possible to raise more funds locally if councils were granted new powers to raise money themselves. For example, the law should be changed so that local authorities can raise a significant proportion of funding for urban public transport from businesses through a local public transport payroll levy, as is widely used in France.

Enable local authorities to charge a parking levy

With many large retailers and leisure facilities out of town and poorly served by public transport, a levy on these businesses could fund public transport provision and segregated cycleways connected to them. This scheme would be similar to the workplace parking levy successfully deployed by Nottingham City Council to fund urban public transport.



2. Better buildings

Instead of an obsession with ‘build build build’, the government must ensure that councils have the powers and resources to scale up retrofitting existing housing, to end fuel poverty and cut emissions.

Making grants available to individual householders will help, but councils have a key role in retrofitting social housing and facilitating it in private housing and commercial buildings, while securing high energy-efficiency standards in the public estate, including schools. Where new building is needed, it’s essential that councils have the power through the planning system to insist on zero-carbon development, and to involve their local communities in shaping their areas. Legally, Local Plans must set out how planning will mitigate and adapt to climate change, which will be hard to achieve unless councils have the powers to deliver. But recent planning reform proposals from the government threaten to remove much of councils’ control over new development.

Reform planning policy to support zero-carbon buildings and places

The National Planning Policy Framework (NPPF) contains helpful pointers but needs significant strengthening to enable councils to achieve the radical reductions in greenhouse gas emissions that are needed. For example, by:

- Requiring all new homes and other buildings to be zero carbon by 2025.
- Requiring that suitable areas for renewable and low-carbon energy sources are identified and allocated in Local Plans.
- Ensuring that new development is located near to new or existing high-quality public transport and services.

- Requiring that development plans and planning policies set out measures needed to achieve zero-carbon developments and communities.
- Prioritising protection and enhancement of green space.
- Minimising life-cycle carbon emissions in demolition, construction, materials, and use by advocating circular economy principles for developments.
- Requiring new development to be resilient to extreme weather events.

Empower councils to introduce higher energy-efficiency standards for new buildings

Building regulations must also be used to ensure that all new buildings are net zero. The new Future Homes Standard should set high standards that all developments should meet as a minimum. But this should not preclude local planning authorities setting their own ambitious standards to go further. This approach would avoid the need for costly retrofits of homes built under future standards.

Ensure councils and communities can require high housing standards

Permitted development rights remove a council’s control over new development and exclude local communities’ voices, so shouldn’t be used for new housing. An example is allowing buildings to be converted to residential use without needing planning permission. This has allowed the development of sub-standard properties poorly serviced by public transport and distant from amenities. Despite this, the government wants to extend these rights to more buildings. Permitted development should only be used for very minor developments, such as building a garden shed, fitting solar panels or installing heat pumps.

Put local authorities centre-stage when transforming heating and energy efficiency

Councils should be required and empowered to produce a Local Heat and Energy Efficiency Strategy (as is being piloted in Scotland). As part of this, they should be given the responsibility and resources to coordinate an area-by-area energy-efficiency and eco-heating transformation programme.

Improve standards in the private rented sector and empower local authorities to ensure compliance

The government can take measures to speed up the retrofitting of existing buildings to a high standard of energy efficiency. As well as cutting emissions, retrofitting will help to end fuel poverty and improve the health of people living in badly insulated homes. Cold homes have health impacts that cost the NHS an estimated £2.5 billion each year. Good examples of retrofit systems include Energiesprong and Passivhaus, which deliver cost-effective solutions. To ensure that levels of energy efficiency are raised, the government should increase the Minimum Energy Efficiency Standard in the private rented sector – setting homes on the path to a minimum energy performance certificate (EPC) band C by 2030. Interim steps should also be set out – Scotland has a minimum of EPC band D by 2022, for example.

The maximum spending threshold for landlords should also be increased and should be able to be offset through reintroduction of the Landlord's Energy Saving Allowance. The standards should also apply to houses of multiple occupation and the social rented sector. Local authorities also have a key role in ensuring compliance, which they will be able to perform much better if they have dedicated funding and high-quality data.

Enable public sector retrofitting

Councils need a package of resourcing to enable them to bring all public sector buildings to a minimum of EPC band "C" by 2030, with social housing as a priority. This should be done through whole-house retrofits with immediate short-term support to reduce fuel poverty rates. The government's promise of a fund of £2.9 billion for improving energy efficiency in schools and hospitals must also be fulfilled.



3. Sustainable transport

Support councils to increase cycling, walking and home working

Cycling provision in the UK is decades behind what it is in other parts of Europe. For example, two-thirds of journeys in Amsterdam are by walking and cycling, whereas in UK cities it's typically less than a third.

Cycling and walking bring significant health benefits as well as reduced carbon and local air pollution. Local authorities need support with expertise, as well as encouragement when they face challenges. The government can support councils by establishing a dedicated funding stream at levels seen in countries like the Netherlands. It can ensure it's straightforward to permanently reallocate road space to pedestrians and cyclists following the increase in active transport during Covid-19 travel restrictions. Cargo bike demonstration projects could also show how freight in urban areas can be shifted from vans to e-bikes.

Enable the regulation of bus services and better coordination

Power should be devolved to local authorities, combined local authorities or transport bodies with responsibility for buses, so that they can re-regulate bus services. This would enable them to ensure a comprehensive network of frequent, reliable and affordable buses with a single ticketing system. This should include devolution of bus service operators' grants so they can be targeted at low-carbon vehicles. Also, local authorities that wish to establish a municipal public transport operator should be allowed to do so, to better coordinate public transport networks and ticketing.

4. Renewable energy

Empower local authorities to support the transition to low-carbon energy

The government should make clear that planning authorities should reject applications for fossil-fuel extraction on climate-change grounds. National planning policy needs to be more supportive of renewable energy, to facilitate the increase in supply that's needed. Planning policy should actively encourage new onshore wind developments in England, removing the current barriers in the NPPF.

In addition, as stated above, new development should be required to achieve net-zero carbon. This should include the installation of renewables within new developments, like heat pumps, solar power or micro-wind. It should be clear that appropriate development of renewable energy schemes should be supported in the green belt and AONB, if they do not conflict with the purposes of these areas.



5. Reducing waste

Waste management is only responsible for 4% of UK greenhouse gas emissions. However, the extraction and processing of natural resources to make the products we buy produces large amounts of greenhouse gases and has other negative impacts.

The amount of clothes thrown away is a huge challenge to councils, with around 300,000 tonnes of textile waste ending up in household bins every year, which is then sent to landfill or incinerators. But well before that, the manufacture of consumer goods leads to high carbon emissions, and other problems, such as using large quantities of water, often outside of the UK. More sustainable consumption needs to be encouraged.

Similarly, the problem with plastic pollution needs to be dealt with by cutting the amount of plastic that is used, rather than treating it as a recycling problem for councils to deal with.

Support waste reduction

Phasing out all non-essential single-use products would help reduce pressure on council systems and cut impacts caused in the supply chain.

The government must deliver on its commitment to introducing full cost-recovery for products that end up in household waste. This should mean that funding of recycling and waste services shifts from councils, and therefore taxpayers, to product manufacturers and retailers. More funding needs to be made available to councils for the collection of food waste.

Support sustainable consumption and production

Encouraging people to eat less and better meat and dairy products will not only cut UK emissions but will play a crucial role in cutting our impacts overseas. Cutting down on meat and dairy is also healthier.

The government has a role in enabling behavioural change, for example by supporting councils to introduce more plant-based menu options – in line with the Eatwell Guide – in schools, hospitals, care homes and prisons, including through guidance on standards.



6. Restoring nature

Protecting nature sites and creating more nature-rich green spaces is essential to our own wellbeing as well as addressing the ecological crisis. Increasing the amount of green and blue infrastructure (like ponds) in our towns and cities also plays an important role in sequestering carbon and in helping places adapt to a changing climate, for example by reducing flood risk.

Help councils double tree cover

The government should increase funding to councils for tree planting and maintenance, including large-scale woodland and re-wilding programmes in appropriate locations.

Boost natural flood defences

The importance of green and blue infrastructure (including green spaces, green roofs, gardens, rivers, wetlands and ponds) should be recognised in the grant-in-aid formula for flood defence funding.

Ensure everyone has access to natural green space

Through planning policy and funding for parks services, the government should help councils to ensure that everyone has access to good quality nature-rich green space within five minutes of home. This will include new green space in new developments, and targeted creation of space for nature in areas that are currently deprived of it. Creating pocket parks should be a part of this aim, including reallocating space from roads and parking places.

In summary, the council endorses the work of the Friends of the Earth and recognises the need for action to be taken along the lines they outline. Additional powers and resources are urgently required to enable and empower all councils to address the climate and ecological crises and campaigning for this to materialise is a key role for the council. The response to Covid-19 shows how local authorities can respond effectively to a crisis. A joined-up approach is the only sensible way to respond to the recovery from Covid-19, by ensuring that the actions taken deliver more healthy communities and a healthy environment more resilient to future challenges.



Our CMP will detail an overall model for carbon management in the district to carry us towards our goal – currently set as net zero emissions from our operations before 2050. The programme will be presented to full council in May 2021.

All projects identified as part of this programme will be costed, but they will still need to go through the council's approval process, meeting project management controls and receiving expenditure approval in accordance with the budget setting process. The council will position itself to take advantage of external grants and financial incentives, but it must be noted that these corporate controls are required regardless of eventual funding streams as the council needs to ensure value for money is achieved.

In line with the request from council in November 2019, a new decision making framework will be presented for approval which will ensure that carbon budgeting is considered in all reports that come to future committees. Alongside existing financial evaluation, this is expected to introduce an element of 'cost per carbon saving' into larger scale projects, and consider this impact against avoided spend that will be necessary in future to meet our own CO2 emissions targets and likely regulatory obligations. The principle is that this will bring a new focus and allow projects with deferred future benefits to proceed. These include those that might be considered more marginal when viewed through the lens of traditional cost benefit analysis.

Some schemes identified in the new CMP are likely to include projects that should proceed immediately on their own merits and are not dependent upon the approval of the overall programme. This is where it can be demonstrated that there is a straightforward business case with strategic benefits and financial payback in an acceptable

timescale. Approval and funding for such schemes have already been agreed in many cases. Where they are identified and approved, they will be added to and detailed in the council's MTFP.

The council does have access to several potential funding streams and the choice of most appropriate funding will depend upon the achievement of value for money. This will be assessed following the completion of a relevant business cases for individual projects. External funding will always be considered before the use of internal council funds, but consideration should be given to how we can ensure we are aware, and best able to take advantage of opportunities. East Midlands Network has a dedicated team that is available to help facilitate and maximise the funds available to the councils in the region. Groups like the LEP, Greater Lincolnshire Energy Efficiency Network (GLEEN), and Lincolnshire Sustainability Officers Group can be valuable sources and knowledge, information and support as well as potential partners in joint schemes. We should continue to forge contacts and partnerships in these areas to best ensure that we can be on the front foot when strategic opportunities arise.



Some of the ways the council may decide to fund the projects associated with the CMP are:

Invest to Save

The council's capital programme contains funding for Invest to Save schemes. This budget is included on the basis that any projects funded from it will deliver savings to the council. Examples include projects that deliver energy efficiency savings and avoid future expenditure on gas and electricity. Previously, installing solar panels on council buildings was done through a revolving carbon management fund and the projects have now paid back and are still generating income of more than £21k per annum for the council through the Government renewables feed-in-tariff (FIT) scheme. This is in addition to the avoided cost of energy spend.

Business cases for future proposals will likely be required to demonstrate how the cost of borrowing will be covered and show how the individual scheme is self-financing and so has no overall impact against the council's financial position. Schemes should also be considered that maintain the medium term financial position (i.e. neither improve nor worsen the position), but contribute towards delivery of service improvements, or contribute to achievement of council priorities.

Grants and Loans

Some projects may be applicable for external funding, where the terms of the grant are complementary to the outcomes contained within the CMP. External funding may be sought from existing grants or other climate change/energy efficiency related funds which are created as a result of the Climate Change Act to help encourage the transition to a low carbon economy. One such source is Salix, an

independent social enterprise with public funding from the UK Government.

Match-Funding

Some grant awarding bodies, and other third-party funders might attach a condition that a proportion of funding of the total costs of a project comes from the council.

Internal Resources

This includes borrowing for capital schemes and the possible use of the council's capital reserves.

Salix Finance

The Council has previously taken advantage of funding from Salix Finance. Salix financing facilitates carbon reduction and provides loans for a proportion of the investment necessary for energy efficiency technologies to be implemented in the sector.

They offer two funding options:

Option 1: Recycling Fund

A recycling fund, whereby a public sector body is awarded a match funded, interest free loan to fund a number of projects. The financial savings through each project are recycled to fund more projects, always maintaining the value of the fund at a constant level. Funding is returned to Salix only when no further suitable projects can be identified.

Option 2: Energy Efficiency Loan Scheme (SEELS)

The second option allows public sector bodies to apply for an interest free loan to finance up to 100% of a project, however these loans are targeted at specific projects, which when completed repay their costs to Salix from the financial savings achieved. Repayments are required every six months over a period of five years. Before such funding is applied for, the council must ensure that Salix's strict criteria are met. Therefore, it is not until the projects have been further defined and specific business cases formed that a full evaluation and review of appropriate funding can be undertaken.

Crowdfunding

This is a process by which people provide money to projects, companies or organisations via a website (platform). Depending on the nature of the financial arrangement, people receive a return that is either financial (investment-based) or non-financial (donation-based). Research suggests that investment-based crowdfunding offers the potential to deliver a competitive new model of finance for the public sector, while also providing a new way to engage and communicate with residents in a way that builds new local networks of trust. To date a small number of local authorities have successfully funded carbon reductions schemes via this method. It is an initiative therefore that the council should investigate further to understand its suitability and potential and to also determine the governance related matters that must be considered.



Vulnerable Communities

Climate change is something which effects everyone in West Lindsey to some degree and should not be viewed as an issue which is defined by geography, class or age. Our ambition is to ensure that all of West Lindsey's residents are protected from the impact of climate change, but that equality impact assessments are undertaken on specific projects to ensure that any changes that are made do not have a negative impact on the district's most vulnerable people and communities. The transition to zero carbon must also be a just one which ensures that the social impacts of changes to heating and energy for example, are considered alongside the environmental impact.

Within the context of this strategy, we refer to vulnerable communities in the sense of those at risk of the adverse impacts of climate change. Hence with regard to West Lindsey, we are referring to homes, communities and businesses that are at risk of flooding, travel disruption, potential poor water and air quality issues and also those that experience fuel poverty or poor energy efficiency due to poor quality housing and/or living off grid. The council is well placed to play a key role at a local level in responding to the growing public concerns about the environment and issues such as climate change.

Recent extreme weather events have resulted in flooding and traffic disruption that has affected communities across the district. Climate projections predict more intense and variable rainfall patterns, leading to more flooding, water quality issues and extremes of temperature. This will greatly affect all of us, but research suggests older people and those on lower incomes will suffer the most. Also, habitats and species that are already under threat may suffer further threats to their existence or be lost completely.

However, to assist those communities at risk we must first be able to identify them and perhaps also ensure that they regard themselves as

vulnerable in the context of climate change. This is vitally important, so as to be positioned to address the prevailing issues these communities face, the council will need the support and involvement of the communities themselves. We recognise that the council cannot provide all of the solutions, as combating climate change needs system-wide change that involves communities, businesses, individuals and stakeholders across all sectors of the economy, across the country and the wider world. The scale and pace of change needed will require major investments, changes to the way in which we use and interact with energy and changes to how we live our lives and define success. It will also redefine how we manage and interact with our environment. Above all, it will involve collective leadership and shared ambition to deal with this challenge head on and to ultimately realise and enjoy the benefits that will accrue.

To effectively support our vulnerable communities, two over-riding factors will need to be considered; adaptation and resilience.



By adaptation we refer to the need to anticipate the adverse effects of climate change and take appropriate action to prevent or minimise the damage they can cause, or by taking advantage of opportunities that may arise. It has been shown that well planned, early adaptation action saves money and lives later. Examples of adaptation measures include: using scarce water resources more efficiently; adapting building codes to future climate conditions and extreme weather events; building flood defences and raising the levels of dykes; developing drought-tolerant crops; choosing tree species and forestry practices less vulnerable to storms and fires and setting aside land corridors to help species migrate. Much of this work lies outside of the direct remit of the council. Therefore, building close working relationships with partner agencies and identifying mutually compatible outcomes will be a pre-requisite for success.

Building greater resilience within vulnerable communities is also a key factor. There is no clear definition of what this means but the Joseph Rowntree Foundation, having reviewed a wide range of literature, summarise the concept as broadly encompassing the ability of communities to reduce exposure to, prepare for, cope with, better recover from, adapt and transform as needed to, the direct and indirect effects of climate change, where these effects can be both shocks and stresses.

The council must work at a local level through ward plans and neighbourhoods to adapt to make communities more resilient to climate change. This will form part of the council's work through on-going support for the development of Neighbourhood Plans and also through the development of improved communications, information, sign posting and guidance. Implementing strategies and interventions that will improve the capacity and resilience of vulnerable communities and the district overall is vital. In doing this, residents are likely to expect to be involved in the policy process throughout. Community

engagement will facilitate a greater understanding and ownership of actions on climate change. The credibility and legitimacy of our elected members may mean that they are well placed to help the council to understand complex local need and be at the forefront of this agenda.

Specific actions the council could consider to increase resilience include, ensuring that the CLLP places climate change at its core and reflects the need for adaptation and resilience to be incorporated into all development and infrastructure planning; working with developers to ensure new housing development meets higher standards and is sustainable, more resilient to the effects of climate change and achieves net-zero carbon emissions; further address fuel poverty issues across the district by supporting a district heating scheme and supporting communities to take energy efficiency measures to improve insulation and glazing; ensure that emergency planning protocols are continually monitored and assessed for effectiveness, particularly in respect of flood risk; understanding the effects of demographic change on our communities and the impact this may have on their existing resilience levels; increasing the resilience of natural habitats and species by acting as a responsible custodian of the natural environment that the council both owns and has an influence over – trees, parks, open spaces and larger tracts of land and working effectively with partners to promote climate action in these areas. Over-riding all of these potential actions is perhaps the most significant; the council can empower and support local groups to develop community-scale climate change projects and can partner with the community through co-production in adaptation and resilience planning. By incorporating community expertise at the design stage, it will address the unique ways that different communities are vulnerable and will increase the capacity of planning processes to be more adaptive to local conditions and vulnerabilities.

Reducing Waste

The waste workstream looks at the waste produced across the district and considers how best to improve management within the waste hierarchy of refuse, reduce, reuse, recycle, recover. It explores how we can build the value of certain waste materials to develop a more circular economy and how we can use our position of community leadership to change habits and practices within our communities.

Waste interacts with other work streams (building a more circular economy and engaging with businesses over their waste management under the 'Influencing' workstream or requiring best practice waste management in new developments under the 'Buildings' workstream).

It is an area within which the council has a good level of influence and control through statutory waste responsibilities, membership of the Lincolnshire Waste Partnership (LWP), our own council operations, as well as acting as an enabler and supporter for others.

The developing Lincolnshire Waste Strategy is the key document for us that identifies priority themes for waste and the council will support and work hard to deliver collective outcomes that all partners have agreed upon.

We have highlighted three key areas below where we will strive to go beyond the LWP strategy. They are:

- Reducing residential waste and improving the quality and quantity of recycling through a Behaviour Change programme
- Commercial Waste and the Circular Economy
- Waste from our own buildings and activities

1. Residential Waste and Behaviour Change

Within this, the intention is to ensure that the council continues to support the direction of the LWP and the high level ambitions identified through the LWP strategy, including improving our already very good levels of domestic waste recycling, reducing domestic food waste and diverting residual waste to generate energy wherever possible. Additionally it is important that forthcoming changes in recycling to improve the quality of materials are effectively communicated and that our residents understand why they are required and support them. It is also essential that the council ensures new development fosters sustainable waste management behaviours.



2. Commercial Waste and the Circular Economy Objectives

Working with commercial enterprises across the district is a requisite to ensure they are more aware of the impacts of their commercial waste and are working to reduce waste and improve recycling rates. This would facilitate considerable improvements in the level of commercial waste recycled and reused across the district and ensure significant steps are made towards the development of a circular economy across the district/county/region.



3. Waste from Council Buildings and Activities

Leading by example is a major task for the council and runs through many of the themes within this Strategy. It is no different in respect of waste. Therefore waste from council operations must be effectively reduced and all remaining waste should be appropriately redirected to reuse, recycling or energy production. Single-use items should be removed from council operations by as early a date as reasonably possible and the council must ensure that it leads by example as a role model for other local authorities and local businesses



Influencing Others

The council only has direct control over a small percentage of emissions across the district (our direct emissions). It is therefore important that the council works with and influences others to also play their full part in responding to the climate emergency. This will be vital in the wider district achieving its zero carbon ambitions. We will work with and exert our influence on as many organisations and individuals as possible in the way services are designed, delivered and communicated and create opportunities to encourage and support partners and residents to play a key role in achieving the district's climate change objectives. Different measures can support and influence different groups of stakeholders – residents and customers, visitors to the district, businesses in the supply chain, partner organisations in whose operations the council has an interest, neighbouring authorities across Lincolnshire and beyond, the Government and international interests.

To achieve the goals the council has set to be net-zero carbon by 2050 and to support and work with all other relevant agencies towards making the entire area net-zero carbon within the same timescale, it is clear that this will require collaborative working. As a 'leader of place', the council is in a privileged position to bring together all relevant bodies from across the district and demonstrate, by example, the importance and benefits of taking action to combat climate change. The council already possesses a number of policy levers and funding powers that can be used to influence behaviour. This influence is far greater than the council's actual direct emissions from its operations as an organisation, however the use of such powers and policies must be carefully considered so that communities feel jointly involved, understand and appreciate the benefits of taking action and do not perceive any coercive intentions.

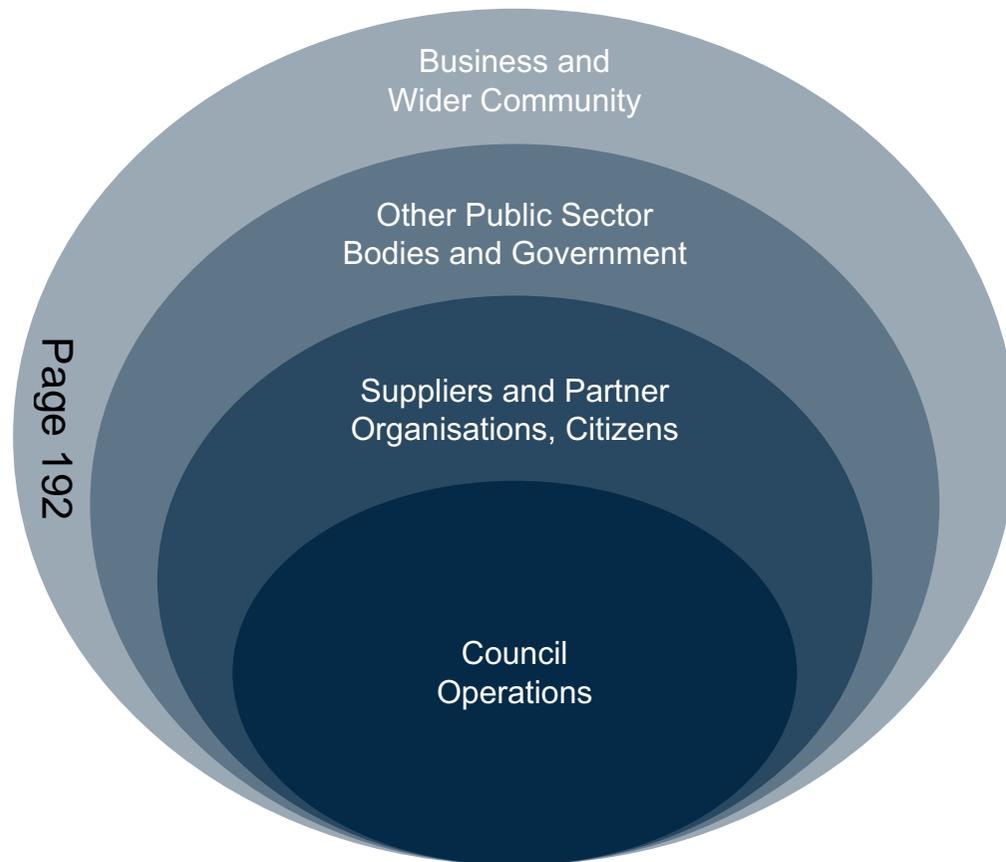
This aspect of the strategy is perhaps the most crucial and important to execute appropriately so that the goal for the council and wider

district to achieve a net-zero carbon position by 2050 is achieved. Throughout this document, reference is made to the term 'sphere of influence'. By this we mean the council must have a clear understanding of what it can control, what it can influence and what it cannot influence at any particular point in time. This understanding is critical to enable the council adopt relevant strategies to ensure it exerts as much influence as possible across all sectors operating within the district.

Depicted diagrammatically demonstrates more easily that the further the council moves from its own operations, its ability to control and influence lessens. Hence to exert influence and control internally, the council has a great degree of autonomy. It can also exert a significant degree of influence and control over partner organisations, suppliers and citizens. However, the council's degree of influence weakens when related to attempting to influence other public sector bodies and/or Government and weakens further still in respect of influencing business and industry. It is vital therefore that the council identifies the key stakeholders within each of these sectors and understands the depth of its current relationship with each of them.

In generic terms the council already possesses a number of policy-making and regulatory functions. Many of these already help to incentivise and encourage low carbon behaviours and activities. In order for the council and the district to meet the targets that have been set we will need to ensure that all key decisions the council makes and policies and procedures we implement support this ambition. This will include grant, funding and investment decisions, procurement and commissioning, our capital and revenue gateway process, new build and refurbishment standards, design standards, leases or developments on council owned land, the CLLP and staff and member travel policy. These also provide the opportunity to influence how other large and small organisations in the district and

beyond operate and to encourage them to work towards the zero-carbon target.



As a council, we recognise that we can and must influence within and across the organisation among both staff and councillors to turn into action the message that a dramatic reduction in emissions is required and that such action must be taken on an individual, household, community and organisational level. To assist with this the council has already taken action and influenced change in the form of:

- Holding awareness and training sessions on the subject matter
- Supporting home working policies
- Becoming a 'paper-light' organisation
- Making greater use of virtual meetings/tele-conferencing
- Implementing two CMP's and producing the third iteration
- Procuring fleet vehicles that are the most fuel efficient and produce low emissions
- Created a cross-party Member Working Group

However, there is more that the council can do. The updated version of the CMP 2021-2016 identifies further measures the council can take to reduce its carbon footprint along with a roadmap for delivery. To make progress against the roadmap, the council must be able to persuade decision-makers that the action(s) to be taken are proportionate, will be effective and sustainable but also provide value for money. Building confidence throughout the delivery of the roadmap is key to keeping all internal parties engaged and encouraged that progress is being made and will provide the basis for on-going external communications which highlight success, promote future plans and encourage other organisations to follow suit.

A further positive action that can be taken is referenced within the decision-making section of the strategy but further mention here illustrates the cross-cutting nature of the work. It is vital that to be able to exert influence, decisions made by the council must reference and take account of the climate related impacts and opportunities of any key projects/initiatives the council is considering. By consistently highlighting and referencing such considerations across the council's governance and decision making processes, the council can engineer changes in attitude, awareness and understanding of climate relates issues and consequently ensure that positive actions are taken.

The council's influencing role and duty then spreads further afield to work across the County of Lincolnshire to work with fellow councils to ensure that a collective, consistent and mutually beneficial approach is taken to face the challenges all neighbouring authorities face. Again some good work has already been instigated to support this in the formation of a Lincolnshire-wide Sustainability Officer Group in which West Lindsey plays a key role. The on-going sharing of best practice and initiatives, working collaboratively where possible will be a key feature of the council's work.

Moving further away from the local authority domain, the council must simultaneously attempt to engage and work across the district with businesses, industry, 3rd sector organisations and other interest groups. Among this wider group the council may have less direct influence and therefore it is vitally important to stress the positive benefits of taking action as well as highlighting and explaining the reasons why urgent and sustained action is required. Leading by example, supporting and pin-pointing organisations to relevant advice and third party support and funding streams will be a key requirement. The council will also need to formally engage with organisations across the district. Hence, the creation of a cross-district Climate Board could be an appropriate vehicle to bring together vested interests and form collaborations and joint projects designed so that the district as a whole can achieve net-zero carbon by 2050.

Running through all of the influencing work the council must engage with is the key matter of continually communicating, supporting and encouraging our residents to try and do the right thing by the environment. We have made a positive start with this by creating new climate related web pages and consulting widely during the development of the strategy. However, we must not allow complacency to set in. Therefore we are committed to regularly

reporting openly on the progress the council makes and the problems it faces in achieving its objectives, highlighting positive actions that residents can take for themselves, promoting the positive benefits that can accrue both personally and environmentally and crucially engage with the younger generation in a meaningful manner. The creation of public forums or assemblies could be a means of achieving this whereby the council places itself to be held to account for its actions and engages with interested stakeholders in a structured manner.

The use and promotion of trusted, verifiable research data will also help the council to influence across all sectors. By referencing and highlighting relevant climate related information that can be relied upon, the council can be regarded as a trusted third party and leader on climate, environment and sustainability matters. Consequently the council will keep abreast of developments across this agenda, attending relevant conferences and workshops to gain further knowledge and insight and will also regularly issue communications messages across all platforms to reach as many stakeholders as possible across the district and further afield.

So all aspects of the work the council must do to positively influence are vitally important to help the council reduce the impact of its operations to carbon net zero position by 2050 and to also support and work with all other relevant agencies towards making the entire area zero carbon within the same timescale, so that West Lindsey is a great place to be where people, business and communities can thrive and reach their potential.

Green Transport

In the UK, around 40% of all emissions at present are caused by transport. West Lindsey is a district of 445 square kilometres that is divided by the A15 and traversed by the A46. We have a geography that makes many reliant on cars. It is no surprise then that in our district, transport emissions make up an even higher proportion of total emissions, at 43%.

Whilst the Covid-19 lockdown led to a significant reduction in vehicles on our roads and associated emissions, national data shows that they have rebounded quickly and it seems clear that, at least in the foreseeable future, emissions must be reduced through a move to vehicles powered by alternative low-carbon fuels. That will require action by the Government and support from local councils to promote sustainable infrastructure and charging networks.



The UK Government is now poised to bring forward its ban on new fossil fuel vehicles from 2040 to 2030 to help speed up the rollout of

electric vehicles. The Government's ambitions are that it will end the sale of new conventional petrol and diesel cars and vans by this date. By then, it is expected that the majority of new cars and vans sold will be 100% zero emission and all newer cars and vans to have significant zero emission capability. By 2040 almost every car and van will be zero emission. This is in line with recommendations from Committee on Climate Change (CCC), which in its 2019 report, argued that 2040 is too late for the phase-out of petrol and diesel cars and vans, and current plans for delivering this are too vague. The CCC has also concluded that a switch to electric vehicles by 2030 would produce a cost saving over a 2040, or even a 2035 date.

Whilst we believe the Government must take heed of its CCC's warning and set a more ambitious target date, it appears that ending the sales of all petrol and diesel vehicles much before 2030, as many advocate, would be difficult to achieve. It will take time for manufacturers to convert their production lines to e-vehicles and petrol and diesel will therefore be the norm for new vehicles for several years to come, and those buying them will expect them to have a life of at least 10 years. Moreover, we cannot expect such a transition until batteries have been developed that can vastly increase the distances vehicles can travel on a single charge, until there is technology for much faster charging, until the cost of e-vehicles can be substantially reduced, until there is adequate provision of charging points and until service stations can make the necessary changes. This is happening, but at a slow pace.

In respect of the council, it has few cars and vans compared to most councils; with only six light commercial vans and one car. We are already proposing to reduce this number to three and replace with electric vehicles as current ones come to the end of their working life. However, the majority of our fleet and emissions are made up of our refuse collection fleet and street cleansing vehicles. Due to the

distances covered each day and sheer volume of work undertaken, our hopes for emission reductions lie mainly with the use of alternative fuels (hydrogen being a possibility). But, as with cars, much development work will be needed before major changes are possible. We therefore, regrettably, do not expect transport emissions to drop much in the near term. Beyond 2030, we hope that the ban on petrol and diesel vehicle sales (or the anticipation of its introduction) will result in significant reductions in the following decade, but achieving near zero emissions by even 2040 will present a major challenge.

Our strategy for reducing transport emissions therefore will reflect what we believe are the realities of the time needed for making a transition. Reducing journeys made by cars and freight must be an absolute priority, but alongside that, the council has its part to play in ensuring that the change to e-powered or low-carbon vehicles is not inhibited by a shortage of charging points; either publicly available or incorporated into new development plans.

As a council we are also conscious of the impact our operations have on transport levels. Staff and members commute to work and undertake business mileage in the course of their jobs and roles. Since the onset of the Covid-19 pandemic, many colleagues have worked from home/remotely, thereby significantly reducing the level of commuting mileage, while business mileage has also reduced. As recovery from the pandemic begins to take shape, the council is looking to harness the benefits brought about over the recent period, not only in less mileage accrued, but also in enhancing the work-life balance for many staff and increasing productivity. The way in which the council operates in the future is likely to be somewhat different to the past, but by reviewing travel related policies through a new lens and applying innovative thinking, the benefits will be multiple.

Additionally, encouraging a switch away from cars to public transport, walking and cycling is required. In a rural setting this is problematic as public transport services often do not meet need and the roads may not be conducive to safe cycling or walking. However, the council must work with partners including LCC and also lobby for improvements to the public transport and roads network to provide feasible alternatives for residents which enable them to go about their daily lives without the need for significant own vehicle usage. The co-benefits are obvious, improvements to health and wellbeing, less traffic and pollution and more connected communities.



Conclusion

Monitoring and Review

The council will set up a monitoring and review process to assess progress against the CO2e emission projections and other targets. This could be done on an annual basis through the councils Progress and Delivery reporting mechanism or, to align with the Committee on Climate Change's national carbon budgets, be split into 5-year periods.

Quarterly - Monitor progress against the Carbon Neutral Plan Report to Members and partners

Annually - Report progress to internal and external audiences
Monitor renewable energy generation and installed capacity
Monitoring of the cost benefits achieved (for instance, by estimating the energy savings that are achieved and the costs avoided as a result). In addition to reporting on the steps taken to achieve specific actions, the priorities of this Strategy will be reviewed on an annual basis. This review will account for broader factors such as policy or technological changes; where appropriate, the action plan will be updated to reflect such changes.

Action Plan

The measures and actions described in this Strategy and Action Plan reflect the following overarching priorities:

The council should take a leadership role in reducing CO2e emissions by examining its own operations, buildings, vehicle fleet, services and policies and identifying best practice measures that can be implemented. The council should also take a leading role in engaging and collaborating with residents, businesses, Lincolnshire Councils, Parish and Town Councils and other stakeholders across the district to

support, facilitate, encourage and deliver CO2e emissions across the district.

The council should campaign and lobby the Government to achieve more rapid and deeper carbon reductions across key priority areas, including higher energy efficiency standards for new and existing buildings, policies that support uptake of renewable and low carbon technologies and the development of low carbon transport and infrastructure, including an uptake in the installation of EV charging points. This recognises that some of the actions laid out in the action plan will rely on broader trends that are outside of the Council's immediate control.

Final Thoughts

Through engagement and consultation undertaken in developing the aims of this Strategy, the council has established that it has the support of key stakeholders across the district; residents, businesses, Parish/Town councils alike.

The analysis which has led to the development of the action plan shows that the route towards becoming carbon neutral will require a strong level of ambition and commitment, backed up by significant interventions and investment across the council. Although the Strategy illustrates that meeting the carbon neutral ambition will rely upon some factors outside of the council's control, such as the decarbonisation of the grid and availability of key technology, the fundamental steps required to deliver the net-zero target are clear and with strong leadership from the council these can be set into action now.

You can now have your say on WLDC's plans

Head to our website, www.west-lindsey.gov.uk/climate,
where you can find out about WLDC's work
and view key documents and research.

You can also post comments on Facebook, Twitter or Instagram
or email climate@west-lindsey.gov.uk



Appendix Three: Climate Strategy Action Plan Summary

Click on the action number to access further details on carbon saving, cost, methodology and co-benefits, provided on the next tab.									
	Minimising emissions from the council's estate	Carbon (<500 Low,>1000 Med,>10,000 High Tpa)	Cost (to WLDC)	Ease of implementation. (Green - Easier, Yellow - Medium, Red - Difficult)	Time Scale	CO-BENEFITS			
						Health	Economy	Equity	Resilience
RESOURCES AND FINANCE									
Set up an initial Carbon Savings and project delivery fund from Council reserves		HIGH	HIGH	MEDIUM	SHORT	1	2	1	1
Review, and consider introducing changes to WLDC's travel policy to reduce mileage and incentivise more sustainable work patterns and transport.		LOW	LOW	MEDIUM	SHORT	1	2	3	1
Position WLDC to take advantage of external grants and financial incentives related to this area. Help our communities and		HIGH	LOW	EASIER	SHORT	2	2	2	2

businesses to do the same									
Investigate crowdfunding green projects -		HIGH	LOW	EASIER	MEDIUM	2	2	2	2
Energy Efficiency Loan Schemes		MEDIUM	LOW	EASIER	SHORT	0	0	0	0
BUILDINGS & ASSETS									
Upgrade the insulation and heating systems of council buildings, taking advantage of interest free finance available		MEDIUM	LOW	EASIER	MEDIUM	0	3	0	3
Review minimum energy efficiency standards in the private rental sector		MEDIUM	LOW	EASIER	MEDIUM	3	2	3	3
Encourage retrofitting of houses to improve energy efficiency - initially looking to make use of the Green Homes Grant scheme		HIGH	MEDIUM	MEDIUM	SHORT	3	2	3	3
Look to work with Social Housing Providers to encourage		MEDIUM	LOW	MEDIUM	MEDIUM	3	3	3	3

retrofit housing stock to EPC C minimum									
Use planning powers and relevant policies within the Local Plan to ensure new developments are designed to mitigate against climate change and to be resilient to future impacts.		HIGH	LOW	EASIER	MEDIUM	1	2	1	3
Encourage/enable energy efficiency measures, BMS and retrofit of WLDC lease buildings and assets		MEDIUM	LOW	DIFFICULT	MEDIUM	0	2	0	3
Require new council facilities to be built to the highest standards e.g. BREEAM excellent)		LOW	LOW	DIFFICULT	SHORT	0	1	0	3
TRANSPORT									
Support measures to encourage cycling and walking across the district		LOW	MEDIUM	MEDIUM	MEDIUM	3	1	2	1
Behavioural change programme to		LOW	LOW	MEDIUM	LONG	3	1	2	0

discourage private cars use.									
Low carbon Neighbourhoods enabling people to reduce the amount they need to travel (e.g. through better digital connectivity/rural broadband).		LOW	MEDIUM	EASIER	MEDIUM	3	1	2	1
Encourage car sharing		HIGH	MEDIUM	EASIER	MEDIUM	2	0	2	0
Enable the rapid shift to electric vehicles through putting in place EV charging		HIGH	LOW	EASIER	SHORT	2	0	1	0
Work with partners to help grow a green public transport system, increase active lifestyles and reduce work related travel		HIGH	LOW	EASIER	LONG	3	0	1	1
Deliver a transition of the council's own fleet to electric		MEDIUM	HIGH	DIFFICULT	MEDIUM	2	0	1	1
Develop a taxi licensing policy to encourage the take-up of electric and other low emission vehicles		MEDIUM	LOW	EASIER	MEDIUM	2	0	1	1

and to discourage higher polluting older vehicles.									
Reduce the need to own and use a car through managing developments in the local plan		MEDIUM	LOW	EASIER	MEDIUM	2	1	1	1
POWER									
Investigate the integration of renewable energy such as solar PV or heat pumps in WLDC owned buildings (as per the new waste depot)		MEDIUM	MEDIUM	MEDIUM	SHORT	0	1	0	2
Switch street lighting to well-designed and well directed LED lights		MEDIUM	MEDIUM	MEDIUM	SHORT	1	3	1	0
Work to reduce and shift Energy use and demand		HIGH	MEDIUM	EASIER	LONG	2	3	3	3
Help facilitate move to Low Carbon and Renewable Energy Generation and Storage Technologies		HIGH	MEDIUM	EASIER	LONG	3	3	3	3

WLDC's Own Estate and Operations - energy demand reduction and decarbonisation		HIGH	HIGH	MEDIUM	SHORT	1	1	1	2
Identify areas suitable for renewable energy in support of the local plan		HIGH	LOW	EASIER	MEDIUM	0	3	0	0
Investigate the development of renewable energy & energy storage and support community energy schemes.		HIGH	HIGH	EASIER	LONG	0	3	0	1
WASTE									
Educate and support residents and businesses to reduce, recycle and reuse materials as part of sustainable circular economy		HIGH	MEDIUM	EASIER	SHORT	1	1	2	3
Reduce waste production in Council offices		LOW	LOW	EASIER	SHORT	0	1	0	0
Support Lincolnshire Waste Partnership strategy, including		MEDIUM	MEDIUM	DIFFICULT	MEDIUM	0	2	2	0

reducing waste (especially food) improving levels of recycling, and diverting residual waste to generate energy wherever possible;									
LAND USE									
Biodiversity: Protect and enhance the diverse natural habitats of the district and the wildlife they support,		LOW	MEDIUM	EASIER	MEDIUM	1	0	3	3
Promote the use of open spaces as part of healthier and more active lifestyles.		LOW	LOW	EASIER	MEDIUM	3	0	3	1
Undertake an assessment of opportunities for offsetting residual CO2e emissions. Options could include increasing tree cover on council owned land and on streets; update local planning strategies to		LOW	HIGH	DIFFICULT	MEDIUM	3	1	1	3

encourage nature based solutions such as increasing tree cover across the council area									
INFLUENCING OTHERS									
Encourage and enable energy saving / low carbon behaviour by all council staff		LOW	LOW	EASIER	SHORT	0	1	0	0
Support particularly SME businesses to access funds and expertise for reducing carbon pollution - promote resilience support grants		MEDIUM	MEDIUM	EASIER	MEDIUM	0	3	0	3
Encourage and support schools to cut carbon e.g. through participating in the LESS CO2 programme and through accessing Salix finance. Continue to promote WLDC's recycling schools service		HIGH	LOW	EASIER	MEDIUM	1	2	0	1

Engage with residents to encourage a transition towards local, sustainable food choices with less and better meat		HIGH	LOW	EASIER	MEDIUM	3	0	3	0
Develop a communications action plan to maximise opportunities to promote the council's actions and encourage behaviour change from businesses and residents.		HIGH	LOW	DIFFICULT	SHORT	3	3	3	3
Engage with community groups, parish and town councils in West Lindsey to raise awareness of actions to limit climate change and promote positive behavioural change.		HIGH	MEDIUM	DIFFICULT	SHORT	0	0	3	3
DECISION MAKING									
Use the council's procurement processes to ensure the local authority supply chain is		HIGH	LOW	EASIER	SHORT	0	1	0	1

minimising carbon emissions, including through circular procurement									
Corporate Priority – ensure climate, sustainability and the environment are appropriately reflected in the Council’s next Corporate Plan		HIGH	LOW	EASIER	SHORT	2	2	2	2
Governance – put in place appropriate structures to progress climate matters internally and contribute to wider county/national discussions		HIGH	LOW	EASIER	SHORT	0	0	2	0
Ensure all reports clearly set out climate related issues		HIGH	LOW	EASIER	SHORT	0	0	2	0
Training – increase awareness and expertise across members & officers		HIGH	LOW	EASIER	SHORT	0	0	2	0
Business planning - Ensure Environment and Sustainability and		HIGH	LOW	EASIER	SHORT	1	1	2	1

net zero are taken into account by departments									
CAMPAIGNING AND LOBBYING									
Lobby and Campaigning for greater access to resources and funding for Councils to speed up transition to net-zero		LOW	LOW	EASIER	SHORT	0	0	2	2
Lobby and Campaigning for better buildings standards and powers for councils to insist upon them		LOW	LOW	EASIER	SHORT	2	2	2	2
Lobbying and Campaigning for support for Councils to help enable Sustainable Transport, waste reduction, restoration of nature and other identified priorities		LOW	LOW	EASIER	SHORT	3	0	2	2
PROTECTING THE VULNERABLE									

Effective emergency planning procedures		LOW	LOW	EASIER	SHORT	1	0	3	3
Identify potentially vulnerable communities		LOW	LOW	MEDIUM	SHORT	2	0	2	2
Increase resilience among communities		LOW	MEDIUM	MEDIUM	SHORT	2	2	2	3

Appendix Four: Overview of Consultation Responses

1. Analysis of Comments Contained Within the Climate Strategy Survey – Phase One

The survey was conducted between 6 July and 28 August 2020. Two consultations were undertaken which had one concentrating on adult responses while the other was focused on children's responses. This document highlights the results from both surveys.

A further consultation was undertaken during this time which focused on the budget consultation for 2020 for West Lindsey District Council. This consultation included one question to support the development of the climate strategy. The results from this question are also noted in this report but further information can be found in the Budget Consultation Report for 2020.

The survey elicited 151 responses from a mixture of residents, businesses and Parish/Town Councils. The breakdown being:

- Residents – 144 (95.4%)
- Businesses – 4 (2.6%)
- Parish/Town Councils – 3 (2%)

Respondents were asked how important a topic climate change, the environment and sustainability is to them.

Number	%	Rating
2	1.4	1 – Not important
3	2.0	2
11	7.4	3 – Neither
51	34.5	4
81	54.7	5 – Extremely important

The age profile of respondents is worth noting and the age profile of the Council's Citizen's Panel is provided for comparison purposes.

Age Group	Number	%	Citizen's Panel % data
16-25	1	0.8	1.5
26-35	4	3.3	4.5
36-45	10	24	12.0
46-55	24	19.5	22.7
56-65	32	26	35.1
66-75	37	30.1	17.8
76 or over	12	9.8	5.6
Prefer not to say	3	2.4	0.7

Opportunity was provided for respondents to make any additional comments in respect of this subject matter. Sixty comments were made and the contents of these have been analysed to draw out the main messages that were conveyed. These have been collated thus:

1. Positivity – many comments were made highlighting that the moves the Council are making are welcomed and are a positive step
2. Urgency – there was a desire for the Council to act quickly and begin to address the climate related issues
3. Action – the need for the Council to take positive and sustained action was highlighted
4. Communication & Engagement - respondents stressed the need for on-going communications and engagement across communities to ensure that focus remains on this issue
5. Knowledge – the Council must take a lead on increasing the knowledge of residents in all climate related matters
6. Behaviour Change – this is a key requirement to ensure climate related targets are met
7. Recycling and Waste Minimisation – a number of contributors stressed this as a key action that should be encouraged
8. Renewables – this area was seen as one that would have a positive impact of reducing emissions across the District
9. Planning – a need for reforms to existing planning policies was expressed to ensure better build quality and greater protection for vulnerable communities
10. Transport – comments were made highlighting the need for improved, green public transport solutions

The Council also recently ran a budget engagement exercise and within this asked respondents to rank in order of importance, six climate related actions the Council could take. These findings have some synergy with the comments made within the climate survey:

Action	Result	Priority
Reduce waste through recycling and reuse initiatives	187 (26.9%)	1
Better use of land to mitigate climate change impact and nature loss	75 (10.8%)	5
Reduce emissions from transport and support more sustainable transport solutions	81 (11.6%)	4
Support the growth and use of renewable energy	160 (23%)	2

Ensure the most vulnerable to the effects of climate change e.g. flooding are protected	74 (10.6%)	6
Encourage energy efficiency in private-owned homes and new developments	119 (17.1%)	3

This brief analysis provides some key pointers for the Council as it progresses this agenda.

1. The Council must harness and use the current feeling of positivity
2. Leadership, communication and engagement must be evident and the Council should be seen as a provider of accurate information and knowledge to help residents and businesses make informed decisions
3. The Council must take a lead role in engineering behaviour change among residents and introduce and promote new recycling initiatives
4. Planning reform is regarded as necessary; hence the Council should lobby Government with other Councils
5. The promotion of renewable energy solutions should be supported by the Council
6. The age profile of respondents shows that significant attention needs to be paid to engage and communicate with younger age groups to elicit active participation

2. Analysis of Comments Contained Within the Climate Strategy Survey – Phase Two

Background: Survey ran from 24th November to 31st December 2020. Direct notification of its existence was issued to Parish and Town Councils and the Council's Citizen's Panel and social media was used to promote it, a press release was issued, Cllr Coulson promoted it in a radio interview and the Council's website pointed residents towards it.

1. A total of 294 responses were received from a mixture of Citizen Panel members, residents, Parish and Town Councils/Councillors and businesses; the breakdown being:
 - Citizen Panel members: 237 (81.2%)
 - Residents: 72 (24.7%)
 - Parish/Town Councils: 16 (5.5%)
 - WLDC Councillor: 1 (0.3%)
 - Business: 1 (0.3%)

The age profile of participants was as follows (Citizen's Panel profile shown for comparison purposes):

Age	Numbers	Citizen's Panel data
Under 16	0 (0.0%)	-
16-25	3 (1.0%)	1.5%
26-35	10 (3.4%)	4.5%
36-45	26 (8.9%)	12.0%
46-55	25 (8.6%)	22.7%
56-65	72 (24.7%)	35.1%
66-75	111 (39%)	17.8%
76 or over	37 (12.7%)	5.6%
Prefer not to say	8 (2.7%)	0.7%

2. Respondents were asked whether they are concerned about the environment and the impact of climate change (table 2) and if so, what concerns them most (table 3).

Table 2: Are you concerned about the environment and the impact of climate change?		Table 3: What concerns you most?	
Yes a lot	207 (70.9%)	Environment destruction	92 (32.5%)
Yes a little	71 (24.3%)	Extreme weather	71 (25.1%)
Not really	13 (4.5%)	Flooding	42 (14.8%)
Not at all	1 (0.3%)	Species extinction	39 (13.8%)
Don't know	0	Rising temperatures	28 (9.9%)
		Refugees	5 (1.8%)
		Disease	4 (1.4%)
		Don't know	2 (0.7%)

3. The survey asked if it is achievable for the Council to reduce its own carbon emissions to net zero by 2050 (table 4) and whether this target was ambitious enough (table 5).

Table 4: Is it achievable for the Council to reduce its own carbon emissions to net zero by 2050?		Table 5: Is this target ambitious enough?	
Yes	171 (58.8%)	Too ambitious	63 (22.3%)
No	49 (16.8%)	About right	148 (52.3%)
Don't know	71 (24.4%)	Not ambitious enough	72 (25.4%)

While a majority of responses indicate that the target is achievable, a significant proportion do not know and almost 17% feel that the Council will not be able to achieve a net zero position by 2050. Supplementary comments related to the achievability of the Council meeting its 20250 target, grouped around **cost concerns** ("Although willing I believe monetary obstacles will happen"); **behaviour change**

(“You will not be able to control the behaviour of individuals and organisations in this regard”) and **external influences** (“Too much is outside of local control”).

4. Respondents were asked if it is achievable for the whole district of West Lindsey to be net zero carbon by 2050 (table 6) and whether this target was ambitious enough (table 7).

Table 6: Is it achievable for the whole district of West Lindsey to be net zero carbon by 2050?		Table 7: Is this target ambitious enough?	
Yes	149 (51.4%)	Too ambitious	73 (25.3%)
No	71 (24.5%)	About right	149 (51.6%)
Don't know	70 (24.1%)	Not ambitious enough	67 (23.2%)

Again, a majority of replies indicate that it is achievable for the District to achieve a net zero position by 2050, but just under half of all participants either do not know, or definitely feel that the target cannot be met. Supplementary comments focused on **finances** (“Unaffordable”); **behaviour/lifestyle change** (“Because net zero is quite complex and requires major lifestyle and business changes); the need for **collaboration** (“Will be difficult to bring industry/business on board without external policy levers or the threat of sanctions/fines”); **too many factors involved** (“Far too many objectives in the equation all which involves seismic shifts in how things are done now and how they will have to be done for zero carbon”); **current reliance on fossil fuels across the District**, (“West Lindsey is a very large area, it will be difficult to stop many of its inhabitants burning carbon carbon to heat homes. Homes in rural areas will still need to use carbon for heating and cooking. New laws would have to be introduced and modifications made to homes to stop carbon use, I don't see this happening.”) and **general apathy** (“Not everyone is on board.”).

5. In considering the draft Sustainability, Climate Change and the Environment Strategy, Table 8 shows that the main benefits that will accrue were deemed to be:

Slowing down climate change	208 (72.0%)
Improved mental health	62 (21.5%)
Improved low carbon transport options	186 (64.4%)
Reduced waste	204 (70.6%)
Improved physical health	93 (32.2%)
Saving money in the long run	92 (31.8%)
I don't think there are benefits	4 (1.4%)
Protection of natural habitats and species	188 (65.1%)
Help protect against flooding and extreme temperatures	204 (70.6%)

6. Attention was paid to actions contained in the draft strategy and those that households could or already have taken to reduce climate change. Table 8 illustrates the response:

Action	Greatest Impact	Already Done
Switching to renewable energy such as solar or wind power	197 (87.2%)	73 (32.3%)
Make sure your home has enough insulation	161 (60.3%)	190 (71.2%)
Limiting the amount of water you use	108 (54.0%)	145 (72.5%)
Driving less or driving an electric or low emissions car	166 (79.8%)	89 (42.8%)
Minimising single use plastic in packaging or products you buy	192 (76.8%)	115 (46.0%)
Recycling as much household waste as possible by taking part in all household recycling options available	161 (60.8%)	208 (78.5%)
Using public transport more often than you currently do	92 (81.4%)	35 (31.0%)
Reducing food miles by shopping local	110 (60.1%)	115 (62.8%)
Switch to an electric or hybrid family car	140 (91.5%)	29 (19.0%)
Growing your own food	89 (66.4%)	79 (59.0%)
Reduce Air Travel	135 (75.0%)	97 (53.9%)
Eating a more plant-based diet	80 (59.7%)	91 (67.9%)
Car sharing	72 (82.8%)	20 (23.0%)

These results show that a broad range of actions have been taken by residents already, with the most popular concerning energy/water related measures; recycling; lifestyle changes, such as reduced meat consumption; less driving; growing own produce and shopping locally. While this is encouraging, the questions to be asked are: how much further can households go? How to get more households/individuals on board? How to sell the co-benefits of lifestyle/behavioural changes?

- To ensure that the Council's time and resources are focused on areas that will have the greatest impact as quickly as possible, the survey asked which of the potential actions in the draft strategy will have a big or small impact on reducing climate change and improving the environment in our district?

Table 9:

Action	Big Impact	Smallest Impact	Don't Know
West Lindsey District Council leading by example and becoming net zero carbon	156 (54.9%)	109 (38.4%)	19 (6.7%)
More local information on carbon emission figures etc to help influence peoples' daily behaviour	113 (40.1%)	149 (52.8%)	20 (7.1%)
Retrofitting homes to become more energy efficient and tackling fuel poverty	218 (76.2%)	56 (19.6%)	12 (4.2%)
Supporting and promoting the development of low carbon travel and low emission vehicles	186 (66.0%)	79 (28.0%)	17 (6.0%)

Seeking additional powers and resources from Government to help tackle climate change	162 (58.5%)	84 (30.3%)	31 (11.2%)
Reducing waste and increasing reuse and recycling	232 (80.6%)	55 (19.1%)	1 (0.3%)
Planting trees	164 (71.0%)	58 (25.1%)	9 (3.9%)

From these responses, it is clear that action is expected on the part of the Council across all areas detailed in the survey; with emphasis placed on initiatives to further reduce waste and promote recycling; tackle energy efficiency and fuel poverty and planting trees. As the strategy action plan is developed, these notions should be appropriately reflected.

- Existing awareness of the Council's commitment to tackling climate change was investigated (table 10) and respondents were also asked to gauge their levels of satisfaction with the actions the Council was taking to be a Green District (table 11).

Table 10: Prior to completing this questionnaire, how aware were you that West Lindsey District Council were developing a Sustainability, Climate Change and the Environment Strategy and had set a target of net-zero carbon emissions by 2050?		Table 11. Taking everything into account, how satisfied are you that West Lindsey is working to be a Green District?	
Aware	82 (28.3%)	Very satisfied	64 (22.0%)
Somewhat aware	116 (40.0%)	Fairly satisfied	152 (52.2%)
Not aware at all	92 (31.7%)	Neither satisfied nor dissatisfied	61 (21.0%)
		Fairly dissatisfied	11 (3.8%)
		Very dissatisfied	3 (1.0%)

Awareness of the Council's intentions was fairly high. Over 2/3rds of responses indicate that people are aware of the Council's work and the remaining 1/3 are now aware. Satisfaction levels are also high, with over 75% of respondents either very or fairly satisfied with the efforts the Council are making.

9. Summary

This latest survey complements an earlier survey undertaken during the summer of 2020. Between both, around 450 responses have been received. It is acknowledged that under different circumstances, more interactive engagement/awareness events would have been held. This will remain a focus once lockdown restrictions ease.

It is clear that the Council does have a mandate from residents and other stakeholders to take positive actions to address climate change. The size of the task however is also appreciated by those that have partaken in the surveys; resources; collaboration; behaviour change have all been cited as key enablers for success. The pace at which the Council is taking action is felt to be appropriate; however,

there is no room for complacency. The Council should act as quickly as possible and although this will present challenges, acting at a comfortable pace will not deliver the outcomes that are desired.

The issue of eliciting interest and participation among younger age groups remains a problem. This needs to be addressed in an effective manner going forward.

Agenda Item 13g



Full Council

28 June 2021

Subject: Annual Constitution Review 19/20 and 20/21 and Monitoring Officer's Annual Report covering the same period, as recommended by the Governance and Audit Committee

Report by:

Monitoring Officer

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Purpose / Summary:

The purpose of the report is to present the 19/20 and 20/21 Annual Review of the Constitution and arising recommendations as considered by the Governance and Audit Committee on 13 April and recommended for approval.

The report also includes an Annual Report from the Monitoring Officer for the period 19/20 and 20/21. The report aims to provide an holistic view of all governance associated matters.

RECOMMENDATION(S):

Council are asked to accept the recommendation from the Governance and Audit Committee and

- (1) note the outcome of the annual reviews detailed within this report;**
- (2) approve the amendments detailed throughout Section 2 of the report, including those detailed in Appendix 2 relating to the Planning**

Delegation scheme be adopted and implemented with immediate effect;

- (3) agree that the proposed amendments, raised through the review process, but which are not being progressed, detailed at Section 2.8 are not included;**
- (4) approve the appointments of Mrs Alison Adams, Mr Peter Walton, and Mr Andrew Middleton (Section 9);**
- (5) Note:**
 - the progress made with regards to the areas of work agreed for further development in the previous reviews (Section 5);**
 - the further planned work for 2021/22 (Section 6)**
 - the statistical data provided within the report in respect of the number, nature and outcome of Code of Conduct Complaints (Section 8); and**
 - the support offered to Parish Councils (Section 11);**
 - the use of the Council's RIPA powers during the period (section 13).**
 - the update financial and contract procedure rules as approved by the Governance and Audit Committee in April 2021 shown at Appendix 3 and 4**
- (6) acknowledge the interim decision making process(es) that have been in place during the COVID -19 Pandemic.**

IMPLICATIONS

Legal:

The Council is required by law to prepare, and keep up to date, the Constitution.

Financial : FIN 49/22/TJB

There are only very limited financial implications as a result of making amendments to the Constitution; these costs can be met from existing budgets. These relate to the resources needed to make changes to electronic records and to the limited printing costs of producing amended pages for paper copies of the Constitution.

Staffing :

The Constitution sets out the manner in which staffing matters should be dealt with.

Equality and Diversity including Human Rights :

None arising from this report.

Data Protection Implications :

None arising from this report.

Climate Related Risks and Opportunities:

None arising from this report

Section 17 Crime and Disorder Considerations:

None arising from this report.

Health Implications:

None arising from this report.

Title and Location of any Background Papers used in the preparation of this report :

Annual Constitution Review 2018/19
Effectiveness of Committees Surveys

Risk Assessment :

Failure to amend the Constitution to reflect changes could lead to a risk of legal challenge and reputational risk for the Council.

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

x

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

x

No

1 Introduction and Summary

1.1 The Council is required by law to prepare and keep up-to-date a Constitution which explains how the Council operates, how decisions are made and the procedures which are to be followed to ensure that these are efficient, transparent and accountable to local people.

1.2 Article 14 of the Constitution stipulates how such a review should be conducted namely:

- a) by observing meetings of different parts of the Member and Officer structure;
- b) by undertaking an audit trail of a sample of decisions;
- c) by recording and analysing issues raised with Monitoring Officer by Members, Officers, the public and other stakeholders;
- d) by comparing practices in this authority with those in comparable authorities, or national examples of best practice; and
- e) by undertaking a review of each committee's effectiveness.

1.3 As comprehensive reviews of the Constitution were undertaken in 2011, 2014 and 2017, and a large number of amendments were made to large sections of the document in 2018, a number of relatively minor amendments are being proposed as detailed at Section 2 of the report.

The Constitution has really been tested during the COVID-19 Pandemic, particularly in the early days and as Monitoring Officer, I consider it has performed well, already including many of the delegations an organisation would need to manage business on a day to day basis in an emergency, another reason to support minimal changes being made at this time.

1.4 On this occasion some amendments proposed throughout the review are not being proposed for progression; these are detailed at **Section 2.9** of the report together with the rationale.

1.5 As part of the last Annual Review considered by Council in May 2019, Members agreed a list of associated work to be undertaken during the 2019/20 civic year namely:

- The role of the Overview and Scrutiny (O and S) Committee and further Training
- Review of the Policy Committees
- Member Development
- Members ICT
- Petition Scheme
- Review of Governance for Accountable Bodies

1.6 Section 5 of the report provides a brief update of the work which was undertaken and the arising outcomes over the 2 year period. Reviewing the role of the O and S Committee and the Petition Scheme has resulted

in some proposed amendments. These are contained in Section 2 of the report, alongside all other proposed amendments.

- 1.7 Section 6 details associated work planned to be undertaken during the 2021/22 civic year.
- 1.8 Section 7 of the report sets out the governance arrangements in place to manage Commercial and Economic Growth and Section 8 presents a data analysis of the number, nature and outcome of complaints received under the Code of Conduct, during the two year period.
- 1.9 Section 9 of the report asks Council to make appointments to a number of positions including vacancies on the Remuneration Panel, Governance and Audit Committee and an IP to assist the MO in dealing with complaints.
- 1.10 Section 11 details support the Monitoring Officer has provided to a number of Parish Councils to ensure they could continue functioning and Section 12 onwards details temporary governance arrangements which have been place during the COVID-19 Pandemic, an unprecedented time for Local Authorities.
- 1.11 Section 13 is a new addition and provides information in respect of the Council's Regulation of Investigatory Powers (RIPA) . This information has been included following a recent review of arrangements, with one of the Inspector's recommendations being that Members should receive at least annually the number of times the Council has used it powers.
- 1.12 Sections 7 – 13 make up the Monitoring Officer's Annual Report and aim to provide an holistic overview of all governance associated matters.

2. Proposed Amendments to the Constitution

- 2.1 In reviewing the Constitution, the actions detailed at 1.2 above have been undertaken using a variety of methods including: -
 - a) attending a variety of Committee Meetings in order to review proceedings;
 - b) collating feedback from stakeholders and interested parties, including that received in formal complaints or alleged breaches of the Code, whether upheld or not;
 - c) seeking the views of Senior Officers and Team Managers who work within the Constitution;
 - d) surveying Members as to the effectiveness of the Committees to which they are appointed;
 - e) reviewing other "fourth-option" Councils' Constitutions;
 - f) holding workshops to focus on particular matters; and
 - g) responding to matters raised through motions and questions to Council.
- 2.2 This has resulted in several, mainly minor amendments having been made throughout the document primarily to Parts IV and V.

- 2.3 The review also prompted comments relating to the way in which the Public Participation at Planning Committees is operated. Whilst this document sits outside of the Constitution, the proposed amendments have been included within the report and the amended leaflet is attached as Appendix 1 to the report for approval – Section 2.6 provides further detail and rationale.
- 2.4 Arising from the feedback received/issues identified the following additions/amendments are proposed to come into immediate effect.
- 2.5 The Table below, and following sections, set out the main proposed amendments for consideration along with the rationale for each.

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION			
Ref	Section /Page Ref*	Amendment required	Reason for Amendment
*	Part IV (Terms of Reference O and S Committee) – page 17	REMOVE the footnote relating to membership restrictions	Arising from reviewing the committee's working's during 19/20 – Section 5 provides full details
*	Part IV (Terms of Reference O and S Committee) – page 17	AMEND current function No.9 by ADDING the words “and acting as the ‘horizon scanning’ Committee for the Council, bringing matters which will have effect to the attention of the relevant Policy Committee at the earliest opportunity so they considered as part of Policy Development.	To support the O and S Committee to fully fulfil its role and to increase the emphasis on engagement with 3 rd parties.
*	Part IV (Terms of Reference O and S Committee) – page 17	REMOVE current function No. 8 relating to service plans and budget plans.	To support the O and S Committee to fully fulfil its role and to increase the emphasis on engagement with 3 rd parties.
*	Part IV (Terms of Reference O and S Committee) – page 17	ADD the words “limited to twice per year” to current function No. 6 which relates to pre-scrutiny.	To support the O and S Committee to fully fulfil its role and to increase the emphasis on engagement with 3 rd parties. Methodology to be amended to align
*	Part IV (Terms of Reference O and S Committee) – page 17	REMOVE the words “relate to the Forward Plan” and ADD the words “limited to one per year” to current function No.2 in relation to reviews selected by committee.	To support the O and S Committee to fully fulfil its role and to increase the emphasis on engagement with 3 rd parties. Also allows the Policy Committee's to determine to a greater degree a work programme that supports Corporate Objectives. Methodology to be amended to align

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION			
Ref	Section /Page Ref*	Amendment required	Reason for Amendment
	Appendices – Appendix 15 Petition Scheme	AMEND in line with Appendix 5.	Clarity. The thresholds have not been amended but are now in a much clearer format to understand.
	Part IV (Council Procedure Rules) Page 12	ADD new 15.3.1 as follows “On occasion it may be necessary for discussions to be recorded in the absence of a Democratic Services Officer. However no decisions or votes will be taken in the absence of such an officer”	At request of Chair of Governance and Audit. Providing clarity around what should and should not be undertaken in the absence of democratic support.
	Part IV (Officer Employment Procedure Rules) Page 140 – 142)	A footnote be added to set of rules as above.	This is primarily the Committee, which will find itself in this position, therefore by repeating the requirement within the procedure rules it uses, this will embed the requirement.
	Part V (Rules of Procedure – Council Procedure Rules) – page 14	The following paragraph be ADDED to para 23.1. “Attendance at such training will be monitored and Group Leaders will use the attendance stats in determining who it recommends for such roles.”	Improve the Chairing skill of members and strengthen the constitutional requirements around Chairmen/Chairing – this change has been requested by elected members
	Part IV (Responsibility for Functions – G and A Cttee Terms of Ref) Page 7	The following function be ADDED to the Committee’s Terms of Reference “to review the number of working groups in existence, their role and terms of reference at least once per election cycle, making recommendations to Full Council prior to their Annual Meeting.”	Improved Governance – Concerns have been raised through this review that working groups may not always be operating within their agreed remits or fulfilling the role originally intended. This would ensure working groups remain fit for purpose.
	Part V (Rules of Procedure – Council	The following footnote be ADDED to function 1.3 (f) “ A Committee may have no more than two-Vice Chairmen”	Requested through the review by Chair of G and A.

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION			
Ref	Section /Page Ref*	Amendment required	Reason for Amendment
	Procedure Rules) - Page 1		
	Part II – Article 2 (Elected Members) Page 5	The following sentence be ADDED to paragraph 2.7 – Conduct. “The Council has also adopted the International Holocaust Remembrance Alliance (IHRA) definition of Anti-Semitism, as a clear message that anti-Semitic behaviour will not be tolerated”.	Commitment made at Full Council to include reference to Anti-Semitism and in response to letter from the Minister for HC&LG
	Part III – Codes and Protocols – content page	The following footnote be ADDED “The Council has also adopted the International Holocaust Remembrance Alliance (IHRA) definition of Anti-Semitism, as a clear message that Anti-Semitic behaviour will not be tolerated”.	Commitment made at Full Council to include reference to Anti-Semitism and in response to letter From the Minister for HC&LG
	Part III – Codes and Protocols – Page 27 Onwards – Local Code of Corporate Governance	The Local Code of Corporate Governance be REMOVED from the Constitution	This document is often reviewed on a different timescale to the Constitution and is therefore often out of date. A simple link will be included within Section 3 the Constitution advising the Council has a Local Code of Corporate Governance, this ensures the document remains up to date and its inclusion in full is considered essential for the Constitution document.
	Part 6 (Members Allowance Scheme) Page 11	ADD in Humber Strategy to list of approved duties and remove the LEP	Housekeeping to reflect up-to-date list of outside body appointments
	Part 6 (Members Allowance Scheme) Page 10	REMOVE paragraphs 16 and 17 as they are a repeat of paragraphs 13 and 14	Housekeeping

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION			
Ref	Section /Page Ref*	Amendment required	Reason for Amendment
	Part IV (Responsibility for Functions – Rem Panel Terms of Reference	The first bullet point note be AMENDED to read as follows “ the Panel shall comprise no less than four members and no more than 6”	To reflect current practice. Legal opinion is that four will suffice and 5/6 can be difficult to recruit to. Currently running IRP at 4 Members This amendment allows flexibility.
	Part IV (Responsibility for Functions – S151 page 36)	NEW function be added “ To make purchases in accordance and within the limits of the Council’s Commercial Investment Strategy	This delegation was agreed back in 2016 but has not been cross referenced in the Constitution.
	Part IV (Responsibility for Functions – G and A Committee page 9)	AMEND current function (c) 4 - approving payments.... The following be ADDED “ above £2,500 “ “Compensation Payments in general are delegated to Officers”	Officers have some level of delegation regarding compensation payments as detailed in the Corporate Scheme of Delegation . This note is to clarify that it is only is a function of G and A Cttee when it relates to the LGO and that smaller payments can be made without approval as previously agreed by the Governance and Audit Committee.
	Part IV (Responsibility for Functions – Scheme of Corporate Delegation page 53)	The Note be AMENDED as follows” Compensation arising from LGO Complaints totalling less than £2,500 can be approved by the S151 Officer and must be reported to G and A for information.	Ensures the scheme of corporate delegation and the committee’s terms of reference stay in line. G and A Committee have previously agreed this threshold
	Part IV (Responsibility for Functions – Monitoring Officer page 37)	NEW FUNCTION NO.3 be added as follows “ to source appropriate Independent Resource to undertake the function of IP in accordance with the Localism Act , in consultation with the Chairman of the Governance and Audit Committee, when a vacancy arises suddenly,	Councils are recommended to have 2 IPS to undertake the functions as set in Localism Act (relating to Code of Conduct Complaints). When an IP resigns there is a period where it is difficult to function with only one IP and recruitment can take

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION			
Ref	Section /Page Ref*	Amendment required	Reason for Amendment
		until such time as a formal appointment is made” Limits on delegation temporary for 9 months	time. This delegation will allow the MO (in consultation) to seek resources from a pool or shared service arrangement in the interim period. The delegation is being suggested as temporary whilst consideration is given to whether the recruitment procedure needs amending.
	Part V (Rules of Procedure- Council Procedure Rules)	Paragraph 9.1 (c) be AMENDED as follows “a question on any matter in relation to which the Council has powers or duties, or in the case of Motions, affects the District.	Questions to Council take the form of a question followed by an answer – the effect the District’s element when applied to a question, results in almost any question being accepted, however answering them without proposing action can be difficult. Matters which affect the District should be dealt with by Motions.
	Part V (Rules of Procedure- Council Procedure Rules)	Paragraph 9.4 (a) be AMENDED to include the words or” in the case of a motion affects the District	This amendment brings in line the paragraph to reflect the change above.
	Part V (Rules of Procedure- Council Procedure Rules)	Paragraph 9.4 – Rejection of Questions – new grounds be added as follows: - “(h) the question names an individual member or Group” and (i) the use of Council resources for such a matter is questionable”	Both of these requirements already stand, however they not all included in one consolidated place – this amendment brings clarity
	Part V (Rules of Procedure- Council Procedure Rules)	Paragraph 9.1 (c) has a link to the Public Question Time at Council Meeting. This leaflet to be updated to include the same criteria applied to Councillors at 9.4	Through operation of the scheme this year it has become apparent that the requirements for Members of council and the public are slightly out of kilter, for example members of the public could currently ask questions about individual

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION			
Ref	Section /Page Ref*	Amendment required	Reason for Amendment
			Members. This amendment brings clarity and ensures the two schemes are on a par.
	Part IV Responsibility for Functions – Scheme of Corporate Delegation (page 48)	The Assistant Director Column be ticked for function 1.5 – “carry out consultation with the workforce trade union for changes in work practices etc	This function will be undertaken by Ads who have full responsibility for staff within their service.
	Part IV Responsibility for Functions – Scheme of Corporate Delegation (page 52)	The sub note in 7.4 be amended to read this delegation only applies when directors of Ads are carrying out the role of “ Strategic and Tactical Commanders ” as opposed to Strategic Commander as currently stated.	Better reflects the role being undertaken by Ads
	Part IV Responsibility for Functions – AD for Commercial and Operational Services (page 40)	NEW function 8 be added – “to alter the approved fees and charges at the Crem for a limited period of time taking into account circumstances at any given time (following consultation with the Chief Finance Officer)”	The AD has similar delegation for both markets and the TAC allows some flexibility to deal with changing circumstances more rapidly – no new fees can be approved through this delegation.
	Part IV Responsibility for Functions –All Management Team General Delegations - (page 28)	The following legislation be added to list displayed at 17: - <ul style="list-style-type: none"> • Localism Act 2011 • The Assets of Community Value (England) Regulations 2012 	These two bits of legislation cover various statutory functions and decision making we have to undertake for community rights and neighbourhood planning – and should be included for completeness.
	Part IV – Responsibility for Functions – Director of Corporate Services – (page 38)	Functions 7 and 8 – relating to ERO and RO be moved to the Chief Executive	Agreed by Council in March due to current post holder leaving.
	Part IV Responsibility for Functions – Scheme of	The CFO be ticked for function 10.3 – “allowing exemptions to Contract Procedure Rules “	Should be a function of the Chief Finance Officer as well as C Exec

TABLE OF PROPOSED AMENDMENTS FOR INCLUSION

Ref	Section /Page Ref*	Amendment required	Reason for Amendment
	Corporate Delegation (page 55)		
	Part IV Responsibility for Functions – Scheme of Corporate Delegation (page 59)	Function 16.4 – determining and responding to request under GDPR and DPA – All Officer columns need to be ticked and the note needs to read following advice from the DPO	Historic Drafting error
	Part IV Responsibility for Functions – Planning Committee Delegation (page 12)	REMOVE bullet “conservation area consents”	Conservation Area Consents” no longer exist, so can be deleted – only <i>planning permission</i> is now required to demolish a building in a conservation area.
	Part IV Responsibility for Functions- AD Planning and Regeneration (page 42)	REMOVE “conservation area consents” from delegation 1 and REPLACE with “demolition in conservation areas”	As above

2.6 Responding to Motions and Questions and Consultation

- 2.6.1 As referenced at 2.1 changes made during the Annual Review are driven by a number of factors including responding to questions and motions. This last two year's has seen some changes proposed directly as a result of this. The following sections deal with these.
- 2.6.2 As inferred at 2.3, the review in 19/20 also prompted comments relating to the way which in the Public Participation at Planning Committee is operated. This matter was also the subject of a formal question posed at Council in [November 2019](#).
- 2.6.3 A previous review introduced the requirement for any WLDC Councillor who had addressed the Committee in a Ward Member capacity to withdraw from the Council Chamber after their verbal submission. This additional requirement was originally included in response to complaints, which had been received, and was to protect against the perception of influence.
- 2.6.4 However, since its introduction it has not proved popular amongst the elected Member core, often being a cause of contention. Officers have re-assessed the risk to decision making and reviewed other authorities' participation schemes and are happy its removal is justified.
- 2.6.5 The proposed amendments are detailed in the table below and the amended leaflet featuring track changes, to easily identify the amendments, is attached at Appendix 1 for approval. In effect, these amendments return the practice to its previous form, allowing Ward Members to remain within the room having addressed Committee. **The requirement for Ward Members to register to speak in advance still remains – and has become an absolute necessity whilst meeting virtually .**

Change required	Reason for Change
Removal of the wording standing advice to all WLDC Members would be to leave the Chamber for the remainder of the debate on the item they have spoken on.	The risk to decision making is low and this has been a cause of contention unnecessarily.

- 2.6.6 In recent times, the elected member core, have expressed dissatisfaction at the way the public participation scheme is applied to Councillors, therefore it was intended that the scheme as a whole, including the timings applied would be revisited during 20/21. Unfortunately this work has not progressed. This matter is therefore referenced in Section 6 (Associated Work Planned to be undertaken during the 21/22 year)
- 2.6.7 There was also a motion to Council in [November 2019](#) in which a Councillor expressed concern regarding this matter and the delegation scheme in general. This motion was supported and as a result a further commitment was made to review the delegations.

- 2.6.8 Planning Delegations is a matter which generally is raised through any consultation held with Parish Councils, the most recent such consultation being that on the Parish Charter.
- 2.6.9 The Authority had planned a series of training events throughout 2020, aimed at Parish Council's and their understanding of the planning process, and it had been hoped that these would help develop a common understanding of the process and help reduce any confusion and ultimately complaints. Due to the COVID 19 Pandemic this has not been feasible and the sessions were cancelled. However given the need for this training and the likelihood that restrictions will remain to some degree this work schedule will re-commence during 2021/22 with a total of 7 sessions planned as follows.
- 21 April
 - 2 June
 - 28 July
 - 29 September
 - 24 November
 - 9 February 2022
 - 23 March

2.7 Amendments to Scheme of Delegation to Support Parishes

- 2.7.1 Having met with the Senior Planning Officers in February 2020 to discuss this matter, the amendments shown in red in Appendix 2 are proposed for inclusion.
- 2.7.2 It should be noted that objections from a Parish Council itself could already refer applications to the committee, as shown underlined in Paragraph 1 (a) on Appendix 2.
- 2.7.3 However, in addition to the above mentioned provision, and concerns previously raised it is considered to open it up further to Parish Councils to expressly request a "call-in" where they are concerned there is a conflict with their neighbourhood plan. The wording at (new) 1(b) in red on Appendix 2 aims to facilitate this additional provision **and is recommended for adoption**
- 2.7.4 This in effect now gives Parish Councils, with a Neighbourhood Plan the same access to call-ins as Ward Members.
- 2.7.5 It is acknowledged that Councillors have raised concerns that there is a perception, "community views" are not heard or given enough weight.
- 2.7.6 Delegations can be a matter of interpretation, and again having met with the senior planning Officer, and spoken with the Assistant Director of Planning and Regeneration, as Monitoring Officer I am confident that in recent times these delegations are being interpreted in a much more customer friendly manner.

2.7.7 The statistics below show the number of referrals made as a result of direct calls-in / referrals during 19/20 and 20/21, when compared to 18/19 year, as an improving picture.

2.7.8. From April 2019 to March 2020, the Planning Committee considered 33 applications across 10 meetings. Of these 18 had Parish Council objections / representations against them. During 20/21 the Planning Committee considered 45 applications across 11 meetings. Of these 27 had Parish Council objections / representations against them

2.7.9 On average, in 2019/20 there were 1.8 applications per meeting with Parish Council representations (see table below)

(Please note that some applications were considered at more than one meeting i.e. Application No.140077 was considered at both the January and February meetings.)

TABLE 1

April 2019-March 2020			
Committee Date	Applications with Parish Council objections	Total No. of apps	No, of apps with PC objections
4 th March 2020	Meeting cancelled	n/a	n/a
5 th February 2020	140077 (Glentworth); 140331 (Sturton by Stow).	5	2
8 th January 2020	140180 (Sudbrooke); 140077 (Glentworth); 140003 (Nettleham).	5	3
11 th December 2019	140180 (Sudbrooke), 139839 (Osgodby); 140128 (Osgodby); 140042 (Nettleham).	4	4
13 th November 2019	n/a	2	0
16 th October 2019	139520 (Scotton).	2	1
18 th September 2019	Meeting cancelled	n/a	n/a
21 st August 2019	139558 (N Kelsey support – officer recommendation to refuse)	1	1
24 th July 2019	Meeting cancelled	n/a	n/a
26 th June 2019	139024 (Burton).	3	1
29 th May 2019	138812 (Brattleby); 137950 (Bardney).	4	2
1 st May 2019	136577 (Gainsborough).	2	1

3 rd April 2019	138971 (Blyton); 136577 (Gainsborough); 138477 (Grasby),	5	3
TOTAL		33	18

TABLE 2

On average, in 20/21 there were 2.45 applications per meeting with Parish Council representations (see table below)

April 2020-March 2021			
Committee Date	Applications with Parish Council objections	Total No. of apps	No, of apps with PC objections
1st April 2020	Meeting cancelled	n/a	n/a
29th April 2020	139532 (Langworth); 140375 (Sturton by Stow); 140513 (Osgodby)	6	3
27th May 2020	Meeting cancelled	n/a	n/a
17th June 2020	140416 (Hemswell); 140545 (Scotton)	4	2
22nd July 2020	140851 (Gainsborough); 140707 (Tealby); 140986 (Blyton Carr)	5	3
24th August 2020	140938 (Nettleham); 141032 (Nettleham); 140754 (North Owersby); 141128 (Hemswell); 139840 (Lea)	5	5
16th September 2020	141174 (Glentworth)	1	1
14th October 2020	141263 (Saxilby); 141442 (Tealby); 141429 (Grasby); 141348 (Welton)	6	4
11th November 2020	n/a	3	0
9th December 2020	141447 (Sturton by Stow); 141637 (Scotton)	7	2
6th January 2021	141017 (Gainsborough)	2	1
3rd February 2021	141033 (Bardney); 142065 (Nettleham); 142148 (Sudbrooke)	3	3

3rd March 2021	141128 (Hemswell); 140156 (Dunholme); 141907 (Waddingham)	3	3
TOTAL		45	27

2.7.10 From April 2018 to March 2019, the Planning Committee considered 37 applications across 12 meetings. Of these 18 had Parish Council objections / representations against them.

2.7.11 On average, there were 1.5 applications per meeting with Parish Council representations. (Please see table below)

(Please note that some applications were considered at more than one meeting i.e. Application No.137326 was considered at both the April and May meetings.)

April 2018- March 2019			
Committee Date	Applications with Parish Council objections	Total No. of apps	No, of apps with PC objections
6 th March 2019	138660 (Waddingham).	5	1
6 th February 2019	n/a	1	0
9 th January 2019	138494 (Nettleham).	4	1
12 th December 2018	137789 (Blyton); 138145 (Snitterby – object, recommendation to refuse).	4	2
14 th November 2018	136826 (Cherry Willingham & Fiskerton)	3	1
17 th October 2018	138180 (Fiskerton) (note: application withdrawn); 137950 (Bardney)	4	2
19 th September 2018	138157 (Cherry Willingham)	1	1
22 nd August 2018	Cancelled	n/a	n/a
25 th July 2018	137511 (Bigby)	2	1
27 th June 2018	137443 (Caenby); 136962 Lea Crematorium (Lea & Knaith)	2	2
30 th May 2018	137531 (Nettleham); 136604 (Caistor); 137532 (Saxilby)	4	3

2 nd May 2018	137326 (Burton); 135868 (North Kelsey); 137057 (Cherry Willingham)	4	3
4 th April 2018	137326 (Burton)	3	1
TOTAL		37	18

2.7.12 As an aside, across England 95%, of planning applications are dealt with under delegated powers. West Lindsey currently determines 96% of its applications in that way and therefore is considered to be in line with national performance, with no further amendments currently considered required.

2.7.13 It should also be noted that West Lindsey allows for a 28 day consultation period on Planning Applications, when the statutory requirement is only 21 days.

2.7.14 There is a commitment from the Planning Team that when an application is refused under delegated officer powers the decision notice will include full reasoning.

2.7.15 It is also worthy of note the improved customer focus which has been applied in this area following a change in management. This alongside the proposed training package, referred to above, is hoped will begin to counteract any negative perceptions which currently exist.

2.7.16 It will never be feasible for all applications to be submitted to Committee simply because a Parish Council feels they should be. There will always be a requirement for objections to be related to material planning consideration, or to focus on why the application is against approved Policy. By sharing our training with Parishes and ensuring some sessions focus on just this matter it is hoped Parishes will feel better informed as to how they can influence decisions.

2.8 Dealing with Questions and Motions

2.8.1 Through the course of the 20/21 Year whilst dealing with both Questions/ Motions from Councillors and the Public it has become apparent that the criteria for acceptance at times can be cumbersome. Furthermore, there are exemptions applied to Councillors, which are not repeated in the Public Scheme. A number of suggestions have been made in the Table at 2.5 to rectify this situation.

2.8.2 The suggested amendments, it is hoped, also support differentiating between questions and motions. A question should be put and answered and should not lead to direct separate action. Motions on the other hand should seek the Council to take action.

2.9 Amendments considered but not put forward for inclusion

2.9.1 As referred to in Section 1.4 above, on this occasion some amendments proposed throughout the review are not being proposed for progression.

2.9.2 The table below sets out amendments which have been proposed but which are not intended to be implemented, together with the rationale.

TABLE OF PROPOSED AMENDMENTS NOT TO BE INCLUDED		
Proposed Amendment	Source of Request	Rationale for Non Inclusion
To introduce a mechanism whereby if a planning application is referred to the Planning Committee as a result of a Parish Council "call-in" in the event that the Parish Council do not attend the Planning Committee at which the application is being heard, the application should be removed from the agenda and dealt with in accordance with the Officer recommendation.	Elected Member	Whilst this matter has been considered and arguably something could be included in the scheme of delegation to this effect. Administratively this would be difficult to implement. Also this does arguably give Parish Council's a greater degree of say. There could be other speakers registered against an application and they could be left feeling their right to speak has been removed because of the actions of a Parish Council. As an alternative it will be made clear through communications etc. that there is an expectation of attendance by the Parish Councils should they request a call-in.
Adoption of a Parental Leave policy for Elected Members	Motion to Council on 4 November	This matter has been considered at briefings of the Governance and Audit Committee. This matter is already covered by legislation and the Council therefore already has the power to grant Councillors leave from their mandatory requirement to attend meetings etc. for any reason they so agree including the right to remuneration. Therefore no separate policy for a specific leave reason is considered necessary
Working Groups – being allowed to make replacement appointments	Elected Member	It was requested that there be a regulation within the Constitution that if there is repeated non-attendance at a Working Group then that Working Group should be permitted to seek a new appointment. Working Groups are not decision making, nor do they establish their own membership. This matter could be dealt with by each Working Group's terms of reference. The amendment suggested above to the G and A Cttee Terms of Reference, should address this in the first instance.
HPS permitted to move Meetings	Officers	The HPS already has a number of delegations around cancelling meetings for a variety of meetings. It is not considered appropriate to extend these delegations. The LGA 1972 is very clear that the Council should have a schedule of agreed

		meetings. When meetings have needed to be moved the mechanisms currently in place have been deemed satisfactory and offer transparency (cttee have to approve the change)
A request to reduce the role of the Editorial Board and bring Comms issues more under the Leader's remit as 'Lead Spokesman'.	Leader	The role, remit and existence of the Editorial Board would be a matter for a separate report at Annual Council (working groups report). Having reviewed the Leader's Job Description – Appendix 3 of the Constitution – there are already multi references to the Leader being the lead spokesman, politically, corporately and with stakeholders. No further amendments considered necessary.

3 In Year Changes to Contract and Procurement Procedure Rules and Financial Procedure Rules – for Approval by Governance and Audit Committee

- 3.1 The Governance and Audit Committee are delegated to make any changes to the Contract and Procurement Procedure (CPR) Rules and the Financial Procedure Rules (FPR) between Annual Councils.
- 3.2 The Governance and Audit Committee approved amended Contract and Procurement Procedure (CPR) Rules and Financial Procedure Rules (FPR) at their meeting on 13 April 2021 which can viewed here <https://democracy.west-lindsey.gov.uk/documents/s24046/Annual%20Constitution%20Review%20and%20Monitoring%20Officer%20Report.pdf>
Full rationale for any amendments made was also included within that report.
- 3.3 These must then be reported up to Full Council, for noting, as Part of the Annual Review and are presented at Appendix 3 and 4.

4. Amendments required as a result of changes to the Management Structure.

- 4.1 The Chief Executive in consultation with the Chairman of the Governance and Audit Committee was granted delegated Authority to confirm the final version of the scheme of delegation in June 2020, prior to it being presented to Council for Approval.
- 4.2 This work was completed in December 2020 and reported to Council in January 2021. The report can viewed here:

[er%20Delegation%20following%20completion%20of%20Senior%20Management%20Re-Structure.pdf](#)

Since then, Council will be aware that the former Director of Corporate Services has left the organisation and a New Assistant Director for People and Democratic Services has been appointed.

- 4.3 As a result, delegations previously assigned to the former Director will need to be re-aligned; some to the new Director others to existing Officers. One section of the Constitution which is fundamentally changed as a result of this change in management structure is the scheme of Officer Delegation. (Contained within Section 4 – Responsibility for Functions)
- 4.4 **Due to the these changes not being “transformational” in nature, rather a re-alignment of duties they have not been listed within this report, but will be applied in the next published version of the Constitution.** The Monitoring Officer does have delegated authority to make housekeeping amendments of this nature.

5 Progress made with regards to those areas of work agreed for further development in the previous reviews

- 5.1 As detailed at Section 1.6 and 1.7 of the report as part of the last Annual Review undertaken Members agreed a list of associated work to be undertaken during the 2019/20 civic year.
- 5.2 This Section provides a brief update on the progress which was achieved during 2019 /20 and if relevant in 2020/21 also
- 5.3 **The role of the O and S Committee and further Training.**
- 5.3.1 As a result of the initial review undertaken regarding the role of the Scrutiny committee, a number of changes were agreed at Annual Council in May 2019 including restrictions on the committee membership.
- 5.3.2 The redesigned Operating Methodology was adopted at the meeting in June 2019 with the aim of clarifying the role of the committee and highlighting each route of scrutiny.
- 5.3.3 Members of the Committee were offered the opportunity to attend a scrutiny workshop, presented by the external auditors, with further focus on the role of scrutiny within the council. Attendance at the East Midlands Councils Scrutiny Conference was also facilitated for the Chairman, Vice Chairs and Lead Officer.
- 5.3.4 There has been a continued focus on the role of effective scrutiny at West Lindsey, particularly given the recommendations enacted from May 2019.

- 5.3.5 There were several matters brought to the attention of the Monitoring Officer regarding the functioning of this Committee during 19/20, and the effectiveness of committees survey responses received were concerning.
- 5.3.6 These previous amendments have not proved wholly successful (for example, the limitations on Membership have at times led to low numbers attending the Overview and Scrutiny meetings as there have been no substitution options available), and the change in name seems to have had little impact on the committee's effectiveness. **As detailed in Section 2 of the report it recommended that this membership restriction be lifted.**
- 5.3.7 Given the fairly unique circumstances of being a fourth option council, and therefore without the legal requirement to retain a scrutiny committee, it is essential that the committee addresses aspects of work that would not otherwise be dealt with in any of the other committees.
- 5.3.8 Whilst this has been the case for some meetings in 2019/20, with the visits from Lincolnshire Police and the Environment Agency, it is anticipated that this role could be extended, and the scrutiny of external agencies and partners (ideally connecting via a topic linking to the Corporate Plan) should be the focus for 2020/21. The already agreed reduced reporting on performance and delivery will also provide additional capacity for this external focus.
- 5.3.9 Some minor tweaks to the terms of reference **have been recommended in Section 2** of the report, to support the Committee to fully fulfil its role and to increase the emphasis on engagement with 3rd parties, and further provision can be made within the Committee's Operating Methodology to support this ethos. However given the recent Peer Review also raised the role of the Committee as a matter which the Authority should give further consideration to and determine clarity around, no fundamental changes are being proposed at this time.
- 5.10 The View of the Governance and Audit Committee at the conclusion of 19/20 was that the role and functioning of the Committee continued to require refinement as supported by the Peer Review findings.
- 5.11 However, given the impact of the global pandemic leading to the Committee being cancelled between March and October 2020, there has been little opportunity to assess whether the Committee's functioning has improved. Although the effectiveness of committee survey responses were more positive.
- 5.12 The Operating methodology for 2020/21 was amended to support a more external looking approach, for example by reducing the number of internal pre-scrutiny items permitted and introducing a requirement to approve a theme connected work plan, separate to any other function within the council at earliest opportunity each civic year.
- 5.13 The O and S Committee have been making greater use of informal workshops and tasking groups. The annual report for 2020/21 can be viewed here

<https://democracy.west-lindsey.gov.uk/documents/s23833/OS%20draft%20annual%20report%202019-20%20and%202020-21.pdf>

5.3.10 The role of the O and S Committee, given the further changes being proposed by this report, its limited operation during 20/21, and its revised approach which is in its infancy will remain a focus of attention for 2021/22 – further information is contained in Section 6 of this report.

5.4 **Review of the Policy Committees**

5.4.1 There have been no matters brought to the attention of the Monitoring Officer regarding the functioning of the Policy Committees, either in person or via the effectiveness of committees survey responses received.

5.4.2 The introduction of the Concurrent Meeting Protocol has overcome a number of previous issues and continues to be used for complex, large scale transformational projects where there are both significant policy and financial implications for the Authority.

5.4.3 The concurrent committee approach has been used for the decision around a viable housing solution and the Council's Climate and Sustainability Policy.

5.4.4 The Concurrent Committee consultation arrangement also proved successful in supporting governance through recent exceptional times.

5.4.5 Therefore no changes are being proposed to either Policy Committee as a result of this review.

5.5 **Petitions**

5.5.1 The Petition Scheme had not been reviewed since its introduction in 2009/2010.

5.5.2 A review of similar authorities' petitions schemes has been undertaken to ensure the Council's Scheme is still fit for purpose.

5.5.3 There are no fundamental recommendations arising from the review however a number of **points of clarity are recommended for inclusion within the Scheme, these are detailed in Section 2 of the report.**

5.5.4 The possibility of introducing e-petitions was also investigated but is not being recommended for introduction at this time.

5.6 **Member Development**

5.6.1 The focus for the Member Development Group, after the success of the Induction Programme in May 2019, was to finalise the By-Election

Induction Programme and to test online training options with a view to roll-out to all Councillors after May 2020 –

- 5.6.2 It had been anticipated that on-line training would be in addition to ongoing face-to-face sessions, dependant on the subject matter.
- 5.6.3 Understandably, due to the global pandemic, national lockdown and the 'new normal' of working from home (with meetings of people being prohibited), Member Development was largely frozen in 2020/21 with the view to resuming with renewed vigour once the national picture was more settled.
- 5.6.4 As it became obvious that restrictions would remain in place for a longer period of time than originally anticipated, Officers committed to sourcing virtual opportunities for Members, with previously cancelled sessions being rescheduled as online sessions.
- 5.6.5 Development opportunities through the year have been primarily focussed on identified areas from Members, with bespoke sessions provided through the LGiU for Local Government Finance as well as Charing Skills in a virtual setting.
- 5.6.6 The library on modern.gov has been updated with all session information since May 2019 and this will continue to be the main access point for presentations after each session. The Members' Bulletin has been used to emphasise these opportunities and will continue to be used for that purpose.
- 5.6.7 In June 2020 the By-Election Induction Programme template was approved for future use, meaning the Council now has a full plan in place to ensure any new Councillors joining through a by-election receive the same level of induction and support as those who join through all-out elections. This is a positive step as it had previously been identified as a weakness by new and existing Councillors alike.
- 5.6.8 This had been identified as a work stream for the Member Development Group and has now been successfully completed. Whilst the initial roll out of Learning Pool has been delayed, Officers remain committed to extending these options to Members.
- 5.6.9 The Member Development Group reports progress periodically through the Governance and Audit Committee and reports submitted during the 2019/20 year can be viewed [here](#).
- 5.6.10 Given the world of all sessions currently being provided online Member Development will continue to be a focus in the 2021/22 civic year. Further information is contained in Section 6 below.

5.7 Members ICT

- 5.7.1 Following the elections in May 2019, Democratic Services offered one-to-one training to all elected **Page 24** any Members took up this offer.

Independent Members were issued with their iPads slightly later in May, and were given a group session with a Democratic Officer. Independent and Elected Members were subsequently offered further one to one help if it was required.

5.7.2 Written guidance was provided to Members on collection of their iPad as part of their overall 'induction pack'; this guidance is also available electronically on the Members' library. A 'buddy' system was initially offered to Councillors, and used mainly by newer Members; however as we moved into June/July of 2019 this was replaced by an offer of help by Democratic Services via telephone/email/face to face as and when Members needed it.

5.7.3 The move to iPads was a big change to the way elected members were asked to work and overall is considered to have been successful. There has been an audit around the Security of Members iPads and this received substantial assurance.

5.7.4 Feedback has been regularly sought and received from Members since the introduction of iPads; this feedback was largely positive, although Members did point out issues with the iPad that they thought could be ironed out.

5.7.5 Democratic Services with support from IT have responded to requests of support from councillors in the use of their iPad, for example:

- digital pens were issued shortly after the election so that Members could write notes electronically on committee papers.
- Calendar invites have been automated so that Councillors do not have to accept appointments; they automatically get inputted into Member calendars.
- A solution introduced as a means for receiving emails when elected Members are on the move (through their mobile phone), subject to certain conditions.
- Further guidance notes issued on specific matters, such as completing expenses and the use of word and excel in general.

5.7.6 Democratic Officers will continue to review the guidance to see if there are any gaps. Facilitating targeted training sessions is within the Democratic Services Team Plan and appraisals. Feedback will continue to be sought from elected Members and mitigating measures introduced where feasible to overcome any difficulties.

5.7.8 The roll-out of a Council owned device has proved invaluable in allowing business to continue during exceptional circumstances.

5.7.9 Given the increased usage we have expected from Members whilst working remotely there is a commitment to review the devices currently in operation to ensure they remain fit for purpose. Further information is contained in Section 6

5.8 Review of Governance of Accountable Bodies

5.8.1 The Governance of Accountable bodies has been taken into account when reviewing financial regulations and contract procedure rules and no amendments are required directly as a result.

5.9 Parish Charter

5.9.1 During 2019/20 the Parish Charter was both consulted on and formally adopted. However since its adoption , many of the activities contained within it have been delayed. There has been little promotion and no events held primarily due the Covid Pandemic, limitations on activities and resources available given the involvement of communities team in supporting pandemic activities. There is a commitment regardless of circumstances to re-invigorate this work once more. Officers will be reporting annually to Prosperous Communities Committee on progress.

5.9.2 Governance and Audit Committee have previously recognised that the Parish Charter may see the need arise to review our Constitution to ensure it reflects all of the principles ultimately agreed within the Charter – this will remain a watch in brief item as detailed at Section 6 of this report .

5.10 Work on 4th tier governance review

5.10.1 Work in this area has been limited and to date the main focus has been around scoping of the work to understand the desired outcomes and to be clear about expectations. This will remain on the Governance and Audit Committee’s associated work task list detailed in Section 6.

5.11 Virtual Arrangements

5.11.1 Through the early part of 2020/21 the Democratic Services Team developed, embedded and trained Members on new meeting procedures, and the technology needed to facilitate virtual meetings. Members have embraced the new ways of working. Even in the absence of regulation, virtual working, to some degree, will remain. This will remain on the Governance and Audit Committee’s associated work task list detailed in Section 6

6 Associated Work Planned to be undertaken during the 21/22 year

6.1 Whilst undertaking the annual review of the Constitution a number of other associated actions for further work, development or “watch in brief” have been identified, namely: -

6.2 The role of the O and S Committee in light of the Peer Review Recommendations

6.2.1 As detailed in Section 5 of the report the role and functioning of the Committee continues to require refinement.

- 6.2.2 In the interim the restrictions on membership will be removed (if supported as detailed in section 2) and minor amendments to the terms of reference are proposed to support the O and S Committee to fully fulfil its role and to increase the emphasis on engagement with 3rd parties.
- 6.2.3 The Committee has further revised its methodology and has been making greater use of informal workshops and tasking groups.
- 6.2.4 The Committee have advised its focus for the 2021/22 Civic Year is for the Overview and Scrutiny Committee to return to 'business as usual' with a full work plan of outside agencies, ongoing working groups and performance reviews referred from the two policy committees.
- 6.2.5 Given the further changes being proposed by this report, its limited operation during 20/21, and its revised approach which is in its infancy the O and S Committee will remain a focus of attention. Any recommendations arising from the monitoring of the Committee's effectiveness will be made as part of the Annual Review for 2021/22, and would become effective from Annual Council May 2022.

6.3 Parish Charter

- 6.3.1 Given work in this area has not progressed accordingly and having previously been recognised by the Governance and Audit Committee as an area of work which may see the need arise to review our Constitution; ensuring it reflects all of the principles ultimately agreed within the Charter. Development of the Charter and its impact will remain a watch in brief item for the Governance and Audit Committee
- 6.3.3 Any work of this nature, arising from the introduction of a Charter, will be reported through the Governance and Audit Committee throughout 2021/22.

6.4 Recommendations of the Committee of Standards in Public Life and "watching brief" of the development of a new model code of Conduct

- 6.4.1 Back in January 2019 the Committee for Standards in Public Life made a series of recommendations in respect of the current Code of Conduct Regime. With Brexit and now COVID- 19, the recommendations progression through Parliament has been slow. However, The Board of the LGA at its meeting on 11 September 2019 considered and agreed to commence reviewing of the Code ahead of Central Government's response to the recommendations of the report, and appointed Hoey and Ainscough to undertake this work.
- 6.4.2 Consultation on the draft code was due to close on 25 April 2020 and was expected to be considered by the LGA Board in early June but was suspended in May 2020.

- 6.4.3 The Council, through its Standards Sub-Committee have continued lobbying on the recommendations made by the CoSPL, responded to consultations regarding the development of a new Code and attended events.
- 6.4.4 The LGA finally launched its new Code in February 2021. Supporting Guidance notes are being developed and should be made available to Local Authorities in early April.
- 6.4.5 If it is considered appropriate to do so, and of benefit to the Authority proposals may be brought forward during 2021/ 2022 to adopt the new model code introduced by the LGA.
- 6.4.6 The Standards Committee will be considering this this matter further in July 2021 and will receive a proposed work programme around promotion, engagement and adoption of the new Code. The aspiration being to encourage all Parishes to have adopted the new Model Code of Conduct by May 2022.

6.5 Member Development

- 6.5.1 The Member Development Group through its annual report presented at G&A Committee set its priorities for the coming year and beyond.
- 6.5.2 At the time of writing this report all training sessions remain on-line and are expected to at least in the short to medium term.
- 6.5.3 The biennial mandatory training, as specified in the Constitution, will be programmed for 21/22 and notified to all Councillors, with a view to ensuring maximum attendance.
- 6.5.4 Member engagement continues to be a key element for progressing Member development and the introduction of on-line self learning has been limited.
- 6.5.5 The training material available currently through the Council's already in place on-line learning platform aimed at employees is very much aimed at softer, personal skills. There is little content currently to address training of a statutory nature with the exception of perhaps IT Governance and Safeguarding.
- 6.5.6 Further platforms may need to be investigated if the current Learning Pool catalogues are not considered to provide the necessary content and investment would likely be required.
- 6.5.7 The attendance and impact of the training provided to both Parish Councils and Elected Members will be monitored and assessed and used to inform future training offered.

6.6 Virtual meetings / IT Support

- 6.6.1 Whilst the regulations will expire on 7 May, mandating a return to the Chamber for formal meetings, remote working has undoubtedly brought about benefits which should be built in to future arrangements. Training attendance appears to have improved and Members' engagement at workshops has also seen an increase. On-line working has resulted in a significant savings in Member travel costs and had made sessions more accessible.
- 6.6.2 During 21/22 the Democratic Team will review the pros and cons of remote working for Members and establish an agreed set of meetings that should be considered for facilitating remotely on a permanent basis going forward.
- 6.6.3 Alongside this work there may be a need to review IT devices provided to Members to ensure they remain fit for purpose, given the extended remit of use now expected.

6.7 Work on 4th tier governance review

- 6.7.1 Further to the information provided at Section 5, this work is anticipated to progress further during the 21/22 Civic Year subject to capacity with a new of the Lead Officers having recently left the organisation.

6.8 Review of the Public Participation Scheme applied to Planning Committee

- 6.8.1 As referenced in section 2.6, the interaction between the Planning Committee/ Department, Elected Members, Public and Parish Councils continues to be highlighted in consultation responses.
- 6.8.2 One document which supports these interactions in the Committee setting is the Public Participation at Planning Scheme. It is therefore considered prudent that this document be reviewed in its entirety to ensure it remains, fair and equitable to all.
- 6.8.3 It had been hoped this work could be undertaken during 20/21 but given the unusual way the Committees have been operating, and in light of procedures having to be naturally adapted throughout this period, the fundamental review planned did not occur.
- 6.8.4 A fuller review will be undertaken during 21/22 and any arising amendments will be reported through the 21/22 Constitution Review.

6.9 Review of Working Groups

- 6.9.1 It has become apparent throughout the year that the Council has a number of working groups, boards, task and finish groups established however a number of these do not appear to have clear terms of reference or clear reporting lines and mechanisms

6.9.2 During 2021/22 the Democratic Services Team will conduct a review to ensure each such group has an approved terms of reference, and develop a template terms of reference to be used in future, ensuring key factors are considered at the outset of establishing such Groups.

6.9.3 Any arising recommendations will be reported to the Governance and Audit Committee and through the Annual Review 21/22.

6.10 Review of Council Procedure Rules

6.10.1 Concerns have been raised that Council procedure rules are either (a) not fit for purpose or (b) not understood and adhered to by Members.

6.10.2 It is intended to hold a workshop style event during 2021/22 to serve as both an opportunity for Members to review and amend the rules if necessary, but also as a training opportunity so Members can fully understand what is expected during the rules of debate.

6.11 Members' Forum and Informal Engagement

6.11.1 The Members' Forum has recently been re-established by the Deputy Leader. This is an informal discussion environment where Members can generate ideas. The impact of the Forum on formal governance arrangements will be kept under review.

6.11.2 The Council have committed to wider Member engagement in Budget Setting and again the impact of this first event will be monitored closely and formalised if considered necessary

7 Annual Report from the Monitoring Officer which sets out the governance arrangements in place to manage Commercial and Economic Growth

7.1 The Sections below provide updated positions, together with information on how the Council governs its business interests.

7.2 West Lindsey Owned Companies

7.2.1 The current companies in West Lindsey ownership are detailed below. These are managed using nominated representatives acting as Directors and carrying out the shareholder function. The shareholder function for all companies currently sits with the Section 151 Officer and Chief Executive, Ian Knowles. However this responsibility has been formally sub delegated to the Monitoring Officer as part of the changes in responsibilities as a result of the appointment of a Chief Executive. This change forms part of the constitutional review detailed earlier in this report. In practice the shareholder role is carried out by way of formal reporting to the Corporate Policy and Resources Committee.

Company	Reg. No.	Date incorporated	WLDC Staff/Roles		Shareholding
WLDC Trading Ltd	10547086	Jan 2017	AS – Director		Sole Shareholder
WLDC Staffing Services Ltd	10276205	Jul 2016	ER – Shareholder Representative		
SureStaff (Lincs) Ltd	06476932	Jan 2018	TB - Secretary		
Market Street Renewal Ltd	10298200	Jul 2016	SGS	Director	50/50 with DPL
			AM	Director	
			AR	Shareholder Representative	

Key: -

AM – Andrew Morriss – Independent Lay Member of the Governance and Audit Committee

TB – Tracey Bircumshaw – Assistant Director, Finance, Business Support and Property Services (S151)

ER – Emma Redwood Interim Assistant Director of People and Democratic Services

AS – Ady Selby - Assistant Director of Operational and Commercial Services

SGS – Sally Grindrod-Smith – Assistant Director of Planning and Regeneration, Projects and Growth

DPL – Dransfield Property Limited

- 7.4.2 During 2020/21 The SureStaff and Market Street Renewal Ltd companies have presented Business plans to Corporate Policy and Resources Committee. These are now planned in as a matter of course for future years to allow for the forward plan to be accurate and to ensure prompt reporting.
- 7.4.3 There has been a change agreed to the West Lindsey representatives for the companies. Alan Robinson has been replaced by Emma Redwood as the Council's shareholder representative and she will present Business Plans and other reports that are necessary to the Corporate Policy and Resources Committee.
- 7.4.4 In conclusion there have been no issues raised around the governance of the West Lindsey owned companies and they have not been subject to any legal challenge during the year.

7.5 Development Agreements

7.5.1 A development agreement is a term which is used to cover a variety of agreements amongst developers, landowners, purchasers, tenants and funders. Each agreement will, of course, require to be tailored to the parties and the circumstances of the particular development, but they tend to have a number of elements in common.

7.5.2 Many include some or all of the following obligations on the developer:

- to carry out the particular development in line with agreed plans and specifications;
- to procure the provision of collateral warranties by the contractor and consultants to the purchaser/tenants and funder;
- provisions which are designed to ensure the quality of the development;
- letting obligations, which set out the minimum criteria for any prospective leases which the developer seeks to secure, perhaps with an agreed form of lease attached; and
- A timetable for the development, including a longstop date for completing it.

7.6 Commercial Property Portfolio.

7.6.1 At the Corporate Policy and Resources Committee on 13th April 2017 Members agreed a criteria for investment in commercial properties.

7.6.2 The criteria included Lot size, Location, Asset quality, Tenant ease term, Tenant Covenant, Occupation and Tenure. In addition the committee agreed to delegate the application of the criteria to the Chief Executive following consultation with the Chairman of Corporate Policy and Resources Committee.

7.6.3 The criteria was revised at the meeting of the Corporate Policy and Resources on 10th May 2018 to increase the purchase price range to £10 million. This was to enable the portfolio to be balanced and to take advantage of a gap in the market for lots between £5 million and £10 million.

7.6.4 The table below sets out the scoring criteria which is used to evaluate properties for the portfolio.

Financial considerations				
<p>Lot Size (Capital Value) - The core initial lot size target is £1.0m - £4m. Taking into account the Council's total investment return of £20m it is recommended that a minimum of 8 assets are held without any single asset being overly dominant. A spread of £1.0m to £4m implies an average asset value of £2.5m and a portfolio of c.8 assets.</p>	£2.0m - £5m	£1.0m - £2.0m or £5m - £7.5m	£500k - £1.0m or £7.5m - £10m	<£500k or >£10m
	5	3	1	0
<p>Rate of Return (Net Yield)* - Investments will look to achieve an overall target yield of circa +/- 1% of the average net yield of the entire portfolio for which the target is currently 7.0%.</p> <p>*the return to the council after consideration of agents fees (1%), legal fees (0.5%), Stamp Duty Land Tax (at prevailing rate), external management costs (if applicable), survey costs (estimated) and any void costs.</p>	6% to 8%	5% to 6% / >8% to <10%	<5% or 10%	N/A (property vacant)
	5	3	1	0
<p>Lot Size (Annual Rental Income) - The target income range is between £150k and £300k pa. This is driven by the Authority's target net return of 7% and the identified target lot size of £1.0m - £4.0m.</p>	£125k p.a. - £300k p.a.	£100k p.a. - £125k p.a. or £300k p.a. - £600k p.a.	£50k p.a. - £100k p.a. or £600k p.a. - £800k p.a.	<£50k p.a. or >£800m p.a.
	5	3	1	0
Property/Asset Considerations				
<p>Sector - The council should invest in a diversified and balanced portfolio with a focus on the traditional lower risk sectors of Offices, Industrial and Retail; the spread of sectors will limit the Council's exposure to volatility in a particular area.</p>	Traditional Property type (Office, Industrial, Retail)	Leisure	Healthcare or Other Business Uses	Residential

	5	3	1	0
<p>Location Quality - the 'Primeness' of an asset's location will depend very much on the nature of each individual asset and the market within which it competes. Prime locations by sector can broadly be outlined as follows:</p> <p>Offices - located within an established business district of a major UK city or on an established out of town business park with access to amenities and good transport links.</p> <p>Industrial - located within close proximity to UK motorway network or transport hub (airport/port/rail links) or an established and successful industrial/manufacturing park.</p> <p>Retail - located within the retail core of a major UK city or an established and successful out of town retail location.</p>	Primary	Secondary	Tertiary	N/A
	5	3	1	0
<p>Located Proximity to WLDC - Location will be dictated by opportunity to acquire investments that meet the strategy. A balanced portfolio would not usually be restricted to WLDC's administrative boundary and would consider opportunities to purchase further afield focusing initially on investments more locally, i.e. in the LEP/area, before expanding the search country/UK wide.</p>	Within WLDC	Within 1 hr drive time	Within 2 hr drive time	>2hr drive time
	5	3	1	0
<p>Tenure - When considering the tenure of an asset, freehold would be preferable to leasehold. Freehold provides the greater levels of security against a leasehold asset that would effectively decrease in value over time. However assets on long leasehold basis may still be suitable for consideration where the lease term remaining is 125 years or more.</p>	Freehold	Long Leasehold (125 yrs+)	Long lease between 75yrs & 125yrs	Long lease less than 75yrs
	5	3	1	0
<p>Building Condition - The age and specification of the property will also affect the ability of the Council to let or sell the property in the future. It must also be taken into consideration in respect of the cost of protecting the investment and the undertaking of repairs and refurbishment if the cost cannot be fully recovered from the tenant. Preference should therefore be for modern and efficient stock. Consideration should also be given to any landlord costs associated with works that may be required to bring the property up to a satisfactory EPC level (new leases should have a minimum EPC rating of 'E' by 1st April 2018) if it is not already.</p>	Good	Fair	Poor	Not Acceptable
	5	3	1	0
Security of Income/Leasing				

Covenant Strength - With tenanted properties there should be consideration of the quality of the tenant and more importantly, their ability to pay the rent on time and in full. Consider Dun & Bradstreet, Experia credit rating when applying Financial Covenant score. If Property is multi-let it may be acceptable to have some weaker tenants within the tenant mix as the risk is diversified to a certain extent.	Strong financial covenant	Good financial covenant	Limited financial covenant	Poor financial covenant/vacant
	5	3	1	0
Unexpired Lease length - In the case of a tenanted property, the unexpired length of the term of the lease is of key importance in ensuring that the landlord's revenue stream is uninterrupted. This must consider any upcoming breaks and assumes the tenant breaks at the earliest opportunity. For multi-let properties consider the Weighted Average Unexpired Lease Term (WAULT) i.e. the average lease term remaining to first break, or expiry, across the property weighted by contracted rent.	10yrs+	5yrs to 10yrs	Between 2yrs & <5yrs	Less than 2yrs/Vacant/Holding Over
	5	3	1	0
Rent Review - To increase income there must also be consideration of upcoming Rent Reviews in terms of the time frame and the method (i.e. upward only, RPI/CPI etc.) There should also be some consideration to the Rental Growth Prospects.	Stepped rent/RPI or fixed uplifts	Open Market Rent (5 yearly)	Unusual review format (i.e. 14 yearly)	No RRs
	5	3	1	0
Rental Growth Prospects - This considers the passing rent in relation to the market conditions and prospects for increase in income having regard to estimated rental value compared to passing rent. At a minimum the Market Rent should be equal to the Passing Rent.	Substantial Rental Growth Prospect	Some Rental Growth Prospect	Rack Rented/No Likely Change	Over rented (i.e. Passing Rent > Market Rent)
	5	3	1	0
Repairing terms - There should be preference for investments with full repairing and insuring (FRI) terms meaning that all costs relating to occupation and repairs are borne by the occupier(s) during the lease term with only insurance premiums recharged and service charge (if applicable).	Full Repairing/fully S/C recoverable	Internal repairing - s/c recoverable by capped	Internal repairing - partially recoverable	Internal Repairing - non-recoverable/Landlord only
	5	3	1	0
Occupancy rate - Ideally the property will be fully let and income producing. A vacant or mostly vacant property potentially provides the opportunity to increase income (depending on market demand, building condition etc.) Also, there should be consideration as to the ease of getting the property fully occupied and the expense which the Landlord will have to pay in the interim i.e. empty rates, repairs and redecoration etc.	Fully let (100% let)	Part Let, Part Vacant (>70% & <100% let)	Mostly Vacant (50% - 70% let)	Predominantly vacant
	5	3	1	0

- 7.6.5 No additional investment properties have been purchased during the year in question
- 7.6.7 Members have been regularly updated on these properties in the budget monitoring reports which are provided on a quarterly basis to the Corporate Policy and Resources Committee.

8 Data Analysis Of The Number, Nature And Outcome Of Complaints Received Under The Code Of Conduct.

8.1 The Standards Sub-Committee at its meeting on 24 November 2020 received a report which presented a data analysis of the number, nature and outcome of complaints received under the Code of Conduct regime for the civic years the Civic Years 2016/2017 – 2020/21 (to-date – which was October 2020)

8.2 The full report can be viewed at: <https://democracy.west-lindsey.gov.uk/documents/s22019/number%20nature%20and%20outcome%20of%20complaints%2020-21%20to%20date.pdf> and includes information on the current approach adopted.

8.3 The sections below set out an updated position in respect of complaints data for the 20/21 civic year up to **February 2021**.

8.4 During 2020/21 there have now been a total of 31 complaints. (2 withdrawn as cllr resigned)

8.4.1 25 relate to Parish Councillors and 6 relate to District Councillors.

8.4.2 The nature of these complaints is summarised below:

- Respect 6 (Parish Council)
- Honesty 2 (Parish Council)
- Leadership 6 (Parish Council)
- Bullying/ Harrass 5 (Parish Council)
- Accountability 10 (District Council 6 Parish Council (4))

8.4.3 The level of complaints has significantly increased during 20/21 with us having received, as at February 2021, twice as many complaints as the previous year.

8.4.5 complaints are up across all sectors, since lockdown. Councillors particularly, Parish Councils have been much more accessible to the Public, due to the virtual regulations and their behaviour and operation scrutinised to a greater degree than usual.

8.4.4 We continue to receive more complaints about Parish Councillors as opposed to District Councillors, but this is to be expected given the number of parish councillors as opposed to District Councillors .

8.4.3 The Council has in the two year period issued sanctions against 2 of its District Councillors and a Parish Councillor.

8.4.4 The Standards Sub-Committee will receive its next data analysis report of the number, nature and outcome of complaints at its meeting in July 2021.

9 Recent Appointments made by the Monitoring Officer

9.1 Independent members of the Governance and Audit Committee

9.1.1 Recruitment for two posts on the Governance and Audit Committee took place on 23rd March 2021. The vacancies were as a result of the end of fixed terms of the existing members. Following a recruitment process carried out by a panel of the Chair of the Governance and Audit Committee, the Monitoring Officer and the Deputy Monitoring Officer, two new independent members are recommended for appointment. These are:

Mrs Alison Adams – for a period 4 years commencing Annual Council 2021

Mr Peter Walton – for a 1 year period commencing Annual Council 2021

9.1.2 **Council are asked to ratify these appointments and formally appoint Mrs Adams and Mr Walton as non-voting members on the Governance and Audit Committee, until Annual Council May 2025 and May 2022 respectively**

9.2 Appointment of Independent Person for Code of Conduct issues

9.2.1 West Lindsey has two independent people who support the Monitoring Officer on Code of Conduct matters. One of these has tendered their resignation with effect from 31st March 2021. It is best practice to have two independent people at all times to ensure that conflicts of interest are minimised. The Monitoring Officer has approached Andrew Middleton who is currently an independent person for Bassetlaw District Council to act as an interim Independent person for a period of 6 months so that a full recruitment process can be carried out.

9.3.2 **Council are recommended to appoint Mr Andrew Middleton as Independent person for a period of up to six months.**

10 Monitoring Arrangements for the Leisure Contract

10.1 The leisure contract is a comprehensive document which details the expectations from both parties. It covers activities at the Gainsborough Leisure Centre, expectations for Market Rasen Leisure Centre once it is completed and a range of outreach activity across the district. The provider is Everyone Active.

- 10.2 The performance of the contract is continually being monitored through monthly client meetings with the provider, Everyone Active, and through ad-hoc visits on a weekly basis. All meetings are documented and service issues are considered.
- 10.3 During the year a number of issues have been raised by service users and Councillors regarding cleaning and hygiene. These have been addressed through meetings with the site manager and by ad hoc site visits by the contract manager. The contract manager has also engaged with the service users concerned and feedback has been provided. As a result plans have developed with the contractor to address the concerns. Actions include a modified cleaning regime and staff training.
- 10.4 There are measures in the Performance and Delivery report which members review on a regular basis these are
- Leisure Centre Usage
 - Customer Satisfaction
 - Number of outreach users
 - Number of users referred through participation in Healthy Lifestyle Schemes
 - Annual measure relating to whether or not external Quest accreditation has been maintained. Details of the scheme are available at <https://questnbs.org/about-us/about-quest>
- 10.5 We also monitor outcomes in the annual State of the District report which includes information relating to physical activity and participation in sport. Details of Sporting Facilities are also included in the State of the District report.

11 Support to Parish Councils.

- 11.1 As Monitoring Officer, I regularly support Parishes on an informal basis throughout the year. As well as through my powers in relation to the Code of Code Conduct. However, the Constitution also provides me the relevant powers to: -
4. To make, under Section 91 of the Local Government Act 1972, temporary appointments of Members to Town and Parish Councils following consultation with the Chairman of the Governance and Audit Committee. (Part IV / Page 33)
- 11.2 Following the Elections in May 2019, there were a number of Parish Councils who were not in a position to legally operate due to them not having the required number of elected members to be quorate. Being in this position means that even when the Parish Council find an interested party to join the Council, the Parish Council cannot formally co-opt that person as they do not have a quorum to make such a decision; they are in effect left in limbo.

- 11.3 During the 2019/ 2020 the Monitoring Officer, with assistance from Ward Members, has assisted four such Councils, using this delegated power, to varying degrees namely: -

Scotton
Northorpe
Brattleby
Langworth

- 11.4 The Monitoring Officer, Deputy Monitoring and relevant Wards Members have for short periods acted as Members of these Parishes purely for the purposes of ensuring any interested parties can be legally co-opted ensuring the Parish Council is therefore in a position to continue function independently.
- 11.5 Sometimes this has seen multiple appointments made to a single Parish Council and administrative actions being undertaken to keep the Parish Council functioning.
- 11.6 All of these Parishes are now in a position to function independently once again.
- 11.7 There have been no such interventions in the year 2020/2021.

12 Interim Decision Making Process during COVID 19 outbreak.

- 12.1 In March 2020 the COVID 19 outbreak led to a number of changes to the decision making process at West Lindsey DC. All meetings were cancelled and the use of the delegation scheme was invoked as an alternative to Committee decisions.
- 12.2 The Constitution allows for this situation and gives the appropriate delegations to the Head of Paid Service in consultation with key elected Members. This is in accordance with paragraph 4 of the Head of Paid Service duties which are contained in part IV of the Constitution.
4. To determine any matter within the referred or delegated powers and duties of a committee/sub-committee/board/ working group which is so urgent that a decision must be made before the next meeting of that committee/sub-committee/board/working group is due to be held.
(Limits on delegations: Before making any decision pursuant to this delegated power, the Head of Paid Service shall consult with and take cognisance of the views of the Chairman of the relevant committee/ sub-committee/ board/ working group (or, in his/ her absence, the Vice-Chairman of that committee/ sub-committee/ board/ working group). Any decision taken by the Head of Paid Service under this delegated power shall be reported to Members within five working days of the decision being taken.
- 12.3 The Governance has been tested by the emergency and the Constitution has enabled all necessary action to be taken without making any changes.
- 12.4 The Head of Paid Service did commit to extend the above delegation to include the Leader of the Opposition and this has been the case since the start of the Pandemic

- 12.5 As of 4 April 2020, Regulations permitting remote or virtual meetings became effective and the Authority reviewed its previous decision to suspend all meetings.
- 12.6 A revised Committee timetable was agreed and a managing virtual meetings procedure was developed.
- 12.7 The Authority has used a combination of MS Teams and “connect anywhere” software, developed by our webcast provider, Public-I, to meet all the requirements of the regulations. (<http://www.legislation.gov.uk/uksi/2020/392/contents/made>)
- 12.8 The Authority has been able to maintain public participation and has not needed to reduce committee membership to quorum levels.
- 12.9 The regulations which support virtual committee meetings, cease to become effective on 7 May 2021.
- 12.10 However, as outlined in previous sections, it is anticipated remote working will have some place within the organisation for years to come.
- 12.11 Whilst the regulations will have come to an end, social distancing remains, and the Council will need to hold it’s Full Council Meetings going forward at alternative venues.. Committees can be accommodated within the Chamber.
- 12.12 Given the pace of change still being experienced by the Pandemic it is expected that the urgent delegated decision provision will still need to be used on a frequent basis. Members are notified of such decisions within 5 days of them being made, and as previously stated, the Chair for CPR, PC and the Leader of the Opposition are always consulted.

13 Regulation of Investigatory Powers (RIPA)

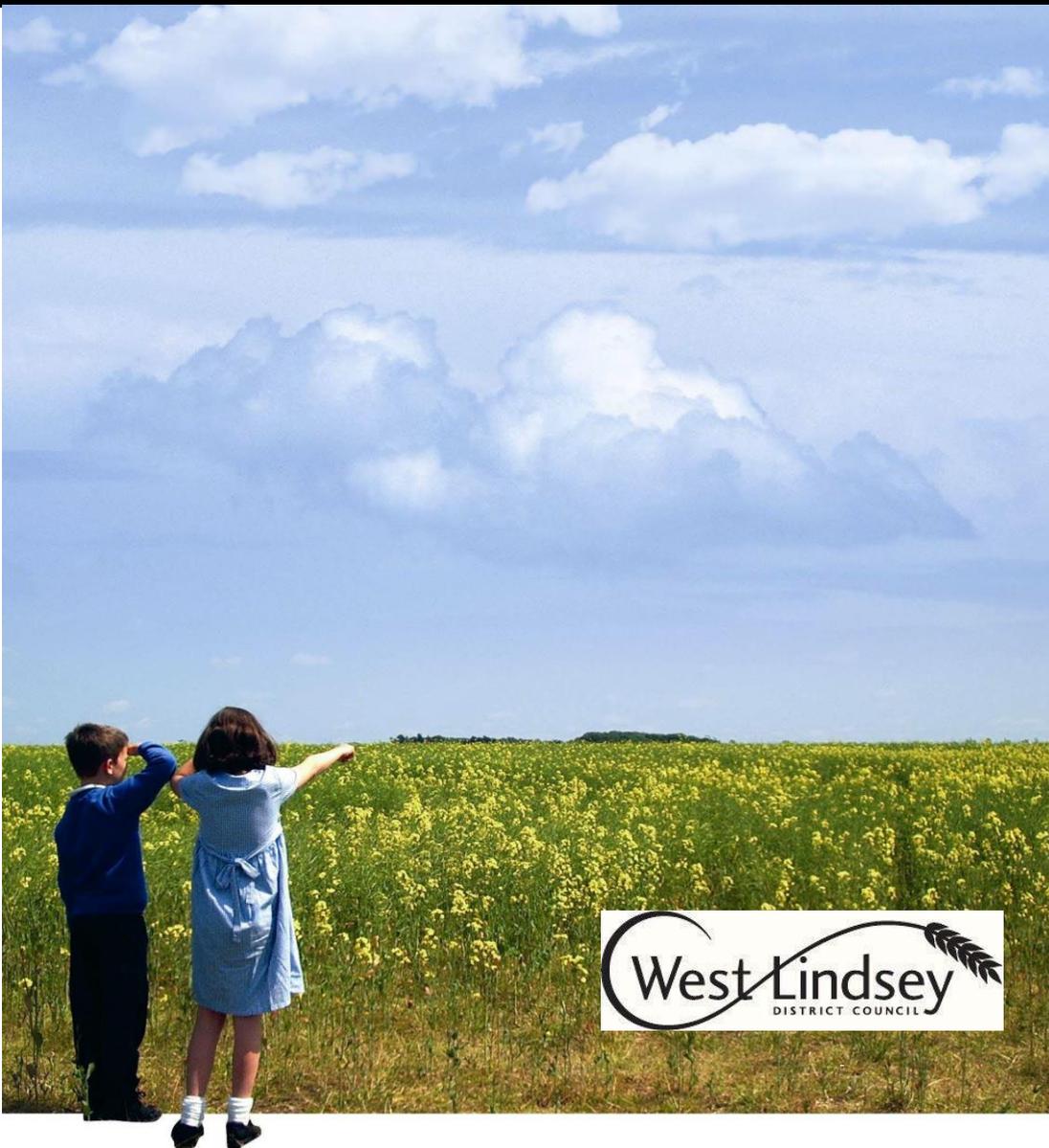
- 13.1 The Human Rights Act 1998 requires the Council and organizations working on its behalf, pursuant to Article 8 of the European Convention, to respect the private and family life of a citizen, his home and his correspondence.
- 13.2 The Regulation of Investigatory Powers Act 2000 (RIPA) provides a statutory mechanism (i.e. 'in accordance with the law') for authorising covert surveillance, the use of a covert human intelligence source (CHIS) - e.g. undercover agents. It seeks to ensure that any interference with an individual's right under Article 8 of the European Convention is necessary and proportionate. In doing so, RIPA seeks to ensure that both the public interest and the human rights of individuals are suitably balanced.
- 13.3 West Lindsey in common with all Local Authorities is required to have arrangements in place to ensure that it abides by these regulations. This includes having an up-to-date policy on carrying out training and keeping

appropriate records. All requests to carry out surveillance have to go through an authorization process which includes approval by a magistrate. Training has been carried out for key staff in February 2020 and more is planned for the coming months.

- 13.4 The Surveillance Commissioners officer carried out a review of arrangements in January and found that the arrangements in place were adequate but suggested two actions to improve the position. The first that Members are advised annually of the number of surveillance requests which have been approved. It can be confirmed that during 2020/2021 no requests were made. The second was that the policy which was last reviewed in July 2017 should be reviewed. This work will be carried during the 2021/2022 civic year and presented to Members in this report next year.

West Lindsey District Council

Participation at Planning Committee Meetings



Revised May ~~2019~~ 2020

West Lindsey District Council is committed to extending public involvement in the planning process.

There are already extensive consultation and neighbour notification procedures for all planning applications. This leaflet explains how you can speak directly to Councillors at Planning Committee meetings.

The advice in this leaflet applies equally to applicants, their agents, supporters, objectors and local council representatives.

Questions and Answers

Q Can I get a copy of the agenda before the meeting?

A The agenda, containing details of each application, will be available on the Council's website, at the meeting and will be available for inspection at the council's offices five clear days before the meeting.

Q Does "public participation" alter the existing arrangements for the publicity of planning applications?

A No. Planning applications will continue to be publicised as at present.

The council's Planning Committee generally consider applications which are of wider significance or of major importance to the district as a whole, while decisions on simple or straightforward applications are usually delegated to officers. You may need to check with Planning & Development Services on 01427 676676 (following Options for the Planning Team), or email: planning_customer_care@west-lindsey.gov.uk if you are not sure if the application in which you are interested is to be considered at a Planning Committee meeting.

Applicants, agents and town or parish councils will be informed ~~about~~ approximately five days before the meeting if an application in which they are interested is on the agenda for that meeting. All other interested parties (i.e. anyone else that has commented/local residents) need to view dates and agendas for forthcoming committee meetings on the council's website. Unfortunately it is not possible to notify interested parties (other than the parish council) directly. Where a planning application is dealt with by officers under delegated powers, clearly public participation at a Planning Committee will not apply.

Q If I object to a proposal, do I have to speak at the committee meeting?

A No. Details of all objections, if received in time, are reported to the committee anyway. It is entirely at your own discretion whether you ask to speak at committee. Objections are available to view using the application tracker pages of the council's website (www.west-lindsey.gov.uk).

Q If I am the applicant or agent, do I have to speak at the committee meeting?

A No. If the recommendation to the committee is to approve the proposal, you may decide not to take up committee time. If the recommendation is for refusal, you may wish to present your case. Please note, however, that a recommendation is not always accepted by the committee.

Q If I wish to speak, how do I arrange it?

A If you wish to speak, you will need to telephone or e-mail the Democratic Services team on:
01427 676594, 676595 or 676606
committeeadmin@west-lindsey.gov.uk to register your request.

All speakers, including members of the public, visiting Ward Members and County Councillors are required to comply with the requirement to register in advance of the meeting (by 5pm two working days before the meeting). i.e. on the Monday for a Wednesday meeting or the Friday if the Monday is a Bank Holiday.

You can register as soon as you become aware of the application even if you do not know at that stage whether the application will be dealt with by officers or submitted to committee. Late requests to speak will not be accepted, unless there are exceptional circumstances.

Q Where and when are the committee meetings held?

A Meetings of the Planning Committee are generally held every four weeks on Wednesdays at 6.30pm in the Council Chamber, Guildhall, Marshall's Yard, Gainsborough.

Q When will the application be considered?

A Applications on which the public wish to speak may be considered before other applications. If you make arrangements to speak, you should endeavour to be present at the start of the meeting. Applications will not be deferred or delayed in the event of late or non-attendance. Specific times for the discussion of particular applications cannot be given.

Q What is the order of speaking on each application?

A One of the planning officers will introduce the item. Speakers will be invited to speak in the following order:

- Town/Parish Council/Meeting representative
- Supporters (including the applicant(s) and/or agent(s))
- Objectors
- Ward and/or County Councillors (for the Ward being dealt with as part of the application)

Please ensure that you make it clear in what capacity you wish to speak: objector; supporter; Parish/District/County Councillor.

The committee will then consider the application and reach a decision. If at the meeting a deferral or site visit is agreed arising from comments made during public participation, you may speak again at the meeting when the application is next considered.

~~Standing advice to all WLDC Members would be to leave the Chamber for the remainder of the debate on the item they have spoken on.~~

Q How long will I be able to speak for?

A There is a time limit of five minutes for each category of speakers. ~~Into whichever category you fall, You are encouraged to get together and arrange a single spokesperson, no matter which category you fall under.~~ A maximum of three speakers will be allowed in each category, sharing the time equally, if agreement cannot be reached. If more than three still wish to speak, time will be allocated on the basis of the first three who registered with the Committee Administration team.

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Q Can I ask questions of other speakers?

A No. Comments should be in the form of statements rather than questions. It is important to focus comments on material planning matters that have not otherwise been raised by other speakers.

Q Can I use photographs or plans or circulate supporting documents?

A Documentation in support of oral representations is permitted provided a copy is submitted to Planning Services by no later than 12 noon on the day preceding the committee meeting.

Q What are the relevant issues in considering proposals?

A The relevant issues will vary with the nature of the proposal and the site, but may include the following:

- Local and Neighbourhood Plan policies

- Government planning guidance
- Planning law and previous decisions
- Highways safety and traffic issues
- Noise, disturbance and smells
- Design, appearance and layout
- Conservation of historic buildings, trees ~~eteetc.~~
- Residential amenities and Environmental impact
- The current Minerals and Waste Plan for the area

Q What issues are usually not relevant in considering proposals?

A They will also vary from case to case, but the following are examples:

- Matters covered by other laws (*e.g. alcohol licensing*)
- Private property rights (*e.g. boundary or access disputes*)
- The applicant's morals or motives
- Suspected future development
- Loss of view
- Effect on value of property

Allegations of factual errors in the report are not to be the subject of oral representations. If you believe this to be the case, you must take this up in writing with the Planning and Development Services Manager prior to the meeting. You should particularly note that you should not make derogatory or defamatory remarks about other people. Any such comments may leave you open to legal action.

Q Can I speak more than once on the same application?

A The Planning Committee may seek points of clarification from participants. If a motion for deferral/a site visit arises from listening to the comments made during the public participation period and is duly agreed, public participation arrangements will apply to that item when it is next considered.

Q Whom do I ask if I have any other queries?

A If you have any questions not answered by this leaflet, you are welcome to contact:

Democratic Services

**West Lindsey District Council Guildhall, Marshall's
Yard Gainsborough, Lincolnshire DN21 2NA**

Telephone: 01427 676594/595/606

Email: committeeadmin@west-lindsey.gov.uk

Notes:

- Councillors are elected to represent you on the District Council. You might like to contact your Councillor about the application concerned, but he/she will not be able to commit him/herself to a decision before hearing all the evidence and debate at the meeting. Councillors must take into account the laws and planning guidance as well as public opinion.
- The Chairman of the Planning Committee has absolute discretion regarding the interpretation of this scheme and its temporary suspension, variance or withdrawal at a particular meeting if it would be conducive to the debate or in the event that it becomes, or threatens to become, disruptive to the conduct of the meeting or the proper and lawful exercise of the council's statutory powers and duties.
- Minutes of Committee Meetings are published on the website and may also be viewed at council offices. Copies can be provided on request. There is a charge to cover printing and postage costs.

Other Leaflets in this Series:

Public Participation at Committee

Meetings and

Public Question Time at Council Meetings

Assistant Director of Planning and Regeneration

1. To determine the following:

- Applications for planning permission
- Applications for Listed Building ~~and Conservation Area Consent~~
- Applications made under the Hazardous Substances regulations
- Applications for consent to display advertisements

The above powers cannot be used if the following circumstances apply:

- (a) In the case of an application it is intended to determine in conflict with a representation received from a parish or town council, a neighbour or other person or organisation, that application will be referred to the Planning Committee for determination where, in the professional opinion of the Assistant Director or Planning Team Manager (in consultation with the Monitoring Officer if considered appropriate):
- (i) The representation relates to a “planning matter”; and
 - (ii) The representation and the planning matters raised are directly relevant to the application under consideration; and
 - (iii) The planning matters under consideration in the determination of the application are finely balanced.

(b) The application has been subject to a request by a Parish Council, made during the formal 28 day consultation period to have it determined by the Planning Committee for the following reason;

- (i) In the opinion of the Parish Council making the request, it would comprise a departure from the policies of the Neighbourhood Plan (which has reached at least the Regulation 16 consultation stage) and they have set out which specific policies they consider are in conflict and why;

It will be for the Assistant Director or Planning Team Manager (with consultation of the MO), to decide in consultation with the Chairman of the Planning Committee, on the basis of the planning reasons given by the Parish Council or planning policies referred to, whether the application should be referred to the Planning Committee for determination.

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- (b) The application has been subject to a request by a Councillor, made during the formal 28 day consultation period and is supported by relevant planning policies and other material planning considerations that are directly relevant to the application being considered, to have it determined by the Planning Committee for one of the following reasons;
 - (i) The application is of major importance or significance to the District as a whole and therefore requires the input of Councillors in its determination
 - (ii) There is, in the opinion of the Councillor making the request, a valid planning reason why the application should be determined by the Planning Committee and this is supported by relevant planning policy.

It will be for the Assistant Director or Planning Team Manager (with consultation from the MO if considered appropriate) to decide in consultation with the Chairman of the Planning Committee, on the basis of the planning reasons given by the Councillor or planning policies referred to, whether the application should be referred to the Planning Committee for determination.

- (c) An application has been on deposit in the statutory register for a period of less than 28 days or the period allowed for consultation replies to be received has not expired, whichever is the later.
- (d) The applicant or agent is a Councillor.
- (e) The applicant or agent is from the immediate family of a Councillor.
- (f) The applicant or agent is an officer of the Council.
- (g) The applicant or agent is from the immediate family of an officer of the Council.
- (h) The Executive Director of Operations or senior officer within considers it

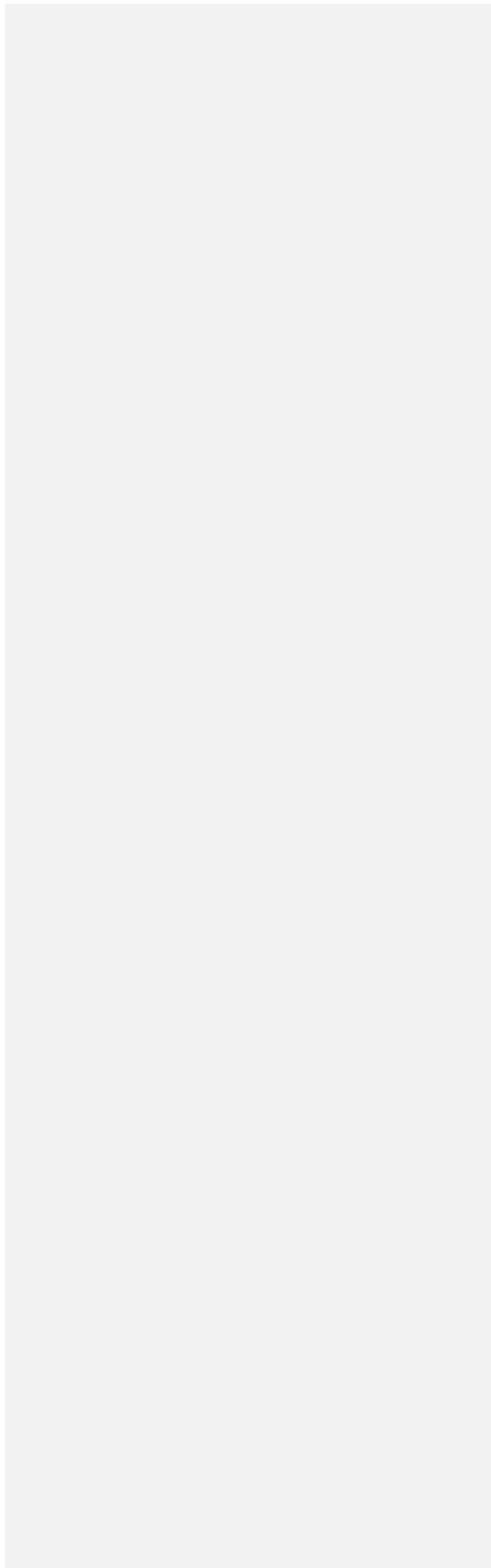
appropriate that the application is determined by the Planning Committee.

- (i) Any application where the recommendation is for approval which is in conflict with a policy of the adopted Central Lincolnshire Local Plan or any Neighbourhood Plan ~~that has passed Regulation 14 stage, being those plans at either an official draft stage or 'made' (adopted) Neighbourhood Plan.~~

- 2. To determine all other matters which are part of the development management process, including (but not exclusively):

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CONTRACT & PROCUREMENT
PROCEDURE RULES

In partnership with Procurement Lincolnshire

Revised March 2021

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Contract & Procurement Procedure Rules

1. INTRODUCTION AND SCOPE

It is clear that the procurement organisation of the future will not look like it was before Brexit. For procurement to drive innovation, capitalise on marketplace dynamics and support continuous improvement this will require a development of roles, structure, behaviours, tools and strategy.

Procurement as an organisational process is intended to ensure that the buyer receives goods, services, or works at the best possible price when aspects such as quality, quantity, time, and location are compared. Corporations and public bodies define processes intended to promote fair and open competition, and following the Public Contracts Regulations (PCR's 2015 and the Council's Contract and Procurement Procedure Rules (CPPR's will ensure that the Council promotes good purchasing practice, deters corruption and prevents allegations of incorrect or (CPPR's) inform officers involved in procurement of the mandatory requirements when undertaking procurement and developing contract documentation.

The CPPR's advise on procedures for the purchase of goods, works and services and should be read together with Financial Procedure Rules within The Constitution and the Public Contract Regulations 2015 <http://www.legislation.gov.uk>, and apply to all officers employed by the Council and any persons appointed to work with or on behalf of the Council.

At the present time, in the event of any conflict between EU law, UK law and these Contract & Procurement Procedure Rules, the requirements of European law shall prevail over UK law and the requirements of UK law shall prevail over these Procedure Rules.

When carrying out any procurement, consideration shall be given to the four principles:

- Transparency
- Non-discrimination
- Proportionality
- Mutual consideration

1.1 BASIC STANDARDS

The purpose of the CPPR's is to:–

- Help officers procure their contracts in a consistent and proper way;
- Ensure legal clarity and reliability in contract administration;
- Help ensure that expenditure involved in contracts is controlled within approved budgets;
- Support officers to achieve and demonstrate best value for the Council;
- Ensure compliance with Public Contract Regulations, Financial Procedure Rules, applicable Grant Funding regulation and with all UK and European Union legal requirements;
- Ensure fairness in allocating public contracts;
- Comply with all legal requirements;
- Comply with the Councils' policies; and
- Comply with the Councils' corporate and service aims and objectives

In addition, ensure that: –

- Any grant money received must be spent in line with these Contract & Procurement Procedure Rules unless the grant conditions state otherwise;
- The purchase has been authorised by the relevant level of management;
- It is a lawful purchase; and
- Processes are in place to maintain the security and integrity of data;

Officers involved in any procurement will make sure that:

- The rules set out in this document are followed;
- Any additional legal or financial advice is sought prior to commencement or during the procurement process;
- Any personal financial interest in a contract is declared prior to commencement of the procurement process;
- All bids are kept confidential;
- A written contract is issued and signed by both parties or purchase order is issued before the supply of goods, services or carrying out of works begin;
- Where appropriate identify a Contract Manager with responsibility for ensuring the contract delivers as intended; and
- A review of each contract is carried out at an appropriate stage in a term contract or at the end of a fixed term contract.

1.2 CONTRACTS

All contracts must comply with the requirements of the Public Contract Regulations 2015 and the Council’s Contract & Procurement Procedure Rules. A contract is any arrangement made by, or on behalf of, the Council for:

- Execution of works;
- The delivery of services;
- The hire, rental, repair, maintenance or lease of goods or equipment
- The supply of goods;

For the purposes of these CPPR’s contracts do not include:

- a) Contracts of employment which make an individual a direct employee of the Council;
- b) Agreements regarding the acquisition, disposal, or transfer of land (for which Financial Regulations apply); or
- c) Awarding of Grant monies.

1.3 CONCESSION CONTRACTS

A concession contract is an agreement between the Council and an Economic Operator (mostly private companies) where the Economic Operator is given the right to exploit works or services provided for their own gain. Economic Operators can either receive consideration for their services solely through third party sources, or partly through consideration from the Council, along with income received from third parties.

There are two types of concessions contracts: works concessions and service concessions. In a works concession, the Economic Operator operates, maintains and carries out the development of infrastructure. In a service concession, the Economic Operator provides services of general economic interest.

Advice must be sought from Procurement, Lincolnshire prior to tendering a concessions contract.

1.4 RESPONSIBILITIES

1.4.1 The Management Team (MT)

The MT have joint responsibility for:

- Ensuring that procedures for procurement are sound and properly administered;
- All staff comply with the Public Contract Regulations 2015 and the Council's Contract & Procurement Procedure Rules.

The Section 151 Officer (Chief Finance Officer) is responsible for ensuring all income and expenditure is lawful. In addition, the Section 151 Officer (Chief Finance Officer) will also monitor the use of the exception process (section 2).

1.4.2 Directors/Assistant Directors

Will be responsible for:

- Ensuring staff within the services under their responsibility are aware of their obligations under these procedures and receive adequate training and guidance;
- Ensuring officers assigned to manage contracts, update those contracts with the relevant management information, i.e., orders, invoices, minutes, etc. in the current contract management depository;
- Ensure sufficient time and resource is allocated to the pre-procurement and tendering process.

1.4.3 Contract Sign Off

Sign off on Contract documentation on behalf of the Council will be as follows dependent on financial limits allocated:

Total Contract Value	Sign off
Under £25,000	Team Manager
Contracts £25,001 - £75,000	/Director/Assistant Director
Contracts above £75,001 and above	Chief Executive, Chief Finance Officer

1.4.4 Procurement Resources

1.4.4.1 Contracts & Procurement Officer

Will be responsible for:

- The Council's Electronic Contract Register which holds all contracts where the estimated contract value is £5,000 and over, including extensions.
- Ensuring safe keeping of an electronic copy of the signed contract is held where a contract is formed in addition to a Purchase Order
- Ensuring all approved exceptions are held on the Contract Register

- Ensuring all Consultancy and Interim appointments are held on the Contract Register
- Ensuring completion of all procurement and contract documentation, including sign off on award/non-award letters for procurements under EU threshold

The Contracts & Procurement Officer is authorised to carry out procurement, under EU threshold, for supplies, services and works on behalf of the Council, and shall ensure that the principles and standards of these CPPR's are complied with. Additional support for procurements over £75,000 will be provided by the Procurement Lincolnshire District Liaison Officer. Advice must be sought from Procurement Lincolnshire with regard to any deviation from the CPPR's and an Exception Report shall be submitted to the Chief Finance Officer for approval.

The Contracts & Procurement officer must check whether a suitable Framework Agreement exists, which can be utilised, before engaging in a Procurement exercise. A framework should be used unless there is a good reason not to, i.e., limited suppliers, timescales, etc., and any reason must be recorded.

The officer must also ensure that any agents acting on the behalf of the Council comply with the CPPR's and all other relevant regulations, and with all UK and EU binding legal requirements.

1.4.4.2 Procurement Lincolnshire District Liaison Officer

The Shared Service agreement with Procurement Lincolnshire provides an additional procurement resource to assist the Council with high value or complex procurement enquiries, as required, in particular with focus on procurements over the value of £75,000.

2. EXCEPTIONS TO COMPLIANCE WITH THE CONTRACT & PROCUREMENT PROCEDURE RULES

Exceptions are provided in circumstances where the Chief Finance Officer (Section 151 officer) believes an alternative route to normal tendering procedures is required.

Exceptions may be necessary because of an unforeseen event has occurred whereby there may be immediate risk to persons or property, or potential serious disruption to Council services.

Exceptions are not a substitute for occasions where procurement planning has not been exercised and there is insufficient time to undertake a competitive process.

The exception report shall be completed by the Contracts & Procurement Officer and submitted to the appropriate authority for approval as follows:-

- The appropriate Committee or Full Council if:
 - The value of the contract is over EU threshold and approval has been given by Legal Services and/or Procurement Lincolnshire; and
 - The tendering exercise would not achieve best value.
- The Management Team (one member to sign on behalf of) if:
 - The potential value of the contract is between £75,000 – EU threshold; and

- A quotation or tender differs marginally from the specification but nevertheless represents the best value for West Lindsey; or
 - There is only one potential supplier or contractor.
-
- The Chief Finance Officer if:
 - The value of the contract is below £75,000; and
 - The requirement is of an urgent nature; or
 - Social value is of high importance; or
 - There is only one potential supplier or contractor; or
 - There are unforeseen events.

All exceptions shall be recorded on the Councils' Contract Register.

3. JOINT COMMISSIONING

When the Council jointly commissions services with other public sector bodies, the following procedures shall apply:-

- The parties concerned will decide which of them is to act as the lead authority for the purposes of the particular service that is to be commissioned;
- The procedures for the procurement of services of the lead authority shall be followed;
- All participating authorities will be issued with a signed copy of the agreement.

Contracts entered into through collaboration with other public sector bodies, where a competitive process has been followed that complies with their equivalent to the CPPR's will not require an exception from this Council's CPPR's.

4. APPOINTMENT OF CONSULTANTS, INTERIM STAFF AND TEMPORARY STAFF

Consultants

Definition – a person who provides expert knowledge and advice in a particular field

Where, it is considered necessary to appoint a consultant to provide the services to the Council the following procedure shall be undertaken.

The Service shall submit a report to the Management Team setting out:

- The nature of the services for which the appointment of a Consultant is required;
- The estimated Total Contract Value of the services;
- The preferred Procurement route (RFQ, tender, framework);
- That no employee of the Council has been identified with the capacity or availability to undertake the services;
- The identified budget availability as agreed with Finance.

If it is the opinion that the nature of the services required is so specialist that fewer than three Applicants would be able to provide the services the officer must record in writing the reason why the services are so specialist and, subject to the approval of the Management Team, may send the invitation to one/two Applicant(s) only.

If permission is granted, an RFQ/Invitation to Tender for the provision of consultancy services must include as a minimum:

- a specification for the services;
- a questionnaire seeking details of the applicant's experience in providing similar services;
- the Council's standard contractual terms on which it is intended to appoint the consultant to provide the services; and
- the Award Criteria.

The estimated Total Contract Value will dictate which Procurement route is applicable.

The Service will, in liaison with Human Resources, obtain responses in line with the identified procurement route, for evaluation. Human Resources will ascertain as to whether IR35 (intermediaries legislation) will apply.

Where it is deemed that IR35 will apply, the status check report and cost implications of such appointment must be highlighted. No consultant is to be appointed without confirming if the IR35 rule applies to an engagement.

IR35 is legislation which affects Tax and National Insurance contributions relating to appointments whereby consultants are contracted to work through an intermediary.

The intermediary can be:

- a limited company;
- a service or personal service company; or
- a partnership

The potential candidates will be evaluated and HR will then carry out the relevant checks and assurances. The Service will then submit a final report to the Management Team detailing the proposed appointment and costs for approval. If approved, the successful candidate will then be engaged. HR will then ensure the contract documentation is completed.

Once the consultancy assignment is completed, the Service must submit a report to the Management Team detailing the total cost of the engagement, the benefits and whether the aims and objectives were achieved.

Interim Staff

Definition – a person employed for a set period of time, experienced professional with niche skills, able to cover long term leave or manage a project

Where, it is considered necessary to appoint an interim to provide long term cover for an existing post within a Service the following procedure will be undertaken.

The officer must submit a report to Human Resources and Financial Services setting out:

- The nature of the services for which the appointment of an Interim is required;
- The estimated Total Contract Value of the services;
- The preferred Agency route (No. of CV's in line with thresholds)
- That no employee of the Council has been identified with the capacity or availability

- to take over the post;
- The identified budget availability as agreed with Finance.

Where the interim resources is for additional capacity or for specific project delivery, the officer must submit a report to the Management Team setting out the items as detailed above.

If permission is granted, an RFQ/Invitation to Tender for the provision of interim services must include as a minimum:

- a specification for the services;
- a questionnaire seeking details of the applicant's experience in providing similar services;
- the Council's standard contractual terms on which it is intended to appoint the interim to provide the services (unless a framework route); and
- the Award Criteria.

The estimated Total Contract Value will dictate which Procurement route is applicable. The potential candidates will be evaluated and HR will then carry out the relevant checks and assurances. The successful candidate will then be engaged. HR will then ensure the contract documentation is completed.

Where the employment of a Consultant or Interim is estimated to attain a value of £5,000 or over, an entry shall be made on the Council's Contract Register.

HR will ensure that all documentation relating to the appointment and engagement of a Consultant or Interim will be stored in a secure environment.

Temporary staff

Definition – a person hired through an agency to cover unexpected short term defined work.

The Service Manager will complete a vacancy request form. It will be assessed by Finance for budget requirements and if approved, will then be forwarded to Human Resources (HR) to source suitable agencies. The number of CV's required will be dependent on the budget (see procurement thresholds for quotes).

HR will complete relevant employment checks and advise the Service on the most suitable candidate. If the candidate is self – employed through an agency the Service will be required to sign the agency contract. If the candidate is not self-employed through an agency, HR will complete the council agency contract document and arrange for a signature from the successful candidate.

5. E-PROCUREMENT

Electronic tendering is the compliant method of carrying out an Invitation to Tender (ITT) or Request for Quotation (RFQ) process where the value of the contract will be £5,000 and above.

When calculating the expected value of a contract, the final cost will be identified through the total capital and/or revenue expenditure over the projected life of the contract; this will also include any extension periods. If dealing with open-ended contracts the total value should be costed over a four year period.

The electronic tendering portal has a Contract Register and Contract Management module within. It will be the responsibility of the Contracts & Procurement Officer to ensure the register is up to date, all awarded contracts are published and contract management is in place. It will be the responsibility of the Service to ensure all relevant documentation relating to the contract management is uploaded, and the contract is managed through to end of contract term.

6. STEPS PRIOR TO PROCUREMENT

Before engaging in a procurement resulting in a Contractual arrangement, the following must be considered:-

- Is the proposed contract in line with the Council's Corporate Plan, aims and objectives?
- Has it been identified as part of business planning?
- Is there a budget in place or will one need to be approved?
- Have all options for delivering the contract been explored?
- Has a collaborative opportunity with other local authorities been explored?
- Will the proposed contract provide value for money in line with good quality?
- Will this procurement secure any wider social, economic and environmental benefits for the West Lindsey District (Social Value)?

For potential procurements not already identified and approved by the Management Team through the Business and/or Service Plans and are considered to be outside 'Business as Usual', these must be authorised through a Business Case detailing:

- The need
- The value
- The objectives
- The risks
- The governance and data protection
- The market
- The most appropriate procurement method
- The resources required for procurement process
- The resources required for ongoing management and monitoring of the contract

6.1 SOCIAL VALUE

Procurements should consider how the contract will impact on the economic, social value and environmental wellbeing of the district and Lincolnshire as a whole, as required by the Public Services (Social Value) Act 2012.

Where necessary, the council should consider as part of an assessment:

- How the proposed procurement might improve the economic, social and environmental well-being of the relevant area
- How, during the development of the procurement documentation, the potential improvements can be incorporated, to secure delivery
- Whether any consultation is necessary

6.2 LOCAL SUPPLIERS

For the purpose of these regulations a local supplier is defined as those “who’s trading premises are located in Lincolnshire and/or a 20 mile radius of the County”.

6.3 USING A FRAMEWORK AGREEMENT

A public sector framework agreement gives buyers the flexibility to order services and products from private sector suppliers multiple times without going through the full tender application process more than once.

The purchasing organisation (the buyer) can call off from a framework by either Direct Award or Further Competition according to the detail of the Call-Off procedure included in the contract documentation. As a framework has already satisfied the procurement procedures included in an OJEU tendering process they can often be a faster route to procurement. However, for a Direct Award the requirements of the buying organisation must be precise in detail with that within the framework, this means no change to specification, terms and conditions, standards, price and costs, payment terms etc. Documentation for either a Call-Off or Further Competition is often supplied by the Framework Contracting Authority and part of the framework portfolio documents.

Prior to any procurement the officer responsible for carrying out the procurement activity must consider as to whether there are any frameworks available and suitable for meeting the buying organisations purchasing need.

Engagement of a supplier and formation of a contract must be executed in accordance with the framework procedures (it is the Call-Off order that forms the contract within the Framework). Officers must ensure that they fully understand the terms and conditions, are familiar with and understand all of the Framework and Call-Off procedures documentation along with buyer eligibility before using the framework.

To make a direct award the buying organisation must be able to differentiate amongst suppliers and demonstrate a value for money approach.

6.4 GRANT MONIES

Procuring contracts using external grant monies can involve additional regulatory requirements and additional scrutiny. It is therefore mandatory that both the Service and officer responsible for conducting the procurement are fully conversant with all of the requirements of the relevant funding bodies and identify any risks in a pre-procurement risk register.

The Procuring Officer shall ensure they engage with Procurement Lincolnshire to maintain assurance that the correct process is followed and any additional guidance is provided.

6.5 STATE AID

State aid is any advantage granted by public authorities through state resources on a selective basis to any organisations that could potentially distort competition and trade in the European Union (EU).

The definition of state aid is very broad because 'an advantage' can take many forms. It is anything which an undertaking (an organisation engaged in economic activity) could not get on the open market.

State aid rules can (among other things) apply to the following:

- Grants
- Loans
- Tax breaks, including enhanced capital allowances
- The use or sale of a state asset for free or at less than market price

The rules can apply to funding given to charities, public authorities and other non-profit making bodies where they are involved in commercial activities.

Prior to undertaking any tender the Service must give consideration as to whether there are any state aid implications, advice to be sought from Procurement Lincolnshire.

Where any state aid implications are found, Legal Services should be consulted before continuing with the procurement.

6.6 INFORMATION GOVERNANCE AND DATA PROTECTION

The Contracts & Procurement Officer, when engaging in any procurement process, must consider as to whether any of the requirements of the General Data Protection Regulations 2018 will apply. If it is anticipated that personal data is to be processed, the officer must ensure that safeguards are built into the tender documentation and assessed, where appropriate, as part of the evaluation.

6.7 TUPE

When undertaking a procurement exercise, consideration must be given as to whether any Transfer of Undertaking (Protection of Employment) TUPE issues may arise. Human Resources and Legal should be consulted before the procurement process commences.

7. THRESHOLDS

The following table shows the financial threshold levels for Procurement:

Goods and Services

up to £5,000	one written estimate/quotation (email included)
£5,001 - £30,000	two quotations
£30,001 - £75,000	three independent quotations (no group relationship) (RFQ)
£75001 – EU threshold (£189,330)	four independent quotations (no group relationship) (RFQ)
over £189,330	full EU tender process (ITT)

Works contracts as above until

£189,330.00 - £4,,733,252.00	Five independent quotations (no group relationship) or by advertisement
Over £4,73,252.00	full EU tender process (ITT)

Compliance with the CPPR's must not be avoided by disaggregating spend into lesser values.

Electronic tendering must still be used for quotations £5,000 and above

8. BELOW OJEU THRESHOLDS FOR PROCUREMENT OF SERVICES

8.1 SELECTING THE CORRECT PROCESS

When engaging in any procurement the Service must ensure that good quality and best value is obtained for West Lindsey.

Contracts up to £5,000

Minimum of one written quotation is required for services and goods, which includes similar types of process (e.g. looking up from a catalogue). An email will be acceptable for a value up to £5,000.

- A local supplier shall be used where appropriate.
- The form of contract will be a completed West Lindsey District Council Purchase Order raised through the Financial Management System Purchasing Module.
-

Contracts from £5,001 to £30,000

- Procurement of contracts for £5,000 and over shall be carried out through the Electronic Tendering Portal.

- Pre-Procurement approval is required from a Team Manager or Management Team.
- A minimum of two written quotations is required. One of the quotations shall be from a local supplier, where possible, and a local supplier shall be used if they provide the most economically advantageous offer.
- The minimum requirement for the form of contract will be a properly completed official West Lindsey District Council order raised through the Financial Management System Purchasing Module. An accompanying letter or email, cross-referenced to the order, should give further details if necessary. For the higher value contracts it may be pertinent to have a formal contract document signed by both parties.
- Awarded Contracts of £5,000 and over shall be published on the Contract Register.
- Awarded contracts over £25,000 shall have an award notice published on Contracts Finder within 30 days of sign off of contract documentation by both parties.
- The Service will be responsible for updating the contract on the management module through the term of the contract.

Contracts from £30,001 to £75,000

- Procurement of contracts for £5,000 and over shall be carried out through the Electronic Tendering Portal.
- Pre-Procurement approval is required from the Chief Finance Officer
 - **Procurement at this level has two options.**
 - **Option 1 – Seek a minimum of three written quotations.**
 - **Option 2 – Advertise the opportunity on Find a Tender and Contracts Finder. This process will be conducted through the Open, Restricted or Reserved Procedure.**
- Quotations must be based on a Request for Quotation (RFQ) document including a written specification with Terms and Conditions.
- The Service will be responsible for updating the contract in the management depository through the term of the contract.
- The requirement for the form of contract will be a properly completed official West Lindsey District Council order raised through the Financial Management System Purchasing Module and a formal contract document signed by both parties.
- Awarded contracts over £25,000 shall have an award notice published on Contracts Finder within 30 days of sign off of contract documentation by both parties.

Contracts from £75,001 up to the EU Threshold

- Procurement of contracts for £5,000 and over must be carried out through the Electronic Tendering Portal.
- Pre-Procurement approval is required from the Management Team.
- **Procurement at this level has two options.**
 - **Option 1 – Seek a minimum of four written quotations.**
 - **Option 2 – Advertise the opportunity on Find a Tender and Contracts Finder. This process will be conducted through the Open, Restricted or Reserved Procedure.**
- Tenders over £75,000 should be coordinated by Procurement Lincolnshire, with all tender documentation issued electronically by and returned to the relevant officer as advised by Procurement Lincolnshire.
- The requirement for the form of contract will be a properly completed official West Lindsey District Council order raised through the Financial Management System Purchasing Module and a formal contract document signed by both parties.
- Awarded contracts over £25,000 shall have an award notice published on Contracts Finder within 30 days of sign off of contract documentation by both parties.

8.2 REQUEST FOR QUOTATIONS (RFQ'S)

RFQ's are the Council's preferred method of undertaking procurement within the value thresholds identified in section 7.

As a minimum, quotation documentation must include the following details as a minimum:-

- A date and time for the receipt of the quotations;
- Specification
- Pricing schedule (including any discounts or deduction options);
- The period over which the contract is to be performed;
- The timing of the supply;
- Arrangements for payments;
- Terms and Conditions from the Councils' Standard Terms and Conditions for Services or Works;
- Any requirement specific terms and conditions
- Evaluation criteria and award procedure.

In addition, the RFQ can also include:-

- Management and Monitoring requirements and service levels;

- Quality or outcomes required;

The quotation must also state that the Council is not bound to accept any tender or quotation.

All Quotations with an estimated value of £5,000 and over, should be received electronically through a secure vault. If this option is not practical quotations can be received in a plain sealed package by the date and time previously specified. They must be marked "Quotation for" with the name of the contract but with no mark to identify the sender.

If quotations are received through an electronic vault they are to be opened by the Contracts & Procurement Officer or other designated procurement officer.

If quotations are received in hard copy, they are to be endorsed with the date and time of receipt and kept by the Contracts & Procurement Officer in a secure place until the time of opening.

Quotations (hard copy) are to be opened at one time by the Contracts & Procurement Officer and witnessed by another officer with a record being kept of all quotations.

Quotations received after the time specified or in envelopes/packages which identify the sender may not be considered.

Any anomalies or apparent errors in the quotation will be clarified by the Contracts & Procurement Officer and a record of the outcome kept on file.

The Council should accept in writing the quotation that represents the best value for West Lindsey.

8.3 RESERVED CONTRACTS

There is now an option to carry out a procurement below EU threshold under 'Reserved Contract' status. This means that contracting authorities can now reserve the procurement for suppliers by location, SME's or third party organisations, (the supplier will need to have substantive operations in that County but is not required to have its corporate headquarters there), there are constraints in terms of what must be included in the procurement documentation and advertising requirements. In addition, the contract length can be no more than 3 years.

The thresholds for reserved contract is:

Supplies & Services - £189,330

Works - £4,733,252

8.3 APPROVED LISTS

Approved lists may be used in conjunction with RFQ's to select Economic Operators. Approved lists may be used when recurrent transactions need to be priced individually and cannot easily be aggregated and priced in a single tendering exercise.

Approved lists may not be used if the estimated total aggregated spend for contracts to be

placed under the approved list, over a 48 month period, may exceed the relevant EU threshold. When this might occur, a Dynamic Purchasing system or Framework agreement would be a more suitable and compliant approach.

Suppliers to be entered onto an Approved List must have both their financial and technical ability assessed to ensure they are fully able to comply with the requirements.

The list shall be reviewed annually and re-advertised at least every three years. The review will consider the financial, technical ability and performance of those suppliers on the list.

Suppliers no longer qualified will be deleted from the list with a written record kept justifying the deletion.

Suppliers may be entered onto the list at any time between advertisement and re-advertisement as long as they comply with the requirements.

On re-advertisement, all suppliers currently on the list must be invited to reapply.

All Approved Lists must be transparent, non-discriminatory and proportionate. The lists must also be available for public inspection.

8.4 INVITATION TO TENDER (ITT) BELOW THRESHOLD

If it is considered that the RFQ process will not deliver the required outcome, a full tendering exercise may be undertaken.

If the total contract value is estimated to be below EU threshold, the Invitation to Tender (ITT) should follow an Open procedure. This a single stage tender process where all bidders submitting a response will be evaluated, there will be no assessment of bidders, through a Standard Selection Questionnaire (SSQ) for the purpose of reducing the numbers of bidders invited to bid for the contract

For works contracts which are above the Services EU threshold and below the Works OJEU threshold, a Restricted Tendering process is permitted by the Public Contract Regulations 2015, which means an SSQ can be included in the tendering process.

8.5 TOTAL CONTRACT VALUE

The total contract value will need to be estimated in order to identify the correct procurement process. All total values will exclude Value Added Tax.

The value will be calculated as follows:

Fixed Term contracts – total estimated value of the supplies, services or works to be supplied over the period including extensions.

Indeterminate Length contracts – estimated annual value for 4 year period. Continuance of these contracts will only be permitted after a cost review and best value assurance has been ascertained on a periodic timescale.

Consultancy contracts – daily rate multiplied by duration of assignment

Concession Contracts – estimated total value of concessionaire's total turnover generated over the duration of the contract

Framework agreements – estimate of the total throughput expected to be placed through the framework in order to provide some additional capacity for unexpected requirements.

Periodic purchases for the same requirement, from the same or different suppliers, must be aggregated over a minimum 12 month period.

Where the Council is only making a part payment, the value from all contributors must be totalled to obtain estimated total value.

9. ABOVE OJEU THRESHOLD PROCUREMENT

Where the estimated total contract value is over the EU threshold, advice must be sought from Procurement Lincolnshire.

There are several tender procedures available:- Open procedure, Restricted procedure, Competitive Dialogue, Competitive Procedure with Negotiation, Innovation Partnership.

In an Open procedure all bidders will be evaluated. In other procedures bidders will be de-selected at SSQ stage, prior to completion of the full tender document. Bidders should also be informed of the reasons for de-selection in a pre-tender shortlisting process, at the point of de-selection.

For the higher value procurements, Procurement Lincolnshire recommend a strategy is written to determine the planned approach of cost-effectively purchasing the Council's required supplies, taking into consideration several elements and factors such as the background, scope, outcomes, procurement route options, selected route, timeline for procurement, checklist, funding, budget, the projected risks and opportunities, among others.

Above OJEU procurements must be published on Find a Tender (FTS) and Contracts Finder (CF). Once the tender is awarded and contracts have been signed, an award notice must be published on FTS and CF.

9.1 STANDARD SELECTION QUESTIONNAIRE

The SSQ is structured in 3 separate parts:

- Part 1 of the SSQ covers the basic information about the supplier, such as contact details, trade memberships, details of parent companies, etc.
- Part 2 covers a self-declaration regarding whether or not any of the exclusion grounds apply.
- Part 3 covers a self-declaration regarding whether or not the company meets the selection criteria in respect of their financial standing and technical capacity.

A Part 1 and Part 2 declaration is mandatory from potential suppliers to declare that they have not breached any of the exclusion grounds.

If a potential supplier, or any organisation has breached any of the exclusion grounds, the organisation has the opportunity to explain how and what action they have taken to rectify the situation (this is called self-cleaning).

You must not add to or change the questions in Part 1 or Part 2 of the Standard Selection Questionnaire. Deviations are permissible for the supplier selection questions in Part 3, but must be reported.

9.2 STANDARDS AND AWARD

The Award Criteria is used to determine which of the Bidders will be awarded the contract and they are assessed as part of the ITT.

Public contracts must be based on the Most Economically Advantageous Tender 'MEAT'. Award Criteria must be designed to secure a sustainable outcome which represents Value for Money and quality for the Council.

Award criteria can be:

- Lowest price or total cost
- Based on specified qualitative, environmental or social criteria
- Best price/quality ratio

It may also include:

- Quality, including technical merit, aesthetic and functional characteristic, accessibility
- Innovative characteristics
- Organisation, qualification and experience of staff assigned to performing the contract
- After sales service and technical assistance, delivery conditions and process

It must not include:

- Non-commercial considerations i.e.,
 - Terms and conditions of employment by suppliers of their workers
 - Terms on which suppliers contract with their sub-contractors
 - Suppliers business activities or interests with other areas of government
 - Conduct of suppliers or workers in industrial disputes
 - Any political, industrial or sectarian affiliations or interests of suppliers

- Financial support or lack of, by the suppliers for any institution to or from which the authority gives or withholds support
- Workforce matters and industrial disputes
- Use or non-use by suppliers of technical or professional services provided by the authority under the Building act 1984.
- Matters which discriminate against suppliers from the European Economic Area or signatories to the Government Procurement Agreement
- Selection/Suitability Criteria

9.3 COMMUNICATION WITH SUPPLIERS

All communication with suppliers will take place through an electronic tendering portal.

The Contracts & Procurement Officer or Procurement Resource will publish all documents relating to the procurement. No substantial modification to the documentation is permitted once it has been published.

No verbal communication regarding the documents must be undertaken with bidders during the tender process. Communication must be conducted through the electronic tendering portal.

If a competitive dialogue process is used, oral communication is permitted within the dialogue phases of the procurement. Advice should be sought from Procurement Lincolnshire before this process is undertaken.

9.4 UNDERTAKING A TENDER

When considering a tender process, it is in the Council's interest to ensure that the Bidders are given sufficient time in which to prepare and submit a tender and that as much relevant information is disclosed to allow Bidders to submit a competitive offer.

The Invitation to Tender (ITT) must include:

- A specification – this must describe clearly the council's requirements
- Any proposed contract mobilisation or implementation
- A process to enable the Council to ensure the Supplier meets its obligations
- Exit strategy and potential decommissioning
- A statement that the council is not bound to accept any tender received
- Timeline for the procurement process, including clarification deadlines and process for return of tenders through the electronic tendering portal
- The award criteria and weightings where relevant
- The evaluation procedure
- The Form of Tender and collusive tendering certificate

9.5 CLARIFICATIONS PRIOR TO SUBMISSION

During the tender process, Bidders are allowed to submit questions regarding the tender documentation. All questions are to be submitted through the electronic tendering portal. The Council will then respond through the portal ensuring both the clarification and response is shared with all Bidders, except when the response would disclose confidential Bidder information.

9.6 PRESENTATIONS

Presentations are no longer permitted to be assessed as part of the procurement process unless presenting is a material component of the specification.

The evaluation of presentations must be defined within the Award Criteria of the ITT and the following undertaken:

- Contemporaneous notes are collected detailing all questions, responses and points raised
- Questions to be concentrated on the evaluation requirements

9.7 EVALUATIONS AND SCORING

Tenders shall be evaluated, recorded and awarded in accordance with the Award Criteria detailed in the RFQ or ITT, and the award criteria and any sub-criteria should be kept to a minimum to enable the evaluation process to be more manageable.

The evaluation and scoring meeting will be chaired by the Contracts & Procurement Officer or Procurement resource from Procurement Lincolnshire, the chair is not allowed to be part of the evaluation panel.

The evaluators must evaluate the Bidder submission alone, no other documentation or knowledge of the Bidder can be included, and the written record must demonstrate why the highest scoring Bidder provided the best submission.

Evaluators are required to reach a consensus score with agreed comments. The scores and comments for all the Bidders shall be objective and in line with the Award criteria. Any commentary may be disclosed to Bidders if there is a legal challenge and the evaluation process is an activity where the risk of challenge is high.

9.8 CLARIFICATIONS DURING EVALUATION

Any unclear or ambiguous aspects of the bids shall be clarified with the Bidder through the electronic tendering portal. Clarifications during the evaluation process shall not be used to extract additional components of the bid, but to ascertain the extent of the Bidder's offer.

Any response subject to a clarification request by the council shall not be scored until the clarification has been received.

9.9 AWARD

Where the estimated total value of the contracts exceeds the EU threshold, all Bidders shall be informed of the intention to award to the successful bidder. A Standstill period of 10 calendar days will be in force after the notification to allow unsuccessful bidders to challenge the decision.

Once the 10 day period has expired, the contract may be formally awarded to the successful supplier. Contract documentation will then be drawn up for signatures.

If the decision is challenged the Council will immediately inform Procurement Lincolnshire for advice.

In the case of unforeseen circumstances outside the control of the Council, the 10 day standstill period can be waived, after confirmation with Legal Services and Procurement Lincolnshire.

The Contracts & Procurement Officer or Procurement resource will inform all bidders of the reason for the award and provide feedback. This must include:

- The award criteria;
- Scores for the relevant sections of the tender for the bidder who is to receive the debrief;
- The deadline for the standstill period and the date after which the council is able to award the contract;
- Evaluation commentary for the Bidder
- Name of the winning Bidder

10. REPORTING REQUIREMENTS

It is a requirement of the Public Contract Regulations, on completion of an over EU threshold tender process, for a written procurement report to be drawn up, to include at least:

- Name and address of the contracting authority, subject matter, and value of contract
- Names of selected bidders and reasons for selection
- Names of deselected bidders and reason for deselection
- Name of successful bidder and reasons why its tender was selected
- Justification for use of competitive procedures with negotiation and competitive dialogues in accordance with regulation 26 (PCR's)
- Justification for use of negotiated procedures without prior publication, in accordance with regulation 32 (PCR's)
- The reason for non-award of contract
- The reason for not using the electronic tendering portal
- Any conflicts of interest identified and measures taken.

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A copy of the report must be submitted to the Cabinet Office or European commission on request.

Sufficient documentation must be kept to justify all decisions taken in all stages of the procurement process.

The documentation must be kept for a minimum of 12 months for records of unsuccessful tenders and 6 years in relation to the successful tender.

11. CONTRACT FORMATION

Every contract, including the appointments of consultants or interims, with a total contract value of £5,000 and above, including extensions, must be recorded on the Council's electronic Contract Register.

No amendments can be made to the contract, or terms and conditions, without first consulting Legal Services or Procurement Lincolnshire. Any amendments agreed during the clarification process will be stated in the clarifications list as an Appendix to the contract document.

Every contract must clearly state appropriate governance obligations where it involved the processing of personal data.

Procurement Lincolnshire advice must be obtained for contracts involving:

- Leasing arrangements
- Use of supplier terms and conditions
- A total contract value in excess of £75,000
- Complex documentation

12. CONTRACTS SIGNED UNDER HAND

The officer responsible for obtaining the signature for the contracts shall ensure that the person signing it has the authority to do so.

A signature will be required for all contracts up to a total term of 6 years and not in excess of the EU threshold.

13. CONTRACTS SIGNED UNDER

SEAL A contract should be sealed

where:

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- The council may wish to enforce the contract for more than 6 years after its end;
- The total contract value is over the EU threshold
- Legal Advice has been provided to this effect
- Where the Council has paid no consideration for goods or services, or the carrying out of works

14. PREVENTION OF CORRUPTION

Officers engaged in procurement processes must not invite or accept any gift or reward in respect of the award or performance of any contract.

The onus will be on the officer to prove that anything received was not received corruptly.

On submission of tenders, the ITT must include an anti-collusion statement signed by the Bidder, this is a declaration of good standing confirming that the Bidder has not met any grounds for mandatory exclusion.

15. CONTRACT MANAGEMENT

All contracts, whatever the value, shall require some form of management methodology to be able to evidence that they are: Efficient, Economic and Effective.

A hard copy of all contracts, requiring further documentation than a Purchase Order must be kept in a central location and it is the responsibility of the Contracts & Procurement Officer to ensure it is done.

All contracts must have a named Contract Manager for the life of the contract.

16. CONTRACT MONITORING

All contracts will be monitored and reviewed on a regular basis, subject to the requirement. Areas for monitoring will include:

- Adherence of the specification
- Compliance with the terms and conditions
- Attainment of performance standards and service levels
- Change protocol
- Payment arrangements
- User satisfaction
- Data protection

17. CONTRACT VARIATION & EXTENSION

The Contracts & Procurement Officer must ensure that all variations and extensions to contracts are made in accordance with the provisions included within the contract.

Any variations to the original contract must not result in a substantial modification or change to exceed 50% of the initial total contract value.

All variations and extensions must be within the scope of the original procurement and must be signed by both parties.

A copy of any variation or extension must be kept with the original contract documentation.

18. FINANCIAL CONTROL

Where expenditure is expected to exceed the contract price, this should be reported as follows –

Contract Figure £	Chief Finance Officer (S151) £	Management Team £	Committee £
Up to £25,000	Up to 5,000	Over 5,000 to 10,000	Over 10,000
£25,001 to £75,000	Up to 7,500	Over 7,500 to 15,000	Over 15,000
£75,000 above	Up to 10,000	Over 10,000 to 25,000	Over 25,000

The reporting requirement does not apply where contract growth is in accordance with the provisions of the contract.

Financial Procedures Rules regarding virement still apply to all additional expenditure.



**WEST
LINDSEY
DISTRICT
COUNCIL**

**FINANCIAL
PROCEDURE
RULES**

INTRODUCTION

1 FINANCIAL PROCEDURE RULES

1.1 Strong financial controls are vital within any public sector organisation. The use of public funds must be transparent and both Members and officers must be held accountable for how public funds are used. These Financial Procedure Rules have been formulated having particular regard to the following –

- The financial framework operating within the Council.
- Promoting the accountability of officers for the financial resources required to deliver their services.
- Compliance with all current legislative financial standards and Codes of Practice.
- A culture of openness and scrutiny.
- The promotion of a culture of managerial flexibility within the statutory and organisational constraints of a public sector body.

1.2 The Financial Procedure Rules establish the system of control for financial decisions. They are an integral part of the Council's Constitution. The rules reflect the responsibilities arising from being entrusted with public money.

1.3 The Financial Procedure Rules consist of 2 parts:

- The first part defines the roles of Councillor and officers and sets the framework within which the Rules operate;
- The second part contains the overarching regulations, and provides the detailed 'Rules' on how those regulations are implemented.

1.4 A series of detailed guidance notes and practice support the Financial Procedure Rules. Whilst the detailed guidance is regularly updated, where there is any difference between the Financial Procedure Rules and the detailed guidance, the Finance Procedure Rules have precedence in all cases.

2 STATUS OF FINANCIAL PROCEDURE RULES

2.1 The Council must conduct its business efficiently and ensure it has sound financial management policies in place, including arrangements to monitor compliance. The Council's statutory Chief Finance Officer is also charged with ensuring that proper financial management processes are in place.

Financial Procedure Rules, together with the Budget and Policy Framework Procedure Rules, provide the basis for managing the Council's financial affairs and are part of the Council's Constitution. They apply to every

Councillor and officer of the Council and to anyone acting on its behalf. They must be followed by all of the Council's staff and all consultants or technical officers from outside the Council employed or otherwise engaged by the Council. Failure to comply may lead to disciplinary action being taken by the Council.

- 2.2 The Council's Scheme of Delegation will be taken account of in all matters relevant to these procedure rules.

PART ONE – CONTEXT, ROLES AND RESPONSIBILITIES

1 FINANCIAL MANAGEMENT

1.1 Financial management covers all financial accountabilities in relation to the running of the Council, including the budget and policy framework and in accordance with the Financial Management Code of Practice.

1.2 The processes of financial management involve:

- Complying with statutory requirements;
- Ensuring that the Council receives value for money;
- Development and approval of protocols, standards and financial plans (including the revenue and capital budgets);
- Implementing policies, protocols and standards;
- Monitoring compliance;
- Maintaining records;
- Reporting and providing advice;
- Specific financial techniques and functions e.g. virement, year end balances, Statements of Account.

1.3 All Councillors and officers must abide by the highest standards of probity in dealing with financial issues. This is achieved by ensuring everyone is clear about the standards to which they must work and the controls in place to check that the standards are met. The Financial Procedure Rules must be kept up to date and consistently applied by all Councillors and officers.

2 FINANCIAL ADVICE

2.1 Sound financial advice is fundamental to ensuring the maintenance of basic standards of financial management. Only persons qualified to do so should provide such advice.

2.2 Persons giving financial advice must have been authorised to do so by the Chief Finance Officer.

2.3 The Chief Finance Officer has the right to attend all meetings of the Council, committees and sub-committees, working groups, boards or other forums where decisions or recommendations potentially having financial implications may be taken. This is often discharged through officers within the Finance function.

2.4 All reports contain risk management (including financial risks) and financial implications sections, the contents of which must be agreed with the Chief Finance Officer (or other officer authorised by him/her), prior to submission to the Management Team, Committees, or other forums where decisions will be made.

3 ACCOUNTING POLICIES

3.1 'The Code of Practice on Local Council Accounting in the United Kingdom: (the Code) requires the Council to declare, in the form of accounting policies, how they treat specific items within the annual accounts. These policies take account of current accounting concepts and standards. The Accounting Policies can be found in the Annual Statement of Accounts.

3.2 Key elements of accounting policies are that:

- Systems of internal control must be in place that ensure that financial transactions are lawful;
- Accounting policies must be applied consistently;
- Proper accounting records must be maintained;
- Financial statements must present fairly the financial position of the Council and its expenditure and income.

4 INTERNAL CONTROL

4.1 Internal control refers to the systems of control devised by management to help ensure the Council's objectives are achieved in a manner that promotes economical, efficient and effective use of resources and that the Council's assets and interests are safeguarded.

4.2 The Chief Finance Officer is responsible for advising on effective systems of internal control, an essential part of which is the Internal Audit function. These arrangements ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice. They ensure that public funds are properly safeguarded and used economically, efficiently, and in accordance with the statutory and other authorities that govern their use.

4.3 Directors/Assistant Directors must establish sound arrangements for planning, appraising, authorising and controlling their operations in order to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.

4.4 Key controls must be reviewed annually and the outcome reported in an Annual Governance Statement commenting on the effectiveness of the systems of internal control and corporate governance.

5 AUDIT REQUIREMENTS

5.1 The Accounts and Audit Regulations 2003 (Regulation 6) require that "a relevant body (i.e. a local Council) shall maintain an adequate and effective system of internal audit of its accounting records and of its system of internal control in accordance with the proper internal audit practices".

5.2 The Council is subject to an independent external audit of its accounts. The basic duties of the external auditor are governed by section 15 of the Local

Government Finance Act 1982, as amended by section 5 of the Audit Commission Act 1998.

5.3 The Council may, from time to time, be subject to audit, inspection or investigation by other external bodies such as HM Revenues and Customs, who have statutory rights of access.

5.4 The Chief Finance Officer has overall responsibility for Internal Audit throughout the Council, whilst the Governance and Audit Committee oversees the performance and effectiveness of Internal Audit.

6 ROLES AND RESPONSIBILITIES

6.1 Role of the Council

The Council's functions include the following:

- Adopting and changing the Constitution;
- Approving or adopting the policy framework (including the Corporate Plan);
- Approving the budget;
- Approving the Treasury Management Strategy (including the Borrowing, Investment and MRP Strategy, and Prudential Indicators);
- Setting the Council Tax.
- Setting Fees and Charges

6.2 Corporate Policy & Resources Committee

The Corporate Policy & Resources Committee main functions are:

- To formulate (but not adopt or approve): (a) the Policy Framework, (b) the Budget; and (c) the Council's objectives and priorities.
- The control and management of resources including land, property, finance and staff to further the Council's objectives.

The Corporate Policy & Resources Committee makes key day to day decisions and recommendations on policy and budgetary matters.

6.3 The role of the Governance and Audit Committee is to:

- To approve amendments to the Financial Procedure Rules and Contract Procedure Rules as set out in the Constitution.
- To monitor the operation of the Council's Constitution and keeping its terms under review.
- To consider and make recommendations on proposals to make changes to the Constitution prior to its consideration by the Council.
- To agree and update regularly the Council's Local Code of Governance

- Consider the Council's Statement of Accounts;
- Approve the Council's internal audit strategy;
- Review internal audit reports and recommend appropriate actions in response to issues raised;
- Consider the reports of external audit and inspections agencies;
- Monitor and review the Council's risk management arrangements;
- Monitor and review the Council's assurance statements;
- Be responsible for ensuring the effective scrutiny of the Treasury Management strategy and policies.

6.4 The Section 151 Officer is the officer designated by the Council and is therefore referred to throughout these procedure rules as the Chief Finance Officer).

The Chief Finance Officer has statutory duties in relation to the financial administration and stewardship of the Council. The statutory duties arise from:

- Local Government Act 1972 (Section 151);
- Local Government Finance Act 1988;
- Local Government and Housing Act 1989;
- Local Government Act 2003;
- Accounts and Audit Regulations 2003.

These statutory responsibilities cannot be overridden or be subject to direction by the Council.

The Chief Finance Officer is responsible for:

- Ensuring the proper administration of the Council's financial affairs;
- Determining and agreeing the accounting procedures and records for the Council
- Setting the financial management standards and monitoring compliance with them;
- Reporting on the adequacy of reserves and the robustness of the budget estimates when the annual budget is being considered;
- Ensuring the existence of a medium-term financial plan,
- Ensuring proper professional practice is adhered to and acting as head of profession in relation to the standards, performance and development of finance officers throughout the Council;
- Advising on the key strategic controls necessary to secure sound financial management;
- Preparing revenue and capital budgets in conjunction with Directors/Assistant Directors:
- Ensuring that appropriate financial management information is available;
- Maintaining strong financial management underpinned by effective financial controls;
- Contributing to corporate management and leadership;

- Supporting and advising democratically elected representatives;
- Supporting and advising officers in their operational roles;
- Leading and managing an effective and responsive financial service.
- Providing an efficient and effective Treasury Management function.

Section 114 of the Local Government Finance Act 1988 requires the Chief Finance Officer in consultation with the Monitoring Officer, to inform all Members and the External Auditor if the Council or one of its officers:

- Has made, or is about to make, a decision which involves incurring unlawful expenditure;
- Has taken, or is about to take, an unlawful action which has resulted or would result in a loss or deficiency to the Council;
- Is about to make an unlawful entry in the Council's accounts;
- If it appears to the Chief Finance Officer that the expenditure of the Council incurred (including the expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.

If a Section 114 notice is issued, the full Council must meet within 21 days to consider the notice.

Section 114 of the 1988 Act also requires:

- The Chief Finance Officer to nominate a properly qualified officer to deputise should he/she be unable to perform the duties under Section 114 personally;
- The Council to provide the Chief Finance Officer with sufficient staff, accommodation and other resources - including legal advice where this is necessary - to carry out the duties under Section 114.

The Chief Finance Officer is responsible for maintaining a continuous review of the Financial Procedure Rules and submitting to the Council any additions or changes. He/she is responsible for issuing advice and guidance to underpin the Rules that Councillors, officers and others acting on behalf of the Council are required to follow, and must approve the content of all such guidance and any amendments, prior to their adoption. The Chief Finance Officer must be consulted in respect of all reports which contain financial implications to elected Members Regulatory reports such as Planning and Licensing do require such sign off.

6.5 The Monitoring Officer

The Monitoring Officer is responsible for promoting and maintaining high standards of conduct, including conduct in relation to financial issues, by both Councillors and officers. In conjunction with the Chief Finance Officer he/she is responsible for advising the Committees or the full Council about whether a decision, or intended decision, is likely to be considered contrary to, or not wholly in accordance with, the Council's budget. Such decisions might include:

- Initiating a new policy without specific budget approval;
- Committing expenditure in future years above the approved budget level;

- Incurring expenditure in future years without proper approval of virement;
- Causing total expenditure to increase beyond a specified level.

The Monitoring Officer must be consulted in respect of all reports to elected members.

6.6 Internal Audit Manager

The Internal Audit Manager manages the internal audit function in the Council. CIPFA's Code of Practice for Internal Audit in Local Government in the United Kingdom describes internal audit as:

“An assurance function that provides an independent and objective opinion to the organisation on risk management, control and governance by evaluating its effectiveness in achieving the organisation's objectives. It objectively examines, evaluates and reports on the adequacy of the control environment as a contribution to the proper, economic, efficient and effective use of resources.”

The Internal Audit Manager also has a role in advising managers in relation to risk and control issues such as appropriate controls in new projects/development.

Internal Audit are to be informed of all proposed changes to computer or other systems prior to implementing the changes.

Internal Audit are to have access to all records relating to their activities and to any Council premises or land.

Internal Audit may seek explanations or require an employee to produce assets under their control.

6.7 Directors/Assistant Directors are responsible for ensuring that all officers are aware of the existence of, and have access to, the content of these Rules and other internal regulatory documents and that they comply with them. In particular they shall:

- Ensure that a Scheme of Delegation has been established for all Service Areas. The Scheme of Delegation should identify officers authorised to act on the Directors/Assistant Directors behalf in respect of payments, income collection and the requisitioning of goods and services.
- Promote the financial management standards set by the Chief Finance Officer and monitor adherence to them, liaising as necessary with him/her;
- Promote sound financial practices in relation to the standards, performance and development of officers;
- Ensure compliance with the Financial Procedure Rules and associated manuals;
- Ensure that all Service Financial Procedure Manuals, and amendments thereto, are approved by the Chief Finance Officer before adoption;
- Ensure officers are aware of their responsibilities for devising and implementing systems of internal control;
- Maintain a written record where decisions have been delegated or devolved to other responsible officers;
- Consider reports and make a written response to the Chief Finance Officer,

within 15 working days of receipt;

- Implement recommendations agreed by Committee or Council:
- Report to the Chief Finance Officer and the Management Team any rejected recommendations:
- Ensure that Members are advised of the financial implications of all proposals and that the financial implications have been agreed by the Chief Finance Officer;
- Provide the Chief Finance Officer with such information and explanations as the Chief Finance Officer feels is necessary to meet with his or her obligations under the Constitution.
- Provide all the information that is requested from them in accordance with the agreed budget timetable.
- Take reports to Committee to gain approval for service improvements and capital investments..
- Comply with all aspects of the Financial Procedure Rules and the financial framework when working with the Chief Finance Officer to set budgets.
- To consult with the Chief Finance Officer and seek approval on any matter liable to affect the Council's finances materially, before any commitments are incurred.
- Inform the Chief Finance Officer of suspected fraud, corruption or irregularities;
- Ensure appropriate training of Officers with financial or budget responsibilities.
- The Chief Finance Officer will ensure that a report will be presented to the Governance and Audit Committee on progress against the Internal Audit Programme

6.8 **All Councillors and officers** have a general responsibility for taking reasonable action to provide for the security of the assets under their control, and for ensuring that the use of these resources is legal, properly authorised, provides value for money and is correctly recorded in line with Council policies.

7 FAILURE TO COMPLY

7.1 Failure to comply with the Financial Procedure Rules:

- Is a breach of the Code of Conduct for Councillors and may result in referral to the Standards Sub-Committee.
- Is a breach of the Code of Conduct for Officers that is covered by the Council's Disciplinary Rules.

7.2 Councillors must report any apparent breach of the Financial Procedure Rules to the Head of Paid Service. Officers must report apparent breaches to an appropriate Directors/Assistant Director or the Internal Audit Manager. The Director/Assistant Director or Internal Audit Manager should report breaches of these Rules to the Chief Finance Officer and the Monitoring Officer.

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1 REGULATION 1 - FINANCIAL PLANNING

1.1 FINANCIAL PLANNING POLICY FRAMEWORK

1.1.1 The full Council is responsible for agreeing the Council's policy framework and budget, which will be proposed by the Corporate Policy & Resources Committee.

1.1.2 The Council's Policy Framework includes various service and core plans and strategies. All such plans and strategies must be consistent with the Council's Financial Strategy and Medium Term Financial Plan, or indicate their reliance on resources not yet approved or secured by the Council.

1.1.3 The key elements of the financial planning process are:

- Corporate Plan;
- The Financial Strategy and Medium Term Financial Plan;
- The Capital Investment Strategy and Asset Management Plan;
- The Treasury Management Strategy;
- The Revenue Budget and the Capital Programme;
- Service Delivery and Business Plans

1.2 PREPARATION OF THE CORPORATE PLAN

1.2.1 The Head of Paid Service is responsible for proposing the Corporate Plan to Corporate Policy & Resources Committee for consideration before submission to the full Council for approval. It will contain a statement of the priorities of the Council, and will be supported by a number of strategies and policies including Localism Strategy, Commercial Strategy and Corporate Strategy.

1.2.2 The Council require that each planned item of expenditure, whether revenue or capital, is intended to further one or more of the Council's stated priorities or, if that is not the case, is required to discharge a specific statutory obligation on the Council.

1.2.3 The Executive Business Plan (presented alongside the Medium Term Financial Plan) reflects the deliverable actions the Management Team will take to support the delivery of the Corporate Plan objectives.

1.3 THE FINANCIAL STRATEGY AND MEDIUM TERM FINANCIAL PLAN

1.3.1 The Chief Finance Officer is responsible for recommending the Financial Strategy to the Council and for preparing a Medium Term Financial Plan (MTFP), covering at least three years and updated at least annually for consideration by the Corporate Policy & Resources Committee and approval by the Council. The Strategy and the MTFP will be consistent with, and designed to further the achievement of, the Council's priorities.

1.3.2 The Financial Strategy sets out the Council's objectives for, and principles adopted in, the management of its financial position. It includes Council Tax levels, the overall position for the Council's reserves and balances, and funding, investment and risk considerations.

1.3.3 The MTFP:

- sets out how the Council's performance plans can be resourced in both capital and revenue terms;
- identifies how resources are to be re-allocated over time and what the Council's priorities are for resource allocation;
- Other aspects of financial management may also be included in the MTFP e.g. levels of balances, reserves and provisions.

1.3.4 The MTFP that turns the Strategy into practice must be prepared for at least a three year period plus the current financial year. This is updated throughout the year as events and the budget timetable dictate. A Mid-Year Review of the MTFP will be undertaken and reported to the Corporate Policy and Resources Committee.

1.3.5 Key Controls

The key controls are:

- It covers a number of forward years and is approved annually;
- It is monitored and updates are reported to Corporate Policy & Resources Committee during the year;
- It is clearly linked and aligned to the Corporate Plan;
- It is based on a sustainable financial position and approved policies.

1.4 **THE CAPITAL INVESTMENT STRATEGY AND ASSET MANAGEMENT PLAN (AMP)**

1.4.1 The Chief Finance Officer is responsible for ensuring that a Capital Investment Strategy and Asset Management Plan are integrated into the Medium Term Financial Plan. They will be updated annually for consideration by the Corporate Policy & Resources Committee and approval by the Council.

1.4.2 The strategy:

- Defines how the capital programme is to be formulated and designed;
- Identifies the issues and options that influence capital spending;
- Sets out how the resources and capital programme will be managed.

1.4.3 Key Controls

The key controls are:

- They are clearly linked and aligned to the Corporate Plan;
- They provide a framework for the review and management of existing and future assets (the AMP);
- They provide a medium-term investment programme linked to the medium-term financial strategy;

- They are reviewed at least annually and reported to Corporate Policy & Resources Committee.

1.5 THE TREASURY MANAGEMENT STRATEGY

1.5.1 The Chief Finance Officer is responsible for ensuring that the requirements of the Local Government Act 2003 and the CIPFA Treasury Management Code December 2017 are met, and the Council has regard to the Prudential Code December 2017. This requires that Prudential Indicators are set for the following three years to ensure that the Council's capital investment plans are affordable, prudent and sustainable. It also requires that the Council's policies for managing its investments give due priority to the security of those investments over liquidity and yield. This will be updated annually for consideration by the Corporate Policy & Resources Committee and approval by the Council.

1.5.2 Key Controls

The key controls are:

- Scrutiny of the Treasury Management Strategy by the Governance and Audit Committee.
- Approval by full Council of the Treasury Management Strategy (including Borrowing and Investment Strategies, the Minimum Revenue Provision Policy and Prudential Indicators for the following three years, in addition to setting an Authorised Limit and Operational Boundary to ensure affordable borrowing);
- Regular monitoring of Prudential Indicators;
- The operation of Treasury Management Practices (TMP's) and Treasury Management Practice Schedules.

1.6 THE REVENUE BUDGET AND THE CAPITAL PROGRAMME

1.6.1 These are considered in depth under Regulations 2 and 3.

1.7 SERVICE DELIVERY and BUSINESS PLANS

1.7.1 Directors/Assistant Directors are responsible for the preparation of these plans that reflect the Council's priorities as shown in the Corporate Plan. They must be produced in conjunction with the Capital and Revenue Budgets and each of these plans must support the others.

1.7.2 Key Controls

The key controls are:

- All relevant plans are produced and that they are consistent;
- Plans are produced in accordance with statutory requirements;
- All plans reflect the Council's Financial Strategies and vice-versa;
- Timetables are met;
- All performance information is accurate, complete and up to date;
- Improvement targets are meaningful, realistic and challenging;
- Corporate, Service Delivery and Business Plans and the budget are all produced from an integrated timetable and an agreed base position.

2 REGULATION 2 – CAPITAL

2.1 THE CAPITAL PROGRAMME

2.1.1 The Chief Finance Officer is responsible for preparing, as a minimum, a three year capital programme that is integrated within the MTFP and reporting expenditure and funding implications of the programme to Corporate Policy & Resources Committee for consideration. The Corporate Policy & Resources Committee will make recommendations to the Council, who will approve the medium term capital programme.

2.2 DETERMINING THE CAPITAL PROGRAMME

2.2.1 The Management Team is responsible for the initial consideration of capital spending proposals and the comparative ranking by priority of these proposals.

2.2.2 The Council complies with the requirements of the local government Prudential Code for capital. Careful consideration must be given to needs, alternatives and the ongoing revenue implications of potential capital projects

2.2.3 The de minimis level for Capital Expenditure and receipts is £10,000. Capital items costing up to £10,000 will be charged as revenue expenditure in the Council's accounts.

2.2.4 The ranking process is based on the scoring from the completed Capital Bid Forms (outline business cases) and guidance as approved by the Chief Finance Officer from time to time.

2.2.5 Directors/Assistant Directors are responsible for submitting the Capital Bid Forms and complying with the guidance issued by the Chief Finance Officer.

2.2.6 The Capital Programme shall include the gross cost of, and sources of funding for, schemes where the Council assembles the finance on behalf of a third party and so incurs no potential liability in respect of funding or project delivery. Such schemes may not result in any asset retained by the Council. Directors/Assistant Directors must ensure that these arrangements are reported to the Corporate Policy & Resources Committee stating the nature of the arrangements, the participants in the process and the sources of finance. The report must clearly state the projected expenditure and income for each financial year.

2.2.7 The Chief Finance Officer will recommend to Corporate Policy & Resources Committee the Capital Budget and funding in accordance with the Council's prudential indicators and CIPFA's Prudential Code December 2017.

2.3 AMENDMENTS TO THE CAPITAL PROGRAMME

2.3.1 Any mid-year amendment to the Capital Programme as last approved by the Council must be approved by the Corporate Policy & Resources Committee in any cases where:

- A new scheme is proposed to be added to the programme, including those funded entirely by external grants and contributions;
- A scheme is to be deleted from the capital programme;
- The total cost of an existing scheme is to be amended;
- A carry forward of capital resources is proposed.

2.3.2 The relevant Director/Assistant Director and the Chief Finance Officer, in consultation with the Chairman of the Corporate Policy & Resources Committee, must approve any mid-year amendment to the approved Capital Programme, before a report is submitted to Corporate Policy & Resources Committee. This also applies to carry forward requests i.e. where the amendment involves a change in the timing of the spending over the life of the project, but there is no change in the total cost or funding.

2.3.3 The Head of Paid Service may take decisions in an emergency, subject to the delegation and budget framework provisions of the Constitution, in consultation with the Chief Finance Officer.

2.3.4 With the exception of emergency decisions, expenditure must not be incurred or committed on any capital scheme until the Corporate Policy & Resources Committee or Council has given approval. Reports to Corporate Policy and Resources Committee will be prepared and presented before any work starts and on completion of a project. Additional reports would be required at the tender stage, when preparing the capital programme, or otherwise during the project, if there was a significant actual or projected change in the cost of the project.

2.3.5 Expenditure should not be incurred until funding is in place. For external funding, this means that a formal approval of funding has been received rather than a conditional offer or a bid that has been given provisional approval.

2.4 CAPITAL MONITORING

2.4.1 Budget monitoring will be carried out in accordance with guidance issued by the Chief Finance Officer. This guidance will lay down the Council's requirements in respect of:

- Frequency of reporting;
- The format and content of reports (including the degree of detail, risk analysis undertaken and any corrective actions taken or proposed);

- The recipients of budget monitoring reports (such as the Management Team or Corporate Policy & Resources Committee);
- The linkages with approved outputs.

2.4.2 For each scheme that is approved the relevant Director/Assistant Director will appoint a Project Manager, who will be responsible for the scheme, including budget accountability. This includes monitoring progress (financial and otherwise) of the scheme and managing the scheme in accordance with the Council's Programme and Project Management ACoP.

2.4.3 The relevant Director/Assistant Director must notify in writing the Chief Finance Officer if there is any anticipated "slippage" of a scheme that will affect the allocation of resources over future financial years. Any loss of external funding arising from slippage must be reported to Corporate Policy & Resources Committee and approval sought for the alternative funding required or other corrective action.

2.4.4 Where in-year spending is likely to exceed the profiled budget and this has an impact on the financial year, this must be reported by the Director/Assistant Director to the Chief Finance Officer who will then review the overall capital financing arrangements for that year.

2.4.5 Where the total cost exceeds, or it is expected that the total cost of a scheme will exceed the budget approved in the Capital Programme, this must be reported to the Chief Finance Officer by the Director/Assistant Director as soon as possible. In the first instance, overspends will fall on the relevant service area revenue budget, unless alternative funding is identified. In respect of any anticipated overspending in excess of £10,000 or 20% whichever is the lesser, the approval of Corporate Policy & Resources Committee must be sought.

2.4.6 Directors/Assistant Directors must notify the Chief Finance Officer upon the offer of or receipt of grant awards or any other offer of support of any type for capital expenditure. Capital receipts will be regarded as corporate resources and may only be ring-fenced to schemes on the express approval of the Corporate Policy & Resources Committee.

2.4.7 Key Controls

The key controls are:

- Approval by the full Council for the Capital Programme;
- An Outline Capital Bid Form is completed for all schemes to be included in the capital programme;
- A prioritisation process in accordance with the Capital Investment Strategy and corporate priorities;
- A Project Manager is responsible for each capital project (delivery and budget);
- Appropriate project management techniques are used and project managers are trained to carry out their responsibilities;

- Contract Procedure Rules are adhered to at all times;
- The requirements imposed by funding bodies are followed;
- Monitoring and reporting requirements on schemes are implemented.

3 REGULATION 3 - REVENUE

3.1 THE REVENUE BUDGET

3.1.1 The Council will agree the Medium Term Financial Plan (MTFP), to be updated annually. The MTFP will include the Revenue Budget for the coming year plus forecasts for at least the next two subsequent years. Revenue resources must be aligned to the corporate objectives of the Council. Budgets are an important part of the corporate planning process since they allocate resources to provide agreed levels of service.

3.1.2 The budget will be published in the Council's annual Budget Book. The approved Revenue Budget may be amended during the year in compliance with these Financial Procedure Rules.

3.2 REVENUE RESOURCES

3.2.1 Funding for revenue will come from local taxation, government grants, fees and charges and calls on revenue reserves and balances. **Capital resources (other than reserves specifically set up by earmarking revenue funds for spending on capital) cannot be used to fund revenue expenditure.**

3.2.2 Key Controls

The key controls are:

- Resources are acquired in accordance with the law and using an approved authorisation process (i.e. the budget setting process);
- Resources are used only for the purpose intended, to achieve the approved policies and objectives, and are properly accounted for;
- Professional guidance in relation to the adequacy of reserves and minimum level of balances is followed;
- The budget, which sets out how the Council is resourced, is approved annually by the Council;
- The MTFP ensures year on year sustainability of resources are considered in setting spending plans.

3.3 DETERMINING THE REVENUE BUDGET

3.3.1 The Chief Finance Officer is responsible for ensuring that the MTFP and Budget are prepared and submitted for approval by the Council, upon the recommendation of the Corporate Policy & Resources Committee, on or before the statutory date for such approval. The adoption of the budget by the Council shall be accompanied by a resolution as to the level of Council Tax required for the coming financial year in order to sustain the budget. The

MTFP should set out forward projections of council tax increases for at least the next two subsequent years.

- 3.3.2 The Chief Finance Officer recommends the overall quantum of revenue resources available to the Council, based on potential increases in the Council Tax, affordable calls on reserves, and best estimates of grant income. The Chief Finance Officer shall advise as to what would constitute a prudent and necessary minimum level of uncommitted balances/reserves for the Council to retain, and also as to whether the budget being proposed is consistent with such a requirement. In forming such a judgement, the Chief Finance Officer shall have regard to available guidance.
- 3.3.3 The Council agrees an overall MTFP and budget that matches its available resources with corporate priorities and statutory requirements.
- 3.3.4 The revenue budget agreed by Council will as a minimum allocate spending to:
- Each service area showing the gross spending and income and net budget;
 - Each levy;
 - The net cost of borrowing.
- 3.3.5 Directors/Assistant Directors must ensure that all fees and charges are reviewed as part of the annual budget process in line with the Fees, Charges & Concessions Policy (see section 3.8).
- 3.3.6 The level of reserves is reviewed annually in line with the financial strategy and Medium Term Financial Plan and must be decided before the budget and the Council Tax can be fixed. Reserves are amounts set aside by the Council as a result of surpluses, deferred expenditure or policy decisions to 'save' towards future expenditure. Reserves can be either specific (earmarked) or general. The General Fund Reserve will be maintained at a minimum level agreed by Corporate Policy & Resources Committee having regard to the advice of the Chief Finance Officer. The budget report to the Council will include a statement showing the estimated opening reserve balances for the year ahead, the addition to/withdrawal from balances, and the estimated year-end balance. Reference should be made as to the extent to which such reserves are to be used to finance recurrent expenditure.
- 3.3.7 The Chief Finance Officer will ensure –
- The co-ordination of requests for budgetary change to facilitate service improvements from Directors/Assistant Directors and Corporate Policy and Resources Committee resolutions.
 - The identification of available resources for service improvement.
 - That Members and officers are properly advised when preparing budgets and setting Council Tax
- 3.3.8 The Council's approved budget is published in a "Budget Book", which breaks down budgets into a budget for each service area within the clusters (People, Places, and Policy & Resources). Each service budget has a named responsible officer.

3.3.9 Key Controls

The key controls are:

- Adoption of project management techniques;
- Clear and timely guidance from the Chief Finance Officer;
- Consistent format used across all service areas that reflects the relevant level of accountability of service delivery and enables consistency of comparison over time and with other local Councils;
- Effective timetable;
- Reflect the content of the Financial Strategy and Medium Term Financial Plan for the appropriate year;
- Be balanced, affordable and sustainable;
- Ensure that all reports to Management Team and Members (all Committees) are seen by the Chief Finance Office and all financial implications are agreed by the Chief Finance Officer;
- Amendments will be made to financial implications on reports as requested by the Chief Finance Officer;
- Prudent risk assessment of the possible implications in terms of both affordability and service delivery.

3.4 BUDGET MONITORING

3.4.1 Budget monitoring will be carried out in accordance with guidance issued by the Chief Finance Officer. This guidance will lay down the Council's requirements in respect of:

- Frequency of reporting;
- The format and content of reports (including the degree of detail, risk analysis undertaken and any corrective actions taken or proposed);
- The recipients of budget monitoring reports (such as the Management Team or Corporate Policy & Resources Committee);
- The linkages with service performance monitoring.

3.4.2 Budget monitoring is an ongoing process, always under review and integral to the overall financial management of the Council. The Chief Finance Officer will present regular budget monitoring reports to Corporate Policy & Resources Committee, at least on a quarterly basis.

3.4.3 Directors/Assistant Directors will need to:

- Be fully aware of their respective budget detail and own the content.
- They will need to maintain a good knowledge of both the Purchasing and General Ledger modules of the Financial Management System.

- Be aware of all effects and influences, such as seasonal variations on their budgets.
 - Inform Financial Services of material budgetary issues that cannot be controlled within normal virement parameters.
- 3.4.4 The Chief Finance Officer will liaise with Directors/Assistant Directors to help to identify savings and future needs. The Chief Finance Officer will also offer financial advice and guidance as well as innovative solutions to issues of a financial nature.
- 3.4.5 All senior officers need to be aware of those budgets that carry the most material risk and monitor these areas accordingly.
- 3.4.6 The Chief Finance Officer will ensure that appropriate financial information is available to Directors/Assistant Directors so as to enable them to monitor their budgets and financial aspects of their Service Delivery Plans effectively.
- 3.4.7 Directors/Assistant Directors are responsible for the financial resources contained in their budgets. Accountability brings with it the responsibility to inform the Chief Finance Officer of any budgetary issues. The Chief Finance Officer will provide a support mechanism to Directors/Assistant Directors which will engender a culture of ownership and strong stewardship.
- 3.4.8 Directors/Assistant Directors will ensure that all reports to Members or the Management Team are seen by the Chief Finance Officer, evidenced and contain clear and accurate financial implications. Any amendments to the financial implications requested by the Chief Finance Officer will be actioned. Reports for Committee and Management Team should be presented to Financial Services in sufficient time for agreement on the coverage of financial implications.
- 3.4.9 When monitoring their budgets, Directors/Assistant Directors should understand that delivering the outturn within budget is an important service objective. Where it appears that a variation on a service budget will exceed £10,000, the Director/Assistant Director will immediately advise the Chief Finance Officer and Management Team of the situation, together with their proposed action to recover the position. The Chief Finance Officer will then compile and submit regular budget monitoring reports together with recommendations to Corporate Policy & Resources Committee.
- 3.4.10 The approved budget is the financial extent of the Council's commitment to a service each year. Any breach of that limit is therefore an ultra vires act. Depending upon the severity and circumstances of any overspend, it may lead to disciplinary action as officers have exceeded their delegated authority.
- 3.4.11 Key Controls

The key controls are:

- There is a named budget holder who is responsible for each service budget;
- Each Director/Assistant Director nominates a responsible budget holder for each cost centre within his/her service area's revenue estimates and ensures that mechanisms are in place to provide early warnings of anticipated under or overspending;
- All budget holders, including cost centre managers, are accountable for their budgets and the level of service to be delivered and understand their financial responsibilities;
- Services are delivered within the net budget allocated as part of the budget setting process and in line with the Service Delivery Plan;
- Income and expenditure are properly recorded and accounted for on a timely basis within the Council's general ledger;
- The budget and Service Delivery Plan are monitored together and necessary action is taken to align service outputs and budget;
- Budget Managers are appropriately trained to carry out their budgetary control and financial management responsibilities.

3.5 AMENDMENTS TO THE REVENUE BUDGET - VIREMENTS

3.5.1 The overall revenue budget that reflects the Corporate Plan is drawn up by each policy Committee, with the Corporate Policy & Resources Committee giving overall scrutiny prior to recommending to the full Council for approval. Directors/Assistant Directors are authorised to incur expenditure in accordance with the estimates and service levels that make up the budget and Corporate/Service Delivery Plans.

3.5.2 Expenditure and income for any service budget may be incurred up to the amounts included in the approved budget. It is fundamental to proper financial control that expenditure is allocated to the correct place and it is a contravention of these rules to charge expenditure to the wrong heading to avoid authorisation of an appropriate virement.

3.5.3 The management of services within Service Delivery Plans and budgets allows resources to be transferred between services within limits. For example, where a potential overspend in one service budget has been identified through budget monitoring, this overspend could be funded by transferring budget from a service budget where an underspend has been identified. Future monitoring will be against these adjusted budgets.

3.5.4 Within the parameters set out below, Directors/Assistant Directors have the ability to vire monies both within and between Service Budgets. This provides flexibility for the Council and its officers to manage overall service delivery within budgets.

3.6.4.1 For the avoidance of doubt, these virement rules are also applicable to the operation of the Councils earmarked reserves. However, virement is only allowed between one reserve and another and **NOT** between an earmarked reserve and revenue or capital cost centres.

3.5.5 Within a Cost Centre:

- No limit within a defined cost centre. Directors/Assistant Directors must agree in advance with the Finance Business Partner responsible for that service area.
- Virements cannot be made from non-controllable budgets such as Central Support Recharges and Capital charges.
- Virements from salary budgets can only be actioned during the current financial year. Any permanent change to salary budgets will be seen as a change to the Council's establishment requiring compliance with the Human Resources procedure rules.

3.5.6 Between costs centres (under the same Director/Assistant Director control)

- With the approval of the Chief Finance Officer, some senior managers (as set out in the register of sub-delegation) are authorised to approve virements, which, in total, transfer no more than £25,000. These virements should be minuted or otherwise documented.
- Virement exceeding £25,000 and up to £100,000 can be approved by the relevant Director/Assistant Director, Chief Finance Officer and Management Team in consultation with the Chairman of Corporate Policy & Resources Committee. These virements should be minuted or otherwise documented.
- Virements over £100,000 can only be approved by Corporate Policy & Resources Committee. They will be reported by the Director/Assistant Director, in such format as the Chief Finance Officer may prescribe.

3.5.7 Restrictions on virements:

- Virements can take place between cost centres in differing Director/Assistant Director's responsibility, with the same limit as laid out in 3.6.6, when the relevant Directors/Assistant Directors and the Corporate Policy and Resources Committee Chairman are in agreement.
- Unplanned savings in the form of unbudgeted income or unused budgets (in excess of £5,000) are not authorised to be used without prior agreement of the Management Team. The Chief Finance Officer and Management Team may consider a report to the Corporate Policy and Resources Committee.
- All virements must be in accordance with corporate and service objectives.
- The service will be as defined in the budget book.
- Evidence of all virements are to be retained by Financial Services
- Virement to or from the budgets for Recharges and Asset Rentals is not permitted unless approved by the Chief Finance Officer.

- 3.5.8 All other budgets can be vired but subject to any other Council policies. No virement may commit future additional expenditure above MTFP provision without Corporate Policy & Resources Committee approval.
- 3.5.9 If the same budget head is used for virement on more than one occasion, the application of the above rules will relate to the accumulated figure.
- 3.5.10 Any virement between an employee budget and a non-employee budget, or between an income budget and a non-income budget, must be approved by the Chief Finance Officer, in accordance with the above determined limits, who may request a report to Corporate Policy & Resources Committee for approval.
- 3.5.11 The securing of additional revenue resources (grants, etc.) must be reported to the Chief Finance Officer. The Chief Finance Officer may authorise the use of those resources to finance additional revenue expenditure where the grant conditions require such. Where there are no such requirements the Chief Finance Officer may require the use of these resources to be approved by Corporate Policy & Resources Committee and will do so in all cases where the sum is **£50,000** or more.
- 3.5.12 The Chief Finance Officer will determine whether a change to budgets is a virement (i.e. the budget is reallocated to a purpose other than originally intended) or a re-presentation or restructure where there is no change to the purpose of the spending. The virement rules set out above shall not apply to restructure or re-presentational changes.

3.5.13 Key Controls

Key controls are:

- Virement of resources between one head of account and another, whether within or between service areas is subject to approval;
- Virement does not create additional overall budget liability. Directors/Assistant Directors are expected to manage their budgets responsibly, prudently and within approved service levels. They should not support recurring revenue expenditure from one-off sources of savings or additional income, or create future commitments, including full-year effects of decisions made part way through a year, for which they have not identified future resources. Directors/Assistant Directors must plan to fund such commitments from within their own budgets;
- Virement to provide a fundamentally different service level to that approved in Service Delivery Plans can only be approved by Corporate Policy & Resources Committee.

3.6 UNAVOIDABLE EXTRAORDINARY EXPENDITURE

- 3.6.1 Due to unforeseen circumstances, expenditure may be required over and above existing approved budgets. This should only occur in extreme

circumstances, for example natural disaster, as budget managers should be fully aware of any likely pressures on budgets within their remit.

3.6.2 Where possible the relevant Director/Assistant Director should consult with the Chief Finance Officer and other members of the Management Team to seek agreement before incurring any expenditure. The Chief Finance Officer should agree this expenditure in consultation with the Chairman of the Corporate Policy and Resources Committee.

3.6.3 Subsequently a report will be presented to the Corporate Policy and Resources Committee.

3.6.4 Natural disasters will often be funded by Central Government via the Bellwin Scheme. The possibility of this additional funding should be investigated by the relevant Director/Assistant Director.

3.6.5 Key Controls

Key controls are:

- Budget Managers fully trained in budget management so that the budget reflects all anticipated expenditure.
- All unavoidable expenditure is required to be reported to Corporate Policy and Resources Committee.

3.7 **CONTRACT AND WINDFALL SAVINGS**

3.7.1 Unless specific agreement with the Chief Finance Officer is obtained, contract savings and windfall savings (i.e. unanticipated income or unanticipated savings on expenditure including any figure relating to previous years) will revert to General Balances.

3.8 **FEES AND CHARGES**

3.8.1 The Fees, Charges and Concessions Policy forms the basis of all fees and charges set within the Council. The Policy establishes clear principles for charging, integrates charging into service management, linking with corporate objectives and sets clear objectives and targets. The Policy shall be reviewed by the Chief Finance Officer and reported to Corporate Policy & Resources Committee as a minimum every three years.

3.8.2 Charges should be reviewed at least annually and reported as part of the revenue budget and service delivery plan setting process. Any in year changes resulting from a review of fee levels should be reported to the relevant committee for discussion and if agreed, a recommendation to Corporate Policy & Resources Committee and Full Council for approval.

3.8.3 Fees and charges fall into two categories:

- Statutory;

- Cost related.

3.8.4 **Statutory Charges**

Statutory charges are those determined by organisations external to the Council and over which the Council has no discretion.

3.8.5 **Cost Related Charges**

- Where charges are not prescribed, the Director/Assistant Director is able to set the charge by reference to the cost of service provision;
- Constraints exist whereby the charge should be set to cover the cost of the service, e.g. Public Entertainment Licenses, Local Search Fees;
- Directors/Assistant Directors must have appropriate systems in place to support the fee- setting process, including the allocation of overheads;
- Where decisions on increases in fees and charges are taken outside the budget process for administrative reasons (e.g. where there is a statutory regulation or a duty of consultation, for example, car parking where notices have to be served) due regard must be given to the financial strategy.

3.8.6 Key Controls

The key controls are:

- Clear and consistent fees and charges strategy;
- As a minimum. annual review of strategy and levels of charges;
- All fees should be considered as part of the Service Planning process.

3.9 **INTERNAL CHARGING**

3.9.1 Internal charges are made between services within the Council. Whilst they do not directly generate external income, they do affect the total cost of individual services.

3.9.2 Internal charges should be set in accordance with the principles set out in the CIPFA Service Reporting Code of Practice (SeRCOP). There must be a clear rationale for any residual sum not recovered from services and charged to the Corporate and Democratic Core.

3.9.3 Where internal charges are made they should be fixed to recover the full cost of services and may be set at a unit/volume based amount linked to demand, or as a reallocation of costs.

3.9.4 For most services, the service manager responsible for making the charge will develop a service agreement (either formally or informally) that outlines the service provided and establishes the basis of the allocation of costs. The

service standard should be agreed with the Council's Management Team.

3.9.5 The Chief Finance Officer will work with service departments to ensure that recharges are accurate and periodically reviewed to ensure that the basis of charge reflects work done and up to date service costs.

3.9.6 Some services operate as a fully traded service. In these cases, charges could be made on the basis of a Service Level Agreement (SLA). The SLA will specify the service to be provided and the charge to be levied and will generally be a volume based charge. SLAs must be published well in advance of the start of each financial year to enable customers to negotiate with providers if they wish.

3.9.7 Directors/Assistant Directors must have appropriate systems in place to support the charge setting process, including the allocation of overheads.

3.9.8 Regard shall be had to the frequency and basis of charge to minimise the administrative costs involved in recharging.

3.9.9 Key Controls

The key controls are:

- Clear and consistent internal charging strategy;
- Annual review of strategy and basis and level of charges with specific reference to Value for Money;
- Clear guidance on forming SLAs and service agreements;
- All charges should be considered as part of the Service Planning process.

3.10 RESERVES

3.10.1 Reserves are amounts set aside by the Council as a result of surpluses, deferred expenditure or policy decisions to 'save' towards future expenditure. Reserves can be either specific (earmarked) or general. For each reserve established, the amount, purpose and origin of funding must be clearly identified.

3.10.2 The levels and requirements for reserves are reviewed annually in setting the budget and in the context of the MTFP.

3.10.3 The establishment of new earmarked reserves is subject to approval on a case by case basis except where such a reserve (e.g. pension's reserve) is specifically required by statute or by CIPFA's Accounting Code of Practice.

3.10.4 New reserves will generally be approved by Corporate Policy & Resources Committee as part of the budget setting process or budget monitoring process and exceptionally by the Corporate Policy & Resources Committee as part of the accounts closure process on the recommendation of the Chief Finance Officer.

- 3.10.5 Contributions to reserves will be managed as a budgeted call on resources which could otherwise have been spent on services or taken to the General Reserve or used to reduce Council Tax. The timing and size of contributions will be considered in the context of the Council's MTFP and reviewed when each year's accounts are closed.
- 3.10.6 Earmarked reserves will generally fall into four categories:
- Trading account balances;
 - Time limited programmes and projects
 - To meet specific risks of a non-insurable nature or self-insured risks;
 - To carry forward under spending (or overspending) as a ring fenced amount.
- 3.10.7 **Trading account balances** will be allowed where real or quasi trading accounts are used to manage costs. Balances will be maintained to allow flexible response to changes to demand and/or to meet defined future capital expenditure needs. Generally such balances should not exceed 20% of the annual turnover. Balances in excess of this limit should be returned to the General Reserve. See also the additional provisions in section 6.12.
- 3.10.8 **Time limited programmes** may be pre-funded by the establishment of reserves. Reserves will be useful where the pace of spending is difficult to predict and where the spend will run over a number of budget years. However, the creation of reserves causes an earlier call on the taxpayer than when the benefits of the programme are derived by the taxpayer. So pre-funding requires careful consideration of the benefits of the use of a reserve as against annual revenue budgets. It would be unusual for a time-limited programme running for more than 3 years to be pre-funded. Longer programmes might be managed by a reserve to which a consistent level of contribution was made annually but where spend fluctuated from year to year. In all cases the purpose of the reserve must be clearly established at the outset and the scope and cost of the programme defined to ensure the adequacy of the reserve.
- 3.10.9 **Reserves to meet specific risks or contingencies** should have regard to a reasonable estimate of the potential costs involved and should continue to be held only while the risk remains. They should be reviewed at least annually. The Insurance Reserve falls within this category being support for the Council's self-insurance programme and a contingency in respect of any past insurance claims yet to be settled.
- 3.10.10 **At each year-end the Council may determine that an under spending (or over spending) is carried forward for use by the service in which it arose in the subsequent year.** This may be because of a delay in implementing a revenue programme or because a commitment to a future payment exists but which does not meet the test of an accrual as a creditor, or establishment of a Balance Sheet provision. In each case the relevant

Director/Assistant Director, together with the Chief Finance Officer will establish the reasonable estimate of the under-spending and the amount carried forward and approval of the Management Team will be sought.

- 3.10.11 The Council may determine that a Service may retain part of a general under spending if the Council's financial situation does not require the sum to be returned to the General Reserve. The sum retained must be identified to a programme and for a one off purpose that does not give rise to any ongoing commitment. The Chief Finance Officer will consider each case and advise whether the purpose meets the test of being spending of a one-off nature.
- 3.10.12 In all circumstances a carry forward request must not be spent without the prior approvals as those required for virements.
- 3.10.13 Approval to use earmarked reserves will be subject to formal release by the Chief Finance Officer who will confirm that planned spending remains affordable when considering any mixed funding, including call on reserves, current budgets and/or external funding packages. The Chief Finance Officer shall have delegated power to approve spending of any earmarked reserve up to a value of **£50,000**. Spend in excess of this sum must have the approval of Corporate Policy & Resources Committee.
- 3.10.14 Monitoring of spending against reserves must be subject to periodic budget monitoring arrangements. Projected variances should form part of the periodic corporate budget monitoring arrangements.
- 3.10.15 The Council may close an earmarked reserve (except where there is a statutory requirement to maintain it) at any time and appropriate any remaining balance to the General Reserve.
- 3.10.16 Key Controls

The key controls are:

- The establishment and use of reserves must be authorised by the Chief Finance Officer;
- Reserves will only be established to meet a defined purpose;
- The level and requirement of each reserve is reviewed annually.
- Any spend in excess of £50,000 to be approved by Corporate Policy & Resources Committee.

4 REGULATION 4 - ACCOUNTING RECORDS

4.1 ACCOUNTING RECORDS

4.1.1 To enable reliance to be placed on financial management information all the Council's transactions, commitments, contracts and other essential accounting information must be recorded completely, accurately, on a timely basis and in corporately approved systems.

4.1.2 Any financial systems and records used within service areas that do not interface with the corporate financial ledger must be in a form agreed by the Chief Finance Officer and must be regularly reconciled to the corporate financial ledger by the relevant service manager.

4.1.3 Directors/Assistant Directors shall ensure supporting documentation is available as required by the Chief Finance Officer.

4.1.4 Key Controls

The key controls are:

- The primary record of accounting entries and approved budget is the financial ledger;
- Reconciliation procedures are carried out to the financial ledger to ensure transactions are correctly recorded;
- Original documents are retained in accordance with legislative and other requirements including compliance with the Council's Retention of Data Policy.

4.2 ANNUAL STATEMENT OF ACCOUNTS

4.2.1 The Council has a statutory responsibility to prepare accounts that present accurately and fairly its operations during the year. This must be done in accordance with The Code of Practice on Local Council Accounting in the United Kingdom: (the Code) (CIPFA/LASAAC).

4.2.2 The Accounts will be produced within the statutory timescales.

4.2.3 Annually the Chief Finance Officer draws up a detailed timetable, guidance and instructions for final accounts preparation, approval and audit.

4.2.4 The timetable and guidance covers all areas relating to the closure of accounts, the deadlines by which each task should be completed and the format in which key information should be submitted. Directors/Assistant Directors shall ensure compliance with the timetable and guidance.

4.2.5 Key Controls

The key controls are:

- The Council's Statement of Accounts is prepared in accordance with proper practices as set out in the relevant codes of practice on local authority accounting in the United Kingdom;
- Clear and consistent advice and instructions are issued for dealing with all year-end processes, such as accruals, prepayments, treatment of year-end balances and analytical review;
- Accounts are kept up to date during the year, reconciliations are carried out on a regular basis, the revenue and capital budgets are compiled and monitored effectively and year-end processes are completed in accordance with the timetable issued;
- Year-end variances and balances are reported on within the parameters agreed with the external auditor;
- There is a clear policy for the setting up and maintenance of reserves;
- Comprehensive working papers are compiled and maintained.

4.3 RETENTION OF ACCOUNTING AND FINANCIAL DOCUMENTS

- 4.3.1 The retention periods shown in Appendix 2 represent the minimum number of complete financial years, i.e. excluding the current financial year.
- 4.3.2 This guidance refers to retention of both hard copy and electronic format. Retention in electronic format (e.g. document imaging or other electronic format) is to be encouraged wherever possible and subject to the agreement of appropriate authorities, such as External Audit and HMRC.
- 4.3.3 No documents or records should be disposed of until notification has been received from the External Auditor of the completion of the audit of accounts for the year to which the records relate. This fact should be confirmed with the Chief Finance Officer.
- 4.3.4 If in doubt, Internal Audit should be contacted for advice on specific cases.

5 REGULATION 5 - RISK MANAGEMENT AND RESOURCE CONTROL

5.1 RISK MANAGEMENT AND INSURANCE

Introduction

- 5.1.1 It is essential that robust systems are developed and maintained for identifying, evaluating and controlling all of the operational risks to the Council on an integrated basis in accordance with the Council's Risk Management Strategy.

Risk Management

- 5.1.2 The Governance and Audit Committee is responsible for approving the Council's Risk Management Strategy and for reviewing the effectiveness of risk management. The committee is also responsible for approving the Council's Strategic Risk Assessment and for ensuring that proper insurance exists where appropriate. The committee discharging the Overview and Scrutiny function has the responsibility for reviewing and scrutinising the decisions made by and performance of Committees and officers to ensure that risk management has been applied and adds value and quality to decision making.

- 5.1.3 The Director of Corporate Services will produce an annual corporate risk assessment. The Director of Corporate Services is responsible for preparing the Council's Risk Management Strategy statement and for promoting it throughout the Council. The Chief Finance Officer is responsible for advising the Corporate Policy & Resources Committee on proper insurance cover where appropriate. Copies of the Council's formal Risk Management Strategy and Corporate Risk Register are available on the intranet.
- 5.1.4 Directors/Assistant Directors shall ensure the regular identification, review and management of risk within service areas having regard to advice and instructions from specialist officers. Risk champions shall be nominated within each service area to ensure these issues are progressed.
- 5.1.5 The Council's approach to risk management is that it should be embedded throughout the organisation at both a strategic and an operational level, through integration into existing systems and processes.
- 5.1.6 Directors/Assistant Directors are responsible for ensuring that the risks to achieving the aims in their responsible areas are assessed and managed and that risk registers are updated with current issues and reviewed through service area team meetings in accordance with the organisation's risk appetite. Risks and their control measures will be included within Service Delivery Plans and updated in quarterly performance reviews.
- 5.1.7 It is also the role of Directors/Assistant Directors to ensure that common themes for business and organisational failure (e.g. capacity, resources and prioritisation) are taken into account at a service and corporate level and reflected in risk registers, as they have an effect on achieving service and organisational aims.
- 5.1.8 Directors/Assistant Directors will also ensure that all relevant staff comply with the strategy and have the necessary level of training and competence. The Risk Management Code of Practice will be complied with and risks escalated to the Director/Assistant Director where a decision at this level is needed.
- 5.1.9 The Chief Finance Officer will make provision for losses that might result from residual risks, through external insurance or internal funding and negotiate all claims in consultation with other officers.

Insurance

- 5.1.10 The Chief Finance Officer shall effect all those insurances falling within the framework of insurable risks and shall deal with all claims, in consultation with other Directors/Assistant Directors where necessary. This will also include negotiation of annual premiums, continually reviewing procedure and cover and ensuring that the Council has adequate cover against all potential risks.
- 5.1.11 The Council will determine which risks must be covered by external insurances or internal insurance provision. Other risks may be covered by insurance or carried by the service area involved at the discretion of the relevant Director/Assistant Director, having regard to advice from the Chief Finance Officer.
- 5.1.12 The Chief Finance Officer will keep an up to date list of all property including current insurance values. This list will be reviewed annually.

- 5.1.13 Each Director/Assistant Director shall immediately notify the Chief Finance Officer of all new risks, properties, vehicles and other assets or potential liabilities for which insurance may be required; and of any changes affecting existing risks or insurance cover required.
- 5.1.14 Directors/Assistant Directors shall notify the Chief Finance Officer in writing without delay of any loss, liability or damage or any event likely to lead to a claim and shall provide such information and explanations required by the Chief Finance Officer or the Council's insurers.
- 5.1.15 Directors/Assistant Directors shall ensure that all keys (for example safe, offices, vehicles, cabinets) are kept securely and a register maintained. In the event of a loss, they must immediately inform the Chief Finance Officer.
- 5.1.16 Directors/Assistant Directors may authorise payment of up to **£60** towards employees' personal property damaged while on the Council's premises or on the Council's business. Sums greater than £60 will require approval from the Chief Finance Officer and the Management Team.
- 5.1.17 Directors/Assistant Directors shall consult the Chief Finance Officer and the Monitoring Officer concerning the terms of any indemnity which they are requested to give on behalf of the Council.
- 5.1.18 Before entering into any arrangement involving a legal relationship, the Director/Assistant Director involved must ensure that the Council has adequate legal powers and where appropriate that there is adequate professional indemnity insurance to cover and minimise any risk to the Council and to those individuals involved (advice should be obtained from the Chief Finance Officer and /or the Monitoring Officer where necessary before proceeding).
- 5.1.19 The Chief Finance Officer shall review insurance requirements at each annual renewal date and as part of the re-tendering process at the end of the overall insurance contract period.

Self-Insurance

- 5.1.20 For some risks not covered by external insurance policies and as determined by the Council, the Chief Finance Officer will operate an internal insurance account and is authorised to charge the various Council service budgets with the cost of contributions to this account.
- 5.1.21 Risk Management is the responsibility of every Director/Assistant Director having regard to advice from specialist officers. In general, costs and losses not insured externally and not covered by the Council Fund will fall as a charge upon the budget of the service area to which the item relates. Also, claims for insured risks could result in increased levels of future premiums, and this emphasises the need for effective preventive measures against all risks.

Business Risk Management

- 5.1.22 Each Director/Assistant Director must assess all risks annually. The risk of not meeting corporate strategy targets should be evaluated and appropriate performance measures should be set for monitoring.
- 5.1.23 All risks should be recorded in the Corporate Risk Register, together with an

action plan to show how the risks are being monitored.

5.1.24 The management of risks at a cluster (People, Places, Policy & resources) level should be reported upon at least quarterly to the Management Team.

5.1.25 Key Controls

The key controls are:

- 5.1.25.1 Procedures are in place to identify, assess, prevent or contain known risks, and these procedures are operating effectively throughout the Council;
- 5.1.25.2 The Council has adopted the Risk Management Strategy and processes to record all identified risks;
- 5.1.25.3 A monitoring process is in place to review regularly the effectiveness of risk reduction strategies and the operation of these controls. The risk management process should be conducted on a continuing basis;
- 5.1.25.4 Managers know that they are responsible for managing relevant risks and are provided with relevant information on risk management initiatives;
- 5.1.25.5 Provision is made in the accounts for losses that might result from the risks that remain;
- 5.1.25.6 The Council has identified business continuity plans for implementation in the event of disaster that results in significant loss or damage to its resources;
- 5.1.25.7 Acceptable levels of risk are determined and insured against where appropriate.

5.2 PREVENTING FRAUD AND CORRUPTION

- 5.2.1 The Council will not tolerate fraud and corruption in the administration of its responsibilities, whether from inside or outside of the Council.
- 5.2.2 The Chief Finance Officer is responsible for the development and maintenance of an anti-fraud and anti-corruption policy.
- 5.2.3 The Monitoring Officer will also ensure that whistle-blowing procedures are in place and operate effectively, including regular reviews of staff training and takes account of the Public Interest Disclosure Act 1998.
- 5.2.4 The Council operates an anti-fraud and anti-corruption policy. A 'Whistle Blowing' policy supports the objectives of these policies. These, in conjunction with Councillor and Officer Codes of Conduct and registers of interest, including Register of Interest in which any hospitality or gifts accepted must be recorded, determine the overall policy of the Council with regard to prevention of fraud and corruption.
- 5.2.5 Any suspected irregularities should be reported to internal audit and, if necessary, the Chief Finance Officer, the Monitoring Officer, or the Head of Paid Service.

5.2.6 Key Controls

The key controls are:

- The Council has an effective anti-fraud and anti-corruption policy and maintains a culture that will not tolerate fraud or corruption;
- Codes of conduct exist for Councillors and Officers and are regularly reviewed by the Standards Sub-Committee;
- A Register of Interests is maintained to enable Councillors and Officers to record any financial or non-financial interests that may bring about conflict with the Council's interests;
- A register of Gifts & Hospitality is maintained to enable Councillors and Officers to record gifts and hospitality either received, or offered and declined, from the Council's contractors and suppliers;
- Whistle blowing procedures are in place and operate effectively;
- An effective disciplinary procedure is in place in case of improper behaviour;
- The Anti-fraud and Anti-corruption Policy and the Whistleblowing Policy can be found on the intranet and internet.

5.3 GIFTS AND HOSPITALITY

5.3.1 Part 3 of The Constitution sets out the Council's Codes of Conduct for Councillors and for Employees on Gifts and Hospitality. These must be adhered to at all times.

5.3.2 A Register of Gifts & Hospitality is maintained by Democratic Services to enable officers to record gifts and hospitality either received, or offered and declined, from the Council's existing or potential contractors and suppliers.

5.3.3 Key Controls

The key controls are:

- Relevant Codes of Conduct must be adhered to at all times;
- Registers of gifts and hospitality must be maintained and kept up to date.

5.4 ASSETS

5.4.1 **Assets - Acquisitions and Disposals of Land and Buildings (Freehold and Leasehold)**

5.4.1.1 Directors/Assistant Directors (including the Chief Finance Officer) may authorise an acquisition or disposal of land and buildings up to a value of **£75,000** (including leases or easements where the annual rent multiplied by the length of the lease does not exceed that figure assuming that the rent is not increased on review) which is an approved item in the approved Capital Programme.

5.4.1.2 Acquisitions or disposals between **£75,001** and **£250,000** are only to be undertaken following consultation with the Leader of the Council or the Deputy Leader if the Leader is not available.

5.4.1.3 Any proposed acquisition or disposal (regardless of value) must be subject to an independent valuation, preferably by the District Valuer or some other Royal Institute of Chartered Surveyors independent valuer.

- 5.4.1.4 In all cases, acquisitions and disposals are subject to reference to Corporate Policy and Resources Committee by the appropriate Chief Officer with responsibility for areas of open space or land in the nature of open space if there is significant public interest in the preservation of the same. Where a sale is pursuant to Section 123 Local Government Act 1972, Section 32 Housing Act 1985 or or Section 25 Local Government Act 1988, consent to the Secretary of State may be sought as necessary.
- 5.4.1.5 In all cases, the acquisition, lease or disposal must be reported to the next available meeting of the Corporate Policy & Resources Committee.
- 5.4.1.6 Where transactions have not been approved within the Approved Capital Programme the prior approval of the Corporate Policy and Resources Committee is required.

Assets – Security

- 5.4.2 The Council holds assets and information in many different forms – property, vehicles, equipment and both computerised and other records.
- 5.4.3 Such assets and information as are required for service operations must be safeguarded, and the requirements of the Data Protection Act and Freedom of Information Act must be met.
- 5.4.4 Directors/Assistant Directors will:
- Ensure the security of all vehicles, buildings, stocks, stores, furniture, equipment, cash and information under their control;
 - Ensure that no asset or office system (for example internet access or the telephone system) is misused or subject to unauthorised personal use;
 - Ensure that maximum limits for cash holdings agreed with the Chief Finance Officer are not exceeded;
 - Ensure that keys to safes etc. are kept securely and any loss is reported promptly to the Chief Finance Officer;
 - Protect the Council's rights to intellectual property and ensure that private work is not carried out during the Council's time;
 - Ensure that documented and tested contingency plans for the security of assets and continuity of service in the event of a disaster or system failure are in place;
 - Should the Council be asked to give a guarantee or indemnity for any transaction, the relevant Director/Assistant Director should first consult with the Chief Finance Officer and the Legal Adviser.
- 5.4.5 The Chief Finance Officer maintains an up-to-date Asset Register. The Chief Finance Officer should be notified in any case where security is thought to be defective or where it is considered that special security arrangements may be needed. In addition, the Authority will maintain records of all properties owned by the Council.
- 5.4.6 The Council's Director of Corporate Services shall have the custody of all title deeds, formal contracts and agreements under seal and be responsible for ensuring their safety.
- 5.4.7 The Chief Finance Officer shall be responsible for ensuring that a full revaluation of all Council properties is undertaken at least every five years.

5.4.8 Key Controls

The key controls are:

- Assets and resources are used only for the purposes of the Council and are properly accounted for;
- Assets and resources are available for use when required;
- Assets and resources no longer required are disposed of in accordance with the law and the regulations of the Council so as to maximise benefits;
- An Asset Register is maintained for the Council - assets are recorded when they are acquired by the Council and this record is updated as changes occur with respect to the location and condition of the asset;
- All officers are aware of their responsibilities with regard to safeguarding the Council's assets and information, including the requirements of the Data Protection Act and software copyright legislation;
- All officers are aware of their responsibilities with regard to safeguarding the security of the Council's computer systems, including maintaining restricted access to the information held on them and compliance with the Council's information security and internet security policies;
- Proper security arrangements are in place for all buildings and other assets belonging to the Council.

Assets – Inventories

- 5.4.9 Mobile assets include portable computers, phones, radios, surveying equipment, vehicles and any other work related equipment held by staff outside the offices at any time.
- 5.4.10 Each Director/Assistant Director will nominate an officer with responsibility to maintain an inventory for all assets with a life expectancy of more than one year (including all mobile assets) whose single replacement value exceeds £500 including furniture, fittings and equipment. This must record description, value, date of purchase, expected life, and location.
- 5.4.11 All valuable and portable items (including computers, cameras, video recorders, mobile phones, portable projection equipment etc.) must be security marked as belonging to the Council and wherever possible kept securely.
- 5.4.12 No item shall be removed from the Council premises, except in the course of Council business, without the written authorisation of the Director/Assistant Director concerned.
- 5.4.13 Inventories must be checked at least annually to verify the details.
- 5.4.14 Any variations to inventory records must be reported to the relevant Director/Assistant Director and all variations over **£1,500** must be reported to the Chief Finance Officer.
- 5.4.15 The Director/Assistant Director to ensure officers sign a register to acknowledge custody and sign back in when returning the equipment. The Chief Finance Officer can offer advice when setting up a logging system.
- 5.4.16 An inventory of all computer hardware and software held by the Council will

be maintained, a copy of which must be provided to the Chief Finance Officer.

Assets - Lost Property and Uncollected Goods

- 5.4.17 Lost property, uncollected goods or unclaimed sums of money will be kept securely until they can be returned to a claimant or otherwise disposed of. Directors/Assistant Directors will ensure that this is carried out and that records are kept of such items and arrangements for their disposal.

Assets - Stocks and Stores

- 5.4.18 All Directors/Assistant Directors must ensure that they maintain adequate records and controls over stock movements. There is a cost of holding stocks and levels should always be kept at the minimum necessary to maintain the efficiency of the service.
- 5.4.19 Stocks and stores comprise the following categories:
- Goods or other assets purchased for resale;
 - Consumable stores;
 - Raw materials and components purchased for incorporation into products for sale;
 - Products and services in intermediate stages of completion;
 - Long-term contract balances;
 - Finished goods.
- 5.4.20 Directors/Assistant Directors will ensure that independent stock checks must be undertaken periodically and at least annually at year-end. All discrepancies should be investigated and pursued to a satisfactory conclusion. Evidence of the stock check is to be kept for audit verification purposes.
- 5.4.21 Any variations must be reported to the relevant Director/Assistant Director and Financial Services for the appropriate accounting entries to be done. All variations over £1,500 must be reported to the Chief Finance Officer.
- 5.4.22 A certificate of stock must be issued promptly to the Chief Finance Officer as at 31 March in each year. Stocks must be signed by the appropriate Director/Assistant Director or budget holder and valued at the lower of cost and net realisable value.
- 5.4.23 The Chief Finance Officer is entitled to check stocks, if necessary requiring closure, after consultation and agreement with the Director/Assistant Director concerned.
- 5.4.24 All receipts and issues of stock must be properly recorded and accounted for in the Council's financial records.

Assets – Intellectual Property

- 5.4.25 Intellectual property is a generic term that includes inventions and writing. If these are created by the officer during the course of employment then they are the property of the Council. Examples include software and product development. These items are collectively known as intellectual property.

5.4.26 All contracts of employment, including those relating to temporary or consultants are to provide for intellectual property to be the property of the Council.

5.4.27 Key Controls

The key controls are:

- In the event that the Council decides to become involved in the commercial exploitation of inventions, the matter should proceed in accordance with the Council's approved intellectual property procedures.
- Contracts of employment, including for the employment of temporary/consultancy staff, should include the provision that any intellectual property are the property of the Council.

Assets - Compulsory Disposals

5.4.28 Any sale or lease of land pursuant to the Right to Buy or the Right of Enfranchisement under the Housing Act 1985, the Leasehold Reform Act 1967 or the Leasehold Reform Housing and Urban Development Act 1993 will be subject to compliance with the statutory procedures.

Assets – Disposal by Sale

5.4.29 Surplus or obsolete goods, materials, and stocks with a value of £250 or more shall be disposed of by public tender, except when, in the opinion of the Director/Assistant Director of the Service concerned, the financial interest of the Council is better served by disposal by other means. This may include a public auction or offering the asset in part exchange. The Director/Assistant Director concerned shall prepare and certify a list of all items disposed of, showing the amount received. This will be reflected in the inventory, the asset register, and/or the stock account. The disposal of the asset should be fully documented.

5.4.30 Items with a value of less than £250 can either be disposed as indicated in 5.4.29 or may listed on the Councils Ebay page.

5.4.31 For disposals of land and property see the special provisions contained in 5.4.1.

5.4.32 Running costs for property declared surplus to requirement will transfer to the Property & Assets budget.

5.4.33 The proceeds of all sales of surplus or obsolete assets must be reported to the relevant Director/Assistant Director and all sales must be reported to the Chief Finance Officer who will arrange for the Councils Asset Register to be amended if appropriate.

5.4.34 Key Controls

The key controls are:

- Assets are disposed of in accordance with the Asset Management Plan;
- Disposal of assets is fully documented;
- The Councils Asset Register records the latest position;

- Annual stock valuation identifies obsolete stock.

Assets – Disposal By Write Off

- 5.4.35 For the purpose of this section, assets also include write off of cash and income due to the Council.
- 5.4.36 Write-offs may only take place as a last resort after all other economic/social solutions have been exhausted.
- 5.4.37 The relevant Budget Manager may write off amounts up to £250 where irrecoverable.
- 5.4.38 The relevant Director/Assistant Director in consultation with the Chief Finance Officer may write off Income, Stocks and Inventory deficiencies of up to **£2,500**.
- 5.4.39 The relevant Director/Assistant Director in consultation with the Chief Finance Officer and the Chairman of the Corporate Policy & Resources Committee, may write off items over **£2,500** and under **£25,000**.
- 5.4.40 Write offs of amounts over **£25,000** may only be written off by the Corporate Policy & Resources Committee after receiving a report from the Chief Finance Officer.
- 5.4.41 A report must be submitted at least annually by the relevant Director/Assistant Director to the Chief Finance Officer, who will report annually on the overall level of write-offs as part of the Statement of Accounts process.
- 5.4.42 Key Controls

The key controls are:

- Specific write-off limits;
- Disposal of assets is fully documented;
- Annual stock valuation identifies obsolete stock.

5.5 TREASURY MANAGEMENT AND LEASING

- 5.5.1 The Council has adopted CIPFA's Treasury Management in the Public Services Code of Practice and Cross Sectoral Guidance Notes 2017.
- 5.5.2 The Chief Finance Officer will create and maintain, as the cornerstone for effective Treasury Management:
- A Treasury Management Policy Statement (TMPS) stating the policies, objectives and approach to risk management of its treasury management activities;
 - Suitable Treasury Management Practices (TMP) setting out the manner in which the organisation will seek to achieve those policies and objectives and prescribing how it will manage and control those activities.
- 5.5.3 The Chief Finance Officer will produce reports on its treasury management policies, practices and activities including, as a minimum, a report to Council

on an annual strategy and plan in advance of the forthcoming year, a mid-year review and an annual report after its close, in the form prescribed in its TMPs.

- 5.5.4 The Council delegates responsibility for the implementation and monitoring of its treasury management policies and practices to the Corporate Policy & Resources Committee, and for the execution and administration of treasury management decisions to the Chief Finance Officer, who will act in accordance with the Council's policy statement and TMPs, and the CIPFA Standard of Professional Practice on Treasury Management.
- 5.5.5 The Council nominates the Governance and Audit Committee to be responsible for ensuring the effective scrutiny of the Treasury Management strategy and policies.
- 5.5.6 All executive decisions on borrowing, investment or financing (including leasing) are delegated to the Chief Finance Officer who will act in accordance with the Council's agreed "Treasury Management Strategy".
- 5.5.7 The Chief Finance Officer must report any decisions on any borrowing undertaken to Corporate Policy & Resources Committee as part of the Treasury Management activities reporting process.
- 5.5.8 The Chief Finance Officer must report any debt rescheduling activity to Corporate Policy & Resources Committee as part of the Treasury Management activities reporting process.
- 5.5.9 The Chief Finance Officer is responsible for acting as the Council's registrar of stocks, bonds, mortgages, and to maintain records of all borrowing by the Council.
- 5.5.10 Directors/Assistant Directors are responsible for ensuring the prior approval of the Chief Finance Officer before leasing any assets.
- 5.5.11 Directors/Assistant Directors are responsible for ensuring that no loans are made to third parties or interests acquired in companies, joint ventures, or other enterprises without consulting the Chief Finance Officer and obtaining approval from Corporate Policy & Resources Committee.
- 5.5.12 The Council may, in accordance with its Treasury Management Strategy, invest in the following types of investment:
- Purchase of commercial property
 - Loans and guarantees etc. to third parties and subsidiaries
 - Ultra-short dated bond funds
 - Corporate Bonds - direct, passive and active external management
 - Property Funds
 - Equity Funds
 - Multi Asset Funds
- 5.5.13 All such investments shall be undertaken only in accordance with the Councils approved Treasury Management Strategy and adherence to the provisions contained in the strategy especially with regard to undertaking appropriate due diligence.

5.5.14 Key Controls

The key controls are:

- Adopted CIPFA's Treasury Management in the Public Services Code;
- Created and maintained Treasury Management Policy Statement (TMPS) and Treasury Management Practices (TMP);
- Agreed Treasury Management Strategy for forthcoming year;
- Mid-year Treasury Management Update report;
- Reported performance within six months of the end of the year;
- An annually agreed Minimum Revenue Provision (MRP) Policy;
- The role of the Governance and Audit Committee.

5.6 STAFFING

5.6.1 The Head of Paid Service, in consultation with the Chief Finance Officer,, is responsible for determining how officer support for executive and non-executive roles within the Council will be organised.

5.6.2 The Head of Paid Service is responsible for providing overall management to Officers. He/she is also responsible for ensuring that there is proper use of evaluation or other agreed systems for determining the remuneration of a job.

5.6.3 Directors/Assistant Directors should ensure that Officers are aware of their management responsibilities under the Financial Procedure Rules, Contract Procedure Rules, Declaration of Interests, Hospitality, Whistleblowing Policy, ICT Policies etc.

5.6.4 All officers are responsible for complying with the Council's Human Resources Policies to protect the Council against losses and minimise risk exposure.

5.6.5 The Executive Director of Resources is responsible for maintaining an approved list of officer posts (known as the Establishment List), which have been approved by or on behalf of the Council as being required to provide the Council with the services and advice, which it requires from time to time. Additions, amendments and deletions in relation to this list shall be kept up to date at all times.

5.6.6 Regular meetings shall take place between the Chief Finance Officer, Finance and Payroll to ensure that all records in relation to this Establishment List reconcile.

5.6.7 No appointments of permanent officers shall be made unless there is a post on the Establishment List for which current budgetary provision has been made.

5.6.8 The Establishment List shall not preclude the appointment of temporary or agency staff, or direct works employees in respect of which special budgetary provision is available.

5.6.9 Directors/Assistant Directors are responsible for controlling total staff numbers by:

- Advising the Corporate Policy & Resources Committee on the budget necessary in any given year to cover estimated staffing levels;
- Adjusting the staffing to a level that can be funded within approved budget provision, varying the provision as necessary within that constraint in order to meet changing operational needs.

5.6.10 Key Controls

The key controls are:

- An appropriate staffing strategy and policy exists, in which staffing requirements and budget allocation are matched;
- Procedures are in place for forecasting staffing requirements and cost;
- There is a process of performance review and identification of development needs;
- Training budgets are adequate to support agreed development needs.

5.7 UNOFFICIAL NON-COUNCIL FUNDS

5.7.1 An unofficial fund is one where the income and expenditure does not form part of the Council's accounts, but which is controlled wholly or in part by an Officer employed by the Council or a semi-autonomous body. Examples may include charity accounts or Trust Funds.

5.7.2 Unofficial funds may only be established by the Chief Finance Officer who will issue and update accounting instructions for them where necessary.

5.7.3 All unofficial funds must be properly accounted for and be subject to an independent annual audit (Council or other provider).

5.7.4 Key Controls

The key controls are:

- They must be subject to an audit;
- They must be identified and recorded centrally;
- Normal accounting rules will apply.

5.8 INTERNAL AUDIT

5.8.1 The requirement for an internal audit function for local authorities is implied by the Local Government Act 1972, which requires that authorities "make arrangements for the proper administration of their financial affairs". The Accounts and Audit regulations 1996 (SI1996/590), Regulation 5, more specifically require that a "relevant body shall maintain an adequate and effective system of internal audit of their accounting records and control systems". The Chief Finance Officer is responsible for providing an efficient and effective internal audit service to comply with the legislation and auditing best practice.

5.8.2 Accordingly, Internal Audit is an independent and objective appraisal function established by the Council for reviewing the system of internal control. It examines, evaluates and reports on the adequacy of internal control as a contribution to the proper, economic, efficient and effective use of resources.

- 5.8.3 The provision of a full Internal Audit service requires total accessibility to records and staff employed either by, or on behalf of, the Council.
- 5.8.4 Notwithstanding the Chief Finance Officer's responsibility for the review of the Council's systems, the actual responsibility for their correct form and operation lies solely and totally with service management. Internal Audit will review and comment on the operation of systems, but this does not constitute a control function and must not be relied upon as such. Conversely, the lack of an Internal Audit review or the failure by Internal Audit to identify a weakness or irregularity does not in any way act as an excuse or defence for its occurrence or non-detection by service managers.
- 5.8.5 Directors/Assistant Directors will consider internal audit reports and make an initial response within 15 working days of receipt. Any agreed recommendations will then be implemented. Any rejected recommendations will be reported to the Chief Finance Officer and Management Team.
- 5.8.5 Directors/Assistant Directors will inform the Chief Finance Officer of suspected fraud, corruption or other irregularities.
- 5.8.6 Directors/Assistant Directors will inform Internal Audit of all proposed changes to computer or other systems prior to implementing any changes.
- 5.8.7 The Executive Director of Resources will report to the Governance and Audit Committee on progress against the Internal Audit Programme.

5.8.8 Key Controls

The key controls are:

- It is independent in its planning and operation;
- The Audit Manager has direct access to the Head of Paid Service, all levels of management and directly to elected Members;
- Governance and Audit Committee will monitor progress against the Internal Audit Programme.
- Internal Auditors comply with the Auditing Practice Board's guideline: Guidance for Internal Auditors, as interpreted by CIPFA's Code of Practice for Internal Audit in Local Government in the United Kingdom.

5.9 MONEY LAUNDERING

- 5.9.1 The Council's policy and practices with regard to the Money Laundering regulations (contained in the Proceeds of Crime Act 2002 as amended by Serious Organised Crime Agency and Policy 2005 and relevant Statutory Instruments, Terrorism Act 2000 as amended by Anti-Terrorism, Crime and Security Act 2001 and the Terrorism Act 2006 and relevant Statutory Instruments with regard to money laundering are contained in the Council's Treasury Management Practices (TMP) adopted as part of its Treasury Management Policy.
- 5.9.2 Schedule 9 of the TMPs set out the detailed approach to addressing the Council's requirements in respect of Money Laundering regulations specific to Treasury Management activity.

6 REGULATION 6 – ACCOUNTING SYSTEMS AND PROCEDURES

6.1 ACCOUNTING SYSTEMS AND PROCEDURES

- 6.1.1 The Chief Finance Officer is responsible for the operation of the Council's accounting systems, the form of accounts and the supporting financial records. No changes shall be made to the existing financial systems or new systems shall be established without the prior approval of the Chief Finance Officer.
- 6.1.2 A complete audit trail, allowing financial transactions to be traced from the accounting records to the original document and vice versa, must be maintained.
- 6.1.3 Directors/Assistant Directors are responsible for the proper operation of financial processes in their own strategic service areas and for ensuring that their officers receive relevant financial training, approved by the Chief Finance Officer.
- 6.1.4 Lists of Authorised Officers, with specimen signatures and delegated limits will be provided to the Chief Finance Officer, together with any subsequent variations on a periodic basis. This includes all areas of the Council, including the outlying areas such as depots and sports facilities. Directors/Assistant Directors must ensure that, where appropriate, computer and other systems are registered in accordance with Data Protection legislation and that officers are aware of their responsibilities under Freedom of Information legislation and information security generally.
- 6.1.5 The development, purchase and implementation of all ICT systems must conform to the Council's ICT Strategy.
- 6.1.6 All passwords must remain confidential.
- 6.1.7 All relevant software licenses employed by the Council should be held and identifiable. No software may be loaded onto the Council's computer equipment without the prior permission by the Chief Finance Officer.
- 6.1.8 Contingency arrangements, including back-up procedures, must be maintained for computer systems. Wherever possible, back-up information should be securely retained in a fireproof location, preferably off site or at an alternative location within the building.
- 6.1.9 Any service specific procedures should be followed by the service in question; any changes made to agreed procedures by officers to meet specific service needs should be agreed with the Chief Finance Officer. These procedures will incorporate appropriate controls to ensure that, where relevant:
- All input is genuine, complete, accurate, timely and not previously processed;
 - All processing is carried out in an accurate, complete and timely manner;
 - Output from the system is complete, accurate and timely;
 - There is an appropriate segregation of duties providing for adequate internal controls and to minimise the risk of fraud or other malpractice.

6.1.10 Key Controls

The key controls are:

- Basic data exists to enable the Council's objectives, targets, budgets

and plans to be formulated;

- Performance is communicated to the appropriate managers on an accurate, complete and timely basis;
- Early warning is provided of deviations from target, plans and budgets that require management attention;
- Operating systems and procedures are secure;
- Data is backed up on a regular basis.

6.2 BANKING ARRANGEMENTS

- 6.2.1 The Council operates a number of bank accounts for the collection and payment of money. All receipts and payments of the Council are made through these accounts. Only the Head of Paid Services and the Chief Finance Officer can open bank accounts in the name of and on behalf of the Council. No officer of the Council shall open any bank (or equivalent) account without the explicit agreement of one of those officers.
- 6.2.2 The Chief Finance Officer will ensure that sound, adequate arrangements are in place for the safe and efficient operation of all the Council's bank accounts and will effect or cause to be effected proper and timely reconciliations.
- 6.2.3 All bank accounts shall bear an official title and in no circumstances shall an account be opened in the name of an individual, with the exception of the Returning Officers Account for election expenses.
- 6.2.4 Once an account is open, only the Chief Finance Officer can make arrangements concerning the Council's bank accounts. No overdraft arrangements will be permitted with the exception of corporate arrangements under the Treasury Management policy.
- 6.2.5 Financial Services will monitor the safekeeping and control of cheques.
- 6.2.6 Cheques on the Council's main banking accounts shall bear the signature (manuscript or facsimile signature) of the Head of Paid Services.
- 6.2.7 All cheques in excess of £10,000 must be manually countersigned by one of the other officers authorised on the bank mandate.
- 6.2.8 No cheques will be opened unless a satisfactory written explanation is given and must be authorised by an officer identified on the bank mandate and only on receipt of evidence of identification (e.g. passport etc.). (No written explanation is required for petty cash reimbursement).
- 6.2.9 All stocks of cheques must be held securely and stock records maintained to identify both issued and spoilt cheques.
- 6.2.10 The Chief Finance Officer will ensure that bank accounts are reconciled with financial records at least once in each month and any discrepancies identified and appropriate action undertaken.
- 6.2.11 The bank mandate should be reviewed at least annually and internal audit notified of any changes.
- 6.2.12 Consideration will be given to retendering the Council's banking service as a

minimum every five years.

6.2.13 The following duties, as far as possible, will be the responsibility of at least 2 separate officers;

- The checking of creditor accounts;
- The control of cheque forms;
- The preparation of cheques;
- The signature of cheques;
- The entry of cash accounts;
- The reconciliation of bank balances.

6.2.14 Key Controls

The key controls are:

- All cheques must be signed, either manually or by facsimile, by the Head of Paid Service.
- Cheques with a value of **£10,000** or more need to be countersigned.

Bank Accounts can only be opened by the Head of Paid Service or the Chief Finance Officer.

6.3 SALARIES, WAGES, PENSIONS AND OTHER EMOLUMENTS

6.3.1 The Chief Finance Officer is responsible for all payments of remuneration and expenses to all employees or former employees, including payments for overtime and for payments of allowances to Councillors, to comply with Council's policy and national agreements.

6.3.2 All appointments will be made in accordance with the Council's approved policies.

Payroll

6.3.3 Effective controls are needed to ensure that payments are accurate, made only when they are due and comply with relevant conditions of service. The payroll data (currently provided by North Kesteven District Council) must be reconciled regularly with the general ledger.

6.3.4 All procedures dealing with starters, leavers, variations and enhancements must be rigorously adhered to and Directors/Assistant Directors must advise Human Resources promptly of all staffing changes, absences (other than approved leave), changes in remuneration and other relevant information or changes.

6.3.5 All officers must only be paid through the Council's or an authorised contractor's payroll system.

6.3.6 Directors/Assistant Directors will ensure that they follow the approved monitoring procedure for filling all vacancies.

6.3.7 The Officers' Code of Conduct is set out in Part 3 of the Council's Constitution.

6.3.8 Key Controls

The key controls are:

- Proper authorisation procedures are in place and that there is adherence to corporate timetables in relation to: starters, leavers, variations and enhancements;
- Payments are made on the basis of appropriately authorised timesheets or claims;
- Frequent reconciliation of payroll expenditure against approved budgets and bank accounts;
- All appropriate payroll documents are retained and stored for the defined period, in accordance with guidance issued by the Chief Finance Officer;
- All expenditure, including VAT, is accurately recorded against the correct service cost centre and any exceptions are corrected;
- Inland Revenue regulations are complied with.

Human Resources Arrangements

6.3.9 The Executive Director of Resources must ensure that adequate arrangements have been made to notify the Payroll Officer of all the information required in terms of starters and leavers, amendments to working hours, pension arrangements and any other factor that can compromise the integrity of the Payroll service.

6.3.10 Key Controls

The key controls are:

- Payments are only made when there is a valid entitlement which can be proved if necessary;
- Conditions and contracts of employment must be correctly applied;
- Employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness;
- Appointments, resignations, dismissals, suspensions, secondments and transfers should be recorded and reported in line with Human Resource policies.
- Records supporting absences from duty for sickness or any other reason, apart from approved leave must be supplied monthly to the Payroll Section.
- Changes in remuneration, other than normal increments and pay awards and agreements of general application, must be notified to the Payroll Section promptly.
- The Chief Finance Officer must maintain records for pension, income tax and national insurance.

6.4 CREDITORS AND DEBTORS

6.4.1 The Chief Finance Officer is responsible for ensuring the operation and maintenance of effective systems for the payment of creditors and the collection of monies from debtors across the range of Council services.

6.5 CONTRACTS

6.5.1 The full rules for contracts are contained in **CONTRACT PROCEDURE RULES** as contained in the Council Constitution. These must be followed by all staff

in all procurements. Even the smallest purchases must be made in accordance with these rules and principles.

To summarise they are –

Goods and Services

up to £5,000	one written estimate/quotation (email included)
£5,001 - £30,000	two quotations
£30,001 - £75,000	three independent quotations (no group relationship) (RFQ)
£75001 – EU threshold (£189,330)	four independent quotations (no group relationship) (RFQ)

Note:

RFQ (Request for Quotation) is the Council's preferred method of undertaking procurement within the value thresholds as identified above. See Contract Procedure Rules section 8.2 for further details.

1. Contracts falling within the different categories of Goods, Services and the carrying out of Works have value thresholds placed on them by the EU. When the estimated value of an individual contract (cumulative value not annual expenditure) is likely to exceed EU thresholds, by law the Council must comply with the full EU procurement regime. Officers should seek advice from Procurement Lincolnshire.

Includes similar types of process e.g. looking up from a catalogue.

Works contracts as above until

£189,330.00 - £4,733,252.00	Five independent quotations (no group relationship) or by advertisement
Over £4,73,252.00	full EU tender process (ITT)

6.5.2 Payments will only be made on the written authorisation of the officer responsible for the contract. This officer will also give written authorisation for any extras or variations.

6.5.3 Payments made on instruction for construction and construction related contracts should be recorded in detail by the relevant Director/Assistant Director or Project Manager.

6.6 ORDERING

6.6.1 All orders/purchases of goods and services must comply with the Council's Contract Procedure Rules and Procurement Strategy.

6.6.2 No creditor shall be paid or debtor be invoiced other than through systems operated by the Chief Finance Officer otherwise specifically approved by

him/her. All orders (excluding those at 6.6.2) must be input to, authorised and produced from the Council's purchasing system or by using a Procurement Card.

- 6.6.3 Official orders shall be issued for all work, goods or services to be supplied to the Council except for supplies from public utility services, for periodical payments such as rent or rates, for petty cash purchases or such other exceptions as the Chief Finance Officer may approve. In cases of emergency, orders may be given orally and confirmed in writing. Official orders for work, goods and services shall be in a form approved by the Chief Finance Officer.
- 6.6.4 Orders (either paper based or electronic) can only be signed by officers authorised by the Director/Assistant Director concerned who is responsible for official orders issued from his service area. An up-to-date list of authorised officers, including specimen signatures identifying in each case the limits of their authorisation will be maintained by the Procurement Team and be readily available. Any changes will be notified to the Procurement Team by the Director/Assistant Director.
- 6.6.5 No order for work, goods or services can be given which will commit the Council to expenditure unless a budget exists to incur that expenditure.
- 6.6.6 Official orders must not be raised for any personal or private purchases, nor should personal or private use be made of Council contracts.
- Any purchase of IT software or hardware (except consumables) must be made through the ICT Service.
- 6.6.7 A Director/Assistant Director may order goods to be supplied or work to be done by requisition on another service area on any occasion where more favourable terms are obtainable by this method than would be the case by direct ordering.
- 6.6.8 It may be advantageous for supplies to more than one service area to be ordered from one source, for example to take advantage of bulk purchasing. The Procurement Team will be able to assist with these instances and shall be responsible for co-ordinating the arrangements.
- 6.6.9 The signatory of the order must be satisfied that the goods and services ordered are appropriate and needed, that there is adequate budgetary provision and that quotations or tenders have been obtained if necessary. Value for money should always be obtained.
- 6.6.10 Goods and services must be checked on receipt to ensure they are in accordance with the official order. This check should, where practicable, be carried out by a different officer to the officer who signed the original order.
- 6.6.11 On receipt of goods, entries must be made in inventories or stocks records as appropriate.
- 6.6.12 Separation of duties at different stages of ordering and paying for goods should be in place.
- 6.6.13 All orders must be recorded, along with delivery and receipt of invoice.
- 6.6.14 No orders should be placed that will commit the Council to a loan, leasing or rental arrangement without the prior approval of the Chief Finance Officer and

a Director/Assistant Director.

- 6.6.15 Open orders should only be used where unavoidable and with the permission of the Chief Finance Officer. In the situation where an open order has been issued e.g. for a call-off contract, the order must have a clear end date, which may be no later than 31st March following the date of issue.
- 6.6.16 Verbal orders lessen the control of the Council over expenditure and must be avoided wherever possible. Even if a supplier states that they do not require or want an electronic/written order, one should be produced and dispatched as standard. Unless there is a genuine reason e.g. for a standard utility supply, an order must always be issued.

6.7 PAYING FOR GOODS

- 6.7.1 Financial Services will provide an efficient payments service both by the regular weekly payment procedures and by urgent payment at any time. Unless in dispute, payments should be made within 30 working days and passed for timely payment.
- 6.7.2 Directors/Assistant Directors are responsible for ensuring that payments, on a proper VAT invoice, are certified. This certification indicates that –
- Works, goods or services have been received satisfactorily;
 - That expenditure has been properly incurred and is within budget provision;
 - Contract Procedure Rules (including EU regulations) and Financial Procedure Rules have been followed;
 - Prices and arithmetic are correct and accord with quotations, tender, contracts or catalogue prices
 - The invoice is coded correctly;
 - Discounts have been deducted where appropriate;
 - Orders, inventories and stores records have been marked or updated as necessary;
 - The invoice has not already been paid.
- 6.7.3 Payment must not be made on a photocopied or faxed invoice (unless the original invoice has been mislaid), a statement or other document other than the formal invoice.
- 6.7.4 Payments to suppliers should be by the most economical means (BACS transfer or CHAPS payment) for the Council. Direct Debit or Standing Orders may be used with the agreement of the Chief Finance Officer. Authorisation of the BACS/CHAPS files is required before submitting to the bank. This authorisation also includes for payments in excess of **£10,000**.
- 6.7.5 Certification of interim and final contract payments, checking, recording and authorising these payments, the system for monitoring and controlling capital schemes and the procedures for validation of sub-contractors' tax status must be documented and agreed with the Chief Finance Officer.
- 6.7.6 No loan, leasing or rental arrangements may be entered into without prior agreement from the Chief Finance Officer and the Legal advisors. The agreement must also be authorised by a Director/Assistant Director.
- 6.7.7 No payment shall be made to any person in advance of goods or services

being rendered to the Council except in instances of subscriptions, memberships, training courses etc.

6.7.8 Financial Services will:

- Monitor direct debits to ensure the correct amounts are paid;
- Monitor procurement cards to ensure their correct usage;
- Maintain up to date creditor records and payments history and be responsible for the running of the system;
- Ensure that the Council's responsibilities regarding prompt payment within 30 working days are monitored and met;
- Maintain an up to date list of authorised signatories including officers authorised to approve payments electronically or by procurement card;
- Ensure limits are reviewed and amended, if necessary, on a regular basis.

6.7.9 Directors/Assistant Directors must inform the Procurement Team of any changes, additions or deletions to the list of authorised signatories and provide specimen signatures.

6.7.10 Key Controls

The key controls are:

- All goods and services are requisitioned only by appropriate persons and are correctly recorded;
- Requisitions shall only be issued where budgetary provision exists to pay for the goods and services to be supplied;
- All goods and services shall be requisitioned in accordance with the Council's Contract Procedure Rules and Procurement Strategy unless they are purchased from sources within the Council;
- Goods and services received are checked to ensure they are in accordance with the requisition. Goods should not be receipted by the person who authorised the order;
- Payments are not made unless goods have been received by the Council, to the correct price, quantity and quality standards;
- All payments are made to the correct person/supplier, for the correct amount and are properly recorded, regardless of the payment method;
- All appropriate evidence of the transaction and payment documents are retained and stored for the defined period, in accordance with guidance issued by the Chief Finance Officer;
- All expenditure is accurately recorded against the right budget, any exceptions are corrected and VAT is recorded against the relevant VAT code;
- In addition, the use of e-commerce and electronic purchasing requires that processes are in place to maintain the security and integrity of data for transacting business electronically.

6.8 CLAIMS FOR EXPENSES

6.8.2 Councillors and officers may incur expenses in the course of their Council duties. Approved expenses will be reimbursed to the individual. Normally the need to incur expenses will be approved in advance and shall be incurred in the most cost-effective way.

6.8.3 All expense claims are to be submitted to Human Resources by the fifth working

day of the month for inclusion in that month's payroll.

- 6.8.4 All payments for allowances etc. will be made through payroll.
- 6.8.5 Expense claims will only be paid on approved forms. Councillors also have specific claim forms for making claims. For officers these must be authorised by the claimant's line manager. For Councillors these must be authorised by the Monitoring Officer or other nominated officer.
- 6.8.6 All Councillors and officers submitting claims for expenses shall confirm that the claim is in respect of legitimate and authorised expenditure that has been incurred on Council business.
- 6.8.7 Certification by a line manager shall be taken to mean that the certifying officer is satisfied that those journeys were authorised, the expenses properly and necessarily incurred and that the allowances are properly payable by the Council.
- 6.8.8 All car allowances will be paid through the Council's Payroll System. The use of procurement cards should be encouraged whenever rail travel is contemplated.
- 6.8.9 Officers are responsible for arranging appropriate motor insurance to cover any travelling on Council business. Human Resources may inspect an officer's driving licence or any other document relating to a vehicle which is used on Council business.
- 6.8.10 Each claim must be promptly submitted for payment and must be presented on a form clearly detailing the expenditure incurred, supported by VAT receipts where applicable, dated, coded, and signed by the claimant and counter signed by the appropriate authorising officer. Promptly is defined as monthly for large transactional or high value claims, or quarterly for small transactional or low value claims. In either case, all claims relating to a previous financial year must be presented to payroll for payment by the 10th April each year.
- 6.8.11 Key Controls

The key controls are:

- Claims will only be paid in accordance with approved schemes;
- Claims must be made on official forms and correctly authorised.

6.9 PETTY CASH/IMPREST ACCOUNTS

- 6.9.1 Petty cash/imprest accounts facilitate minor, routine transactions, where raising an official order and processing an invoice through the Creditor system would be neither realistic nor cost effective.
- 6.9.2 Petty cash will be held at various sites but should only be used as a last resort if either the use of a Procurement Card, the Purchasing system or reclaim as expenses through payroll is not practical.
- 6.9.3 All petty cash/imprest accounts are arranged through the Chief Finance Officer, will be at a level agreed between the Chief Finance Officer and appropriate service Director/Assistant Director and will be reviewed annually.

- 6.9.4 Financial Services in conjunction with the Director/Assistant Director will approve any further petty cash advance during the year.
- Up to **£50** can be paid out through the cash desk at the Guildhall or by another holder of petty cash.
 - Receipted VAT vouchers are required to back up claims.
 - Claims are to be signed by Authorised Officers only.
 - Internal audit will carry out spot tests on balances.
 - All cash holding will require a signed certificate, by the account holder, at the end of each financial year. These will be requested and received by Financial Services as soon as possible after the end of the financial year.
- 6.9.5 Payments relating to the following headings must not be made from petty cash/imprest accounts:
- Salaries or Wages;
 - Sub-contractors;
 - Officers' Travelling and Subsistence;
 - Fees to Individuals.
- 6.9.6 Directors/Assistant Directors can hold cash floats, following consultation with the Chief Finance Officer, strictly for the purpose of giving change and they will arrange for regular reconciliations.
- 6.9.7 Written records of variations must be kept. The Directors/Assistant Directors must account for the amount held as requested by the Chief Finance Officer and in particular on leaving the employ of West Lindsey District Council or otherwise ceasing to hold the cash float.
- 6.9.8 Items of a value of £50 or more must be purchased through the Council's purchasing system unless the Director/Assistant Director has agreed a different limit in consultation with the Chief Finance Officer.
- 6.9.9 Only the original advance and reimbursements will be credited to the account – no other income can be credited to a petty cash/imprest account. All income must be banked in accordance with the appropriate Financial Procedure Rule.
- 6.9.10 Each Director/Assistant Director will compile and maintain a schedule of all Officers who have been authorised to operate a petty cash/imprest account.
- 6.9.11 Officers operating a petty cash/imprest account must:
- Obtain and retain petty cash vouchers, showing full details of the payment vouchers to support each payment from the petty cash/imprest account;
 - Make adequate arrangements in their office for the safe custody of the account;
 - Produce, upon demand of the Chief Finance Officer, cash and all vouchers to the total value of the petty cash/imprest account;
 - Record transactions properly;

- Reconcile and balance the account at least monthly; reconciliation sheets to be signed and retained by the petty cash/imprest holder;
- Provide the Chief Finance Officer with a certificate of the value of the account held at 31 March in accordance with the timetable to be issued by the Chief Finance Officer;
- Ensure that the account is never used to cash personal cheques or to make personal loans and that payments into the account are the reimbursement of the float and change relating to purchases where an advance has been made;
- On leaving the Council's employment or otherwise ceasing to be entitled to hold a petty cash/imprest advance, an officer shall account to the Director/Assistant Director for the amount advanced to him/her.

6.9.12 Vouchers must be:

- Authorised by the budget holder, or nominated representative, in advance of the purchase wherever possible;
- Signed by the person making the purchase or payment to acknowledge that they have received the amount shown on the voucher;
- Accompanied by an invoice/receipt other than in exceptional circumstances. Where appropriate this should be a valid VAT invoice/receipt.

6.9.13 A claim form must accompany every claim for reimbursement. In preparing the claim, it is important to ensure that:

- Properly certified vouchers and VAT invoices/receipts must be provided in support of every item included in the claim;
- Full details of the net cost, the VAT and the total paid are completed for every entry on the claim;
- Expenditure is accurately coded and all recoverable VAT has been taken;
- The total value, including bank account where applicable, is reconciled to the nominal amount of the petty cash/imprest account;
- All certifications are properly completed on the claim form by authorised signatories.

6.9.14 All non-computerised records relating to petty cash/imprest accounts shall be maintained in ink.

6.9.15 If circumstances arise where the amount of a petty cash/imprest account becomes excessive, the responsible officer shall make appropriate arrangements to pay the excess amount back to the Chief Finance Officer.

6.9.16 Every temporary or permanent transfer of a petty cash/imprest account from one officer to another shall be evidenced by the signature of the receiving officer. This will be either through a formal receipt or a document maintained for that purpose.

6.9.17 Key Controls

The key controls are:

- Petty Cash/Imprest Accounts can only be established with the approval of the Chief Finance Officer;
- An individual must be responsible for the operation, maintenance and

accounting of each imprest account.

6.10 INCOME AND CASH HANDLING

- 6.10.1 The Chief Finance Officer is responsible for ensuring that adequate systems are available and are maintained, for the recording of all income by the Council.
- 6.10.2 It is the responsibility of every officer of the Council to ensure that all sums of money due to the Council are promptly invoiced or otherwise demanded and that all sums of money received are promptly paid into the Council's accounts.
- 6.10.3 Sums received should be held securely prior to being paid in.
- 6.10.4 Sums paid in should be correctly referenced and receipted during the day of receipt.
- 6.10.5 Sums received should be paid in fully intact with differences in excess of **£20** between actual cash and recorded cash being reported to the Chief Finance Officer.
- 6.10.6 There must be a clear separation of duties between the provision of information regarding sums due to or from the Council and the duty of collecting income or making payments;
- 6.10.7 Officers responsible for examining and checking the accounts or cash transactions shall not themselves be engaged in those transactions unless specifically authorised by the Chief Finance Officer.
- 6.10.8 Wherever possible, officers will secure payment in advance is made before a service is provided.
- 6.10.9 All income due to the Council must be processed accurately and securely through one of the primary income systems (e.g. NNDR, Council Tax, Debtors).
- 6.10.10 Official receipts, signed by an authorised officer, must be given on receipt of income.
- 6.10.11 All receipt forms, books, tickets etc. shall be in an official form. Income stationery should be stored securely. The security of stationery is subject to Internal Audit inspection.
- 6.10.12 The Chief Finance Officer must be provided with details relating to work done, goods supplied or services rendered or other amounts, to enable the sums due to the Council to be recorded correctly and to ensure accounts are sent out promptly.
- 6.10.13 Outstanding debts are to be pursued promptly, actively and appropriately. Service areas must assist the Chief Finance Officer in collecting debts that they have originated, by providing any further information requested by the debtor, and in pursuing the matter on the Council's behalf, including providing evidence in legal proceedings. It is understood that uncollected debts will be a cost to the budgets.

- 6.10.14 All income must be paid fully and promptly into the appropriate bank account in the form in which it is received. Income documents must be detailed enough to provide a complete audit trail to the Council's General Ledger.
- 6.10.15 All cash taken must be reconciled to till receipts and all deposited cash/cheques should be counted and verified.
- 6.10.16 At least two officers must be present when post is opened in service areas where income is regularly received so that money received by post is properly identified and recorded.
- 6.10.17 Adequate security arrangements must be in operation to safeguard all income against loss or theft and to ensure the security of cash handling. These arrangements to include the provision that all cash kept on the premises will be within the insurance limit of **£5,000**.
- 6.10.18 The value and quantity of outstanding debts will be regularly reviewed by reference to an aged debt report. Write-offs will only take place as a last resort after all other economic/social solutions have been exhausted. These are detailed under "Assets – Disposal by Write-off" under Financial Procedure Rule 5.4. I.e. the Chief Finance Officer can authorise write offs up to **£1,500** with further approvals being required in excess of this sum.

6.10.19 Key Controls

The key controls are:

- An approved Fees, Charges and Concessions Policy which is regularly reviewed;
- Correct procedures and the appropriate stationery ensure that income is collected from the correct person at the right time;
- Separation of duties within the income process;
- Effective action is taken to pursue non-payment within defined timescales;
- Formal approval process for debt write-off;
- All appropriate income documents are retained and stored for the defined period in accordance with guidance issued by the Chief Finance Officer;
- Money collected and deposited is reconciled to the bank account by a person who is not involved in the collection or banking process.

6.11 TAXATION

- 6.11.1 The Chief Finance Officer is responsible for advising Directors/Assistant Directors, in the light of guidance issued by appropriate bodies and relevant legislation as it applies, on all taxation issues that affect the Council. Any VAT or taxation queries should be directed to the Chief Finance Officer
- 6.11.2 The Chief Finance Officer is responsible for ensuring that adequate procedures are in place and adequate advice available to services so as to ensure that the Council is at all times compliant with the specific requirements of the various tax regimes which affect its operations and delivery of services.
- 6.11.3 The Chief Finance Officer is responsible for maintaining the Council's tax records, making all tax payments, receiving tax credits and submitting tax

returns by their due date as appropriate. In appropriate circumstances (e.g. where part of this function may have been devolved to a partner organisation) the Chief Finance Officer will ensure compliance with the requirements of the particular tax regimes.

- 6.11.4 Financial Services will prepare the VAT return each month and the Chief Finance Officer will ensure appropriate checks are undertaken before the return is submitted to HMRC.
- 6.11.5 Financial Services will complete annually a partial exemption calculation. If it is thought that the 5% threshold could be breached monitoring will take place on monthly basis.
- 6.11.6 Major projects could have a significant VAT impact and advice should be sought from the Chief Finance Officer before tenders are let.
- 6.11.7 The Chief Finance Officer will authorise all relevant HMRC returns regarding PAYE or authorise the relevant payroll provider to make returns on behalf of the Council.
- 6.11.8 The Chief Finance Officer will provide details to HMRC regarding the construction industry tax deduction scheme.
- 6.11.9 The Chief Finance Officer will accommodate all compliance visits and make available all information required and requested by inspectors.
- 6.11.10 Each Director/Assistant Director will at all times conduct the financial arrangements of their services, with regard to taxation issues, in accordance with advice or instructions issued by the Chief Finance Officer and shall provide any related information or documents upon request.
- 6.11.11 All returns must comply with the relevant formats and timetables for submission.
- 6.11.12 All taxable transactions shall be identified, properly carried out and accounted for within stipulated timescales.
- 6.11.13 Officers shall be nominated by the Chief Finance Officer to take responsibility for taxation issues and liaison with agencies such as the HMRC.
- 6.11.14 Key Controls

The key controls are:

- Budget managers are provided with relevant information and kept up to date on tax issues;
- Budget managers are instructed on required record keeping;
- All taxable transactions are identified, properly carried out and accounted for within stipulated timescales;
- Records are maintained in accordance with instructions;
- Returns are made to the appropriate authorities within the stipulated timescale.

6.12 TRADING ACCOUNTS

- 6.12.1 It is the responsibility of the Chief Finance Officer to advise on the establishment and operation of trading accounts throughout the Council.
- 6.12.2 Under the CIPFA Service Accounting Code of Practice, Councils are required to keep trading accounts for services provided on a basis other than straightforward recharge of cost. Accounts that merely recharge cost are referred to as holding accounts and are not subject to this part of the Financial Procedure Rules.
- 6.12.3 Trading accounts will only be established after seeking advice from the Chief Finance Officer.
- 6.12.4 Trading accounts are only applicable where the charge out of the account is not on the basis of cost.
- 6.12.5 A separate revenue account must be maintained for each trading account. This will show all relevant income and expenditure, including overhead costs. A financial report supporting the final accounts will be produced.
- 6.12.6 The same accounting principles will be applied to trading accounts as to other services.
- 6.12.7 Trading account balances will be allowed where real or quasi trading accounts are used to manage costs. Balances will be maintained to allow flexible response to changes to demand and/or to meet defined future capital expenditure needs. Generally such balances should not exceed 20% of the annual turnover. Balances in excess of this limit should be returned to the General Reserve.

6.12.8 Key Controls

The key controls are:

- They must be maintained in accordance with proper accounting practices;
- They must appear separately in the Annual Statement of Accounts.

6.13 CREDIT/PURCHASING CARDS

- 6.13.1 The Chief Finance Officer is responsible for the issue of Credit/Purchasing cards to senior officers of the Council, including setting merchant categories and card limits.
- 6.13.2 All Credit/Purchasing cards must be held securely. Card details and PIN numbers must not be disclosed other than for the purposes of using the card for payments. Cardholders will be held personally liable for any expenditure they cannot account for.
- 6.13.3 On a monthly basis, a record of card purchases shall be maintained by individual cardholders and reconciled to the card statement provided by the card issuer. This record should be passed to Finance for processing.

- 6.13.4 Credit/Purchasing cards shall only be used for authorised purchases. Under

no circumstances shall they be used for personal expenditure, or periodic/direct debit payments.

6.13.5 No cash withdrawals are allowed and the card will block any attempts to do so.

6.13.6 In all circumstances every purchase with VAT will require a VAT receipt in order for the statement to be accounted for correctly.

6.13.7 Key Controls

The key controls are:

- The Credit/Purchasing cards have a monthly and individual transaction limit;
- The categories of spend are limited to the officers professional duties;
- They are reconciled each month by the cardholder and Finance.

6.14 CHANGE FLOATS

6.14.1 The Chief Finance Officer shall provide such change floats as he/she considers appropriate to officers of the Council to undertake their official duties.

6.14.2 Payments of any kind must not, under any circumstances, be made out of change floats. Any breach of this regulation may result in disciplinary proceedings taking place against the officer concerned.

6.14.3 If circumstances arise where the amount of a change float becomes excessive, the responsible officer shall make appropriate arrangements to pay the excess amount back to the Chief Finance Officer.

6.14.4 Every temporary or permanent transfer of a change float from one officer to another shall be evidenced by the signature of the receiving officer. This will be either through a formal receipt or a document maintained for that purpose.

6.14.5 Key Controls

The key controls are:

- Change floats can only be established with the approval of the Chief Finance Officer;
- An individual must be responsible for the operation, maintenance and accounting of each change float;
- No payments should go either in or out of the change float.

7 REGULATION 7 - EXTERNAL ARRANGEMENTS

7.1 INTRODUCTION

7.1.1 The Council provides a distinctive leadership role for the community and brings together the contributions of the various stakeholders. It must also act to achieve the promotion or improvement of the economic, social or environmental well-being of its area.

7.2 PARTNERSHIPS

General

7.2.1 Partnerships are likely to play a key role in delivering community strategies and in helping to promote and improve the well-being of the area. The Council is working in partnership with others – public agencies, private companies, community groups and voluntary organisations, and its distinctive leadership role is to bring together the contributions of the various stakeholders to deliver a shared vision of services based on user wishes.

7.2.2 The Council will mobilise investment, bid for funds, champion the needs of the area and harness the energies of local people and community organisations. The Council will be measured by what it achieves in partnership with others.

7.2.3 The main reasons for entering into a partnership are:

- The desire to find new ways to share risk;
- The ability to access new resources;
- To provide new and better ways of delivering services; and
- To forge new relationships.

7.2.4 A partner can be defined as:

- An organization (private or public) undertaking, part funding or participating as a beneficiary in a project; or
- A body whose nature or status gives it a right or obligation to support the project.

7.2.5 Partners participate in projects by:

- Acting as a project deliverer or sponsor, solely or in concert with others;
- Acting as a project funder or part funder; and
- Being the beneficiary group of the activity undertaken in a project.

7.2.6 Partners have common responsibilities:

- To be willing to take on a role in the broader programme appropriate to the skills and resources of the partner organisation;
- To act in good faith at all times and in the best interests of the partnership's aims and objectives;
- Be open about any conflict of interests that might arise;
- To encourage joint working and promote the sharing of information, resources and skills between public, private and community sectors;
- To hold confidentially any information received as a result of partnership activities or duties that is of a confidential or commercially sensitive nature; and
- To act wherever possible as ambassadors for the project.

Roles and Responsibilities

7.2.7 The Prosperous Communities Committee is responsible for overseeing an effective partnership approach throughout the Council. The Prosperous Communities Committee is responsible for approving protocols, delegations, including frameworks to inform decisions around partnership engagement. The Prosperous Communities Committee is the focus for forming partnerships with other local public, private, voluntary and community sector organisations to address local needs.

7.2.8 The Prosperous Communities Committee can delegate functions, including those relating to partnerships, to officers. These are set out in the Scheme of Delegation that forms part of the Council's Constitution. Where functions are delegated, the Prosperous Communities Committee remains accountable for them to the full Council.

7.2.9 The Chief Finance Officer is authorised to form a partnership arrangement with a maximum value of work/services of £25k.

7.2.10 The Council has also approved an Approved Code of Practice (ACOP) for Partnerships. To that extent, guidance has been developed that sets out a number of considerations to be explored when:

- Entering into a partnership
- Reviewing the effectiveness of a partnership during its lifespan
- Exiting a partnership

Additionally, it is important that there is a corporate view of all partnerships. To enable this a partnership register has been created on Minerva to provide colleagues with a facility to record the partnerships they are involved with and to also provide visibility of the breadth of partnership working underway across the Council. Officers are required to comply with the Partnership ACOP and enter details of all approved partnerships into the Partnership Register.

7.2.11 Members and officers will represent the Council on partnership and external bodies in accordance with the Scheme of Delegation.

7.2.12 The Chief Finance Officer:

- Is responsible for promoting and maintaining the same high standards of conduct with regard to financial administration in partnerships that apply throughout the Council;
- Will advise on effective controls to ensure that resources are effectively and efficiently employed;
- Will advise on project funding, including scheme appraisal, risk appraisal, resourcing and taxation, audit, security, control and accounting arrangements;
- Must ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are satisfactory;
- Must ensure that the risks have been fully appraised before agreements are entered into with external bodies.

7.2.13 Directors/Assistant Directors:

- Are responsible for ensuring that appropriate approvals are obtained before any negotiations are concluded in relation to work with external bodies;
- Must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies.
- Maintain a register of contracts entered into with external bodies;
- Comply with the provisions of the Partnership ACOP including registering the partnership details in the Partnership Register.
- Ensure a risk management appraisal has been prepared;
- Conduct and document an appropriate level of due diligence on the prospective partners;
- Ensure all agreements and arrangements are properly documented.

7.2.14 Partners will be expected to:

- Be aware of their responsibilities under the Council's Financial Procedure Rules and Contract Procedure Rules;
- Identify and assess risks;
- Appraise projects to assess viability;
- Communicate with relevant Council officers

7.2.15 Key controls

The key controls are:

- If appropriate, to be aware of their responsibilities under the Council's Financial Procedure Rules and the Contract Procedure Rules;
- Compliance with the Partnership ACOP.
- To ensure that risk management processes are in place to identify and assess all known risks;

- To ensure that project appraisal processes are in place to assess the viability of the project in terms of resources, staffing and expertise;
- To agree and accept formally the roles and responsibilities of each of the partners involved in the project before the project commences; and
- To communicate regularly with other partners throughout the project so that problems can be identified and shared to achieve their successful resolution officers.

7.3 COMPANIES, JOINT VENTURES AND OTHER ASSOCIATIONS

7.3.1 The Council exercises an important community leadership role, helping to bring together the contributions of various stakeholders in discharging its statutory responsibilities for promoting and improving the economic, social and environmental well-being of the area.

7.3.2 In exercising this important role a Director/Assistant Director may feel that it is appropriate to discharge a service or provide a function through the formation of a new legal entity (company, joint venture or other association). A joint venture is a business entity created by two or more parties, generally characterised by shared ownership, shared returns and risks, and shared governance. The term joint venture covers 'vehicles' such as limited companies.

7.3.3 The relevant Director/Assistant Director wishing to form a new legal entity should consult with the Chief Finance Officer in all cases prior to setting up a new entity and no commitment, financial or otherwise, should be made until this consultation has been satisfactorily undertaken.

7.3.4 For the purpose of this regulation, the following types of external arrangements are covered:

- purchase of existing companies
- investment in any company (whether by share, loan or grant)
- creation of a new company or other entity

7.3.5 No agreement shall be entered into which commits the Council to additional expenditure or other financial risk without the prior approval of the Corporate Policy & Resources Committee and in conjunction with the Chief Finance Officer

7.3.6 The Council needs to have a clear understanding of its financial risk exposure of any external arrangement including, but not limited to, meeting any trading or other losses.

7.3.7 Where the Council is involved as a minority interest in any external company or other association that use their own finance systems, the arrangement must include an agreement on appropriate, robust financial governance control arrangements to the satisfaction of the Chief Finance Officer. In these circumstances the controls in these Financial Regulations should be used as a starting point for that agreement.

7.3.8 Where the Council has a controlling interest in any companies, joint ventures, or other associations it is important to understand that the Council has a statutory responsibility to prepare group accounts (subject to certain limitations) to recognise the collaborative association. In this regard there are two main areas impacting on the entity:

- A requirement to provide certain financial information (intercompany transactions and balances etc.) in a timely manner and at a time determined by the Council.
- The possibility of being subjected to additional scrutiny by the Councils external auditor, even where the entity has its own external auditor.

7.3.9 It would also be preferred that the accounting period and accounting policies are aligned with those of the Council.

7.3.10 In view of the importance of the above and the impact on the Council should the information not be forthcoming, these specific requirements shall be written into any agreement between the Council and the entity.

Roles and Responsibilities

7.3.11 The Corporate Policy & Resources Committee is responsible for approving the creation of any new legal entity and appointments of directors or other statutory officers onto the Board of the entity together with the arrangements for equity shares.

7.3.12 The Chief Finance Officer must satisfy him/herself that the accounting arrangements for all company, joint ventures and other associations are proper and appropriate, including all audit and inspection requirements. He/she must also consider overall corporate governance arrangements and any legal and taxation issues when associations are arranged. He/she must ensure all known risks are appraised before creating new entities and any agreements should seek to ensure that VFM is obtained.

7.3.11 In conjunction with the Director/Assistant Director the Chief Finance Officer will carry out due diligence for any proposal to purchase an existing company so as to ensure the robustness of the proposal and mitigate any potential losses.

7.3.12 The Chief Finance Office is responsible for advising on the funding and financing of a project including:

- financial viability in current and future years.
- resourcing and taxation.
- audit, security and control requirements.

7.3.13 The Chief Finance Officer has authority to approve short term cashflow loans to subsidiary companies to a maximum of £50k.

7.3.14 The Chief Finance Officer should ensure that it is a condition of any collaborative arrangements where the Council has an interest in another entity that:

- governance arrangements meet specified minimum standards.
- the Council will have access to the information and explanations it needs for its own accounting purposes (and other aspects relating to control over its financial interests).
- data (including consolidation data) will be provided in a specified format and by a deadline.
- arrangements are in place for timely audit of the financial statements
- securing the appropriate audit opinion on the entity's financial information.

7.3.15 Directors/Assistant Directors are responsible for:

- In conjunction with the Chief Finance Officer carry out due diligence on any company purchase so as to mitigate any potential losses.
- carry out risk appraisal and risk management arrangements prior to entering into any arrangement.
- determining a means of communication in order for the Council to discharge any responsibility for compiling group accounts.
- notify the Chief Finance Officer in any changes to the Board members of the entity.
- keeping the Corporate Policy & Resources Committee apprised, at least annually, of the financial position of the entity and specifically where any change could involve the Council having to meet the cost of any losses or other liabilities. Should there be any significant concern at any point during the year then this should be reported immediately.
- ensuring that such agreements and arrangements do not impact adversely upon the services provided by the Council;
- ensuring that all agreements and arrangements are properly documented.
- providing appropriate information to the Chief Finance Officer to enable relevant entries to be made in the Council's Statement of Accounts concerning material items.
- ensuring that for all instances of grant/loan funding there is:
 - i) proper consideration of the relevant interest rate payable agreed and approved by the Chief Finance Officer;
 - ii) in respect of loans a process of monitoring on at least a six monthly basis
 - iii) a written agreement is in place for any services provided to the entity by the Council.
- all grants/loans must have prior budgetary approval, typically through the budget process.
- aligning accounting policies, especially consideration of the cost implications of asset valuation.
- managing the impact of different year-ends, including practicalities of realignment.

7.3.16 Key Controls

The key controls are:

- In conjunction with the Director/Assistant Director, the Chief Finance Officer will carry out appropriate due diligence in relation to financial implications and of relevant parties associated with the entity.
- The Corporate Policy & Resources Committee is responsible for approving the creation of any new legal entity and appointments of directors or other statutory officers onto the Board of the entity.

- The prior approval of the Corporate Policy & Resources Committee, in conjunction with the Chief Finance officer, is required before any agreement is entered into.
- Directors/Assistant Directors will undertake risk appraisals and risk management arrangements prior to entering into any arrangement.
- On an annual basis the Corporate Policy & Resources Committee will be appraised of the financial position of the entity and specifically where any change could involve the Council having to meet the cost of any losses or other liabilities. Any financial concerns should be reported immediately.

7.4 EXTERNAL FUNDING / GRANTS General

7.4.1 External funding is potentially a very important source of income, but funding conditions need to be carefully considered to ensure that they are compatible with the aims and objectives of the Council. Funds from external agencies provide additional resources to enable the Council to deliver services to the local community. However, in some instances, although the scope for external funding has increased, such funding is linked to tight specifications and may not be flexible enough to link to the Council's overall plan.

Bids for external funding

7.4.2 Bids must be comprehensive and comply with relevant Council policies. If bids are successful then the grant works and administration must be properly undertaken to ensure no penalties are incurred.

7.4.3 All bids and claims must be signed by the Chief Finance Officer, through the use of a certification process.

7.4.4 Directors/Assistant Directors must obtain Management Team and/or Corporate Policy & Resources Committee approval, where appropriate, for any bids for new monies detailing the service and financial implications before grant applications are made.

7.4.5 Comprehensive project business cases must identify associated risks, internal budget provisions including matched funding and any resource implications.

7.4.6 The relevant Finance Business Partner must be involved in the preparation of all grant applications.

Grant Claims

7.4.7 Records supporting any claim, including interim and final claims, must be maintained and available and reconcile back to the Council's General Ledger.

7.4.8 All claims must be submitted in accordance with the terms and timetable of the grant.

Roles and Responsibilities

- 7.4.9 The Chief Finance Officer and Management Team are responsible for:
- Ensuring that all funding notified by external bodies is received and properly recorded in the Council's accounts;
 - Ensuring that match-funding requirements are considered prior to entering into agreements, and that these requirements are reflected in future revenue budgets;
 - Ensuring that all audit requirements are met.
- 7.4.10 Directors/Assistant Directors are responsible for providing the Chief Finance Officer with all necessary information to enable the proper recording to be achieved. They have the responsibility for submitting any proposed grant funded projects to the Chief Finance Officer and/or the Portfolio Board/Corporate Policy & Resources Committee for their prior approval and they must also ensure that any conditions of grant funding are met and all the statutory requirements are complied with.
- 7.4.11 Directors/Assistant Directors will ensure that an appropriate level of due diligence is conducted and documented on the funding organisations and any associated project(s).
- 7.4.12 Directors/Assistant Directors will ensure that the project proceeds in accordance with the agreed plan and that all expenditure is properly incurred and recorded;

7.4.13 Key Controls

The key controls are:

- Before any arrangements for external funding are entered into, the project must be submitted to the Chief Finance Officer and or Portfolio Board/Policy & Corporate Resources Committee for approval;
- To ensure that any match-funding requirements are given due consideration prior to entering into long-term agreements and that future revenue budgets reflect these requirements;
- To ensure that funds are acquired only to meet the priorities approved in the policy framework by the full Council;
- To ensure that key conditions of funding and any statutory requirements are complied with and that the responsibilities of the accountable body are clearly understood;

7.5 WORK FOR THIRD PARTIES

- 7.5.1 The Corporate Policy & Resources Committee is responsible for approving the contractual arrangements for any work for third parties or external bodies with a value of more than £25,000
- 7.5.2 The Chief Finance Officer is responsible for approving contractual arrangements for any work for third parties or external bodies with a value of up to £25,000.
- 7.5.3 Current legislation enables the Council to provide a range of services to other bodies. Such work may enable a service team to maintain economies

of scale and existing expertise. Arrangements should be in place to ensure that any risks associated with this work is minimised and that such work is intra vires.

7.5.4 Proposals for working for third parties must be costed in accordance with guidance provided the Chief Finance Officer. Proposals must clearly be in the public interest and an appropriate level of due diligence must have been conducted and documented.

7.5.5 Work for third parties should not expose the Council to any additional liabilities.

7.5.6 Contracts must be drawn up in compliance with guidance provided by the Chief Finance Officer and Monitoring Officer.

7.5.7 Key Controls

The key controls are:

- To ensure that proposals are costed properly in accordance with guidance provided by the Chief Finance Officer;
- To ensure that contracts are drawn up using guidance provided by the Chief Finance Officer and the Monitoring Officer, and that the formal approvals process is adhered to;
- To issue guidance with regard to the financial aspects of third party contracts and the maintenance of the contract register.

8 REGULATION 8 - ENVIRONMENTAL ISSUES

8.1 INTRODUCTION

8.1.1 The Council operates a culture of waste minimisation. This covers not only waste products that require disposal, but also the waste in use of all resources generally.

8.1.2 All procurement in the Council is subject to the Contract Procedure Rules, Procurement Strategy, Procurement Manual and any other guidance which may be issued. Fundamental to good procurement is the need to achieve value for money. An optimum combination of whole life costs and quality (or fitness for purpose) to meet the Council's corporate and service level aims and objectives must be considered. These will include sound environmental practice. Further information can be found in the documents referred to above or from Financial Services.

8.1.3 Paper and storage space are both expensive and unnecessary paper usage is harmful to the environment. All officers are responsible for reducing paper use wherever possible and reducing the amount of paper that is stored. However, certain financial records do need to be retained.

8.1.4 The Chief Financial Officer will:

- Maintain a list of financial records and the duration for storage;
- Advise officers as required on the archiving of financial records.

8.1.5 Directors/Assistant Directors will:

- Retain records as required;
- Minimise the usage of paper within their service.

8.1.6 Key Controls

The Key controls are:

- All officers to be aware that printing is to be kept to a minimum;
- The introduction and monitoring of the agile working policy;

APPENDIX 1

SUMMARY OF FINANCIAL RESPONSIBILITIES

	Council/ Corporate Policy & Resources Committee	Head of Paid Service	Chair of Corporate Policy & Resources Committee	Section 151 Officer (Chief Finance Officer)	Directors/ Assistant Directors
Financial Planning Page 369	a) Approve policy framework and budget	a) Propose Corporate Plan to Corporate Policy & Resources Committee		a) Prepare a minimum of three years Financial Strategy b) Prepare Capital Investment Strategy and Asset Management Plan	a) Prepare Service Delivery Plans

Capital Programme	<ul style="list-style-type: none"> a) Approve a minimum three year capital programme b) Approve amendments to the capital programme. c) Approve capital schemes before commencement of work and upon completion. 	<ul style="list-style-type: none"> a) Emergency decisions in consultation with Chief Finance Officer 	<ul style="list-style-type: none"> a) Approve amendments to capital programme in excess of £25k with Director/Assistant Director and Chief Finance Officer 	<ul style="list-style-type: none"> a) Prepare a minimum three year capital programme b) Approve amendments to capital programme up to £25k with Director/Assistant Director. c) Approve amendments over £25k with Director/Assistant Director and Chairman of Policy & Resources Committee d) Report all changes to capital programme to 	<ul style="list-style-type: none"> a) Complete outline capital bid forms b) Approve amendments to capital programme up to £25k with Chief Finance Officer
Capital Monitoring Page 370	<ul style="list-style-type: none"> a) Approve overspends of £10k or 20% of total project cost b) Note quarterly budget monitoring reports 			<ul style="list-style-type: none"> a) Issue guidance on monitoring 	<ul style="list-style-type: none"> a) Appoint Project Manager b) Notify Chief Finance Officer of expected slippage c) Notify Chief Finance Officer of overspends d) Report to CPR Committee on overspends of £10k or 20% of total project cost

Revenue Budget	a) Approve a minimum three year revenue budget			a) Prepare overall budget	a) Prepare service budgets b) Review all fees and charges
Revenue Monitoring	a) Note quarterly budget monitoring reports b) Authorise use of grants over £50k.			a) Provide guidance on budget monitoring b) Provide financial information c) Authorise use of grants up to £50k.	a) Monitor budget and advise Chief Finance Officer if budget will exceed £10k.
Virement	a) Approve virements over £100k		a) Approve virements over £25k and up to £100k with Director/Assistant Director, Management Team and Chief Finance Officer	a) Approve virements up to £25k with Director/Assistant Director. b) Approve virements over £25k and up to £100k with Director/Assistant Director and Chairman of Corporate Policy & Resources Committee	a) Up to £25k with Chief Finance Officer
Earmarked Reserves	a) Approve spend in excess of £50,000.			a) Approve spend up to £50,000.	
Write-Offs	a) Approve write-offs over £25k		a) Approve write-offs over £2,500 and up to £25k with Director/Assistant Director and Chief Finance Officer	a) Approve write-offs up to £2,500 with Director/Assistant Director. b) Approve write-offs over £1,500 and up to £25k with Director/Assistant Director and Chairman of Corporate Policy & Resources Committee	a) Up to £2,500 with Chief Finance Officer
Write Offs	Budget Managers: Write offs of upto £250 where irrecoverable				

<p>Other</p> <p style="text-align: center;">Page 372</p>		<p>The Key controls are:</p> <ul style="list-style-type: none"> • All cheques must be signed, either manually or by facsimile, by the Head of Paid Service; • Cheques with a value of £10,000 or more need to be countersigned . • Bank Accounts can only be opened by the Head of Paid Service or the Chief Finance Officer. 		<ul style="list-style-type: none"> a) Authorise a partnership with a value of works/services of up to £25k. b) Approve arrangements for work for third parties or external bodies up to a value of £25k. c) Authorise short term cash flow loans to subsidiary companies of no more than £25k 	
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APPENDIX 2

RETENTION OF ACCOUNTING AND FINANCIAL DOCUMENTS

Title	Retention Period – Complete Years
Budget Working Papers	2
Capital & Revenue Budget Monitoring Files	3
Capital Strategy & Medium Term Financial Plan	6
Final Accounts Working Papers	6
Financial Ledger: - Final Summary - Cumulative Year End Detail - Other	Indefinite Indefinite 2
Grant Claim Records	6 or as specified by the awarding body
Journals	3
Leasing Records – vehicles, plant, equipment	3 (after termination)
Loans – Contractual documentation	6
Statement of Accounts	Indefinite
VAT: - Assessments - Claims - Records	12 6 6
Voluntary Fund Accounts	6
Other Documents e.g. official orders, receipts, paying in slips etc.	6
Payroll: Employee personal records Payment data	Indefinite 6

APPENDIX 3

DEFINITIONS

APPOINTED

AUDITORS

Independent external auditors procured by the

Council. BUDGET

A plan that matches spending with available resources. The budget is an authorisation for future expenditure and a base for controlling expenditure and income.

BUDGET MANAGER

The budget manager is whoever is responsible for a budget within a service.

BUDGET PAGE

The page in the Annual Budget Book that sets out the budget for a service

CAPITAL EXPENDITURE

Section 40 of the *Local Government and Housing Act 1989* defines 'expenditure for capital purposes'. This includes spending on the acquisition of assets either directly by the Council or indirectly in the form of grants to other persons or bodies. Expenditure that does not fall within this definition must be charged to a revenue account. Capital Expenditure includes:

- Acquisition or disposal of land, buildings and major items of plant, apparatus and vehicles;
- Construction of roads and buildings;
- Enhancement of land, roads and buildings.

In addition the Council usually regards any item below £10,000 as revenue.

CIPFA

Chartered Institute of Public Finance & Accountancy (CIPFA) is one of the leading professional accountancy bodies in the UK and has responsibility for setting accounting standards for local government.

CONTINGENCY

Money set aside in the budget to meet the cost of unforeseen items of expenditure, or shortfalls in income, and to provide for inflation where this is not included in individual budgets.

COST CENTRE

Any unit to which costs are assigned or allocated. A cost centre is the lowest level to which the Council's budget monitoring procedures usually apply although budget managers will monitor the income and expenditure within their costs centres at detail code level.

ESTIMATES

The amounts expected to be spent, or received as income, during an accounting period. The term is also used to describe detailed budgets, which are either being prepared for the following years, or have been approved for the current year.

FEES AND CHARGES

Income raised by charging users of services for the facilities. For example, Councils usually make charges for the use of leisure facilities, the collection of trade refuse, etc. The Council levies fees and charges in accordance with the corporate Fees, Charges and Concessions Policy.

GENERAL LEDGER

The core of the Council's financial records. These constitute the central "books" of the system, and every financial transaction flows through the general ledger.

NET EXPENDITURE

Total expenditure less specific service income.

OFFICER

An employee of the Council or other person contracted to carry out functions where these Financial Procedure Rules apply.

PROVISIONS AND RESERVES

Amounts set aside in one year to cover expenditure in the future. Provisions are for liabilities or losses that are likely or certain to be incurred, but the amounts or the dates on which they will arise are uncertain. Reserves are amounts set aside which do not fall within the definition of provisions and include general reserves (or 'balances'), which every Council must maintain as a matter of prudence.

SERVICE

A cost centre or group of cost centres delivering a common function. The service is the lowest level of budget detail set out in the Budget Book.

SLIPPAGE

Where actual expenditure on a project is less than the planned spend in a financial year. VALUE FOR MONEY (VFM)

A term used to assess whether or not an organisation has obtained the maximum benefit from the goods and services it both acquires and provides, within the resources available to it. It not only measures the cost of goods and services, but also takes account of the mix of quality, cost, resource, use, fitness for purpose, timeliness, and convenience to judge whether or not, together, they constitute good value.

VIREMENT

The permission to spend more on one budget head when this is matched by a corresponding reduction on some other budget head, i.e. a switch of resources between budget heads. Virement must be properly authorised by the appropriate committee or by officers under delegated powers.

FINANCIAL LIMITS

APPENDIX 4

CONTRACT VALUES

Goods and Services

up to £5,000	one written estimate/quotation (email included)
£5,001 - £30,000	two quotations
£30,001 - £75,000	three quotations (RFQ)
£75,001 – EU threshold (£189,3302)	four quotations (RFQ)
over £189,330	full EU tender process (ITT)

Works contracts as above until

£189,330 - £4,733,252	Five quotations or by advertisement
Over £4,733,252	full EU tender process (ITT)

OTHER VALUES

Item	Notes	Amount
De minimis amount	Capital Expenditure	£10,000 and above
De minimis amount	Capital Receipts	£10,000 and above
Out-turn variation on a service budget.	Director/Assistant Director will immediately advise the Chief Finance Officer and Management Team of the situation, together with their proposed action to recover the position.	£10,000 and above

Virements – between cost centres under same Director/Assistant Director	With the approval of the Chief Finance Officer. Virement to be minuted or otherwise documented.	No more than £25,000
Virements – between cost centres under same Director/Assistant Director	Can be approved by the relevant Director/Assistant Director, Chief Finance Officer and Management Team in consultation with the Chairman of Corporate Policy & Resources Committee. These virements should be minuted or otherwise documented.	Over £25,000 and up to £100,000
Virements – between cost centres under same Director/Assistant Director	Approved only by Corporate Policy & Resources Committee. They will be reported by the Director/Assistant Director, in such format as the Chief Finance Officer may prescribe.	Over £100,000
Virements – between cost centres under different Directors/Assistant Directors	Only when the relevant Directors/Assistant Directors and the Corporate Policy and Resources Committee Chairman are in agreement.	Same limits as shown above for virements between cost centres under the same Director/Assistant Director.
Virements of Unbudgeted Income or unused budgets	Are not authorised to be used without prior agreement of the Management Team. The Chief Finance Officer and Management Team may consider a report to the Corporate Policy and Resources Committee.	Over £5,000
Securing additional revenue resources (e.g. grants)	The Chief Finance Officer may authorise the use of those resources to finance additional revenue expenditure where the grant conditions require such. Where there are no such requirements the Chief Finance Officer may require the use of these resources to be approved by Corporate Policy & Resources Committee.	Less than £50,000
Securing additional revenue resources (e.g. grants)	Use to be approved by Corporate Policy & Resources Committee	£50,000 or more
Use of earmarked reserves	The Chief Finance Officer shall have delegated power to approve spending of any earmarked reserve. The CFO will confirm that planned spending remains affordable when considering any mixed funding, including call on reserves, current budgets and/or external funding packages.	Up to £50,000
Use of earmarked reserves	Only with the approval of Corporate Policy & Resources Committee.	Over £50,000

Acquisitions or disposals of land or buildings	The Chief Finance Officer may authorise acquisitions and disposals (including leases or easements where the annual rent multiplied by the length of the lease does not exceed that figure assuming that the rent is not increased on review) which is an approved item in the approved Capital Programme.	Up to £75,000
Acquisitions or disposals of land or buildings	Only following consultation with the Leader of the Council or the Deputy Leader if the Leader is not available.	Between £75,001 and £250,000
Variance to inventory	Report to relevant Director/Assistant Director	Up to £1,500
Variance to inventory	Report to Chief Finance Officer	Over £1,500
Variance to Stocks and Stores	Report to relevant Director/Assistant Director	Up to £1,500
Variance to Stocks and Stores	Report to relevant Director/Assistant Director and Chief Finance Officer	Over £1,500
Asset Write Offs (including cash, income, stocks and inventories)	Budget Manager: where irrecoverable The relevant Director/Assistant Director in consultation with the Chief Finance Officer may write off Income, Stocks and Inventory deficiencies	Up to £250 Up to £2,500
Asset Write Offs (including cash, income, stocks and inventories)	The relevant Director/Assistant Director in consultation with the Chief Finance Officer and the Chairman of the Corporate Policy & Resources Committee may authorise the write off.	Over £2,500 and under £25,000.
Asset Write Offs (including cash, income, stocks and inventories)	Write offs may only be written off by the Corporate Policy & Resources Committee after receiving a report from the Chief Finance Officer.	Over £25,000
Manual countersigning on cheques	All cheques must be manually countersigned by one of the other officers authorised on the bank mandate.	Over £10,000
Petty Cash	Items can be paid out through any holder of petty cash.	Up to £50
Purchases	Items must be purchased through the Council's purchasing system unless the Director/Assistant Director has agreed a different limit in consultation with the Chief Finance Officer.	Items of a value of £50 or more
Income and Cash Handling	Differences between actual cash and recorded cash being reported to the Chief Finance Officer.	Items over £20
Security of Cash kept on premises	Value of cash kept on premises to be within insurance limit.	Maximum of £5,000

Capital Monitoring	Council/Corporate Policy & Resources Committee approve overspends of total project cost	£10,000 or 20% of project cost
Capital Programme	Chief Finance Officer and relevant Director/Assistant Director approves amendment to Capital Programme	Up to £25,000
Capital Programme	Chair of Corporate Policy & Resources Committee, Director/Assistant Director and Chief Finance Officer approves amendments to Capital Programme	Over £25,000

West Lindsey District Council Petition Scheme

1. Petitions

- 1.1 The Council welcomes petitions and recognises that petitions are one way in which people can let us know their concerns. All petitions sent or presented to the Council will receive an acknowledgement from the Council within 10 working days of receipt.

This acknowledgement will set out what we plan to do with the petition. We will treat something as a petition if it is identified as being a petition, or if it seems to us that it is intended to be a petition.

- 1.2 Petitions can be sent to:

Democratic Services Team
West Lindsey District Council
Guildhall
Marshall's Yard
Gainsborough
Lincolnshire
DN21 2NA

- 1.3 Petitions can also be presented to a meeting of the Council. These meetings take place on an approximately six weekly basis, dates and times can be found at www.west-lindsey.gov.uk.
- 1.4 If you would like to present your petition to the Council, or would like your Councillor or someone else to present it on your behalf, please contact Democratic Services on 01427 676676, at least 10 working days before the meeting and they will talk you through the process. If your petition has received 300 signatures or more it will also be scheduled for a Council debate and if this is the case, we will let you know whether this will happen at the same meeting or a later meeting of the Council.

2. What are the guidelines for submitting a petition?

- 2.1 Petitions submitted to the Council must include:
- A clear and concise statement covering the subject of the petition. It should state what action the petitioners wish the Council to take; and

- The name and address and signature of any person supporting the petition.

2.2 Petitions should be accompanied by contact details, including an address, for the petition organiser. This is the person we will contact to explain how we will respond to the petition.

2.3 Petitions, which are considered to be vexatious, abusive or otherwise inappropriate, will not be accepted. In the period immediately before an election or referendum, we may need to deal with your petition differently – if this is the case, we will explain the reasons and discuss the revised timescale which will apply. If a petition does not follow the guidelines set out above, the Council may decide not to do anything further with it. In that case, we will write to you to explain the reasons.

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3. What will the Council do when it receives my petition?

3.1 An acknowledgement will be sent to the petition organiser within 10 working days of receiving the petition. It will let them know what we plan to do with the petition and when they can expect to hear from us again. It will also be published on our website.

3.2 If we can do what your petition asks for, the acknowledgement may confirm that we have taken the action requested and the petition will be closed. If the petition has enough signatures to trigger a Council debate, or a senior officer giving evidence, then the acknowledgement will confirm this and tell you when and where the meeting will take place.

3.3 If the petition applies to a planning or licensing application, is a statutory petition (for example requesting a referendum on having an elected mayor), or on a matter where there is already an existing right of appeal, such as council tax banding and non-domestic rates, other procedures apply. Further information on all these procedures is available from the Democratic Services Team on 01427 676594/5.

3.4 We will not take action on any petition, which we consider to be vexatious, abusive or otherwise inappropriate and will explain the reasons for this in our acknowledgement of the petition.

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4. Petition Levels

The response your petition receives depends on the number of signatures gathered. The different response levels are:

<u>Number of Signatures</u>	<u>Response given</u>
<u>1-99</u>	<u>Passed to the relevant service area</u>
<u>100-299</u>	<u>Meeting with the Leader, Deputy Leader and Head of Paid Service</u>
<u>300+</u>	<u>Full Council debate</u>

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3.4

4.5. Next Steps / Action to be taken

4.5.1 Our response to a petition will depend on what a petition asks for and how many people have signed it, but may include one or more of the following:

- Taking the action requested in the petition

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- Considering the petition at a Council meeting
- Holding an inquiry into the matter
- Undertaking research into the matter
- Holding a public meeting
- Holding a consultation
- Holding a meeting with petitioners
- Referring the petition for consideration by the Council's Scrutiny Committee
- Calling a referendum
- Writing to the petition organiser setting out our views about the request in the petition

4.25.2 If your petition is about something over which the Council has no direct control (for example local railway or hospital) we will consider making representations on behalf of the community to the relevant body. The Council works with a large number of local partners and where possible will work with these partners to respond to your petition. If we are not able to do this for any reason (for example if what the petition calls for conflicts with Council policy), then we will set out the reasons for this to you. You can find more information on the services for which the Council is responsible here (www.west-lindsey.gov.uk).

4.35.3 If your petition is about something that a different Council is responsible for, we will give consideration to what the best method is for responding to it. This might consist of simply forwarding the petition to the other Council, but could involve other steps. In any event, we will always notify you of the action we have taken.

4.45.4 Petitions with less than 100 signatures do not meet the relevant criteria, but will be passed to the relevant service area.

5.6. Full Council debates

5.46.1 If a petition contains more than 300 signatures, it will be debated by the full Council.

5.26.2 This means that the issue raised in the petition will be discussed at a meeting which all Councillors can attend. The Council will endeavour to consider the petition at its next meeting, although on some occasions this may not be possible and consideration will then take place at the following meeting. The petition organiser will be given five minutes to present the petition at the meeting and the petition will then be discussed by Councillors for a maximum of 15 minutes. The Council will decide how to respond to the petition at this meeting. They may decide to take the action the petition requests, not to take the action requested for reasons put forward in the debate, or to commission further investigation into the

matter, for example by a relevant Committee. The petition organiser will receive written confirmation of this decision. This confirmation will also be published on our website.

6. Consideration by the Leader, Deputy Leader and Head of Paid Service

- 6.1 A meeting with the Leader, Deputy Leader and Head of Paid Service will take place if a petition contains 100 signatures or more.
- 6.2 A senior officer will attend to present a short report setting out the Council's position. Up to three representatives of the petitioners are invited to attend with one nominated as spokesperson.

7. What can I do if I feel my petition has not been dealt with properly?

- 7.1 If you feel that we have not dealt with your petition properly, the petition organiser has the right to request that the Council's Overview and Scrutiny Committee review the steps that the Council has taken in response to your petition. It is helpful to everyone, and can improve the prospects for a review if the petition organiser gives a short explanation of the reasons why the Council's response is not considered to be adequate.
- 7.2 The Committee will endeavour to consider your request at its next meeting, although on some occasions this may not be possible and consideration will take place at the following meeting. Should the Committee determine we have not dealt with your petition adequately, it may use any of its powers to deal with the matter. These powers include instigating an investigation, making recommendations to the Council and arranging for the matter to be considered at a meeting of the full Council.
- 7.3 Once the appeal has been considered, the petition organiser will be informed of the results within five working days. The results of the review will also be published on our website.

8. Information and Advice

For further information or advice, please contact the Democratic Services Team on 01427 676595.

Agenda Item 13h



Full Council

28th June 2021

Subject: Report on work undertaken by the Governance & Audit Committee 2020/21

Report by:	Head of Policy, Strategy & Sustainable Environment/Monitoring Officer
Contact Officer:	Head of Policy, Strategy & Sustainable Environment/Monitoring Officer
Purpose / Summary:	To report on the work undertaken by the Governance & Audit Committee during 2020/21.

RECOMMENDATION(S):

1. That Council note the work undertaken by the Committee during 2020/21

IMPLICATIONS

Legal: None

Financial: FIN/9/22/TJB

None from this report

Staffing : None

Equality and Diversity including Human Rights : None

Data Protection Implications : None

Climate Related Risks and Opportunities: None

Section 17 Crime and Disorder Considerations: None

Health Implications: None

Title and Location of any Background Papers used in the preparation of this report :

Risk Assessment :

1 Introduction

- 1.1 Guidance provided by the Chartered Institute of Public Finance & Accountancy (CIPFA), advises that audit committees ought to present an annual report to Council, highlighting their work and demonstrating compliance with their terms of reference.
- 1.2 This report provides Council with an oversight of the Committee's activity during 2020/21 and follows a similar report to the one submitted to Full Council in June 2020.
- 1.3 In spite of the impact of the Covid-19 pandemic on Council operations over the last year, which are still being felt, the Governance & Audit Committee continued to operate effectively; albeit in a virtual manner. The April 2020 meeting of the Council was cancelled as new procedures were implemented to enable virtual committee meetings to be held and revised arrangements for delegated decisions to be determined.

2. Terms of Reference of the Governance & Audit Committee

- 2.1 The terms of reference of the Committee set out its areas of responsibility as being:

(a) Corporate Governance

(b) Accounts and Audit

(c) Regulatory Framework (Assurance Framework)

(d) Ethics and Standards

- 2.2 More comprehensive and specific detail is provided in Appendix One.
- 2.3 A range of activity has been undertaken during the past year to fulfil the Committee's terms of reference and to seek assurance that governance arrangements at the Council are operating effectively. An outline of the main activities undertaken by the Committee in support of each of the four main areas of responsibility are set out in turn below.

3. Corporate Governance

- Undertook a full review of the Council's Constitution; including financial and contract procedure rules and a review of the Council's Petition Scheme
- Charged the Remuneration Panel with reviewing the Council's Member Allowance Scheme for 2021/22 and reporting the recommendations to Council
- Approved the Annual Governance Statement and Action Plan for 2019/20
- Monitored progress and signed off as complete, the Annual Governance Statement Action Plan for 2018/19
- Completed bi-annual reviews and scrutiny of the Council's Strategic Risk Register
- Approved the Council's Combined Assurance Report for 2020/21

4. Accounts and Audit

- Approved the annual audit plan for 2020/21 and monitored delivery; with particular focus on any overdue audit actions. At the time of the most recent monitoring, no overdue actions were reported
- Approved the annual audit plan for 2021/22
- Ensured follow-up audits were conducted where original findings of 'limited assurance' were reported
- Received and approved the Head of Internal Audit's Annual Report for 2019/20, which reported that the Council's governance arrangements relating to governance, risk, internal control and financial control, were performing well
- Received and approved the External Audit's Annual Report for 2019/20
- Approved and signed off the Council's Statement of Accounts for 2019/20
- Received and scrutinised the Council's Draft Treasury Management Strategy; Minimum Revenue Provision and Investment Strategy and Treasury Management Practices
- Approved External Audit's Strategy Memorandum (Plan) for 2021/22

5. Regulatory Framework (Assurance Framework)

- Reviewed and approved the Council's Annual Fraud report and assessment of the controls in place
- Received the Council's annual 'Voice of the Customer' report and sought assurance that the processes and procedures used to gain insight into customer experience are robust and adequate
- Undertook bi-annual reviews of the Council's strategic risk register
- Received a report regarding the complaint referrals to the Local Government & Social Care Ombudsman for 2019/20 and sought confirmation that learning from the report's findings is fed into how the Council works as an organisation

6. Ethics and Standards

- Oversaw development of and approved the Member Induction Training Plan and the Member Development Programme and received the Member Development Annual Report. Assurance was sought that induction training for Members joining the Council following a by-election was comprehensive.
- Received the Council's Annual Whistleblowing Report

7. Training

- 7.1 To be as effective as possible, over the last year, Members of the Committee partook in the Member Induction Programme and have also received specific training on Risk Management, Treasury Management (which was made available for all Members) and the Statement of Accounts.

7.2 The on-going requirement of the training needs of the Committee is monitored.

7.3 The Committee also undertook an exercise in self-evaluation to identify any aspects that required improvement in order to be a more effective body. This work identified a number of areas for attention and via a Member Working Group and action plan was designed and worked through. The matters have now been fully addressed and the recommendations of the Group have been implemented.

8. Miscellaneous Activity

8.1 During the course of the year the Committee has also:

- Responded to a public question; the first received for a number of years. This related to the process required for a community to undertake a Community Governance Review.
- [Amended the Council's Civic Honours Scheme](#) to include 'Adoption by the District'.

9. Independent Members

9.1 The Committee contains three Independent Members. These individuals bring experience in the areas of risk management, corporate governance, commercial and financial matters. They make a valuable contribution to the workings of the Committee.

9.2 During the last year, the Committee re-appointed two Independent Members to the Committee following a recruitment exercise.

10. Attendees at the Committee

10.1 The Committee has a number of regular attendees including the Head of Internal Audit and senior auditors; the Director and Engagement Lead and the Senior Manager of the Council's External Auditors; service managers, the Monitoring Officer, the Section 151 Officer and other senior Council managers.

10.2 The Head of Internal Audit also meets with the Chair of the Committee at least annually to discuss the workings of the Committee and more generally, the effectiveness of the Council's governance arrangements.

10.3 Contact with such individuals provides the Committee with the opportunity to seek further assurances where required, obtain insight into developments in governance and audit related matters and for Committee members to develop their knowledge in this area.

11. Recommendation

11.1 Council is asked to note the work undertaken by the Committee during 2020/21.

Appendix One: Full Terms of Reference of Governance & Audit Committee

Corporate Governance

1. Monitoring the operation of the Council's Constitution and keeping its terms under review, including all procedure rules.
2. Considering and making recommendations on any proposal to make changes to the Constitution prior to its consideration by the Council.
3. To inform the work of the Remuneration Panel in advance of them making submissions to Council.
4. To keep under review the terms of reference of member level bodies and delegations of Council functions to committees and formally appointed bodies and officers.
5. Agreeing and updating regularly the Council's Local Code of Governance.
6. Monitoring its operation and compliance with it, and using it as a benchmark against performance for the Annual Governance Statement.
7. Following a decision of Council to undertake a community governance review to agree the terms of reference for and conduct such a review, making recommendations to Council who will determine the outcome of such reviews.
8. Exercising functions relating to elections and parishes set out in Part D of Schedule 1 to the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 (or any replacement or amendment of it).
9. Reviewing the adequacy of the Council's corporate governance arrangements (including matters such as internal control and risk management) and approving the Annual Governance Statement.
10. To approve the financial and contract procedure rules between Annual Councils.

Accounts and Audit

1. Considering the Council's arrangement relating to accounts including;
 - (i) the approval of the statement of accounts and any material amendments of the accounts recommended by the auditors;
 - (ii) to keep under review the Council's financial and management accounts and financial information as it sees fit.
2. Considering the Council's arrangements relating to the external audit requirements including the receipt of the external audit reports so as to;
 - (i) inform the operation of the Council's current or future audit arrangements;
 - (ii) provide a basis for gaining the necessary assurance regarding governance prior to the approval of the Council's accounts.

3. Considering the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
4. Considering the Council's arrangements relating to internal audit requirements including:
 - (i) considering the Annual Internal Audit report, reviewing and making recommendations on issues contained therein;
 - (ii) monitoring the management and performance of internal audit;
 - (iii) agreeing and reviewing the nature and scope of the Annual Audit Plan.
5. Considering summaries of specific internal audit reports of significance or as requested.
6. Considering reports from internal audit on agreed recommendations not implemented within a reasonable timescale.
7. Considering specific reports as agreed with the external auditor.
8. Recommending to the Council the appointment of the Council's external auditor.
9. Scrutinising the draft Treasury Management Strategy.

Regulatory Framework (Assurance Framework)

1. Reviewing any issues referred to it by the Head of Paid Service, an Executive Director, the Chief Finance Officer or any Council body.
2. Monitoring the effective development and operation of risk management and corporate governance in the Council.
3. Monitoring Council policies on confidential reporting code, anti-fraud and anti-corruption policy and Council's complaint process.
4. Approving payments or providing other benefits in cases of maladministration as required and making recommendations arising from any review of a report of the Local Government Ombudsman.

Ethics and Standards

1. Promote and maintain high standards of conduct by Councillors and co-opted members.

Note:

Any Member wishing to serve or substitute on this Committee must have undertaken such training as deemed appropriate by the Monitoring Officer, and as a minimum, within the previous two years of the date of the meeting, and in particular members must receive training prior to approval of the Annual Statement of Accounts.

Nominations be sought to form a pool of trained substitutes in order to ensure that decisions are made by fully trained members.

The Leader of the Council, Leader of the Opposition, the Chairman of the Overview and Scrutiny Committee and the Chairman of the Standards Sub-Committee may be required to attend this committee but may not be appointed to it.

The committee will include at least one Independent Member and the normal term of office shall be four years.

Agenda Item 13i



Council

Monday, 28 June 2021

Subject: Overview and Scrutiny Annual Report

Report by:

Monitoring Officer

Contact Officer:

Ele Snow
Democratic and Civic Officer
Ele.Snow@west-lindsey.gov.uk

Councillor Lesley Rollings
Chairman of the Overview and Scrutiny
Committee
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Purpose / Summary:

To present the Annual Report from the Overview
& Scrutiny Committee

RECOMMENDATION(S):

- 1) That Members receive the Annual Report from the Overview and Scrutiny Committee**

IMPLICATIONS

Legal: The Chairman of the Committee is required constitutionally (Part II, Article 7, paragraph 7.6) to submit an annual report to Council on the work the Committee has undertaken.

Financial:

There are no financial implications arising from this report.

Staffing: None arising directly from this report.

Equality and Diversity including Human Rights: N/A

Data Protection Implications: N/A

Climate Related Risks and Opportunities: N/A

Section 17 Crime and Disorder Considerations: N/A

Health Implications: N/A

Title and Location of any Background Papers used in the preparation of this report :

Agenda and minutes arising from the meetings of the Overview and Scrutiny Committee held during the 2019/2020 and 2020/2021 civic years, all of which are located on the West Lindsey District Council website.

Risk Assessment:

N/A

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

X

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

X

1 Introduction

- 1.1 The Chairman of the Committee is required constitutionally (Part II, Article 7, paragraph 7.6) to submit an annual report to Council, in which she details the work her committee has undertaken through the previous civic year and summarise the proposals for the work plan over the coming year. In line with the terms of reference for the committee, the Chairman should also update Council with any amendments to the committee's operating methodology.
- 1.2 Owing to the impact of the global pandemic and the cancellation of the Overview and Scrutiny Committee meetings for the first six months of the 2020/2021 civic year, this report covers a two year period.
- 1.3 The Chairman's Annual Report is set out below.

2 Chairman's Annual Report

- 2.1 The 2019/2020 civic year saw the implementation of several changes to the scrutiny committee following the review that took place in 2018/2019. With a new name to the committee, an amended membership and of course, a new Chairman, it was an unprecedented opportunity to really reflect on the role of scrutiny within the council.
- 2.2 With a condensed and user-friendly operating methodology in place (in part as a result of the scrutiny review), alongside a well-structured training session in early September, the committee set to with inviting outside agencies, investigating options for pre-decision scrutiny items and continuing the work with the quarterly Progress and Delivery reporting.
- 2.3 As we, as a committee, gained confidence in our role, we identified recommendations for the policy committees; we influenced the future of P&D reporting across the council through the Progress and Delivery working group; and the session with the Environment Agency proved to be a real success.
- 2.4 The previously identified areas of scrutiny, such as Voice of the Customer and Selective Licensing, continued to be a part of the committee's work plan in 2019/2020 and we welcomed the opportunity to hear the success stories in these areas.
- 2.5 As we are all aware, the global pandemic of Covid-19 took hold in March 2020 and the country was plunged into a national lockdown. The last meeting of the Overview and Scrutiny Committee took place in February 2020 with the next meeting not taking place until eight months later in October 2020.
- 2.6 Despite the shortened year for this committee, we undertook to continue with previously agreed work areas, such as the Focus on Leisure in West Lindsey and a review of flood risk management across affected areas.

- 2.7 Through the course of these work streams, we have invited representatives from several outside bodies and, given the work that has been undertaken thus far, we are anticipating the continuation of these topics into the new civic year.

3 Review of Operating Methodology

- 3.1 In June 2019, as constitutionally required, the committee gave consideration to our operating methodology. As a result of the scrutiny review, the operating methodology had been re-written to ensure it was clear, concise and reflected the working methods of the committee. The detail of how the committee should work had not been changed but the resulting methodology was an easier working document than had previously been presented. The current version can be found at Appendix 1.
- 3.2 Given the amended committee membership, as well as several newly-elected councillors holding a seat on the scrutiny committee, this proved invaluable with detailing the working methods of the committee and how to address scrutiny within an authority where it is not actually a legal requirement.
- 3.3 The committee accepted the updated version of the operating methodology and it remained unchanged for the 2020/2021 civic year. It is not anticipated for there to be any significant amendments required for the upcoming civic year.

4 Provision of Scrutiny Training

- 4.1 Following the all-out election in May 2019, the Induction Programme included relevant training and development sessions for all of the main committees and for the Overview and Scrutiny Committee, this took the form of a two hour workshop provided by Mazars, the council's external auditors.
- 4.2 The scope of the workshop covered not only the role of the committee within the council but also the role each Councillor could play in ensuring effective scrutiny across all committees.
- 4.3 The session was attended by members of the scrutiny committee and those from other committees and everyone was in agreement that the session was both thought-provoking and encouraging.
- 4.4 As Chairman and Vice-Chairmen of the Overview and Scrutiny Committee, myself and Councillors Mrs Rodgers and Mrs White were invited to attend a one-day scrutiny conference, hosted by East Midlands Councils. Councillors and Officers alike were able to share best practice as well as common difficulties and it was of significant benefit to be able to attend.

5 Progress and Delivery

- 5.1 In 2019/2020, through the P&D working group, the committee was involved in the annual review of the measures used to assess the effectiveness of each service. The reporting methods for the P&D data were also reviewed by the working group.
- 5.2 Where possible, I endeavoured to attend the policy committee meetings in order to be able to understand their discussions of the P&D reports first hand. This was particularly useful given the remit of the scrutiny committee to consider the challenge made by the policy committees. Having that first hand record of their deliberations proved invaluable.
- 5.3 The terms of reference for the scrutiny committee ensure that we are involved with P&D reporting and, whilst this has been largely suspended in 2020/2021 as a result of the pandemic, I anticipate this continuing throughout the coming civic year.

6 Pre-Decision Scrutiny – Specifically 2019/2020

- 6.1 In keeping with the remit of the scrutiny committee, we called for a selection of reports to be presented for pre-decision scrutiny, that is to say, before they proceeded through the committee process for final decision by the policy committees.
- 6.2 The committee heard from the Senior Growth Strategy & Projects Officer in relation to the proposals for 5 – 7 Market Place, Gainsborough. She explained the background for us and presented the proposals. There were significant discussions between Members and whilst the proposals overall were supported, the committee felt there were elements where further options could be considered. This was reported to the parent policy committee in the final version of the report.
- 6.3 During the same meeting, we also heard from the Interim Assistant Director of Operations regarding the future of Gainsborough Markets. There was some lively discussion from Members! The partnership work and provision of specialist markets was praised and Members were assured that sufficient consideration was being given to the relevant options.
- 6.4 The last of the pre-decision scrutiny items was in fact a project that has been ongoing within the council for several years: the Southdale development in Caistor. Having brought this to a point of realisation, the scrutiny committee heard from the Monitoring Officer, on behalf of the Executive Director of Economic and Commercial Growth. Based on the information shared with the committee and the level of work that has gone into this project already, Members were both assured that all best options for the area had been considered and that there remained scope for the council to influence the future of the development. As a committee

we proposed several minor amendments or recommendations prior to being presented to the policy committee later in the year.

- 6.5 In consideration of the impact of Covid-19, the committee has, this year, chosen not to call any reports for pre-decision scrutiny. As the committee timetable returns to normal, as restrictions continue to be eased, and as focus shifts from pandemic recovery to a return to life as normal, we anticipate there being greater scope for pre-scrutiny items at the committee in the coming year.

7 Programme of Outside Agencies

- 7.1 In 2019/2020, the committee welcomed Detective Inspector Jenny Waddington to provide an update on crime and disorder across the district. We heard information in relation to the ongoing funding issues as well as the areas in which the police force had been making real headway. This included a focus on knife crime and offensive weapons as well as the ongoing work regarding drug-related crime and the seasonal road safety campaigns.
- 7.2 We were also joined by representatives of the Environment Agency. Given the flooding in the area, this proved a well worthwhile presentation and it was heartening to see so many Councillors attending. We heard there was continued work to repair and improve flood defences but it was clear there is a strong commitment across all agencies to make real changes. This has been an ongoing piece of work this year and we will be welcoming back representatives from the Environment Agency to an upcoming meeting.
- 7.3 This year, through our Focus on Leisure work stream, we have welcomed representatives from three leisure groups: Active Lincolnshire, Everyone Active and the Gainsborough Trinity Foundation. Whilst the leisure industry has been hit hard by the lockdowns and national restrictions, it was inspiring to hear how organisations such as these are working within local communities to encourage residents of all ages to 'get out and be active'.
- 7.4 For the coming civic year, we will be welcoming the return of the police, the Environment Agency and, later in the year, hopefully a return of the leisure organisations to hear how they have progressed in a post-covid world.

8 Returning Annual Reports – Officer Presented

- 8.1 In 2019/2020, in addition to the pre-decision scrutiny items, our external visitors and the P&D reports, we also heard from the Customer Experience Officer detailing really impressive statistics on complaint handling and increased compliments across the council, as well as the Housing and Enforcement Manager in relation to the success of the Selective Licensing programme.

- 8.2 Both of these presentations were previously requested by the scrutiny committee and we felt it was important to continue the narrative. With an increased use of the Member Newsletter to share data such as customer experiences, it remains to be seen whether the scrutiny committee is the best forum for such reports but we would of course welcome both Officers back for future updates.

9 Look Forward to Next Year

- 9.1 Given the much shortened timetable in which we were working during 2020/2021, we anticipate the focus of the coming civic year to be a continuation of the leisure and flood risk work streams. This work has moved at pace in the past four months and it would be disappointing if we lost that focus.
- 9.2 As mentioned previously, we anticipate there being more scope in which to re-introduce other areas of work for the committee, such as reports for pre-scrutiny and involvement with the P&D reporting will continue, although given the changes to the reporting schedule this is likely to be a lower priority for the committee.

Overview and Scrutiny Operating Methodology

Reviewed June 2019

Functions covered within this document:

1. Performance management (for service areas presenting performance figures below target)
2. Pre-decision scrutiny (also known as pre-scrutiny and identified from the Forward Plan)
3. Ongoing project work (for example as requested or identified by a policy committee or Council)

1. Performance Management

The Committee can request a Service Performance Review (to identify reasons for off-track performance and ways to improve) when:

- ✓ The performance has been off track for at least two consecutive reporting periods
- ✓ Recommendations from the relevant committee have been implemented and allowed time to have an impact
- ✓ At least four committee Members wish to request the review

The following restrictions apply:

- ✗ A maximum of four such reviews can be requested in any municipal year
- ✗ Any service area subject to such a review is excluded from re-examination under any process for the subsequent six month period (ie, further two reporting periods)

Process for a Service Performance Review:

- ✓ The request is to be made in writing, signed by at least four committee Members, set out the reasons for the request and be submitted to the O&S Clerk at least 21 days prior to the next committee meeting.
- ✓ The request will be considered at the next meeting and, if agreed, terms of reference for the review group should be set.
- ✓ Alternatively, where a request for a Service Performance Review is identified during a Committee meeting, and is supported by at least four Members of Committee, this will replace the request in writing.
- ✓ The Chairman (or representative) of the relevant policy committee is to be invited to the meeting where the scope of the review is considered.
- ✓ The findings of the review will be heard by the O&S Committee and presented to the relevant policy committee, where the Chairman (or representative) of O&S shall also attend.
- ✓ If the policy committee does not wish to accept the recommendations of the review group, the decision shall be referred to Council.

2. Pre-Decision Scrutiny

The Committee can identify items for pre-decision scrutiny (also known as pre-scrutiny) from those detailed on the Forward Plan. These could be items which are politically sensitive or of high public interest and where the Committee considers it would be of benefit to scrutinise the

proposed decisions in advance.

These items can be selected from the Forward Plan during meetings of the Committee by a proposer, seconder and majority vote.

The following restrictions apply:

- ✗ A maximum of four 'pre-scrutiny' items can be identified per municipal year.
- ✗ The Committee cannot dictate the timeline or prevent the decision being submitted to the relevant policy committee within the pre-agreed timescales.
- ✗ Any decision considered under pre-scrutiny cannot then be called-in under the traditional process.
- ✗ Any item considered under pre-scrutiny is excluded from re-examination under any process for the subsequent six month period.
- ✗ NB: The policy committee is not strictly bound by recommendations from O&S however it is expected that they should be given due consideration.

Process for Pre-Decision Scrutiny:

- ✓ The O&S Committee will receive the exact report due to be presented at the policy committee, at least 1 cycle prior to the policy meeting.
- ✓ The O&S Committee will make recommendations to the policy committee where it feels there are areas to be further addressed in order to support the proposed decision.
- ✓ The Officer responsible for the report will work with the Chairman / representatives of O&S to revise the report accordingly (when necessary).
- ✓ The amended report, along with the minute from the O&S meeting and the original report, will be submitted to the policy committee within the original timescale.

3. Ongoing Project Work

The O&S Committee can be requested by either of the policy committees, or Council, to conduct reviews of policy, services or any aspect of a service as identified by the relevant committee.

Any such request will be made to the Chairman of the O&S Committee from the Chairman (or representative) of the requesting committee / Council. The purpose, scope and terms of reference for the review will be agreed by the requesting committee and shared with the Chairman of O&S at the time of the request.

Such reviews will form part of the work plan for the O&S Committee, report timescales will be set out in the Forward Plan and recommendations will be agreed and shared with the referring committee.