

Policy Committee

Wednesday, 28 March 2018 at 10:30

County Hall, West Bridgford, Nottingham, NG2 7QP

AGENDA

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Notes

- (1) Councillors are advised to contact their Research Officer for details of any Group Meetings which are planned for this meeting.
- (2) Members of the public wishing to inspect "Background Papers" referred to in the reports on the agenda or Schedule 12A of the Local Government Act should contact:-

Customer Services Centre 0300 500 80 80

- (3) Persons making a declaration of interest should have regard to the Code of Conduct and the Council's Procedure Rules. Those declaring must indicate the nature of their interest and the reasons for the declaration.

Councillors or Officers requiring clarification on whether to make a declaration of interest are invited to contact Keith Ford (Tel. 0115 977 2590) or a colleague in Democratic Services prior to the meeting.

- (4) Councillors are reminded that Committee and Sub-Committee papers, with the exception of those which contain Exempt or Confidential Information, may be recycled.
- (5) This agenda and its associated reports are available to view online via an online calendar - <http://www.nottinghamshire.gov.uk/dms/Meetings.aspx>



Meeting **POLICY COMMITTEE**

Date **Wednesday 14 February 2018 (commencing at 10.30 am)**

membership

Persons absent are marked with `A`

COUNCILLORS

Mrs Kay Cutts MBE (Chairman)

Chris Barnfather
Joyce Bosnjak
Richard Butler
John Cottee
Samantha Deakin
Kate Foale
Stephen Garner
Glynn Gilfoyle
Tony Harper

Richard Jackson
Bruce Laughton
Philip Owen
John Peck JP
Mike Pringle
Alan Rhodes
Stuart Wallace
Muriel Weisz
Jason Zadrozny

OTHER COUNCILLORS IN ATTENDANCE

Nicki Brooks
Jim Creamer
Kevin Greaves

Liz Plant
Steve Vickers
Sue Saddington

OFFICERS IN ATTENDANCE

Anthony May	Chief Executive
Paul McKay	Adult Social Care & Health
Colin Pettigrew	Children and Families
Adrian Smith	Place
Carl Bilbey Angie Dilley Keith Ford Jayne Francis-Ward David Hennigan Jakob Kliger Nigel Stevenson Sue Summerscales	Resources

ALSO IN ATTENDANCE

Stuart Young

East Midlands Councils

1 MINUTES

The Minutes of the last meeting held on 24th of January 2018, having been previously circulated, were confirmed and signed by the Chairman.

2 APOLOGIES FOR ABSENCE

The following temporary change of membership, for this meeting only, was reported:-

- Councillor Tony Harper replaced Councillor Reg Adair.

3 DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

None at this point in the meeting.

During discussions of HS2 during agenda Item 4 – Update on the Work of East Midlands Councils, Councillor Richard Jackson declared a private, non-pecuniary interest as the Leader of Broxtowe Borough Council, which did not preclude him from participating in that item.

4 UPDATE ON THE WORK OF EASTMIDLANDS COUNCILS

Stuart Young, Executive Director, East Midlands Councils, attended the meeting to give an update on the work of his organisation.

Arising from further discussions, Mr Young agreed to share further information with Members about the requirements that East Midlands Councils had requested be built into the East Midlands Rail Franchise contract specifications.

RESOLVED: 2018/011

- 1) That no further actions were required.
- 2) That a further update be received in May 2018.

5 HS2 EAST MIDLANDS GROWTH STRATEGY – DELIVERY PHASE

RESOLVED: 2018/012

- 1) That the case for early investment priorities for the East Midlands Zone at Toton be endorsed.
- 2) That a delivery team be recruited as outlined in paragraph 20 of the report.
- 3) That dialogue be initiated with Government to further scope the evolutionary steps to establishing the delivery vehicles/bodies

6 UPDATE OF THE OCCUPATIONAL THERAPY POLICY

RESOLVED: 2018/013

That the updated Occupational Therapy policy be approved.

**7 FINANCIAL SUPPORT FOR STUDENTS IN POST-16 EDUCATION
AND EXCEPTIONAL PAYMENTS FOR SCHOOL CLOTHING AND
FOOTWEAR 2018-19**

RESOLVED: 2018/014

- 1) That during the year 1 April 2018 – 31 March 2019, Regulation 3 (1) of The Local Authority (Post-Compulsory Education Awards) Regulations 1999 shall not apply to Nottinghamshire County Council and that in consequence the County Council would have no powers to make post-compulsory education awards to post-16 students entering new courses in schools or in further or higher education in 2018/19 in any circumstances, other than for those children and young people for whom the Council acted as corporate parent.
- 2) That approval be given to continue to apply, as a guide only, a scale of payments for school clothing and footwear allowances granted under the exceptional circumstances category up to a maximum of £50 per qualifying pupil: 25% of the full allowance for infant school children, 50% of the full allowance for junior school and year 11 children and 75% of the full allowance for other secondary school children (with individual circumstances taken into consideration when determining the amount).

8 SCHOOL AND EARLY YEARS FUNDING

RESOLVED: 2018/015

- 1) That the recommendations of the Schools Forum to distribute available funding between Nottinghamshire schools, academies and early years providers in 2018-19, as outlined in Appendix 2 of the report, be approved.
- 2) That the significant budget pressures within the High Needs Block and the challenges posed to address them be acknowledged.

**9 PARTNERSHIP STRATEGY FOR LOOKED AFTER CHILDREN AND
CARE LEAVERS IN NOTTINGHAMSHIRE 2018-21**

RESOLVED: 2018/016

That the proposed Partnership Strategy for Looked after Children and Care Leavers in Nottinghamshire 2018-21 be approved.

10 CAREERS LOCAL EXTENSION

During discussions, Members requested further information about the numbers of schools that no longer offered work experience placements and how many were having to pay fees to cover health and safety risk assessments in advance of such placements.

RESOLVED: 2018/017

That the contract extension of the Careers Local programme and an extension to the temporary programme management be approved.

11 COUNTY COUNCIL CIVIC SERVICE

RESOLVED: 2018/018

That approval be given to the estimated costs of £1,325 in connection with the Civic Service on 24 June 2018 at Southwell Minster being met from the County Hospitality budget.

12 WORK PROGRAMME

RESOLVED: 2018/019

That no further changes were required to the work programme.

The meeting closed at 12.03 pm.

CHAIRMAN

REPORT OF THE LEADER OF THE COUNCIL**REPLACEMENT OF THE ORCHARD SPECIAL SCHOOL AND NEWARK DAY CENTRE****Purpose of the Report**

1. To seek approval for the replacement of the existing Orchard Special School and Newark Day Centre on the existing site, and the temporary relocation of the Day Centre to Woods Court, Newark to facilitate the redevelopment and reconfiguration of the existing site, along with all associated consultation, engagement and detailed design works to expedite the delivery of the project.

Information

2. In line with the Council Plan for 2017-21, "Your Nottinghamshire, Your Future", and the associated Place Plan for Nottinghamshire, the Council has a clear commitment to replacing the existing Orchard Special School in Newark with new school premises.
3. The existing Orchard site is adjacent to the former Grove Leisure Centre which has recently been demolished, the Newark Day Centre, the former Newark Pupil Referral Unit (PRU), and a small landscape depot, all of which are owned and controlled by the County Council.
4. An options appraisal has been completed to look at the potential redevelopment of the whole site in order to:
 - a. Deliver a new, high quality Orchard Special School;
 - b. Deliver a new, high quality Newark Day Centre;
 - c. Maximise the opportunities for synergies between both new premises;
 - d. Ensure the users of both facilities maximise the benefits available to them;
 - e. Realise the best disposal value for the retained, but unused site area.
5. The options appraisal process has identified a preferred option which requires the existing Day Centre to be demolished so that the replacement School can be constructed on the site adjacent to a new Day Centre.
6. In order to ensure service continuity for Day Centre users, a temporary Day Centre provision will be established in the Woods Court facility in Newark, which is currently due to be decommissioned and closed in May 2018.
7. This report seeks approval for the principle of the development, seeks agreement to undertake consultation and/ or engagement with users and stakeholders of both of the

existing facilities as appropriate, and seeks approval to commence the detailed design and construction of the project.

8. A Project Board to oversee the development will be established to ensure stakeholder and member engagement.

Delivery and Funding of the Development

9. The proposed project is identified within the Capital Programme. Full Council on 28 February 2018 approved an increased contribution of £2.5m toward the scheme.
10. Outline design only has been undertaken at this stage. Detailed design will commence once this report is approved. Full equality impact assessments will be undertaken.
11. Further reports will be brought to the relevant Committee as the scheme progresses, at key decision points within the programme and in accordance with Council's financial regulations.
12. At this stage, and subject to detailed design work, it is anticipated that both new premises will be operational during 2020.

Other Options Considered

13. Consideration has been given to a range of options for the site. However the solution set out above offers the best long term option for service users in the Newark area, and will see both existing facilities replaced with outstanding replacement premises.

Reason/s for Recommendation/s

14. Replacement of the Orchard school is a key aspiration of the County Council, and the best option for delivering that aspiration includes the associated replacement of the Newark Day Centre. The resultant new premises will deliver outstanding service provision for vulnerable children and adults for many years to come.

Statutory and Policy Implications

15. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) That approval is given to replace the Orchard Special School and the Newark Day Centre and to undertake the relevant consultation and/or engagement with service users, detailed design and enabling works and legal agreements;

- 2) That approval is given to the temporary relocation of the Newark Day Centre to Woods Court in Newark to enable the construction works to be undertaken;
- 3) That further reports are presented to the relevant Committee.

Councillor Mrs Kay Cutts MBE
Leader of the County Council

For any enquiries about this report please contact: Mick Allen on 0115 9774684

Constitutional Comments [SSR 08/03/2018]

16. The recommendations set out in this report fall within the scope of decisions that may be approved by Policy Committee.

Financial Comments [GB 07/03/2018]

17. The financial implications are set out in the report.

Background Papers and Published Documents

- None

Electoral Division(s) and Member(s) Affected

Ward(s): Newark East
County Councillor Stuart Wallace

28 March 2018**Agenda Item: 5****REPORT OF THE LEADER OF THE COUNTY COUNCIL****PROPOSALS FOR THE FUTURE OF SIR JOHN ROBINSON HOUSE****Purpose of the Report**

1. To seek agreement, subject to the findings of the second phase of the feasibility study, to recommendations relating to the proposed commercial use of Sir John Robinson House (SJRH).

Information

2. As reported to Policy Committee (24 January 2018) the Council is reviewing its office accommodation and modelling future portfolio options. This work identified an opportunity relating to Sir John Robinson House (SJRH), which could result in this building being surplus to operational requirements. In the event of this occurring, an alternative and appropriate use for the building needs to be secured. This provides a potential opportunity for the Council to deliver one of the Council Plan 2017-2021 commitments of creating the best conditions for business investment and growth.
3. Policy Committee (24 January 2018) approved the commissioning of up to £50,000 of additional technical expertise to undertake a feasibility study (that will not tie the Council into any particular funding stream) for the commercial use of SJRH.
4. Further to the committee approval, a supplier was appointed to guide the strategic future of SJRH and has been producing a number of detailed assessments and supportive evidence over two phases.
5. The first phase report provided a rigorous market assessment of the current demand and supply for office and workspace, potential clients for the whole of the building, a full building feasibility study and an options appraisal for the future management of the building, which included options for income generation for the Council. This phase considered the potential of the whole of SJRH for commercial uses as well as the potential for the conversion of one floor via an EU funding contribution. At the time of writing this report details of this first phase findings were not available. An update will be provided to this Policy Committee by the Corporate Director of Place. Subject, to a favourable report being received the supplier will move forward to the second phase of the feasibility and EU funding detailed submission work.

6. The second phase report, will see the development of a detailed operational business case, firming up of capital costs and the revenue model, with the aim of culminating in the submission of an EU Full Application on Friday 20th April 2018.
7. The EU fund a percentage of up to 50% of eligible costs up to a threshold that was established at the Outline Application Stage where the Council were successful in proving the potential of its proposals to convert SJRH. The EU funding is for no more than 50% towards the conversion of one floor and the reception only and not towards the conversion costs for the entire building. The outcome of the second phase will be available to support the Full Application; however, the next available Policy Committee is not until 16 May 2018.
8. The window of opportunity to attract this oversubscribed external funding poses a challenge in the sequencing of decision-making. Therefore, in order to be able to meet the EU deadline, which falls before the next time this Committee meets, Policy Committee is asked to consider that, subject to the findings of the feasibility study into the commercial use of SJRH concluding that an EU bid for funding is appropriate, authority be delegated to the Corporate Director of Place, in consultation with the Chair of Policy Committee, to consider and finalise any such bid.

Other Options Considered

9. The Council could choose not to take forward the commissioning of additional technical expertise or support the further development of SJRH. However, this would miss the opportunity to secure the funding currently available to support the development.

Reasons for the Recommendations

10. Whilst our plans for growth are vital in providing for identified needs now and in the future, these must be achieved whilst preserving and protecting local character and distinctiveness in a well-planned and lasting way. Work to revitalise a high profile building and securing new investment will help create quality jobs, safeguard local character and add to the value of our economy.

Statutory and Policy Implications

11. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

12. As indicated in paragraph 3, Policy Committee approved the £50,000 would be met from 2017/2018 Growth and Economic Development base budget.

RECOMMENDATION

- 1) That, subject to the findings of the feasibility study into the commercial use of SJRH concluding that an EU bid for funding is appropriate, authority be delegated to the Corporate Director of Place, in consultation with the Chair of Policy Committee, to consider and finalise any such bid.

COUNCILLOR MRS KAY CUTTS MBE
Leader of the County Council

For any enquiries about this report please contact:

Nicola M^cCoy-Brown, Growth and Economic Development ext. 72580

Constitutional Comments [SSR 08/03/2018]

13. The decision falls within the scope of decisions which may be approved by Policy Committee.

Financial Comments [GB 07/03/2018]

14. Any County Council capital funding required to match fund the proposed bid for EU funding will be required to go through the usual decision route and approval process. Other financial implications are set out in the report.

Background papers and Published documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Sustainable Urban Development Strategy Funding Proposal Briefing (Digital Technology Hub, Nottinghamshire County Council), 30th November 2017
- 2014 to 2020 European Structural and Investment Funds Growth Programme (Call opened 20th September 2017) – available online at: https://assets.publishing.service.gov.uk/media/59c282e140f0b65db9b9each/PA2_3_4_D2N2_Updated_Final.pdf
- *Proposal for the Future of Sir John Robinson House*, report to Policy Committee, 24th January 2018, published

Electoral Division(s) and Member(s) affected

All

28 March 2018**Agenda Item: 6**

REPORT OF THE LEADER OF THE COUNTY COUNCIL

DEVELOPMENT OF THE COUNTY HALL CAMPUS

Purpose of the Report

1. To seek approval for the commissioning of up to £25,000 of technical expertise to undertake a market assessment and feasibility study for the commercial use of a potential new build on the County Hall campus.

Information

2. The Council has embarked upon a Smarter Working Programme (SWP) and through that programme it is aiming to reduce the operational property portfolio as part of the development of a 10-year Asset Management Plan.
3. The Clasp block on the County Hall campus provided limited flexibility for modern working and the existence of asbestos meant that this building would not have been economically viable to reconfigure for use as a modern office space. Therefore, the final phase of the Ways of Working (WoW) programme, resulted in the building being demolished.
4. This has presented the Council with an opportunity to explore the development potential of the site further. In exploring this opportunity, one aspect that merits further consideration is the potential for taking any commercial opportunities that could provide a revenue stream, for the Council.
5. While any new proposals would be firstly and foremost for the Council's primary use and core functions there may also be an ability to use the space in a flexible manner and enable external groups to benefit from the space and also for the Council to realise a revenue stream. However, at this stage, this is simply an idea which appears to have merit and it requires market testing to be able to quantify any potential merits. A robust market assessment is a vital stage in appraising the pros and cons of an alternative use of the Council's premises.

The Proposed Market Assessment

6. The potential opportunity for commercial uses which could be a source for revenue generation and economic growth requires further investigation. The Council needs to understand this potential further and be very clear of the business case for this before it proceeds to any consideration of costs and any commitment to any detailed planning stage.

7. The required feasibility work is likely to cost in the region of £25,000. Once completed, the work will feed into the concept work for a potential new build which would require additional Member approval. Subject to the outcome of the market research, a more detailed and evidence-based report will be presented to Policy Committee setting out the business case for the new building linked to the Smarter Working Programme impact on the overall requirement for office space and identified financial savings.
8. At this stage Committee approval is only sought to carry out the necessary feasibility work to consider the market for commercial operations

Financial Implications

9. The £25,000 will be met from the 2018/2019 consultancy budget held by Property Services.

Other Options Considered

10. The Council could choose not to take forward the commissioning of additional technical expertise or support the further development. However this would miss the opportunity to secure the relevant market evidence and would leave the Council with no basis for informing any subsequent design principles if the concept were to move to the next stage.

Reasons for the Recommendations

11. To seek Members approval to seeking external support which does not exist within the Council.

Statutory and Policy Implications

12. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) That Policy Committee approves the commissioning of up to £25,000 of appropriate technical expertise to undertake a market assessment and feasibility study for the commercial use of a potential new build on the County Hall campus.

Councillor Kay Cutts
Leader of the County Council

For any enquiries about this report please contact:

Andy Evans, Service Director (Interim), Growth & Development, Tel: 0115 9773915

Constitutional Comments [SSR 08/03/2018]

13. Policy Committee is the appropriate body to consider the content of this report.

Financial Comments [RWK 05/03/2018]

14. The financial implications are as set out in paragraph 9 of the report.

Background papers and Published documents

- Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

Electoral Division(s) and Member(s) affected

- All

**REPORT OF THE CHAIRMAN OF THE ADULT SOCIAL CARE AND PUBLIC
HEALTH COMMITTEE
REVISION TO THE ADULT SOCIAL CARE CHARGING POLICY****Purpose of the Report**

1. The purpose of this report is to seek approval to make the changes to the Council's Adult Social Care Charging Policy ('Contributions towards a Personal Budget Guidance' Version 5 – Appendix A) described in this report.

Information

2. The Care Act 2014 brought in a revised legal framework which covers many areas, including the means tested assessment of the financial contributions people pay towards their care and support. As part of the programme of regular service reviews, the Council has been looking at what changes could be made to current processes to make them more efficient, less time-consuming and fairer.
3. The Council's Adult Social Care Charging Policy sets out guidance with regards to the levels of contribution service users are asked to make towards the cost of their care and support packages. A period of public consultation about proposed changes to the Adult Social Care Charging Policy commenced on 6 November 2017 and initially closed on 5 December 2017. Some elements of the consultation were extended to 22 January to allow people more time to respond. Letters about the consultation were sent to people who receive adult social care support from the Council. An on-line survey was made available on the Council's website and paper copies of the consultation were placed in public libraries. The consultation received a very good response, with a total of 1,425 people responding. 1,194 people responded between 6 November and 5 December and 231 people responded to the extended consultation period.
4. Following the public consultation, the Adult Social Care and Public Health Committee at its meetings on 8 January and 12 March 2018 agreed to submit some changes to the Council's Adult Social Care Charging Policy to Policy Committee for approval. These changes are described in the body of this report.

Short Term Assessment and Reablement Team (START)

5. The consultation between 6 November and 5 December 2017 included questions that specifically sought people's views on applying the Council's existing homecare charging policy for people who continue to require and receive home care from the Short Term Assessment and Reablement Team (START) after receiving non-charged reablement

support and completing the reablement programme, as well as those who choose not to engage in the reablement programme available.

6. 38% of respondents (453 people) agreed that the Council should charge service users who choose not to engage in reablement activity for a home care service. 33% did not agree, 24% said that they did not know and 5% did not answer this question.
7. 41% of respondents (493 people) agreed that the Council should charge the relevant contribution to any service users assessed as being able to pay a contribution for a home care provided by the Short Term Assessment and Reablement Team (START) service. This should start from the commencement of the home care service. 34% (405 people) of those responding thought the Council should not charge service users who have home care from START and 25% (296 people) did not know or did not answer.
8. Legally the Council is not able to charge for short term reablement services, however, some people can remain for a time with the service once their reablement goals are achieved, for example, whilst waiting for their homecare provider of choice to have capacity to take over their support package. People remaining in the service beyond their reablement period are in effect receiving a home care domiciliary service.
9. In line with the consultation responses, this report proposes a change to the 'Contributions towards a Personal Budget Guidance' Version 5, (hereafter referred to as the, 'Adult Social Care Charging Policy') in relation to the Council's Reablement Team (START) service. Section 3 of the Adult Social Care Charging policy sets out exemptions to charging and currently states:

"The first 6 weeks if the service provided is part of a package of reablement or [Intermediate Care](#) - see paragraph 2.59 of the Care and Support Statutory Guidance for more information."

10. It is proposed that the wording of section 3 of the Adult Social Care Charging Policy is changed in relation to Reablement to read as below, with the additional text to be added as shown in italics:

'no contribution is payable up to the first 6 weeks if the service provided is part of a package of reablement or [Intermediate Care](#) - see paragraph 2.59 of the Care and Support Statutory Guidance for more information. *A reablement service may be provided free of charge beyond 6 weeks, at the discretion of the Council, for those people whom the Reablement service deem would benefit from further reablement. However, this exemption does not include people who are deemed by the Council as having completed a package of reablement before the expiry of the 6 week period and who then receive domiciliary care from the START service, as an appropriate intermediate homecare service provider rather than as a reablement service, whilst awaiting a longer term package of care. People who have completed their reablement package of care but are in receipt of domiciliary care from the START service will be charged.*'

11. This proposed change to policy, which would come into effect on or after 1 April 2018, will mean that Council's current home care charging policy can be consistently and equitably applied to people at the point that their reablement programme with the Short Term Assessment and Reablement service (START) has been completed.

The way the Council calculates how much someone who has a spouse or partner can pay towards the cost of their care and support

12. At present, when a person needing support has a spouse or partner, they are financially assessed as a single person and as part of a couple. For a couple's assessment, the person not receiving a service also has to provide details of their income and savings. Some people find this intrusive. If both members of a couple receive a service then three financial assessments are calculated, with the person being charged the lowest amount. This can be a time consuming process. In order to simplify the process, be less intrusive and to reduce the cost to the Council, it is proposed that the Council will cease couple's assessments and assess people as a single person only when calculating the contribution they can afford to pay towards the cost of their care and support.
13. The consultation between 6 November 2017 and 22 January 2018 asked people to say what they thought about this proposal. 60% of respondents (857 people) agreed with the proposal; 22% (309 people) did not agree; 15% (210 people) said that they did not know; and 3% (49 people) did not answer this question.
14. The majority of respondents supported this change and it was therefore proposed by the Adult Social Care and Public Health Committee on 12 March 2018 that approval be sought from Policy Committee to cease couples' assessments and assess people as a single person when calculating the contribution they can afford to pay towards the cost of their care and support.
15. Regarding the financial assessment of couples, section 4.4 of the Adult Social Care Charging Policy currently states:

A couple is defined by the DWP as:

 - Married couples
 - A man and woman living together as husband and wife
 - Same sex-partners whether registered as civil partners, or not.

Only income and capital held in the service user's name, and half of any income or capital held in joint names, will be taken into account. ***However, if it would leave the person better off, ACFS can assess the couple.***
16. It is proposed that the sentence in bold italics above is removed from section 4.4 with effect from 1 April 2018. This will simplify the assessment process for people who are part of a couple, be less intrusive for people and reduce the cost of the assessment process to the Council.

Other Options Considered

17. The Adult Social Care and Health Committee, 8 January 2018, also considered the option not to proceed with changes proposed to apply the Council's existing home care charging policy to people who continue to receive home care from the Short Term Assessment and Reablement Team (START) where the reablement programme has been completed and they are awaiting a care provider for ongoing support, or where people choose not to engage in the reablement programme on offer: **paragraphs 14 and 15** [of the 'Adult Social Care and Health Consultation' report] indicate that the outcome of the consultation was that the majority of respondents either agreed, said they did not know or did not answer with regard to these proposals. As already stated the proposals are in line with application of the Council's current charging policy.

18. The Adult Social Care and Health Committee at its meeting on 12 March 2018 also agreed proposals to introduce an appeals process to consider representations from people who are unhappy about the way their contribution towards their care and support has been calculated, and to introduce a service cancellation policy. Approval was given to seek feedback on the draft wording and processes for these proposals from key stakeholders, including existing service user forums. The final versions of the wording and processes will be brought back to Policy Committee at a later date for approval.

Reason for Recommendations

19. The amendments described in **paragraph 10 and 16** of this report are recommended by the Adult Social Care and Public Health Committee in order to ensure a consistent and equitable approach to adult social care charging.

Statutory and Policy Implications

20. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

21. It is anticipated that the proposed change to the Adult Social Care Charging Policy in respect of the Short Term Assessment and Reablement Team (START) will allow the Council to save £45,000 a year (full year effect).

Legal Implications

22. This proposed charging policy change has been considered by the Council's Legal Team and deemed lawful subject to the Council charging in accordance with the conditions set out in the applicable regulations.

Implications for Service Users

23. The changes to the Adult Social Care Charging Policy will mean that:
- a. the Council's home care charging policy can be consistently and equitably applied to people at the point that their reablement programme with the Short Term Assessment and Reablement Team (START) service has been completed
 - b. people who are part of a couple will only be subject to one financial assessment

RECOMMENDATION/S

24. That Committee approves the amendments to the Adult Care Charging Policy ('Contributions towards a Personal Budget Guidance' Version 5) as stated in **paragraphs 10 and 16** of this report.

Councillor Stuart Wallace

Chairman of the Adult Social Care and Public Health Committee

For any enquiries about this report please contact:

Sue Batty
Service Director – Mid Nottinghamshire
T: 0115 9774876
E: sue.batty@nottsccc.gov.uk

Paul Johnson
Service Director - Strategic Commissioning, Adult Access and Safeguarding
T: 0115 85 46220
E: paul.johnson@nottsccc.gov.uk

Constitutional Comments (SLB 13/03/2018)

25. The Policy Committee is the appropriate body to consider the content of this report.

Financial Comments (KAS 13/03/18)

26. The financial implications are contained within paragraph 21 of this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Report to Adult Social Care and Public Health Committee 'Adult Social Care and Health Consultation', 12 March 2018
- Responses to the Adult Social Care Charging Consultation, 6 November 2017 to 22 January 2018
- Report to Adult Social Care and Public Health Committee 'Adult Social Care and Health Consultation', 8 January 2018
- Report to Adult Social Care and Public Health Committee 'Adult Social Care and Health Consultation', 9 October 2017

Electoral Division(s) and Member(s) Affected

- All

Policy Library Pro Forma

This information will be used to add a policy, procedure, guidance or strategy to the Policy Library.

Title: Contributions towards a Personal Budget Guidance

Aim / Summary: To set out guidance for staff with regards to charging in relation to personal budgets.

Document type (please choose one)

Policy		Guidance	x
Strategy		Procedure	

Approved by: Team Manager - ACFS

Version number: 5

Date approved: 8/7/2015

Proposed review date:

Subject Areas (choose all relevant)

About the Council		Older people	x
Births, Deaths, Marriages		Parking	
Business		Recycling and Waste	
Children and Families		Roads	
Countryside & Environment		Schools	
History and Heritage		Social Care	x
Jobs		Staff	
Leisure		Travel and Transport	
libraries			

Author: Team Manager
(Communication) ACFS

Responsible team: ACFS

Contact number:

Contact email:

Please include any supporting documents

1. [Financial Assessment Form](#)

Review date	Amendments
28/07/16	Updated due to transport charge increase
8/7/2015	Updated in line with the Care Act 2014
18/11/2013	New layout, links checked, information updated.
16/8/2011	Change to section 3 – service users assessed

	for sitting services after 1.4.2011 are liable to fairer contributions.
April 2011	Change to department name and job titles
Feb 2011	Maximum contribution cap removed and hourly rate increased



Contributions towards a Personal Budget Guidance

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1 Introduction

Personal budgets enable people to have more choice and control over how their care needs are met. There are three ways of having a personal budget:

- As a managed service
- As a direct payment
- As a combination of the two – a mixed package

2 Referral for Financial Assessment

In all cases a referral for a financial assessment should be sent to Adult Care Financial Service (ACFS) via Framework.

Social care workers should confirm if the service user has savings/assets above the upper capital threshold level or does not want to provide financial information. If

financial information is not provided, the service user will be charged the full cost of their support

2.1 Steps in the Financial Assessment Process

- **Step 1** - A [Financial Assessment Form](#) (FAF 1) will be sent out to obtain financial information where required, i.e. if ACFS does not already have current financial information
- **Step 2**- Service users who have capital above the upper savings threshold level will be required to sign a section of the Financial Assessment Form declaring that they have above the threshold and confirming that they are willing to pay the full cost of their support.
- **Step 3** - Information on welfare benefits, will be requested from the (Department for Work & Pensions) DWP If forms are returned to ACFS incomplete
- **Step 4** - Written confirmation of the financial assessment will then be issued to the service user.
- **Step 5** - If the form is not received within 21 days, the service user will be charged the full cost of the support provided.

A visit to complete the FAF1 will only be undertaken if the service user lacks capacity and there are no relatives/representatives to support the service user to complete the form.

3 Contribution Exemptions

By law service users are not liable to pay a contribution if they are:

- Suffering from any form of Creutzfeldt Jacob Disease (CJD).
- Receiving after-care services provided under section 117 of the Mental Health Act 1983.

In addition, no contribution is payable for:

- Providing advice about the availability of services or for the assessment, including the assessment of community care needs.
- The first 6 weeks if the service provided is part of a package of reablement or [Intermediate Care](#) - see paragraph 2.59 of the Care and Support Statutory Guidance for more information.
- Situations where the person has 100% Continuing Healthcare Funding.

3.1 When contributions may not be payable

- Contributions will only be payable from the start of the service unless there is undue delay in notifying the service user of their contribution

- No contribution will be payable for one-off direct payments made to cover start up costs or for community equipment. One-off payments for any other purpose will be divided by 52 and contributed to as part of the weekly personal budget.
- A group manager may approve partial or full exemption from contributions for a period not exceeding 6 months if there are exceptional circumstances. This may arise where a service user refuses to accept a service because he/she is required to make a contribution, but the Council considers that withdrawing the service poses a significant risk to his/her health, safety or wellbeing.

Before any reduction in contributions is implemented, the group manager should ensure the following:

- Attempts have been made to maximise income through welfare benefits advice.
- Attempts have been made to minimise outgoings through money or debt management advice.
- A plan to resolve the situation is in place with a fixed end date.
- Arrangements to regularly review the situation have been arranged.

A group manager may also approve the waiving of all or part of the contribution if care provided through a commissioned service has not been delivered to a reasonable standard. This discretion should only be applied after an investigation has been carried out as a result of a complaint.

4 Calculating the Contribution

The amount a person has to contribute is set according to their ability to pay. In the first instance this requires an assessment of the service user's income and capital. In all cases income and capital is treated in accordance with The Care Act with the following exceptions:

4.1 Disability related expenditure

A service user's additional disability related expenditure is determined using the Department of Health's practice guidance, except that in Nottinghamshire a standard disability cost of £20 is assumed for every service user in receipt of disability benefits. The care assessor should alert ACFS if the service user's additional disability costs exceed £20.

4.2 Income not taken into account

By law certain types of income **cannot** be taken into account when assessing a person's ability to make a contribution. These are:

- Earnings of the service user and/or partner.
- Certain welfare benefits.

If a service user is advised to apply for a welfare benefit that they might be entitled to, but refuses to claim, the financial assessment will assume an amount of income equivalent to that if the benefit was being paid.

4.3 Capital and Savings

The County Council believes that individuals in receipt of homecare and residential care should be treated equitably with regard to how capital and assets are treated. Therefore, service users who have savings over the upper capital threshold limit (currently £23,250) will be classed as self-funders. Capital up to the lower threshold limit (currently £14,500) will be disregarded. For more information see the fact sheets:

[Paying for your own support](#)

[If you need help to pay for your support](#)

Capital derived from an award of damages for personal injury, which is administered by a court, or which can only be disposed of by a court order and is specifically identified as being a payment to cover the cost of providing care, can be taken into account in the financial assessment after 52 weeks of receipt. If the capital is placed in a personal injury trust or administered by a court it has to be disregarded. However, income and/or interest payments derived from the compensation award will be included in the financial assessment.

Cases where capital has been 'gifted' or moved into bonds with a life interest will be assessed on an individual basis to determine whether or not the value of the capital should be taken into account in the financial assessment.

4.4 Calculation for Couples

A couple is defined by the DWP as:

- Married couples
- A man and woman living together as husband and wife
- Same sex-partners whether registered as civil partners, or not.

Only income and capital held in the service user's name, and half of any income or capital held in joint names, will be taken into account. However, if it would leave the person better off, ACFS can assess the couple.

5 Maximum contribution

The maximum contribution payable will be the full cost of the personal budget or the income available for a contribution as determined by the financial assessment, whichever is the lesser. ACFS staff will not carry out a financial assessment if the personal budget amount is £2.50 per week or less. The minimum weekly contribution is £2.00.

6 Transport

A personal budget allocation for transport is outside the Resource Allocation System (RAS). Once a service user has decided how they wish to meet their needs through their support plan, they will be assessed against the [Criteria for transport assistance](#).

A service user may then receive transport as a managed service, contributing £8 per return journey, or take the addition to their personal budget as a direct payment and make their own transport arrangements.

See the staff guidance on [Criteria for transport assistance](#) more information.

7 Meals

County Enterprise Foods can deliver meals to service users in need of them. Further details about meals and charges can be found [here](#). Service users can afford to meet the meals charge from their own resources, so this will not form part of their personal budget. Service users may arrange to meet their needs for meals without using County Enterprise Foods, if they prefer.

8 Reviews and complaints

Financial assessments will be reviewed annually by ACFS in April each financial year to coincide with increases in welfare benefits.

The Council operates a complaints procedure in line with the Local Authority Social Services and National Health Services Complaints (England) Regulations 2009. Where an individual service user or their representative wishes to make a complaint about their service, the [Complaints Procedure](#) should be used, but every effort should be made to resolve issues at the earliest stage.

9 Advice on charging and benefits

Advice on the calculation of charges and financial procedures is available from ACFS on 0115 977 5760 (Option 3) or acfs.community-assessments@nottscc.gov.uk.

The [Benefits Training and Advice Service](#) offers information and advice to staff on welfare benefits.

28 March 2018**Agenda Item: 8**

REPORT OF THE SERVICE DIRECTOR, PLACE AND COMMUNITIES

GYPSY, ROMA AND TRAVELLER (GRT) COMMUNITY POLICY

Purpose of the Report

1. The purpose of this report is to agree and approve the County Council's policy in regard to the Gypsy, Roma and Traveller (GRT) community, with particular regard to Unauthorised Encampments (UEs) and to outline the proposed work programme to support this.

Information and Advice

2. **Definition:** Gypsies and Travellers have been part of the United Kingdom community since at least the 16th century. The GRT communities are not a homogenous group and there are three main groupings in England; traditional English Romany Gypsies, traditional Irish Travellers and New Travellers. Within these groupings there are several categories:-
 - **Romanichel (English Gypsies)** –earliest recording of Romany Gypsies in England. There are also Scottish Travellers and Welsh Gypsies (Kale) as well as those from the continent (e.g. Sinti, Manouche etc.)
 - **The Pavee (Irish Travellers)** - Irish Travellers are a recognised ethnic minority. Records show the presence of Irish Travellers in the UK goes back for 500 years, although often they are thought of as being refugees from the Irish Famine in the 19th century.
 - **Roma (East European)** – In the early 1990s Roma started to arrive from the new EU countries, particularly the Czech Republic, Poland, Romania and Slovakia. It is not known how many Roma live in the UK as many Roma avoid declaring their ethnicity for fear of persecution and racism and use their nationality instead.
3. There are also other communities which are often cited as part of the GRT communities' designation including; New Age, Bargees, Boaters and Showmen.
4. **Legal Status** - Romany Gypsies and Irish Travellers are protected ethnic minorities under the European Convention on Human Rights so that they have the right to be free from racial harassment and discrimination. All public sector organisations have a positive duty under the law to eliminate racial discrimination and promote equality of opportunity, which includes Romany Gypsies and Irish Travellers.
5. The Race Relations Act 1976 made it unlawful to treat someone less favourably on the grounds of colour, race, nationality, ethnic or national origins. Romany Gypsies have been

recognised in law as a separate racial group since 1988. Irish Travellers were recognised in law as a racial group in 2000. The Race Relations Amendment Act 2000 places a general duty on public bodies to promote racial harmony between different racial groups. The Human Rights Act 1998 also protects Travellers from unlawful discrimination. The Equalities Act 2010 introduced the concept of “protected characteristics”; this includes race and encompasses the Gypsy Roma and Traveller community

6. **GRT Population in Nottinghamshire** - Nottinghamshire has a long established GRT community with many of its members housed in settled accommodation, both living and working as part of our local communities. However, accurate population figures are unknown. Local research by the County Council’s Gypsy Traveller Liaison Officer (GTLO) estimated a population of approximately 3,000 members of the GRT community across the County, (settled and transient members of the GRT Community). It is acknowledged nationally that the numbers collected to record the size of this community will inevitably be low as many members of the GRT community do not choose or feel able to identify as such. It has been estimated that figures collected for the last national census under-represented this community by almost 50%.
7. Within Nottinghamshire (including Nottingham) there are no local authority or socially registered landlord sites. Land previously owned by the County Council which was a Travellers’ site (Daneshill, near Retford) has been leased to a private landlord.
8. **Issues in the GRT Community** - In 2015 the Equality and Human Rights Commission (EHRC) in its report on the state of equality and human rights in the UK noted that GRT communities faced ‘multiple disadvantages’. The highlighted issues facing the GRT community included:
 - low educational attainment
 - lower life expectancy
 - poor levels of child immunisation
 - comparably greater prevalence of anxiety and depression
 - poor employment
 - high levels of hate crime and racism
 - disproportionately high levels of domestic violence.
9. In 2017, a report by “The Traveller Movement”, (a national community charity promoting inclusion and community engagement with Gypsies, Roma and Travellers), found that from a survey of the GRT community:
 - 91% experienced discrimination because of their ethnicity
 - 70% experienced discrimination in some aspect of education
 - 49% experienced discrimination in some aspect of employment
 - 30% experienced discrimination in relation to accessing health care
 - 55% had been refused services because of their ethnicity
 - 77% experienced hate speech or a hate crime
 - 76% had hidden their ethnicity to avoid discrimination or prejudice
 - 77% had not sought legal help after experiencing discrimination.
10. These problems are present in the GRT community in Nottinghamshire and traditionally result in a low take up of services by that community.

11. **Unauthorised Encampments (UEs)** - A specific issue in regard to relationships between the GRT community, the settled communities in Nottinghamshire and the County Council is that of UEs. These occur throughout the County when ‘encampments of caravans and/or other vehicles are set up on land without the landowner or occupier’s consent’.
12. In the latter half of 2017 there have been 20 incidents of UEs reported on County Council and other land which has prompted concerns from members of the settled community. This is a higher incidence rate than would be expected during this period. It has not been possible to discover a definitive reason for this higher rate.
13. It is impossible to accurately predict just where and when an UE will occur. Confirming how it will address UEs will enable the County Council to offer a service that is consistent, efficient and effective and is understood by our communities and partners.
14. **County Council Approach** - The Council Plan 2017-2021, “Your Nottinghamshire, Your Future”, sets out the Council promise to the people of Nottinghamshire and the Council priorities for the next four years to achieve “strong and vibrant communities”. Especially relevant to the GRT community are the following elements of the Plan:
- Empowering people and supporting their independence by assisting those who need our services most
 - Allowing children to have the chance to realise their potential and to be less likely to miss out on education
 - Helping vulnerable families to face the challenges of keeping their children safe
 - Giving people the opportunity to live a long, healthy, productive and independent lives
 - Ensuring that people are protected from crime and anti-social behaviour and are confident about their safety
 - Supporting people to live as independently as possible and to grow older with dignity
 - Recognising the contribution of this community to the workforce of the county
15. The Council Plan puts local people at the heart of everything we do and has a focus on helping people to help themselves. This applies equally to both the GRT community and our more settled communities. In achieving “strong and vibrant communities” the Council expects those communities to be law-abiding and respectful and tolerant of others and their views. The Council is keen to develop active citizenship from within the GRT community so that they, together with, and as part of, our other communities, feel safe, a sense of belonging and community, and able to access the cultural offer from Nottinghamshire.
16. In confirming its commitment to working with the GRT community, and as a first stage to achieving these elements of the Council plan in respect of that community, it is important that the County Council can demonstrate and evidence how it intends to proceed by defining its policy in regard to that community and the linkages to the broader service offer. As such the following policy statement is proposed:-
17. **Policy Statement: Working with Gypsy, Roma, Traveller, (GRT), Community**

“The County Council recognises the importance, value and contributions of the diversity of people who live, work and visit

Nottinghamshire. It acknowledges that to achieve strong and vibrant communities people need to feel confident, safe and engaged with decision making. To achieve this with the GRT community the Council will aim to:

- Eliminate unlawful racial discrimination, harassment and victimisation
- Advance equality of opportunity between people who share a protected characteristic and those who do not
- Foster good relations between people who share a protected characteristic and those who do not
- Balance the rights and needs of our settled communities with those of the GRT community.

In order to achieve these aims the County Council will work with partners and the GRT community in order to improve access to services and increase levels of take-up. It will look to build the confidence of the GRT community to encourage it to take a pro-active role in working with the County Council and the Council's partners, developing potential for active citizenship and better access to the cultural offer from Nottinghamshire.

The County Council recognises that Unauthorised Encampments (UEs) represent an important element of the work of the County Council with the GRT community. They are often the first point of contact between the County Council and individual members of the transient GRT community and offer the potential to develop better working relationships.

The County Council will respond to and consider the location, circumstances and impact of each UE individually, and will work with partner agencies and members of the GRT community to offer a proportionate response to each UE.

The County Council will work with partners to improve community safety amongst and between the GRT and settled communities”.

18. A copy of this policy statement is also attached to this report at **Appendix A**.

19. This policy reflects the recommendations of the recent findings of the Joint Strategic Needs Assessment Health GRT Chapter (JSNA - see background papers) and is commensurate with the County Council Equality Policy. It has also been the subject of an Equality Impact Assessment (EqIA) which concluded that this statement will improve relations with the GRT community and encourage from that community a pro-active role in working with the County Council and its partners, leading to better take up of any service offer. The EqIA is available as a background paper to this report.

20. **Future Work Programme** - To support this GRT policy and its contribution to the County Council's plan, the communities function within the Place Department will lead the development of a work programme that will take forward and improve our relationships and response to the GRT community and seek to build on the positive work achieved to date.

21. In particular it will focus on the greater involvement of the GRT community in future service provision, together with improved partnership and integrated working, in order to increase the confidence, safety and engagement within and between our communities.

22. This work programme will take place in 2018 and include:

- ensuring that the needs of this community are addressed as evidenced in the County Council Plan 2017-2021 and that partners have a better understanding of GRT matters;
- clarifying the County Council's position with regard to this community and how this will be reflected in any service offer;
- improving integrated work and approaches between partners especially the police, the County Council, district and borough councils and the private and third sectors;
- reviewing current forums where GRT issues are discussed;
- exploring options to ensure that the voices and lived experiences of the GRT community are heard, shared and contribute to inform and shape any service offer;
- updating the current UE protocol for working with the GRT community (see paragraph 23 below);
- examining the feasibility of providing a site within the County to move UEs
- contributing to a multi-agency exercise to scope the possible development of a negotiated stopping strategy within the county;
- scoping and sharing good practice from other areas of the country;
- taking account of current and emerging national legislation and Government guidelines.

23. **UE Protocol** - In working to address UEs the County Council will update and develop the existing "Good Practice Protocol – Managing UEs on County Council Land". The revised protocol will enable the County Council to make clear, consistent and appropriate decisions on UEs, strike a balance between the needs of all parties, and ensure information is both shared appropriately with other partners and is accurately recorded. The protocol will:

- Identify lead officers and areas of responsibility;
- Confirm key stages, processes and timescales to be followed ;
- Detail the information to be gathered and recorded;
- Specify the officer responsible for taking the decision on how to respond to each UE.

24. The revised protocol will take full account of the Government report issued by the Department for Communities and Local Government, "Guidance on Managing Unauthorised Encampments", and will enable the County Council to:

- Manage the UE in an efficient and effective manner taking account of the nature of the site of the UE, the potential level of nuisance for local residents, the Council and partners together with the rights and responsibilities of Gypsies and Travellers.
- Consider the full range of powers and legislation available and utilise these as appropriate.
- Consider and balance the rights and needs of resident communities together with those of Gypsies and Travellers.

- Take account of any welfare concerns of any members of the UE.

25. The County Council will work with other partners, in particular district and borough councils and Nottinghamshire Police, to ensure that they are aware of this protocol and to promote and maximise the opportunity for other partners to adopt this as their template for working with UEs – so furthering a consistent approach in Nottinghamshire. This element of the work programme is scheduled for completion by June 2018 and the revised protocol will be submitted for formal approval by Policy Committee at that time.

26. The adoption of the policy contained within this report (and the associated work programme) will ensure the County Council is in an excellent position to influence and contribute to service developments in this area being considered by other partners, in particular Nottinghamshire Police and district and borough councils. It will also ensure that the County Council can influence and consider how elements of service delivery in this area could be maximised through a local, county or regional approach. This will ensure both a consistency of approach and cost effective solutions. It will ensure that the County Council complies with the Public Sector Equality Duty which was created under the Equality Act 2010. This requires the County Council to have due regard for advancing equality, involving:

- removing or minimising disadvantages suffered by people due to their protected characteristics;
- taking steps to meet the needs of people from protected groups where these are different from the needs of other people;
- encouraging people from protected groups to participate in public life or in other activities where their participation is proportionately low.

Other Options Considered

27. County Councils do not have any statutory responsibilities specifically towards the GRT community. However, the County Council must consider the broader implications of the Equality Act (2010), Human Rights Act (1998) and the Care Act (2014) when working with the GRT community (as with any other community).

28. The Equality Act (2010) does not define race, however as noted above, case law has established that Romany Gypsies and Irish Travellers are covered by the protected characteristic of race. Under the Act, the Council has a duty to actively seek to eliminate unlawful discrimination, advance equality of opportunity and promote good relations.

Reasons for the Recommendation/s

29. To inform Members of the need to agree and approve a policy on its approach to the GRT community in Nottinghamshire together with a work programme to support this.

Statutory and Policy Implications

30. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are

described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

31. There are no specific financial implications arising directly from this report.

RECOMMENDATIONS

- 1) That Members agree and approve the Policy Statement within the report in regard to its commitment to working with the GRT community;
- 2) That Members ratify the work programme detailed within this report to support the Policy Statement.

Derek Higton
Service Director, Place & Communities

For any enquiries about this report please contact Mark Walker, Group Manager, Trading Standards and Community Safety (0115) 977 2173, or Tony Shardlow, Community Safety Officer (0115) 977 3846

Constitutional Comments [SLB 23/02/2018]

32. Policy Committee is the appropriate body to consider the content of this report.

Financial Comments [RWK 05/03/2018]

33. The financial implications are set out in paragraph 31 of the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Joint Strategic Needs Assessment: GRT Health Chapter 2017
- The Traveller Movement Report 2017 – “The Last Acceptable Form of Racism?”
- Good Practice Protocol – Managing UEs on Nottinghamshire County Council Land
- Government report issued by the Department for Communities and Local Government, “Guidance on Managing Unauthorised Encampments”
- Equality Impact Assessment : Nottinghamshire County Council’s Policy Statement for the Gypsy Roma and Traveller Community

Electoral Division(s) and Members Affected

- All

Policy Statement:- Working with Gypsy, Roma, Traveller, (GRT), Community

“The County Council recognises the importance, value and contributions of the diversity of people who live, work and visit Nottinghamshire. It acknowledges that to achieve strong and vibrant communities people need to feel confident, safe and engaged with decision making. To achieve this with the GRT community the Council will aim to:

- Eliminate unlawful racial discrimination, harassment and victimisation**
- Advance equality of opportunity between people who share a protected characteristic and those who do not**
- Foster good relations between people who share a protected characteristic and those who do not**
- Balance the rights and needs of our settled communities with those of the GRT community.**

In order to achieve these aims the County Council will work with partners and the GRT community in order to improve access to services and increase levels of take-up. It will look to build the confidence of the GRT community to encourage it to take a pro-active role in working with the County Council and the Council’s partners, developing potential for active citizenship and better access to the cultural offer from Nottinghamshire.

The County Council recognises that Unauthorised Encampments (UEs) represent an important element of the work of the County Council with the GRT community. They are often the first point of contact between the County Council and individual members of the transient GRT community and offer the potential to develop better working relationships.

The County Council will respond to and consider the location, circumstances and impact of each UE individually, and will work with partner agencies and members of the GRT community to offer a proportionate response to each UE.

The County Council will work with partners to improve community safety amongst and between the GRT and settled communities”.

REPORT OF CHAIRMAN OF COMMUNITIES AND PLACE COMMITTEE**REVIEW OF THE COUNTY COUNCIL'S STATEMENT OF COMMUNITY INVOLVEMENT****Purpose of the Report**

1. To advise Members of the results of a consultation exercise undertaken on proposed changes to the County Council's Statement of Community Involvement (SCI) in planning matters.

InformationStatement of Community Involvement

2. At its meeting on 20 July 2017, Communities and Place Committee approved the carrying out of a review and revision of the Council's SCI.
3. The County Council has had an adopted SCI since January 2007. The SCI details how the County Council will engage with local communities when carrying out its planning functions namely in the preparation of forward plans and policies such as the Minerals and Waste Local Plans and in the determination of planning applications submitted to the County Council.
4. The provisions in the SCI may go further than the statutory consultation and publicity requirements that the County Council must follow when carrying out its statutory planning functions.
5. The SCI was first reviewed in April 2013. The previous review was undertaken to reflect changes in national legislation and planning guidance and changes in the way the Council worked.
6. This second review of the SCI has been carried out in light of an increasing emphasis on electronic communication since the 2013 review and an increasing focus on the efficient use of County Council resources while still carrying out its statutory duties and additional measures for effective community involvement in planning matters. It also reflects how electronic communication now plays a greater role in everyday life than in 2013.
7. Following a period of public consultation, a number of changes were made to the SCI which were then considered by Communities and Place Committee on the 8 February 2018 and the SCI has now been forwarded to Policy Committee for adoption as Council Policy.

Proposed Key Changes in the Statement of Community Involvement Second Review

8. The key changes to the SCI proposed as part of the Second Review are as follows:

- The revised SCI encourages the use of web based communication and email being the primary means by which consultation responses are submitted. This is intended to replace a large proportion of the paper-based submissions NCC has received previously, providing a more efficient system for NCC and a more convenient tool for many of the people wishing to submit responses in respect of consultation documents. The SCI however clearly states that where there is a genuine need, the planning service will still communicate and receive communications by hard copy post.
 - As part of increased online consultation the SCI emphasises that County Council email lists ('email me' service) and social media will be used. This is intended to reflect the changing way in which people interact and brings the SCI in line with the approach detailed in the Nottinghamshire Strategic Plan 2017-2021.
 - With respect to local plans, It is proposed that the near-neighbour notification and parish council sections in the SCI will be replaced by a 'local notification' section. This has a different approach to community consultation. This approach would focus on work with parish councils, town councils and parish meetings to provide targeted and visible notification within communities. A Parish Council (or equivalent) would be provided with support and materials enabling them to place notices in locations deemed most appropriate within the communities they serve. They will also be provided with information enabling them to place information on their website. Where there is no parish council (or equivalent), NCC will fulfil these duties.
 - Removing reference to the potential use of press adverts and publications relating to planning, minerals and waste industries for both local plan consultation and development management issues, as placing adverts in these media are no longer considered an effective form of communication
 - Information regarding pre-application charging for planning applications has been added.
 - Minor changes have been made to reflect current legislation and best practice.
9. Alterations to the SCI following the proposed changes above, changes in legislation or following consultation responses are detailed in the copy of the SCI attached in **Appendix A**. These amendments are emphasised by them being highlighted in grey (in this manner).

Other Options Considered

10. Keeping the adopted 2013 review as the current Statement of Community Involvement. However, it is likely that over time it will become increasingly outdated as a policy document and would not reflect current means of communication.

Reason/s for Recommendation/s

11. To ensure that Nottinghamshire County Council's Statement of Community Involvement reflects best practice and remains up to date.

Statutory and Policy Implications

12. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Data Protection and Information Governance

13. Advice has been sought from County Council colleagues to ensure that the SCI remains relevant to up to date data protection legislation. Along with this approach, the activities proposed in the SCI will continue to adhere to all relevant data protection legislation and internal County Council protocols.

Financial Implications

14. This second review of the SCI enables Nottinghamshire County Council to perform its duties and to engage with people and organisations on planning matters principally via online and electronic communications and thereby help reduce stationary and printing costs.

Public Sector Equality Duty implications

15. The SCI has been updated to better reflect protected characteristics relevant to planning matters as detailed in the Equalities Act 2010.

Smarter Working Implications

16. An increased focus on electronic communication enables Nottinghamshire County Council to continue to perform its duties as a County Planning Authority alongside new smarter working practices.

RECOMMENDATION/S

- 1) That the Statement of Community Involvement – Second Review be adopted as Council policy as a formal replacement for the SCI – First Review, adopted in 2013.

Councillor John Cottee
Chairman of Communities and Place Committee

For any enquiries about this report please contact: Robert Portman, Planning Officer, Planning Policy Team, 0115 977 4291

Constitutional Comments [RHC 08/03/2018]

17. Policy Committee is the appropriate body to consider the contents of this report.

Financial Comments [RWK 05/03/2018]

18. The financial implications are set out in paragraph 14 of the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- 'None'

Electoral Division(s) and Member(s) Affected

- All

Nottinghamshire County Council's Statement of Community Involvement 2018

Covering all minerals and waste planning issues and planning applications for the County Council's own development such as schools and roads.

Foreword by Councillor John Cottee

Nottinghamshire County Council adopted its first Statement of Community Involvement (SCI) in January 2007. This was reviewed in 2013 to reflect national and local changes to the planning system and we are now carrying out a further review to make sure that the SCI remains fit for purpose.

The SCI is a public document which sets out the County Council's policy and approach to public consultation and involvement in the minerals and waste plans it prepares and the planning applications it determines. We are keen to ensure that communities have the opportunity to be involved in the planning processes and this document sets out how we will do this.

Two key strands underpin the SCI. These are 'front loading', which means providing the opportunity to comment on planning proposals at the earliest possible stage, and 'continuous involvement' which ensures that communities continue to be engaged throughout the plan preparation and planning application processes.

This second review of the SCI confirms the County Council's commitment to engage the community in the planning process and to ensure that we can reach the best possible consensus when making planning decisions.

Councillor John Cottee
Chairman of Communities and Place Committee

Preface

The County Council adopted its first Statement of Community Involvement (SCI) on 18 January 2007. This was reviewed in 2013 and the Council is now carrying out its second review largely to reflect changes that have taken place in the way the Planning Group engages with the public when carrying out its statutory functions. This updated SCI document replaces the earlier adopted version. It has been prepared in accordance with the National Planning Policy Framework, the Localism Act 2011 and the Town and Country Planning (Local Planning) (England) Regulations 2012.

The SCI relates solely to matters for which the County Council has planning powers, with these being the determination of planning applications (minerals development, waste development and the County Council's own developments) and the preparation of local plans and policies (relating to minerals and waste). The SCI document is not relevant to other areas of County Council business or District and Borough Councils, who will have their own Statements of Community Involvement.¹

Changes to the SCI

Since the SCI was last updated in 2013 new secondary legislation and planning guidance has come into effect. These are the National Planning Practice Guidance, an online planning information resource first published to the web in 2014, National Planning Policy for Waste (published 2014) and the Town and Country Planning (Development Management Procedure) (England) Order 2015.

During this time the County Council has carried out ongoing consultation on its replacement Minerals and Waste Local Plans and on a large number of planning applications.

The County Council places great emphasis on making the best use of available resources to deliver its services. A wide range of local authority services are now delivered online and the Council is committed to providing online/electronic services wherever possible, in line with the Nottinghamshire Strategic Plan 2017-2021, which states:

'The digital age is rapidly transforming the way we live, do business and spend our leisure time. People expect to access information, pay bills, make bookings and buy things online. We will reflect this by continuing to introduce new technology and more online services'

The SCI has therefore been updated to show that we will provide information electronically wherever possible through the use of the Council's website and social media accounts, email and interactive Local Plan consultation database. Where there is a genuine need to provide information in printed form we will continue to do so. All planning documents are available in large copy prints, audio cassette, Braille, or languages other than English. If you

¹ Clarification added to emphasise that the SCI relates to County planning matters.

document in one of these formats please contact the address below:

Planning Policy Team,
Nottinghamshire County Council, County Hall
Loughborough Road, West Bridgford
Nottingham
NG2 7QP
tel; 0300 500 80 80 (customer service centre)
email; development.planning@nottscc.gov.uk

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1 Introduction

1.1 Local communities need to be confident that they will be fully involved in the preparation of future plans, strategies and planning proposals that may affect them. All local planning authorities are required to prepare a 'Statement of Community Involvement' (SCI) setting out how this will be achieved. For the County Council, which is the minerals, waste and county planning authority for Nottinghamshire, this SCI will cover the following areas:

- **The preparation of local plans and policies** which provide the framework for determining all future proposals for minerals and waste developments, such as quarries and major waste management facilities. These plans can include preferred areas for development as well as more general policies.
- **The determination of planning applications** for minerals, waste and the County Council's own development such as schools and roads.

1.2 The seven Nottinghamshire district and borough councils all prepare separate SCIs covering their planning functions. These comprise the preparation of local plans and the determination of planning applications for all other types of development such as housing, retail and employment. Nottingham City Council is a unitary authority and is therefore responsible for all planning matters within its boundary.

What are the main aims of the SCI?

1.3 Public consultation has always been an important part of the planning process and the County Council's methods and approaches have been improved and developed over time in line with good practice. The following four principles are central to our approach:

- **Front loading** – this means providing opportunities to be involved in planning proposals at the earliest possible stage and before decisions are made, allowing communities to help shape forward plans and future development.
- **Continuous involvement** – ensuring communities are continually engaged throughout the planning process both for plan preparation and where planning applications are amended or revised prior to determination. This should result in a greater understanding, consensus and ownership of planning decisions.

- **Transparency** – ensuring the reasons why certain planning decisions have been made, and what other options have been considered and why they have been rejected, are available for public scrutiny and consultation.
 - **Providing feedback** – letting the community know when and why a decision has been made and how their views have been taken into account.
- 1.4 The principles underpinning the SCI build upon the priorities and guiding principles set out in the County Council’s **Sustainable Community Strategy 2010-2020**. For example, the strategy wants to see local people influencing decisions which affect their lives and their communities. Principles such as this are reflected in other public engagement initiatives such as the **Public Engagement Policy**. Together they aim to promote the economic, social and environmental well-being of the county whilst allowing communities early and continuous involvement in shaping future development.
- 1.5 By tailoring its methods of community involvement to address the four key principles highlighted above, the County Council believes it will carry out its planning functions in a way which helps achieve consensus and legitimacy in delivering sustainable development.
- 1.6 The remainder of this SCI considers community involvement proposals for forward plans and then planning applications. The final sections consider how community involvement will be resourced and monitored.

2 The preparation of local plans

Why plan for minerals and waste?

- 2.1 Where minerals are worked, and how we can best deal with all of the waste we produce present major planning issues for the county and are of obvious interest and concern to those communities most affected by these activities. The industry must also be able to plan ahead so it can justify the long term investment needed to develop new or extended minerals and waste sites on which our environment, economy and lifestyle depend.
- 2.2 Nottinghamshire County Council is the minerals and waste planning authority for the county of Nottinghamshire. This means that it is responsible for all matters associated with minerals and waste development, including setting land use policies and determining planning applications for such developments.
- 2.3 Decisions on planning applications should be made on the basis of having an up-to-date statutory development plan setting out strategy, provision, policies and sites for development. Alongside the Local Plans produced by the District and Borough Councils, the County Council has a statutory duty to prepare, and keep up-to-date, an equivalent local plan or plans for minerals and waste, and together these documents form the development plan for the county. A Local Plan can be produced as a single, comprehensive document or it can be made up of several separate documents depending on local circumstances.
- 2.4 Exactly which documents are going to be prepared and how and when is set out in the **Minerals and Waste Development Scheme**. The County Council's current development scheme came into effect in September 2017.
- 2.5 All Local Plans must be monitored annually and reviewed as necessary to make sure that the Council's planning policies remain comprehensive and up to date.

How are the new plans prepared?

- 2.6 Each development plan document must go through various stages of public consultation and an independent examination before it can be adopted. (see **Figure 1**).
- 2.7 This process begins with a formal requirement to notify and consult relevant organisations and individuals on the scope of the plan to be prepared. This is commonly referred to as the '**issues and options**' stage which explores what reasonable options exist to address the planning issues that need to be resolved. The information and comments received are then used to help prepare the draft plan. Although there is no legal requirement to do so, the local authority/Council will often prepare and consult informally on a '**draft**

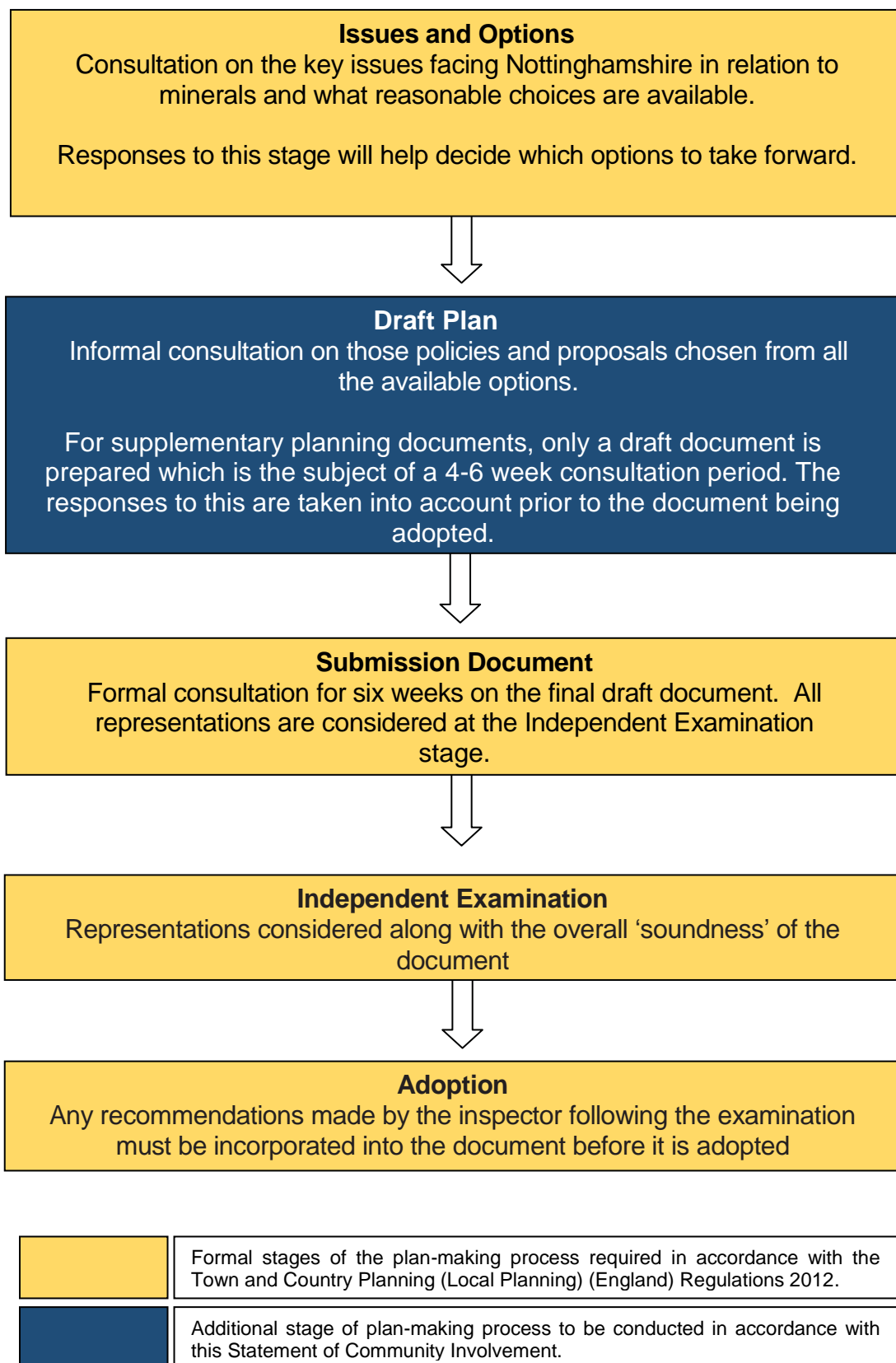
plan' document setting out which options are considered the most suitable to go forward into the plan and which have been rejected and why. Responses from this informal stage can then be used to help prepare the final version of the plan known as the '**submission draft**' document which must be published and subject to a formal consultation period before being submitted to the Secretary of State. This draft will be made available for public inspection at the County Council's offices and on our website. All of the representations received are then forwarded to the Secretary of State, along with the submission draft and any supporting information. This will include a summary of the main issues raised and how these have been taken into account during the plan's preparation which will also be available on the County Council's website or provided on request. Once the plan has been submitted, there will be an independent examination held before a Government appointed inspector.

2.8 The examination considers the 'soundness' of the whole document along with any objections made at the submission draft consultation stage. The document can only be adopted if it is found to be sound by the Inspector who may recommend specific changes in order to make the plan sound. If it is not found sound the plan will have to be withdrawn. Copies of the adopted document will be published as soon as possible after its adoption and also published on the County Council's website. Figure 1 provides an overview of the plan preparation process. The Council will undertake and publish regular monitoring updates.

2.9 The County Council would be open to discussing matters further with consultees, where there is the potential for ongoing concerns to be addressed/stated ahead of examination of the local plan through a Statement of Common Ground. This would be agreed between, for example, the County Council and organisations such as Government Bodies and Infrastructure Organisations. There would also be a willingness to (where relevant) hold stakeholder meetings with such organisations at the submission stage of the Plan. This would provide for continued discussions with regard to the potential for, and the content of, a Statement of Common Ground in respect of informing the Inspector and other parties about areas of agreement, especially in instances where concerns have previously been raised.²

² Added to include mention of discussion and stakeholder meetings (and the potential for the agreement of a Statement of Common Ground) to discuss ongoing concerns where relevant.

Figure 1³ – Stages in the preparation of development plan documents



³ Figure 1 has been simplified for clarity.

Who approves the Minerals and Waste Development Framework documents?

- 2.10 All development plan documents must be considered and approved by the County Council's elected councillors. The approval mechanisms vary according to each document and the stage it is at. Early stages may be considered by the relevant committee but more formal stages will have to be considered at a meeting of the Full Council.

Legal challenges and complaints

- 2.11 All objectors to the submission draft document have a right to have their views heard at the independent examination. Neither the County Council nor objectors have a right to appeal against the inspector's recommendations.
- 2.12 Objectors can legally challenge the inspector's decision on a development plan document within six weeks of it being adopted. Such challenges are by judicial review and must be based on procedural or other legal errors in preparing the document. The County Council is also able to challenge the inspector's report on procedural or other legal grounds.
- 2.13 The usual rights to make a complaint against the County Council on procedural grounds, maladministration or other substantive legal error applies and can be made to the Local Government Ombudsman, or via the County Council's own complaints procedure.

Compliance with the SCI

- 2.14 The County Council is required to comply with the measures set out in the SCI when preparing its minerals and waste development plan documents. Evidence given at an independent examination which shows otherwise could result in the inspector at the independent examination recommending that a development plan document be withdrawn.

3 Community involvement during the preparation of local plans

- 3.1 The SCI has to meet the legal minimum requirements for consultation and publicity and more importantly set out the additional measures to be carried out to meet the four key principles set out in paragraph 1.3. These are considered below:

Consultation and publicity – what the County Council must do

- 3.2 For development plan documents, consultation must begin at the issues and options stage. The County Council must consult all organisations and other bodies it considers relevant to the document being prepared. These will normally include Government departments and agencies, the minerals and waste industries, district and parish councils and environmental groups. The types of groups that will be consulted are set out in annex 1.
- 3.3 At the formal consultation stages, details of the plan, public information notices and forms for making representations will be published on the Council's website along with all other relevant documents, such as the sustainability appraisal. Notifications will be sent by email or other online communication methods such as social media. For those who do not have access to a computer, documents can be viewed at libraries and printed copies will be available in council offices at both Nottinghamshire County Council, Nottingham City Council and Nottinghamshire District Council Offices. Wherever possible details will be sent electronically (see paragraphs 3.10 - 3.12). Paper copies can still be requested and will be provided in circumstances where there is a clearly identified need and information cannot be obtained by other means⁴.
- 3.4 Please note, there is no specific requirement to publicise, or to consult local residents or any other members of the public individually but the Council will make use of the internet/social media channels and local media to publicise consultations as widely as possible⁵. Local residents, interest groups and other organisations are encouraged to register for updates via the Council's 'email me' service or to register directly with the County Council's online consultation database in order to receive direct notification of upcoming plan consultations. The Council will also send information to Parish Councils, Parish Meetings, Town Councils and Neighbourhood Forums⁶ to enable them to publicise the upcoming plan within their administrative area.
- 3.5 At the formal consultation stages, there is no requirement to place public notices in the local press but copies of all relevant documents and details of how to make representations must be made available for public inspection at the County Council's main office. This information must also be made available on

⁴ Added to refer to assurance that communication and engagement will still be possible for those without internet access.

⁵ Added in respect of increased use of social media and electronic communication.

⁶ Reference to Neighbourhood Forums and Parish Meetings has been added where Parish and Town Councils are referred to.

the County Council's website and electronically. The County Council must make provision for representations to be submitted electronically.

- 3.6 For supplementary planning documents, only one formal consultation stage takes place which follows similar procedures as those detailed in paragraphs 3.3 and 3.4 above for development plan documents.

Duty to Co-operate

- 3.7 The Localism Act 2011 also introduced a specific 'Duty to Co-operate' for local planning authorities and other public bodies which extends to all parts of the UK, not just our local area, where there are common issues such as cross- boundary movements of waste, the supply of minerals or the impact of major proposed development schemes. Where such issues are identified, the County Council will work with those local planning authorities or public bodies affected to address these issues through its development plan documents.

Additional consultation and community involvement – what the County Council proposes to do

- 3.8 As well as the minimum requirements set out above, we will also make use of some or all of the following methods, where appropriate, to ensure wider community engagement in line with the four key principles set out in paragraph 1.3.
- 3.9 Each measure is discussed in turn and its relevance to each type of local plan and the stages of its preparation detailed. A summary of all the options can be found in Table 2 (see pages 23-25). Tables 3a-3c (pages 26-28) detail when each of these options is likely to be used at the various stages of preparation for the different types of forward plans.

- **The use of online consultation and other electronic communication⁷**

- 3.10 The use of the internet and email is now an integral part of everyday life and is a key tool when it comes to consultation and raising public awareness. Email will be the main way the County Council communicates, with contact email addresses being distributed on material produced by the County Council. Once communication with Nottinghamshire County Council has been established by email, it will be used as the main form of communication.
- 3.11 Members of the public will be able to comment on documents online, allowing them to provide public comments and also to view the comments left by others. The County Council will communicate by post where there is a clearly

⁷ This section has been added to reflect the intention that web based communication and email will be the primary means by which consultation responses are submitted.

identified need, which will be considered by the County Council on a case by case basis.

3.12 All of the consultation documents and supporting information will be available on the County Council's website for the public to view and download. The website shall be the primary location through which information regarding consultation documents is accessed. The internet publication of these documents will be publicised using County Council e-mailing lists, social media pages and County Council website to raise the profile of these documents, awareness of them and provide updates on plan progress. Where there is a clearly identified need, paper copies will still be provided upon request as deemed appropriate by the County Council.

- **Local Notification⁸**

3.13 Minerals and waste development proposals can have a real or perceived impact over a wide area and possibly whole communities. While near neighbour notification is useful for planning applications, which affect a specific location (see paragraphs 5.12 – 5.16), there are practical problems in using this for local plans which cover the entire county. It is not feasible for the County Council to write to every resident individually, but where minerals and waste plans are putting forward site specific proposals, rather than general, strategic policies, notifications placed physically within communities may provide a useful means of communication.

3.14 The relevant parish council(s) (or parish meetings where relevant), town council(s) and neighbourhood forums for an area affected by proposals will be supplied with the materials to enable them to place notices providing information regarding site specific proposals. This enables the relevant local government body (the parish) for the local area to place notification and information in the locations most appropriate for the community it serves. Parish representatives are the best placed administrations within their area to determine the best locations for information, which might include libraries, leisure centres (or gyms), church halls, parish notice boards or other suitable locations, depending on the parish. Paragraphs 3.15 and 3.18 detail further how the County Council will work with parish/town councils.

3.15 Where there is no parish council, town council or parish meeting to conduct the activities detailed in paragraphs 3.14 and 3.15 in an area affected by proposals, the responsibility for ensuring that information is placed would fall to Nottinghamshire County Council.

3.16 This approach (detailed in paragraphs 3.13 – 3.15) provides a balance between consultation of those directly and indirectly affected by proposals and the costs and practical limitations associated with consultation on proposals

⁸ This section replaces the 'near-neighbour notification' section in the 2013 SCI review. It represents a move away from notices placed close to allocation boundaries to engagement with Parish Councils (and other similar groups) to provide information to whole communities.

across a large County area. Additional information and support will be provided to Parish and Town Councils as they have an important role to play in relaying information to their communities when local plans are produced.

3.17 This is especially the case for site specific proposals, as information, materials and communication in addition to the notices (detailed in paragraphs 3.13) will enable parish/town councils to feed back any local concerns back to the planning authority. The relevant parish/town councils, both within and adjacent to the county, can assist the County Council in deciding how best to inform local communities, including groups we find hard to reach, of proposals being put forward. These options include suggesting suitable venues for public meetings and exhibitions (such as parish/community halls, local libraries, public houses and post offices), leaflet drops and providing suitable locations to place additional documents on public display or display posters and/or leaflets.

3.18 The partnership between the County Council and parish/town councils (and also parish meetings and neighbourhood forums) is important because the latter often have limited resources, both in terms of active members and finance, to fully engage their parishioners. By working together, the objectives of the SCI can be more fully realised. The County Council will support parish councils, town councils and parish meetings with information and resources to enable them to provide information to those within their parish area. Resources such as exhibition material and electronic copies of information leaflet designs can be passed onto parishes (by the County Council) to assist them in fulfilment of this role. In return, parish/town councils will be expected to work co-operatively with the County Council in providing adequate communication with their parishioners and the County Council, pro-actively using the materials and information provided to them.

- **The use of the media**

3.19 Press releases provide an important function in enabling the County Council to distribute information to major media outlets. Press releases give media outlets such as local and national radio, television and printed press (along with their associated online output) information provided by the County Council at no additional cost to the authority. Press releases have the potential to reach a large number of Nottinghamshire residents with information about local plans.

3.20 Where it is deemed appropriate at officers' discretion regarding any perceived need in relation to the Plan concerned, the County Council will go beyond the statutory minimum consultation by placing public notices in local press.

3.21 The County Council may also use its own publications, such as County Life, to bring key documents to the public's attention. The County Council's own social media and web presence also provide a low cost, highly visible and easily distributable means of notifying the public about key documents.

- **Stakeholder meetings**

3.22 Stakeholder meetings allow a wide range of views to be considered in an open forum. Stakeholder groups have no decision-making powers but can take involvement beyond paper consultation exercises, enabling different parties to interact and see how their views relate to the views of others. This process can help to achieve a greater degree of consensus than otherwise might be the case.

3.23 To be effective, the groups are best limited in number, usually no more than 15 or 20 to contain sufficient expertise and breadth of views to provide useful guidance. Representatives from Government bodies and agencies, the minerals and waste industries, environmental bodies and community organisations would normally be invited.

3.24 Stakeholder groups are more likely to be suitable when preparing strategic policies setting out the broad approach on the amount and type of development that is appropriate, for example, rather than when considering specific site allocations where individual commercial and local interests may tend to make objective discussion and consensus more difficult to attain.

3.25 To be most effective the stakeholder groups should be established at the very start of preparing a new plan, before any informal general consultation begins. This means that the group can debate and provide evidence on what issues and options apply.

- **The role of voluntary and community organisations**

3.26 Voluntary and community organisations can also have an important role to play when local plans are produced. This can be in partnership with parish/town councils or, in areas where there is no such council; they could be the main focus for engagement within the local community.

- **Groups we find hard to reach**

3.27 There are some sections of the community which are 'hard to reach' and often do not get involved in planning matters. These include:

- Older people
- Young people
- Black and Minority Ethnic communities
- Gypsies or travellers
- People with disabilities

Under the Equality Act 2010, they have protected characteristics and we are required, as a public body, to eliminate discrimination, promote quality of opportunity and foster good relations between those who have a protected characteristic and those who do not. By working with these groups and their representatives, it is our aim to give them a more active role in planning

matters in the future.⁹

- **Feedback**

3.28 It is important that all consultees receive good feedback so they know how their comments and representations have been considered and why they have been accepted or rejected. For example, this can help objectors decide if they wish to maintain their objection or withdraw it in light of the County Council's reasons for not accepting it.

3.29 Below is a summary of how and when we will use these various consultation methods.

- **How will we use your personal information**

3.30 Please be aware that in order to maintain an effective consultation database of those who have expressed an interest in any of the planning documents being prepared, we will need to keep a record of your name, address, contact details on our database and any comments you have made. Consultation responses cannot be made anonymously and others will have the right to see comments you have made. Where these are published on the County Council's website we will make every effort to ensure that personal details such as your address, phone number, email and signature are not visible to others. However we are required to make copies of responses available to view at our offices on request and this may include original correspondence.

3.31 If you no longer wish to be contacted by the County Council about any of our planning documents you can let us know and ask us to remove your details at any time. However, if you have made formal representations on a plan we cannot delete your record unless you withdraw your representation which will mean it cannot be considered by an Inspector at examination. This also applies to any representations you may have made on a plan that has since been adopted. The Council has to retain all of the information and evidence, including representations that were part of preparing that plan in case of any procedural/legal challenge. Usually the information is retained until the Plan has been replaced which may take several years.

3.32 For the purposes of data protection information we hold will only be used in connection with the planning documents we are preparing and the planning process and we will not pass this on to anyone else other than those who are directly involved with preparing the plan and the planning process unless we are required to disclose this information by law or by any government department or other regulatory authority. Where relevant, information may be disclosed to others outside the County Council such as the Planning Inspectorate.

3.33 For more details on how we use your information and who to contact if you have any concerns please view Nottinghamshire County Council's Privacy

⁹ This section has been amended to better reflect the content of the Equality Act 2010 in respect of protected characteristics.

4 The determination of planning applications

Types of planning applications

- 4.1 The County Council is responsible for determining planning applications for minerals and waste proposals and for its own development. The type, scale and complexity of applications vary enormously. These range from major proposals including new quarries, large scale waste management facilities, new schools and road schemes to minor applications such as applications to vary planning conditions, extensions to schools and multi-use games areas on school sites. Since their introduction in 2009 the County Council has also dealt with applications for non-material amendments to existing planning permissions.
- 4.2 The nature of each application can influence how long the County Council will take to deal with them. There are statutory time limits to be met for dealing with planning applications comprising 13 weeks for major applications and 8 weeks for all other types of development, unless the application is subject to an Environmental Impact Assessment in which case a 16 week limit applies.¹¹ Where these time limits cannot be met, the Council can ask the applicant for an extension of time to allow for further consideration of the proposal or to conclude a legal agreement for instance. Local Planning Authorities are monitored by central government which publicises league tables for performance on the determination of planning applications. Failure to meet the criteria, which includes the percentage of applications for major development that have been determined within the statutory period or the agreed extended time, can result in the council being “designated” on the basis of under-performance.¹² If this happens legislation allows applicants to submit their planning applications for major development to be submitted directly to the Secretary of State for determination.
- 4.3 Most major proposals are accompanied by a significant number of plans and supporting documents, including, where required, an environmental statement. These can raise complex issues which require extensive consultation. Sometimes planning permissions are subject to legal agreements, which often adds further time to the issuing of the decision.

Stages of determining planning applications

- 4.4 The process of determining a planning application is essentially the same regardless of its size or complexity. The applicant must submit the necessary forms and supporting information and the County Council then makes a decision to grant or refuse planning permission after all consultations and

¹⁰ Added to ensure the SCI is up to date with changing County Council data protection processes regarding personal data. This will be in line with the General Data Protection Regulation, which is to be implemented May 2018.

¹¹ Added to clarify different statutory time limits on applications.

¹² This section has been added to include mention of Planning Authority performance monitoring.

negotiations have been completed. In some cases, the applicant may discuss the proposal with the County Council, other key consultees and local communities before the planning application is submitted. The merits of this approach are considered later in paragraphs 5.6 – 5.8.

Making the decision

- 4.5 Major and controversial planning applications are reported to the County Council's Planning and Licensing Committee for a decision by councillors. Using powers delegated to the Corporate Director for Place planning officers make decisions on more straightforward applications and those which do not raise significant objections.
- 4.6 If a planning application is approved, the decision usually has a comprehensive set of planning conditions attached (with reasons) and sometimes a legal agreement covering aspects such as financial contributions towards the long term aftercare and management of a site or dealing with lorry routeing. Where appropriate, the County Council will undertake additional consultation on the approval of details required by planning conditions.

Compliance with the SCI, rights of appeal, legal challenges and complaints

- 4.7 If a planning application is refused, reasons have to be stated and applicants have the right to appeal against this decision or against conditions they consider to be unreasonable. Appeals are considered by a government inspector who can either uphold the decision made by the local planning authority or overturn it. Occasionally appeals are decided by the Secretary of State taking an inspector's advice into account. There are no third party rights to appeal against planning decisions. Additionally, there is no right of appeal against decisions made on the County Council's own applications.
- 4.8 The County Council has an internal complaints procedure to deal with matters relating to how planning applications have been processed, rather than the planning decisions themselves. This could include complaints that public consultation on a planning application has not complied with relevant legislation or the SCI. Matters which cannot be resolved through this mechanism can be referred to the Local Government Ombudsman.
- 4.9 Very occasionally planning decisions are subject to legal challenges. Procedures for appeals and legal challenges fall outside the remit of this SCI.

Monitoring and enforcement

- 4.10 As most minerals and waste operations are ongoing and often long term developments, the County Council regularly monitors sites to ensure that planning conditions and legal agreements are complied with. This is done in accordance with the Council's adopted 'Local Enforcement Plan'. Where breaches of planning control occur then the County Council has a range of

powers to enforce compliance. Other statutory bodies, such as the Environment Agency and district council environmental health departments, also have a role in enforcing the proper operation of sites.

Liaison groups

- 4.11 The County Council has encouraged the setting up of local liaison groups at most major quarries and waste management sites to help assist the dialogue between the industry and local communities. These meetings are usually held twice a year and may include site visits to look at how the development is progressing and what issues, if any, are of concern to the local community. Experience has shown that these meetings can be very effective at resolving issues and preventing problems before they arise, and operators are usually keen to be involved in this way.

5 Community involvement during the determination of planning applications

- 5.1 The methods of community involvement detailed below begin by setting out what the County Council must do, followed by additional measures it intends to undertake to meet the four key principles of the SCI (see paragraph 1.3).

Consultation, publicity and notification – what the County Council must do

- 5.2 Planning regulations require various bodies and organisations to be consulted on certain planning applications. For example, where an application is likely to have a significant effect on a public highway, the local highways authority will be consulted. If a proposed development involves mining operations or the deposit of refuse or waste, the Environment Agency has to be consulted. Consultees are consulted via email and directed to the County Council's website to inspect all planning application documents. Planning law requires statutory consultees to respond within a set time period of 21 days. Such bodies as Natural England will be allowed a longer period of time to comment on certain applications where this is prescribed by legislation.
- 5.3 The minimum requirements for publicity and notifying local communities are very limited, comprising a combination of one or more of the following: site notices; local press notices and notifying adjacent land owners. Applicants must notify any owners of land to which the application relates if they are not themselves the owner. Which methods apply varies according to the type of planning application, details of which are set out in Table 1.

Table 1 – Publicity requirements for planning applications (as required by Article 15 of the Town and Country Planning (Development Management Procedure) (England) Order 2015)	
Type of Application	Minimum Publicity Requirements
Applications for major development* submitted with an Environmental Statement; Applications involving a departure from the development plan; or Development affecting a public right of way	Posting of a site notice for not less than 21 days, Notice in a local newspaper and the County Council (CC) Website Note: applications accompanied by an Environmental Statement require publicity for 30 days (2017 EIA Regulations)
Other applications for major development*	Posting of a site notice for not less than 21 days, or serving notice on adjoining owners/occupiers; Notice in a local newspaper and CC Website
Applications affecting the setting of a listed building or the character or appearance of a conservation area	Posting of a site notice for not less than 21 days; Notice in a local newspaper and CC Website
Other applications	Posting of a site notice for not less than 21 days; or Serving notice on adjoining owners/occupiers and CC Website ¹³

¹³ Updated to reflect a change in legislation (Town and Country Planning (Development Management Procedure) (England) Order 2015 and 2017 EIA Regulations).

Copies of all site and press notices are now available to view on the Council's website.¹⁴ The Environmental Impact Assessment Regulations 2017 made this mandatory for all applications accompanied by an Environmental statement.

* The definition of major development is set out in annex 2.

Additional consultation, publicity and notification – what the County Council proposes to do

- 5.4 The statutory publicity and notification measures listed above are unlikely to be very effective at engaging local communities. For instance, press notices generally follow a very legalistic format, do not set out the detailed nature of the proposed development and there is no means of establishing readership levels. Site notices are better at informing local residents of proposals, providing they are placed at accessible and easily visible locations, which the County Council endeavours to do.
- 5.5 On their own, a single press and a single site notice are limited in achieving their purpose of notifying the public of proposals and fall well short of the consultation and engagement measures communities can reasonably expect. Over the last few years the County Council has increased the use of its website as a means to publicise planning applications, to receive comments on applications and to publish planning decisions. The County Council also intends to use a range of other measures, discussed below, to ensure the SCI principles are met. A summary of all potential options is set out in Table 2 (see pages 23-25). Details of when these options are likely to be used are set out in Table 3c (see page 28).

• Pre-application discussions

- 5.6 The National Planning Policy Framework (paras.189-190) stresses that although developers are not required to engage with local authorities before submitting planning applications early engagement has significant potential to improve the efficiency and effectiveness of the planning application system for all parties and should therefore be encouraged. The main advantage of pre-application discussions is that they provide an opportunity for the County Council to check if any issues have not been covered before the planning application is submitted. Pre-application advice can be provided on all proposals and can involve consultation with other organisations. This reduces the likelihood of the County Council having to request further information from the developer once the application has been submitted and then having to carry out further consultation on that information. Occasionally, County Council officers may advise developers that their proposals are contrary to planning policy and therefore planning permission is unlikely to be granted,

¹⁴ Updated to reflect a change in legislation.

leading to proposals being dropped. Like many other local authorities and statutory consultees, the County Council now charge for providing pre-application advice with the level of fee reflecting the size and nature of the proposal.

- 5.7 Developers often request that pre-application information be treated as confidential for commercial reasons, for example when they have yet to secure a legal interest in the land. However, where such obstacles do not exist or have been overcome, there are benefits to ‘front-loading’ the process by encouraging pre-application dialogue with the wider community. This early stage offers a real opportunity for local residents to influence a development before final proposals are drawn up and submitted. While the County Council cannot make pre-application discussions compulsory (with the exception of those application types listed in paragraph 5.9 below) it will continue to encourage developers to enter into them, and welcomes the involvement of the local community. Developers/applicants will be encouraged to ensure that all public meetings and exhibitions are held at easily accessible locations.
- 5.8 In March 2014 the Government published the National Planning Practice Guidance (NPPG) which includes a section on the value of pre-application engagement and states that “pre-application engagement by prospective applicants offers significant potential to improve both efficiency and effectiveness of the planning application system and improve the quality of planning applications and the likelihood of success”. The Guidance added “that the approach to pre-application engagement needs to be tailored to the nature of the proposed development and the issues to be addressed”.
- 5.9 Notwithstanding the significant benefits of pre-application engagement, for most applications consultation at this stage is not mandatory. Currently the only compulsory pre-application consultation involving applications which may be determined by the County Council relates to proposals for wind farms (involving the installation of more than 2 turbines or the hub height of any turbine exceeds 15 metres in height). Where such proposals are submitted applications must be accompanied by details of consultation undertaken, any responses received and how these responses have been taken into account. For more information on this please contact the Development Management Team.
- 5.10 The only other compulsory pre-application consultation relates to Nationally Significant Infrastructure Projects, such as new power stations or major road or rail developments. In 2012 the Planning Inspectorate became the agency for this type of project.

• Additional consultation

- 5.11 Beyond the statutory consultees described in paragraph 5.2, the County Council already consults other bodies and organisations it considers are likely to be interested in proposed developments and this will continue in the future.

These include parish councils (and also where relevant town councils, parish meetings and neighbourhood forums) organisations such as Nottinghamshire Wildlife Trust, and local community groups. Annex 1 sets out the types of bodies and organisations to be consulted.

- **Near-neighbour notification on submitted applications**

- 5.12 Past experience has confirmed that the most effective way of ensuring local communities are aware of a proposal is through a combination of additional site notices placed in residential areas close to application sites and notifying individual homes and businesses by letter. Near-neighbour notification on planning applications is widely practiced by local planning authorities and the County Council is no exception. There are however no national standards or guidelines and each planning authority has had to develop its own approach.
- 5.13 The extent of this near-neighbour notification has been at the discretion of the case officer dealing with the application and it is proposed to retain this method in the future.
- 5.14 The extent of near-neighbour notification will vary according to the scale and nature of the proposal and its potential impact. For minor applications, consultation can usually be limited to properties adjoining the site. For larger scale proposals, such as a new quarry or school, more extensive consultation may be undertaken. The case officer will take account of details such as the proposed location and scale of new buildings and plant, access points, vehicular routes, and potential noise, odour, dust, landscape and visual impacts, and make a professional and well-informed judgement on who to notify. This process could also involve seeking advice from parish/town councils about any hard to reach groups in the area etc.
- 5.15 This approach differs from the local notification methods that will apply to development plan allocations for minerals and waste proposals (see paragraphs 3.13 – 3.15). This is because consultation on planning applications can be more precisely tailored to reflect the expected impact of a detailed proposal. When deciding on the extent of near-neighbour notification, the County Council must also balance the benefits of consulting everyone who might be directly or indirectly affected against the costs and practicalities of doing so. The desire is to improve the quality of community involvement, not merely the quantity.
- 5.16 The County Council will continue to carry out near neighbour notification by letter with a site location plan enclosed and details of the County Council's website at which details of the application can be viewed. Comments will be invited within 21 days with all responses being acknowledged by the County Council. Consultees and local residents are encouraged to respond electronically by using the comments form on the County Council's website or by emailing the Development Management Team (at development.management@nottsc.gov.uk). Where an email address is

provided the County Council will use this method as the default means of communication with consultees. Specific requests for additional time to respond will usually be agreed to, where appropriate and practical. This could be to enable discussion at a parish council meeting or to take into account public and bank holidays. However, the County Council will continue to be mindful of Government targets for determining applications within specific timeframes when agreeing to additional time to respond to consultations on applications. If significant amendments are made to a proposal the County Council will notify all relevant consultees about these changes.

- **The use of the internet and other electronic communication**

5.17 The County Council has significantly developed its website and other forms of electronic communication in recent years to make its planning service more efficient and accessible to the public, applicants and consultees. This includes placing information, including planning application forms, plans and other supporting documents on the County Council website. Copies of consultee responses, press and site notices, as well as decision notices are also displayed on the website. Local residents and other interested parties are encouraged to submit their representations on planning applications electronically and an online form has been developed for this purpose. Submitting representations electronically allows all future correspondence to be carried out electronically which is both the most efficient and effective way of keeping local residents informed of the progress of the application. Furthermore, the County Council has an 'email me' service which provides subscribers with regular updates about key planning matters.

- **Stakeholder group meetings**

5.18 For complex applications or those in sensitive areas the County Council will consider bringing together the various parties involved in the planning application process including developers, government bodies and agencies, and representatives from local action or community groups to form stakeholder groups. Meetings of these groups could be arranged at key stages of the application to establish common ground and help facilitate proposals that are acceptable to all parties.

- **The role of parish/town councils**

5.19 Parish councils, town councils (and where relevant parish meetings and neighbourhood forums) both within and adjacent to the application site, have an important role to play in the planning process and can often be the focus of putting forward local concerns to the planning authority. They can also help identify hard to reach groups who might wish to be consulted on a certain issue. They can help identify suitable locations, such as parish/community halls, local libraries, public houses and post offices, for displaying additional planning documents, plans and other information, such as leaflets and posters, while also advising of suitable venues for holding public meetings and exhibitions. The County Council will continue to build on its existing

relationships with them to make their role, and use of resources, more effective.

- **The role of voluntary and community organisations**

5.20 Voluntary and community organisations can also have an important role to play when planning applications are submitted. This can be in partnership with parish/town councils or, in areas where there is no such council, they could be the main focus for engagement within the local community.

- **Groups we find hard to reach**

5.21 There are some sections of the community which are 'hard to reach' and often do not get involved in planning matters. These include:

- Older people
- Young people
- Black and Minority Ethnic communities
- Gypsies or travellers
- People with disabilities

Under the Equality Act 2010, they have protected characteristics and we are required, as a public body, to eliminate discrimination, promote quality of opportunity and foster good relations between those who have a protected characteristic and those who do not. By working with these groups and their representatives, it is our aim to give them a more active role in planning matters in the future.¹⁵

5.22 It is important that the SCI develops and expands on traditional consultation and engagement methods and adopts more imaginative ways of ensuring that these sections of the community become more involved in the County Council's planning issues. The various methods proposed are summarised in Table 2 (pages 23-25) and by working with these groups and their representatives, it is hoped that they can have a more active role in planning matters in the future.

- **Public speaking at committee**

5.23 Where planning applications are reported to Planning and Licensing Committee for a decision, anyone who has submitted written views on an application within the appropriate timescale and has indicated a wish to speak

¹⁵ This section has been amended to better reflect the content of the Equality Act 2010 in respect of protected characteristics.

at committee is given an opportunity to register to speak. The places to speak at committee are allocated on a first come first served basis. Further details about who can speak and for how long are set out in the County Council's 'Guidance Note on Public Speaking at Committee' which can be viewed on the County Council's website at www.nottinghamshire.gov.uk

- **The use of the media**

5.24 The County Council will utilise the local media and its own publications, such as County Life, to inform the public of planning applications submitted to it, particularly major or controversial ones. This could include press releases to local papers, radio stations and television. Where relevant social media, such as Twitter, will also be used. However, due to their high cost, the County Council will encourage developers to undertake these as part of any public engagement exercise, particularly at the pre-application stage.

- **Feedback**

5.25 The final decision on all applications , including the statement of reasons for the decision, conditions and legal obligations will be placed on the County Council's website at www.nottinghamshire.gov.uk

5.26 Anyone making representations should be aware that names, addresses and any comments made will be publicly available and will be retained by the County Council for the relevant period of time. Names and signatures will not be put on the County Council's website.

Table 2 – Community involvement options – objectives and benefits

Method	Objectives and benefits
Near-neighbour notification	<ul style="list-style-type: none"> • Ensures residents and businesses near a proposal are informed
Stakeholder meetings	<ul style="list-style-type: none"> • Brings together representatives covering a broad cross-section of views • Establishes common ground at an early stage prior to plans and policies being drawn up • Allows issues to be discussed in great depth • Creates better evidence base
Pre-application discussions	<ul style="list-style-type: none"> • Identifies important issues at an early stage in the process • Provides an opportunity for the local community to influence a proposal before it is finalised • Can discourage planning applications being submitted which are likely to be refused
Placing planning documents at local venues	<ul style="list-style-type: none"> • Makes information more easily available to local communities
Loaning plans and documents	<ul style="list-style-type: none"> • Makes information available to those with mobility problems which would otherwise be inaccessible
Public meetings	<ul style="list-style-type: none"> • Engages local communities on local issues • Can highlight main issues at an early stage e.g. pre-application • Response sheets could provide valuable feedback

Method	Objectives and benefits
Public exhibitions	<ul style="list-style-type: none"> • Makes detailed information available to local communities • Raises the profile of significant local planning issues • Response sheets could provide valuable feedback • Provides opportunities for detailed conversations
Leaflets and posters	<ul style="list-style-type: none"> • User-friendly way of informing the public and consultees of the key points/issues of complex documents and applications
County Council website	<ul style="list-style-type: none"> • Makes detailed and up to date planning information widely available • Meets e-government targets • Provides an alternative way to make representations
Parish/town council websites	<ul style="list-style-type: none"> • Key planning information can be placed on the parish/town council's (also parish meeting's or neighbourhood forum's) own website • Increases local ownership of planning issues • Improves working relationship between County Council and parish/town councils
Press releases	<ul style="list-style-type: none"> • Provides information to local radio and other media • Increases awareness and interest in planning matters • Reaches a wider audience including potentially 'hard to reach' groups at a low cost • Provides more user friendly format than statutory press notices

Method	Objectives and benefits
Press advert	<ul style="list-style-type: none"> • Promotes planning issues using local media • Increases awareness and interest in planning matters • Reaches a wider audience including potentially 'hard to reach' groups • Provides more user friendly format than statutory press notices • Guaranteed coverage, not subject to editorial decisions
County Council's own publications, such as County Life	<ul style="list-style-type: none"> • Increases awareness and interest in planning matters • User friendly format • Guaranteed coverage, not subject to editorial decisions
Professional publications, such as Minerals Planning	<ul style="list-style-type: none"> • Informs professional organisations of planning matters in the county at a low cost
Site liaison meetings	<ul style="list-style-type: none"> • Brings together site operators, council officers and the local community once a minerals or waste site is operational • Keeps local communities informed of site operations • Allows local concerns to be voiced and discussed in an open forum
Planning Aid	<ul style="list-style-type: none"> • Provides impartial planning advice to those who cannot afford it • Help communities understand the planning process • Allows local communities to play a more proactive role in planning

Table 3(a) – Community involvement – who, when and how

(A) Local Plans		Statutory consultation	Likely methods of additional community involvement										
			Stakeholder meetings	Documents at local venues	Lending documents and plans	Public meetings	Public exhibitions	Leaflets and/or posters	County Council website	Parish/town council (or parish meeting/neighbourhood forum)	Electronic communication	Press releases/adverts	County Council publications
Target group for method of community involvement	Stage of document preparation												
General public	Issues and options			✓	✓	✓	✓	✓	✓		✓	✓	✓
	Draft Plan			✓	✓	✓	✓	✓	✓		✓	✓	✓
	Submission			✓	✓			✓	✓		✓	✓	✓
Government bodies	Issues and options	✓	✓					✓	✓		✓	✓	
	Draft Plan	✓	✓					✓	✓		✓	✓	
	Submission	✓				✓	✓	✓	✓		✓	✓	
Parish/ town councils	Issues and options	✓				✓	✓	✓	✓	✓	✓	✓	✓
	Draft Plan	✓						✓	✓	✓	✓	✓	✓
	Submission	✓				✓	✓	✓	✓	✓	✓	✓	✓
Interest groups	Issues and options	✓	✓			✓	✓	✓	✓		✓	✓	✓
	Draft Plan	✓	✓					✓	✓		✓	✓	✓
	Submission	✓						✓	✓		✓	✓	✓
Other planning authorities	Issues and options	✓	✓					✓	✓		✓	✓	
	Draft Plan	✓	✓					✓	✓		✓	✓	
	Submission	✓						✓	✓		✓	✓	
Industry/utilities	Issues and options	✓	✓					✓	✓		✓	✓	
	Draft Plan	✓	✓					✓	✓		✓	✓	
	Submission	✓						✓	✓		✓	✓	

Table 3(b) – Community involvement – who, when and how

(B) Supplementary planning documents		Statutory consultation	Likely methods of additional community involvement						
			Docs at local venues	Loaning docs and plans	County Council website	Parish council/town council I (or parish meeting/neighbourhood forum) websites	Electronic communication	Press adverts	County Council publications
General public	Draft SPD consultation		✓	✓	✓		✓	✓	✓
Government bodies	Draft SPD consultation	✓			✓		✓	✓	✓
Parish/ town councils	Draft SPD consultation	✓	✓		✓	✓	✓	✓	✓
Interest groups	Draft SPD consultation	✓	✓		✓		✓	✓	
Other planning authorities	Draft SPD consultation	✓			✓		✓	✓	
Industry/utilities	Draft SPD consultation	✓			✓		✓	✓	

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Table 3(c) – Community involvement – who, when and how

(C) Planning applications		Statutory and non-statutory consultation	Statutory publicity	Likely methods of additional community involvement														
				Pre-application discussions	Near-neighbour notification	Stakeholder meetings	Documents at local venues	Loaning documents and plans	Public meetings and exhibitions	Leaflets and/or posters	County Council website	Parish council/town council I websites	Parish meeting/neighbourhood forum websites	Electronic communication	Press releases/adverts	County Council publications	Professional publications	Site liaison meetings
Target group for method of community involvement	Type of planning application																	
General public	Major/controversial		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			✓
	Minor		✓		✓		✓	✓			✓	✓	✓		✓			
Government bodies	Major/controversial	✓				✓							✓					
	Minor	✓																
Parish/ town councils	Major/controversial	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	
	Minor	✓	✓				✓	✓			✓	✓	✓		✓			
Interest groups	Major/controversial	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	
	Minor	✓	✓				✓	✓			✓	✓	✓		✓			
Other planning authorities	Major/controversial	✓		✓		✓								✓			✓	
	Minor	✓																
Industry/utilities	Major/controversial	✓		✓		✓					✓			✓	✓		✓	
	Minor	✓																

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6 Resourcing community involvement

Resources available within the County Council

- 6.1 The planning functions covered by this SCI are carried out by the Planning Group, which includes a Planning Policy team and a Development Management team.
- 6.2 The Group is supported by Administration Officers and a GIS Development Officer. Temporary staff and consultant services can also be engaged for particular planning tasks, or to meet periods of particularly high workload.
- 6.3 The County Council's Community and Voluntary Sector Team is available to provide advice on community involvement.

The role of Planning Aid England – a national Planning Aid service

- 6.4 People often prefer to seek independent planning advice and therefore local residents and groups will be made aware of the role of Planning Aid England. Planning Aid provides a free and independent advice service on all planning related matters for individuals and community groups who cannot afford consultant's fees. It also works with communities to help them understand the planning process so that they can play a more positive role in it. For more information contact the Planning Aid Adviceline:

Email: advice@planningaid.rtpi.org.uk

Making information accessible

- 6.5 The County Council will ensure that all forms of publicity are accessible to all sections of the community. The County Council's Communications and Marketing team are able to provide all consultation material, upon request, in other formats such as large print, audio and Braille. Information can also be provided in other languages. Venues chosen for public meetings/exhibitions or for viewing planning documents will be held in accessible locations, taking advice from parish councils where appropriate, as described above.

7 Monitoring and review

- 7.1 It is important that the methods of community involvement proposed in this SCI are regularly monitored in terms of their effectiveness. For instance, the SCI now advocates more use of electronic communication for its consultations to improve accessibility to information in the most cost effective way. The County Council will continue to work with the community to further enhance engagement measures in the light of experience. It is important that the County Council keeps track of these changes and that the SCI evolves in line with them.
- 7.2 The Minerals and Waste Development Framework arrangements have required the County Council to produce and publish an Authority Monitoring Report (AMR). An AMR has been published each year since the SCI was adopted. The Reports have acknowledged that the SCI predates significant revisions to the planning system since 2008, although the Government has advised that SCIs should not be reviewed for that reason alone. However, given the scale of the recent changes and other local factors, a review of the SCI is now considered to be timely. Regular Monitoring updates (in place of the AMRs) will continue to monitor the progress of the documents in the framework, including the updated SCI. They will also monitor the effectiveness of the policies and key indicators in these documents. For the SCI, this might include monitoring the response rate to near-neighbour notification exercises; information which could be used to decide whether the County Council's present approach to this remains unchanged or is amended.
- 7.3 The current SCI is the result of the first review of the originally adopted SCI. This version will be the second review of the originally adopted SCI. It will continue to be monitored and reviewed within the next 5 years.

Annex 1 – List of types of consultees

The following bodies and organisations will be consulted, as appropriate, during the preparation of development plan documents and the determination of planning applications.

County councils, district councils, parish/town councils – all councils within and adjacent to the county to be consulted on Development Plan documents which affect them along with, where appropriate, other councils. For planning applications, the relevant district and parish/town council (or where relevant parish meeting/neighbourhood forum) is consulted along with other adjacent/nearby councils depending on the nature and size of the application.

Other statutory consultees, such as Historic England, the Environment Agency, Natural England and the Coal Authority, are consulted on development plan documents and planning applications as appropriate depending on the nature of the document/application.

Interest groups such as Nottinghamshire Wildlife Trust, the Woodland Trust and local action groups. For development plan documents and planning applications, such groups will be consulted where appropriate depending on the nature of the document/application.

Utility companies such as Severn Trent Water and Network Rail. For development plan documents and planning applications, such companies will be consulted where appropriate depending on the nature of the document/application.

The minerals and waste industries and their trade associations – these will be consulted on minerals and/or waste development plan documents as appropriate. Consultation on planning applications will not normally be carried out.

As well as the consultation requirements for development plan documents and planning applications, the 2012 Regulations prescribe a list of specific bodies with which the Council must engage under the Duty to Cooperate.

The County Council keeps a full list of all consultees for the minerals and waste development plan documents which is regularly updated and can be provided, or made available to view, on request. It should be noted that this list is not exhaustive and also relates to successor bodies where reorganisations occur.

Details on which bodies and organisations the County Council must consult are set out in Article 18 of the Town and Country Planning (Development Management Procedure) (England) Order 2015. Full details of the content of Article 18 can be provided by the County Council on request.

Annex 2 – Definition of ‘major development’

This is as defined in the Town and Country Planning (Development Management Procedure) (England) Order 2015

Major development means development involving any one or more of the following:

- (a) the winning and working of minerals or the use of land for mineral-working deposits;
 - (b) waste development, such as any operational development designed to be used wholly or mainly for the purpose of, or a material change of use to, treating, storing, processing or disposing of refuse or waste materials;
 - (c) the provision of dwelling houses where:
 - (i) the number of dwelling houses to be provided is 10 or more; or
 - (ii) the development is to be carried out on a site having an area of 0.5 hectare or more and it is not known whether the development falls within paragraph (c) (i);
 - (d) the provision of a building or buildings where the floor space to be created by the development is 1,000 square metres or more; or
 - (e) development carried out on a site having an area of 1 hectare or more.
-

Annex 3 – Legislative and policy background to the preparation of the SCI and other sources of information

Legal background

The SCI has been prepared in accordance with the following Government legislation and regulations.

Localism Act 2011

Planning and Compulsory Purchase Act 2004 as amended

Main Government legislation implementing the new Minerals and Waste Development Framework arrangements.

Town and Country Planning (Local Planning) (England) Regulations 2012

Sets out the procedures for the preparation of the SCI and other documents forming the Minerals and Waste Development Framework.

Town and Country Planning (Development Management Procedure) (England) Order 2015

Sets out procedures to be followed when determining planning applications.

National planning guidance and other Government publications

The following Government planning policy guidance has been considered during the preparation of the SCI

National Planning Policy Framework 2012

Government planning policy for plan making and development management.

National Planning Practice Guidance 2014

Government planning guidance

Community Involvement in Planning – The Government’s Objectives (ODPM, 2004)

Government paper setting out the importance of greater community involvement and the principles underpinning the Government’s approach to it.

Statements of Community Involvement and Planning Applications (ODPM, 2004)

Government report detailing the different community involvement approaches available during the planning application process.

Framework for Assessing Soundness and Focussing Representations on Development Plan Documents/Statements of Community Involvement – Consultation Draft, February 2005 (Planning Inspectorate)

Draft guidance on making representations and the independent examination process for the new Local Development Framework arrangements.

Nottinghamshire County Council publications

Nottinghamshire's Sustainable Community Strategy 2010- 2020

Aims to improve the economic, social and environmental wellbeing of the county through local partnerships.

Details of this document can be found on the County Council's website at www.nottinghamshire.gov.uk

Public Engagement Policy

Sets out a number of standards which the County Council should meet whenever it carries out a public consultation exercise.

Guidance Note on Public Speaking at Planning and Licensing Committee

Explains how people can voice issues regarding a particular planning application at committee before a decision on the application is taken.

Other legislation relevant to the preparation of the SCI

Equality Act 2010

Freedom of Information Act 2000

Data Protection Act 1998

The following websites provide additional useful information on the SCI and the planning system in general

**Department of Communities and Local Government
(www.communities.gov.uk)**

Provides information on Government guidelines and initiatives.

Planning Portal (www.planningportal.gov.uk)

User friendly internet guide to the planning system set up by the Government.

**REPORT OF THE CHAIRMAN OF THE GOVERNANCE AND ETHICS
COMMITTEE****STATEMENT OF ACCOUNTS 2017/18 – ACCOUNTING POLICIES****Purpose of the Report**

1. The report seeks approval for the proposed 2017/18 accounting policies.

Information

2. The Statement of Accounts includes a section explaining the accounting policies used in producing the main statements for the benefit of the reader. Both the Code of Practice on Local Authority Accounting (The Code) and our External Auditors indicate that these policies should be reviewed and approved by the County Council prior to inclusion in the final Statement of Accounts.
3. At the Governance and Ethics Committee on 14 March 2018, Members recommended the updated 2017/18 accounting policies to Policy Committee for approval. The proposed accounting policies can be seen in appendix B.
4. A summary of the proposed changes to the 2017/18 accounting policies can be seen in Appendix A.

Other Options Considered

5. This report is for the approval of statutory required accounting policies.

Reason/s for Recommendations

6. It is considered good practice to have the Authority's accounting policies approved each year. In addition, the Code of Practice on Local Authority Accounting in the United Kingdom requires changes to the Authority's accounting policies to be approved.

Statutory and Policy Implications

7. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) That Committee approves the proposed 2017/18 accounting policies.

Councillor Bruce Laughton
Chairman of the Governance and Ethics Committee

For any enquiries about this report please contact:

Glen Bicknell, Senior Finance Business Partner, Financial Strategy and Compliance

Constitutional Comments (GR 19/03/2018)

8. Pursuant to the Nottinghamshire County Councils constitution the Policy Committee has the delegated authority for matters set out within this report. The recommendation contained within the report falls within that scheme of delegation to this Committee.

Financial Comments (GB 13/03/2018)

9. There are no financial implications arising from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Code of Practice on Local Accounting in the United Kingdom 2017/18

Electoral Division(s) and Member(s) Affected

- Not applicable

2017/18 Accounting Policy Changes

AP2 Accruals of Income and Expenditure – The following narrative has been omitted from the 2017/18 Accounting Policies as it is in excess of that required by the Code (as identified by KPMG last year):

- Where significant debtors or creditors arise from such items as government grants and pay awards that are not yet finalised, estimates are made on the basis of best information that is currently available.

Accounting instructions require accruals to be raised where amounts are in excess of £5,000. Schools are asked to take responsibility for accruing for employee costs where individual amounts owing are in excess of £5,000.

AP5 Costs of Support Services – In 2016/17, this policy explained that the main statements no longer had to be prepared in accordance with SERCOP. We do not have to state this again and hence for 2017/18 the policy has been simplified.

AP6 Government Grants and Contributions – The following narrative has been omitted as it duplicates what is already stated in the Policy (and is in excess of that required by the Code):

‘Where the grant has yet to be used to fund the revenue expenditure in relation to the purpose of the grant, it is appropriated into a specific revenue grants reserve. Once the expenditure has been incurred it is appropriated out of the specific revenue grants reserve.’

AP8 Property Plant and Equipment – The following narrative has been included to set out the frequency of asset valuations:

‘Assets included in the Balance Sheet at current value are revalued sufficiently regularly to ensure that their carrying amount is not materially different from their current value at the year-end, but as a minimum every five years.’

Also, the ‘Accounting for Schools PPE’ has been incorporated into this note so that all PPE policies are in the same place.

AP9 REFfCUS – The following narrative has been omitted from the 2017/18 Accounting Policies as it is in excess of that required by the Code:

‘Capital grants made to other bodies are written off to the appropriate Service revenue account during the financial year because they do not represent value for money to the Authority beyond the end of the financial year. This includes grants made to bodies for which the Authority is the accountable body and exercises control over grant distribution.’

AP13 Intangible Assets – The following narrative has been omitted from the 2017/18 Accounting Policies on the basis of non-materiality:

‘Internally generated assets are capitalised where it is demonstrable that the project is technically feasible and is intended to be completed (with adequate resources being available) and the Authority will be able to generate future economic benefits or deliver service potential by being able to sell or use the asset. Expenditure is capitalised where it can be measured reliably as attributable to the asset and is restricted to that incurred during the development phase (research expenditure cannot be capitalised).

Expenditure on the development of websites is not capitalised if the website is solely or primarily intended to promote or advertise the Authority's goods or services.'

AP15 Employee Benefits and Pensions – The following narrative has been removed from the 2017/18 Accounting Policies as it is not a policy and the numbers are shown elsewhere in the Statement of Accounts:

'Application of these revised assumptions has resulted in an increase in liabilities measured at the balance sheet date of £1,248.0 million (£1,137.0 million LGPS, £111.0 million Teachers).'

AP28 Accounting for Council Tax and NNDR – We have identified a need to include an accounting policy.

STATEMENT OF ACCOUNTING POLICIES

1. General Policies

The Statement of Accounts summarises the Authority's transactions for the 2017/18 financial year and its position at the year-end of 31 March 2018. The Authority is required to prepare an annual Statement of Accounts by the Accounts and Audit (England) Regulations 2015, which require them to be prepared in accordance with proper accounting practices. These practices primarily comprise the Code of Practice on Local Authority Accounting in the United Kingdom 2017/18 and the Service Reporting Code of Practice 2017/18, supported by International Financial Reporting Standards (IFRS).

The accounting convention adopted in the Statement of Accounts is principally historical cost, modified by the revaluation of certain categories of non-current assets and financial instruments.

2. Accruals of Income and Expenditure

Activity is accounted for in the year that it takes place, not simply when cash payments are made or received. In particular:

- Revenue from the sale of goods is recognised when the Authority transfers the significant risks and rewards of ownership to the purchaser and it is probable that economic benefits or service potential associated with the transaction will flow to the Authority
- Revenue from the provision of services is recognised when the Authority can measure reliably the percentage of completion of the transaction and it is probable that economic benefits or service potential associated with the transaction will flow to the Authority
- Supplies are recorded as expenditure when they are consumed – where there is a gap between the date supplies are received and their consumption, they are carried as inventories on the Balance Sheet
- Expenses in relation to services received (including services provided by employees) are recorded as expenditure when the services are received rather than when payments are made
- Interest receivable on investments and payable on borrowings is accounted for respectively as income and expenditure on the basis of the effective interest rate for the relevant financial instrument rather than the cash flows fixed or determined by the contract
- Where revenue and expenditure have been recognised but cash has not been received or paid, a debtor or creditor for the relevant amount is recorded in the Balance Sheet. Where debts may not be settled, the balance of debtors is written down and a charge made to revenue for the income that might not be collected

3. Prior Period Adjustments, Changes in Accounting Policies, Estimates and Errors

Prior period adjustments may arise as a result of a change in accounting policies or to correct a material error. Changes in accounting estimates are accounted for prospectively, i.e. in the current and future years affected by the change and do not give rise to a prior period adjustment.

Changes in accounting policies are only made when required by proper accounting practices or the change provides more reliable or relevant information about the effect of transactions, other events and conditions on the Authority's financial position or financial performance. Where a change is made, it is applied retrospectively (unless stated otherwise) by adjusting opening balances and comparative amounts for the prior period as if the new policy had always been applied.

Material errors discovered in prior period figures are corrected retrospectively by amending opening balances and comparative amounts for the prior period.

4. Events after the Balance Sheet Date

Events after the Balance Sheet date are those events, both favourable and unfavourable, that occur between the end of the reporting period and the date when the Statement of Accounts is authorised for issue. Two types of events can be identified:

- those that provide evidence of conditions that existed at the end of the reporting period – the Statement of Accounts is adjusted to reflect such events
- those that are indicative of conditions that arose after the reporting period – the Statement of Accounts is not adjusted to reflect such events, but where a category of events would have a material effect, disclosure is made in the notes of the nature of the events and their estimated financial effect.

Events taking place after the date of authorisation for issue are not reflected in the Statement of Accounts.

5. Costs of Support Services

The costs of overheads and support services are charged to services in accordance with the Authority's arrangements for reporting accountability and financial performance.

6. Government Grants and Contributions

Whether paid on account, by instalments or in arrears, government grants and third party contributions and donations are recognised as due to the Authority when there is reasonable assurance that:

- the Authority will comply with the conditions attached to the payments, and
- the grants or contributions will be received.

Amounts recognised as due to the Authority are not credited to the Comprehensive Income and Expenditure Statement until conditions attached to the grant or contribution have been satisfied. Conditions are stipulations that specify that the future economic benefits or service potential embodied in the asset acquired using the grant or contribution are required to be consumed by the recipient as specified, or future economic benefits or service potential must be returned to the transferor.

Monies advanced as grants and contributions for which conditions have not been satisfied are carried in the Balance Sheet as receipts in advance. When conditions are satisfied, the grant or contribution is credited to the relevant service line (attributable revenue grants and contributions) or Taxation and Non-Specific Grant Income (non-ringfenced revenue grants and all capital grants) in the Comprehensive Income and Expenditure Statement.

Where capital grants are credited to the Comprehensive Income and Expenditure Statement, they are reversed out of the General Fund Balance in the Movement in Reserves Statement.

Where the grant has yet to be used to finance capital expenditure, it is posted to the Capital Grants Unapplied reserve. Where it has been applied, it is posted to the Capital Adjustment Account. Amounts in the Capital Grants Unapplied reserve are transferred to the Capital Adjustment Account once they have been applied to fund capital expenditure.

7. Charges to Revenue for Non-Current Assets

Services, support services and trading accounts are debited with the following amounts to record the cost of holding non-current assets during the year:

- depreciation attributable to the assets used by the relevant service
- revaluation and impairment losses on assets used by the service where there are no accumulated gains in the Revaluation Reserve against which the losses can be written off
- amortisation of intangible non-current assets attributable to the service.

The Authority is not required to raise Council Tax to fund depreciation, revaluation and impairment losses or amortisation. However, it is required to make an annual contribution from revenue towards the reduction in its overall borrowing requirement equal to an amount calculated on a prudent basis determined by the Authority in accordance with statutory guidance.

Depreciation, revaluation and impairment losses and amortisation are therefore replaced by the contribution in the General Fund Balance (Minimum Revenue Provision), by way of an adjusting transaction with the Capital Adjustment Account in the Movement in Reserves Statement for the difference between the two.

8. Property, Plant and Equipment (PPE)

Assets that have physical substance and are held for use in the production or supply of goods or services, for rental to others, or for administrative purposes and that are expected to be used during more than one financial year are classified as Property, Plant and Equipment.

Recognition

Expenditure on the acquisition, creation or enhancement of Property, Plant and Equipment is capitalised on an accruals basis, provided that it is probable that the future economic benefits or service potential associated with the item will flow to the Authority and the cost of the item can be measured reliably. Expenditure that maintains but does not add to an asset's potential to deliver future economic benefits or service potential (i.e. repairs and maintenance) is charged as an expense when it is incurred.

Assets are, however, only recognised when they exceed the de-minimis levels for 2017/18 set out below:

Asset Type	De minimus
Land and Buildings	£0
Community Assets	£10,000
Infrastructure Assets	£0
Assets under Construction	£0
Heritage Assets	£10,000
Vehicles, Plant, Furniture and Equipment	£6,000
Other assets	£6,000

Measurement

Assets are initially measured at cost, comprising:

- the purchase price
- any costs attributable to bringing the asset to the location and condition necessary for it to be capable of operating in the manner intended by management

- an initial estimate of the costs of dismantling and removing the item and restoring the site on which it is located.

The Authority does not capitalise borrowing costs.

The cost of assets acquired other than by purchase is deemed to be its fair value, unless the acquisition does not have commercial substance (i.e. it will not lead to a variation in the cash flows of the Authority). In the latter case, where an asset is acquired via an exchange, the cost of the acquisition is the carrying amount of the asset given up by the Authority.

Donated assets are measured initially at fair value. The difference between fair value and any consideration paid is credited to the Taxation and Non-Specific Grant Income line of the Comprehensive Income and Expenditure Statement, unless the donation has been made conditionally. Until conditions are satisfied, the gain is held in the Donated Assets Account. Where gains are credited to the Comprehensive Income and Expenditure Statement, they are reversed out of the General Fund Balance to the Capital Adjustment Account in the Movement in Reserves Statement.

Assets are then carried in the Balance Sheet using the following measurement bases:

- Infrastructure, Community Assets and Assets under Construction – depreciated historical cost
- Heritage Assets - held at valuation or, under certain conditions, historical cost (depreciated where appropriate)
- Operational assets – current value, determined as the amount that would be paid for the asset in its existing use (existing use value – EUV).
- Non-Operational Assets (i.e. not providing service potential to the Authority) – fair value as per the requirements of IFRS13 using the principle of “highest and best use” from a market participants perspective.

Where there is no market-based evidence of current value because of the specialist nature of an asset (e.g. school buildings), depreciated replacement cost (DRC) is used as an estimate of current value.

Where non-property assets have short useful lives or low values (or both), depreciated historical cost basis is used as a proxy for current value.

The current land and building values used in the Statement of Accounts are based upon a certificate as at 31 March 2018 issued by xxx MRICS, Team Manager – Property and Strategy Manager from the Authority’s Property Division on 25th May 2017. A rolling 5 year revaluation programme is in place to maintain the accuracy of the valuations. When significant changes occur in any year they are included in the revaluation schedule undertaken during that year.

Assets included in the Balance Sheet at current value are revalued sufficiently regularly to ensure that their carrying amount is not materially different from their current value at the year-end, but as a minimum every five years. Increases in valuations are matched by credits to the Revaluation Reserve to recognise unrealised gains. Exceptionally, gains might be credited to the Comprehensive Income and Expenditure Statement where they arise from the reversal of a loss previously charged to a service.

Where decreases in value are identified, they are accounted for by:

- where there is a balance of revaluation gains for the asset in the Revaluation Reserve, the carrying amount of the asset is written down against that balance (up to the amount of the accumulated gains)
- where there is no balance in the Revaluation Reserve or an insufficient balance, the carrying amount of the asset is written down against the relevant service line(s) in the Comprehensive Income and Expenditure Statement.

The Revaluation Reserve contains revaluation gains recognised since 1 April 2007 only, the date of its formal implementation. Gains arising before that date have been consolidated into the Capital Adjustment Account.

Impairment

Assets are assessed at each year-end as to whether there is any indication that they may be impaired. Where indications exist and any possible differences are estimated to be material, the recoverable amount of the asset is estimated and, where this is less than the carrying amount of the asset, an impairment loss is recognised for the shortfall.

Where impairment losses are identified, they are accounted for by:

- where there is a balance of revaluation gains for the asset in the Revaluation Reserve, the carrying amount of the asset is written down against that balance (up to the amount of the accumulated gains)
- where there is no balance in the Revaluation Reserve or an insufficient balance, the carrying amount of the asset is written down against the relevant service line(s) in the Comprehensive Income and Expenditure Statement.

Where an impairment loss is reversed subsequently, the reversal is credited to the relevant service line(s) in the Comprehensive Income and Expenditure Statement, up to the amount of the original loss, adjusted for depreciation that would have been charged if the loss had not been recognised.

Depreciation

Depreciation is provided for on all PPE assets by the systematic allocation of their depreciable amounts over their useful lives. An exception is made for assets without a determinable finite useful life (i.e. freehold land and certain Community Assets) and assets that are not yet available for use (i.e. assets under construction).

Depreciation is charged in the year after acquisition or construction. Where depreciation is provided for, assets are depreciated using the straight line method. The lives of the assets vary and fall within the following ranges:

Asset Type	Useful Life (In Years)
Buildings	1 – 50
Vehicles and plant	1 – 20
Infrastructure	40
IT and other equipment	3 – 5
Intangibles	3 – 5
Furniture and Fittings	5 - 15

Where an item of PPE has major components whose costs are at least 20% of the total cost of the item, the components are depreciated separately. A review was carried out for all items over a de-minimus of £0.5 million. For the 2017/18 Statement of Accounts, the Authority has not identified any components to be depreciated separately.

Revaluation gains are also depreciated, with an amount equal to the difference between current value depreciation charged on assets and the depreciation that would have been chargeable based on their historical cost being transferred each year from the Revaluation Reserve to the Capital Adjustment Account.

Accounting for Schools Property, Plant and Equipment

The Authority has made detailed judgements regarding the control exercised over schools run in a wide variety of ways to determine whether non-current assets should be held on the Balance Sheet. The treatment of all schools has been considered by analysis predicated on the application of tests inherent within the following IFRS adopted by the CIPFA Code (Module 4 – Non Current Assets) – IAS16 – Property, Plant and Equipment, IAS17 – Leases and IFRIC12 – Service Concession Arrangements. This has resulted in the following treatment:

- Academy schools - off-Balance Sheet
- Foundation schools - on-Balance Sheet
- Voluntary Aided schools – off-Balance Sheet
- Voluntary Controlled schools – off-Balance Sheet
- Community schools – on-Balance Sheet

The assets of those Schools that convert to Academy status are derecognised from the Authority's Balance Sheet at nil proceeds. No impairment is recognised by the Authority prior to disposal.

Disposals and Non-current Assets Held for Sale

When it becomes probable that the carrying amount of an asset will be recovered principally through a sale transaction, rather than through its continuing use, it is reclassified as an Asset Held for Sale. The asset is revalued immediately before reclassification and then carried at the lower of this amount and fair value less costs to sell. Where there is a subsequent decrease to fair value less costs to sell, the loss is posted to the Other Operating Expenditure line in the Comprehensive Income and Expenditure Statement. Gains in fair value are recognised only up to the amount of any losses previously recognised in the Surplus or Deficit on Provision of Services. Depreciation is not charged on Assets Held for Sale.

If assets no longer meet the criteria to be classified as Assets Held for Sale, they are reclassified back to non-current assets and valued at the lower of their carrying amount before they were classified as Held for Sale; adjusted for depreciation, amortisation or revaluations that would have been recognised had they not been classified as Held for Sale, and their recoverable amount at the date of the decision not to sell.

Assets that are to be abandoned or scrapped are not reclassified as Assets Held for Sale.

When an asset is disposed of or decommissioned, the carrying amount of the asset in the Balance Sheet (whether PPE or Assets Held for Sale) is written off to the Other Operating Expenditure line in the Comprehensive Income and Expenditure Statement as part of the gain or loss on disposal. Receipts from disposals (if any) are credited to the same line in the Comprehensive Income and Expenditure Statement also as part of the gain or loss on disposal (i.e. netted off against the carrying value of the asset at the time of disposal). Any revaluation gains accumulated for the asset in the Revaluation Reserve are transferred to the Capital Adjustment Account.

Amounts received for a disposal in excess of £10,000 are categorised as capital receipts and are required to be credited to the Capital Receipts Reserve and can then be used for new capital investment or set aside to reduce the Authority's underlying need to borrow (the capital financing requirement).

The written-off value of disposals is not a charge against Council Tax, as the cost of non-current assets is fully provided for under separate arrangements for capital financing. Amounts are appropriated to the Capital Adjustment Account from the General Fund Balance in the Movement in Reserves Statement.

9. Revenue Expenditure Funded from Capital under Statute (REFfCUS)

Expenditure incurred during the year that may be capitalised under statutory provisions but that does not result in the creation of a non-current asset has been charged as expenditure to the relevant service in the Comprehensive Income and Expenditure Statement in the year. Where the Authority has determined to meet the cost of this expenditure from existing capital resources or by borrowing, a transfer in the Movement in Reserves Statement from the General Fund Balance to the Capital Adjustment Account then reverses out the amounts charged so that there is no impact on the level of Council Tax.

10. Leases

Leases are classified as finance leases where the terms of the lease transfer substantially all the risks and rewards incidental to ownership of the property, plant or equipment from the lessor to the lessee. All other leases are classified as operating leases.

Where a lease covers both land and buildings, the land and buildings elements are considered separately for classification.

Arrangements that do not have the legal status of a lease but convey a right to use an asset in return for payment are accounted for under this policy where fulfilment of the arrangement is dependent on the use of specific assets.

The Authority as Lessee

Finance Leases

Property, Plant and Equipment held under finance leases is recognised on the Balance Sheet at the commencement of the lease at its fair value measured at the lease's inception (or the present value of the minimum lease payments, if lower), where the fair value exceeds the de-minimus limit. The asset recognised is matched by a liability for the obligation to pay the lessor. Initial direct costs of the Authority are added to the carrying amount of the asset. Premiums paid on entry into a lease are applied to write down the lease liability. Where material, contingent rents are charged as expenses in the periods in which they are incurred.

Lease payments are apportioned between:

- a charge for the acquisition of the interest in the property, plant or equipment – applied to write down the lease liability, and
- a finance charge (debited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement).

Property, Plant and Equipment recognised under finance leases is accounted for using the policies applied generally to such assets, subject to depreciation being charged over the lease term if this is shorter than the asset's estimated useful life (where ownership of the asset does not transfer to the Authority at the end of the lease period).

The Authority is not required to raise Council Tax to cover depreciation or revaluation and impairment losses arising on leased assets. Instead, a prudent annual contribution is made from revenue funds towards the deemed capital investment in accordance with statutory requirements. Depreciation and revaluation and impairment losses are therefore substituted by a revenue contribution in the General Fund Balance, by way of an adjusting transaction with the Capital Adjustment Account in the Movement in Reserves Statement for the difference between the two.

Operating Leases

Rentals paid under operating leases are charged to the Comprehensive Income and Expenditure Statement as an expense of the services benefiting from use of the leased Property, Plant or Equipment. Charges are made on a straight-line basis over the life of the lease, even if this does not match the pattern of payments (e.g. there is a rent-free period at the commencement of the lease).

The Authority as Lessor

Finance Leases

Where the Authority grants a finance lease over a property or an item of plant or equipment, the relevant asset is written out of the Balance Sheet as a disposal. At the commencement of the lease, the carrying amount of the asset in the Balance Sheet (whether Property, Plant and Equipment or Assets Held for Sale) is written off to the Other Operating Expenditure line in the Comprehensive Income and Expenditure Statement as part of the gain or loss on disposal. A gain, representing the Authority's net investment in the lease, is credited to the same line in the Comprehensive Income and Expenditure Statement also as part of the gain or loss on disposal (i.e. netted off against the carrying value of the asset at the time of disposal), matched by a lease (long-term debtor) asset in the Balance Sheet.

Lease rentals receivable are apportioned between:

- a charge for the acquisition of the interest in the property – applied to write down the lease debtor (together with any premiums received), and
- finance income (credited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement).

The gain credited to the Comprehensive Income and Expenditure Statement on disposal is not permitted by statute to increase the General Fund Balance and is required to be treated as a capital receipt. Where a premium has been received, this is posted out of the General Fund Balance to the Capital Receipts Reserve in the Movement in Reserves Statement. Where the amount due in relation to the lease asset is to be settled by the payment of rentals in future financial years, this is posted out of the General Fund Balance to the Deferred Capital Receipts Reserve in the Movement in Reserves Statement. When the future rentals are received, the element for the capital receipt for the disposal of the asset is used to write down the lease debtor. At this point, the deferred capital receipts are transferred to the Capital Receipts Reserve.

The written-off value of disposals is not a charge against Council Tax, as the cost of non-current assets is fully provided for under separate arrangements for capital financing. Amounts are therefore appropriated to the Capital Adjustment Account from the General Fund Balance in the Movement in Reserves Statement.

Operating Leases

Where the Authority grants an operating lease over a property or an item of plant or equipment, the asset is retained in the Balance Sheet. Rental income is credited to the Other Operating Expenditure line in the Comprehensive Income and Expenditure Statement. Credits are made on a straight-line basis over the life of the lease, even if this does not match the pattern of payments (e.g. there is a premium paid at the commencement of the lease). Initial direct costs incurred in negotiating and arranging the lease are added to the carrying amount of the relevant asset and charged as an expense over the lease term on the same basis as rental income.

11. Private Finance Initiative (PFI) and Similar Contracts

The Authority has entered into a number of Private Finance Initiative contracts. PFI and similar contracts are agreements to receive services, where the responsibility for making available the property, plant and equipment needed to provide the services passes to the PFI contractor. As the Authority is deemed to control the services that are provided under its PFI schemes, and as ownership of the property, plant and equipment will pass to the Authority at the end of the contracts for no additional charge, the Authority carries the assets used under the contracts on its Balance Sheet as part of Property, Plant and Equipment.

The original recognition of these assets at fair value (based on the cost to purchase the property, plant and equipment) was balanced by the recognition of a liability for amounts due

to the scheme operator to pay for the capital investment. For the Bassetlaw Schools PFI scheme and East Leake Schools PFI scheme, the liability was written down by initial capital contributions of £9.0 million and £2.9 million respectively.

Non-current assets recognised on the Balance Sheet are revalued and depreciated in the same way as Property, Plant and Equipment owned by the Authority.

The amounts payable to the PFI operators each year are analysed into five elements:

- fair value of the services received during the year – debited to the relevant service in the Comprehensive Income and Expenditure Statement
- finance cost – an interest charge on the outstanding Balance Sheet liability, debited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement
- contingent rent – increases in the amount to be paid for the property arising during the contract, debited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement
- payment towards liability – applied to write down the Balance Sheet liability towards the PFI operator (the profile of write-downs is calculated using the same principles as for a finance lease)
- lifecycle replacement costs – charges for ongoing maintenance of the Property, Plant and Equipment debited to the relevant scheme.

12. Heritage Assets

Tangible and Intangible Heritage Assets

The Authority's Heritage Assets are held at County Hall or at the Nottinghamshire Archives. Nottinghamshire Archives has a number of architectural drawings and records relating to Rufford Abbey and the Savile of Rufford Estate. These collections are held in support of the primary objective of the Authority's Archives. In addition, the Authority retains a number of important ceremonial regalia and paintings that are also retained for increasing the knowledge, understanding and appreciation of the Authority's history and local area.

Heritage Assets are recognised and measured (including the treatment of revaluation gains and losses) in accordance with the Authority's accounting policies on Property, Plant and Equipment. However, some of the measurement rules are relaxed in relation to Heritage Assets as detailed below. The accounting policies in relation to Heritage Assets that are deemed to include elements of intangible Heritage Assets are also presented below. The Authority's collections of Heritage Assets are accounted for as follows:

Ceremonial Regalia and Art Collection

The ceremonial regalia and art collection includes ceremonial items, paintings (both oil and watercolour), sketches, sculptures, glass and silverware and is reported in the Balance Sheet at market value. These assets are deemed to have indeterminate lives and a high residual value; hence the Authority does not consider it appropriate to charge depreciation. Acquisitions are made by purchase or donation. Acquisitions are initially recognised at cost and donations are recognised at valuation with valuations provided by the external valuers and with reference to appropriate commercial markets for the paintings using the most relevant and recent information from sales at auctions.

Architectural Drawings and Records

The architectural drawings and records relating to the Savile of Rufford Estate are held at Nottinghamshire Archives and are reported in the Balance Sheet at historical cost. Valuation of these items is not readily available and the Authority believes that the benefits of obtaining annual valuations for these items would not justify the cost. These assets are deemed to have

indeterminate lives and a high residual value; hence the Authority does not consider it appropriate to charge depreciation. Acquisitions are made by purchase or donation. Acquisitions are initially recognised at cost and donations are recognised at valuation if appropriate with valuations provided by external valuers. Nottinghamshire Archives holds a number of other records (e.g. Lothian of Melbourne records) that are valued at less than £10,000. Consequently, the Authority does not recognise these assets on the Balance Sheet.

Heritage Assets – General

The carrying amounts of Heritage Assets are reviewed where there is evidence of impairment for Heritage Assets, e.g. where an item has suffered physical deterioration or breakage or where doubts arise as to its authenticity. Any impairment is recognised and measured in accordance with the Authority's general policies on impairment. Where assets are disposed of, the proceeds of such items are accounted for in accordance with the Authority's general provisions relating to the disposal of Property, Plant and Equipment. Disposal proceeds are disclosed separately in the notes to the financial statements and are accounted for in accordance with statutory accounting requirements relating to capital expenditure and capital receipts.

13. Intangible Assets

Expenditure on non-monetary assets that do not have physical substance but are controlled by the Authority as a result of past events (e.g. software licences) is capitalised when it is expected that future economic benefits or service potential will flow from the intangible asset to the Authority.

Intangible assets are measured initially at cost. Amounts are only revalued where the fair value of the assets held by the Authority can be determined by reference to an active market. In practice, no intangible asset held by the Authority meets this criterion, and they are therefore carried at amortised cost. The depreciable amount of an intangible asset is amortised over its useful life to the relevant service line(s) in the Comprehensive Income and Expenditure Statement. An asset is tested for impairment whenever there is an indication that the asset might be impaired – any losses recognised are posted to the relevant service line(s) in the Comprehensive Income and Expenditure Statement. Any gain or loss arising on the disposal or abandonment of an intangible asset is posted to the Other Operating Expenditure line in the Comprehensive Income and Expenditure Statement.

Where expenditure on intangible assets qualifies as capital expenditure for statutory purposes, amortisation, impairment losses and disposal gains and losses are not permitted to have an impact on the General Fund Balance. The gains and losses are therefore reversed out of the General Fund Balance in the Movement in Reserves Statement and posted to the Capital Adjustment Account and the Capital Receipts Reserve.

14. Investment Property

Investment Properties are those that are used solely to earn rentals and/or for capital appreciation. The definition is not met if the property is used in any way to facilitate the delivery of services or production of goods or is held for sale.

Investment Properties are measured initially at cost and subsequently at fair value as per the requirements of IFRS13. Fair value is based on the amount at which the asset could be sold in an orderly transaction between knowledgeable market participants at the measurement date. As a non-financial asset, an investment property will be measured at its highest and best use. Properties are not depreciated but are revalued annually according to market conditions at the year-end. Gains and losses on revaluation are posted to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement. The same treatment is applied to gains and losses on disposal.

Rentals received in relation to investment properties are credited to the Financing and Investment Income line and result in a gain for the General Fund Balance. However,

revaluation and disposal gains and losses are not permitted by statutory arrangements to have an impact on the General Fund Balance. The gains and losses are therefore reversed out of the General Fund Balance in the Movement in Reserves Statement and posted to the Capital Adjustment Account and the Capital Receipts Reserve

15. Employee Benefits and Pensions

Benefits Payable During Employment

Short-term employee benefits are those due to be settled within 12 months of the year-end. They include such benefits as wages and salaries, paid annual leave and paid sick leave, bonuses and non-monetary benefits (e.g. cars) for current employees and are recognised as an expense for services in the year in which employees render service to the Authority. An accrual is made for the cost of holiday entitlements (or any form of leave, e.g. time off in lieu) earned by employees but not taken before the year-end which employees can carry forward into the next financial year. The accrual is made at the wage and salary rates applicable in the following accounting year, being the period in which the employee takes the benefit. The accrual is charged to Surplus or Deficit on the Provision of Services, but then reversed out through the Movement in Reserves Statement so that holiday benefits are charged to revenue in the financial year in which the holiday absence occurs.

Termination Benefits

Termination benefits are amounts payable as a result of a decision by the Authority to terminate an officer's employment before the normal retirement date or an officer's decision to accept voluntary redundancy in exchange for those benefits and are charged on an accruals basis to the appropriate service segment or, where applicable, to a corporate service segment at the earlier of when the Authority can no longer withdraw the offer of those benefits or when the Authority recognises costs for a restructuring.

Where termination benefits involve the enhancement of pensions, statutory provisions require the General Fund balance to be charged with the amount payable by the Authority to the pension fund or pensioner in the year, not the amount calculated according to the relevant accounting standards. In the Movement in Reserves Statement, appropriations are required to and from the Pensions Reserve to remove the notional debits and credits for pension enhancement termination benefits and replace them with debits for the cash paid to the pension fund and pensioners and any such amounts payable but unpaid at the year-end.

Post-Employment Benefits

Employees of the Authority are members of two separate pension schemes:

- The Teachers' Pension Scheme, administered by Capita Teachers' Pensions on behalf of the Department for Education (DfE)
- The Local Government Pension Scheme, administered by Nottinghamshire County Council.

Both schemes provide defined benefits to members (retirement lump sums and pensions), earned as employees work for the Authority. However, the arrangements for the teachers' scheme mean that liabilities for these benefits cannot ordinarily be identified specifically to the Authority. The scheme is therefore accounted for as if it were a defined contribution scheme and no liability for future payments of benefits is recognised in the Balance Sheet. The Children and Young People and Schools line in the Comprehensive Income and Expenditure Statement is charged with the employer's contributions payable to Teachers' Pensions in the year.

The Local Government Pension Scheme (LGPS)

The Scheme is accounted for as a defined benefits scheme:

- The liabilities of the pension fund attributable to the Authority are included in the Balance Sheet on an actuarial basis using the projected unit method – i.e. an assessment of the future payments that will be made in relation to retirement benefits earned to date by

employees, based on assumptions about mortality rates, employee turnover rates etc. and projections of projected earnings for current employees. In assessing these liabilities at 31 March 2018 for the 2017/18 Statement of Accounts, the actuary made a number of changes in the assumptions underlying the present value of the scheme liabilities. These include a change in the assumed pensions increases and inflation.

- The assets of the pension fund attributable to the Authority are included in the Balance Sheet at their fair value:
 - quoted securities – current bid price
 - unquoted securities – professional estimate
 - unitised securities – current bid price
 - property – market value.

The change in the net pensions liability is analysed into several components:

- Service Cost comprising:
 - current service cost / gain – the change in liabilities as a result of years of service earned this year – allocated in the Comprehensive Income and Expenditure Statement to the services for which the employees worked
 - past service cost – the increase in liabilities arising from current year decisions whose effect relates to years of service earned in earlier years – debited to the Surplus or Deficit on the Provision of Services in the Comprehensive Income and Expenditure Statement as part of Non Distributed Costs
 - net interest on the net defined benefit liability (asset), i.e. net interest expense for the Authority – the change during the period in the net defined benefit liability (asset) that arises from the passage of time charged to the Financing and Investment Income and Expenditure line of the Comprehensive Income and Expenditure Statement – this is calculated by applying the discount rate used to measure the defined benefit obligation at the beginning of the period to the net defined benefit liability (asset) at the beginning of the period – taking into account any changes in the net defined benefit liability (asset) during the period as a result of contribution and benefit payments.
- Remeasurements comprising:
 - the return on plan assets – excluding amounts included in net interest on the net defined benefit liability (asset) – charged to the Pensions Reserve as Other Comprehensive Income and Expenditure
 - actuarial gains and losses – changes in the net pensions liability that arise because events have not coincided with assumptions made at the last actuarial valuation or because the actuaries have updated their assumptions – credited/debited to the Pensions Reserve
- Contributions paid to the pension fund – cash paid as employer's contributions to the pension fund in settlement of liabilities; not accounted for as an expense.

In relation to retirement benefits, statutory provisions require the General Fund balance to be charged with the amount payable by the Authority to the pension fund or directly to pensioners in the year, not the amount calculated according to the relevant accounting standards. In the Movement in Reserves Statement, this means that there are appropriations to and from the Pensions Reserve to remove the notional debits and credits for retirement benefits and replace them with debits for the cash paid to the pension fund and pensioners and any such amounts payable but unpaid at the year-end. The negative balance that arises on the Pensions Reserve thereby measures the beneficial impact to the General Fund of being

required to account for retirement benefits on the basis of cash flows rather than as benefits are earned by employees.

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Discretionary Benefits

The Authority also has restricted powers to make discretionary awards of retirement benefits in the event of early retirements. Any liabilities estimated to arise as a result of an award to any member of staff (including teachers) are accrued in the year of the decision to make the award and accounted for using the same policies as are applied to the Local Government Pension Scheme.

16. Cash and Cash Equivalents

Amounts held in call accounts or money market funds are highly liquid and readily convertible. These can be held for relatively long periods as call account rates are currently attractive. However, these accounts are used to cover short-term cash flow needs and so will be classed as cash equivalents.

Fixed term investments, of whatever duration, are not readily convertible to known amounts of cash. Fixed deals can be broken but only through negotiation with the borrower and at a penalty depending on the fair value of the loan at the time of break. All fixed term investments will not therefore be classed as cash equivalents.

In the Cash Flow Statement, cash and cash equivalents are shown net of bank overdrafts that are repayable on demand and form an integral part of the Authority's cash management.

17. Financial Instruments

Financial Liabilities

Financial liabilities are recognised on the Balance Sheet when the Authority becomes a party to the contractual provisions of a financial instrument and are initially measured at fair value and are carried at their amortised cost. Annual charges to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement for interest payable are based on the carrying amount of the liability, multiplied by the effective rate of interest for the instrument. The effective interest rate is the rate that exactly discounts estimated future cash payments over the life of the instrument to the amount at which it was originally recognised.

For most of the borrowings that the Authority has, this means that the amount presented in the Balance Sheet is the outstanding principal repayable (plus accrued interest); and interest charged to the Comprehensive Income and Expenditure Statement is the amount payable for the year according to the loan agreement.

Gains and losses on the repurchase or early settlement of borrowing are credited and debited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement in the year of repurchase/settlement. However, where repurchase has taken place as part of a restructuring of the loan portfolio that involves the modification or exchange of existing instruments, the premium or discount is respectively deducted from or added to the amortised cost of the new or modified loan and the write-down to the Comprehensive Income and Expenditure Statement is spread over the life of the loan by an adjustment to the effective interest rate.

Where premiums and discounts have been charged to the Comprehensive Income and Expenditure Statement, regulations allow the impact on the General Fund Balance to be spread over future years. The Authority has a policy of spreading the gain or loss over the term that was remaining on the loan against which the premium was payable or discount receivable when it was repaid. The reconciliation of amounts charged to the Comprehensive Income and Expenditure Statement to the net charge required against the General Fund Balance is managed by a transfer to or from the Financial Instruments Adjustment Account in the Movement in Reserves Statement

Financial Assets

Financial assets are classified into two types:

- loans and receivables – assets that have fixed or determinable payments but are not quoted in an active market
- available for sale assets – assets that have a quoted market price and/or do not have fixed or determinable payments.

Loans and Receivables

Loans and receivables are recognised on the Balance Sheet when the Authority becomes a party to the contractual provisions of a financial instrument and are initially measured at fair value. They are subsequently measured at their amortised cost. Annual credits to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement for interest receivable are based on the carrying amount of the asset multiplied by the effective rate of interest for the instrument. For most of the loans that the Authority has made, this means that the amount presented in the Balance Sheet is the outstanding principal receivable (plus accrued interest) and interest credited to the Comprehensive Income and Expenditure Statement is the amount receivable for the year in the loan agreement.

However, the Authority, for policy reasons, can make loans to voluntary organisations at less than market rates (soft loans). When soft loans are made, a loss is recorded in the Comprehensive Income and Expenditure Statement (debited to the appropriate service) for the present value of the interest that will be foregone over the life of the instrument, resulting in a lower amortised cost than the outstanding principal. Interest is credited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement at a marginally higher effective rate of interest than the rate receivable from the voluntary organisations, with the difference serving to increase the amortised cost of the loan in the Balance Sheet. Statutory provisions require that the impact of soft loans on the General Fund Balance is the interest receivable for the financial year – the reconciliation of amounts debited and credited to the Comprehensive Income and Expenditure Statement to the net gain required against the General Fund Balance is managed by a transfer to or from the Financial Instruments Adjustment Account in the Movement in Reserves Statement.

Where assets are identified as impaired because of a likelihood arising from a past event that payments due under the contract will not be made, the asset is written down and a charge made to the relevant service (for receivables specific to that service) or the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement. The impairment loss is measured as the difference between the carrying amount and the present value of the revised future cash flows discounted at the asset's original effective interest rate.

Any gains and losses that arise on the de-recognition of an asset are credited or debited to the Financing and Investment Income and Expenditure line in the Comprehensive Income and Expenditure Statement.

18. Fair Value Measurement

The Authority measures some of its non-financial assets such as surplus assets and investment properties and some of its financial instruments at each reporting date. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The fair value measurement assumes that the transaction to sell the asset or transfer the liability takes place either:

a) in the principal market for the asset or liability, or

b) in the absence of a principal market, in the most advantageous market for the asset or liability

The Authority measures the fair value of an asset or liability using the assumptions that market participants would use when pricing the asset or liability, assuming that market participants act in their economic best interest.

When measuring the fair value of a non-financial asset, the Authority takes into account a market participant's ability to generate economic benefits by using the asset in its highest and best use or by selling it to another market participant that would use the asset in its highest and best use.

The Authority uses valuation techniques that are appropriate in the circumstances and for which sufficient data is available, maximising the use of relevant observable inputs and minimising the use of unobservable inputs.

Inputs to the valuation techniques in respect of assets and liabilities for which fair value is measured or disclosed in the Authority's financial statements are categorised within the fair value hierarchy, as follows:

Level 1 – quoted prices (unadjusted) in active markets for identical assets or liabilities

Level 2 – inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly

Level 3 – unobservable inputs for the asset or liability

19. Inventories

Inventories are included in the Balance Sheet at the lower of cost and net realisable value.

20. Joint Operations

An assessment of the Authority's interests has been carried out during the year in accordance with the Code of Practice to determine the group relationships that exist. Inclusion in the group is dependent upon the extent of the Authority's control over the entity demonstrated through ownership, such as a shareholding in an entity or representation on an entity's board of directors.

Joint operations are arrangements where the parties that have joint control have the rights to the assets and obligations for the liabilities relating to the arrangement. The activities undertaken by the Authority in conjunction with other operators involve the use of the assets and resources of those joint operators. In relation to its interest in a joint operation, the Authority as a joint operator recognises, where material:

- its assets, including share of assets held jointly;
- its liabilities, including share of any liabilities incurred jointly;
- its revenue from the sale of its share of the output;
- its share of the revenue from the sale of the output by the joint operation;
- its expenses, including its share of any expenses incurred jointly.

21. Provisions

Provisions are made where an event has taken place that gives the Authority a legal or constructive obligation that probably requires settlement by a transfer of economic benefits or service potential, and a reliable estimate can be made of the amount of the obligation. For instance, the Authority may be involved in a court case that could eventually result in the making of a settlement or the payment of compensation.

Provisions are charged as an expense to the appropriate service line in the Comprehensive Income and Expenditure Statement in the year that the Authority becomes aware of the

obligation, and are measured at the best estimate at the Balance Sheet date of the expenditure required to settle the obligation, taking into account relevant risks and uncertainties.

When payments are eventually made, they are charged to the provision carried in the Balance Sheet. Estimated settlements are reviewed at the end of each financial year – where it becomes less than probable that a transfer of economic benefits will now be required (or a lower settlement than anticipated is made), the provision is reversed and credited back to the relevant service.

Where some or all of the payment required to settle a provision is expected to be recovered from another party (e.g. from an insurance claim), this is only recognised as income for the relevant service if it is virtually certain that reimbursement will be received if the Authority settles the obligation.

22. The Carbon Reduction Scheme

The Authority is required to participate in the Carbon Reduction Commitment Energy Efficiency Scheme. This scheme is currently in its second phase, which ends on 31 March 2019. The Authority is required to purchase allowances, either prospectively or retrospectively, and surrender them on the basis of emissions, i.e. carbon dioxide produced as energy is used. As carbon dioxide is emitted (i.e. as energy is used), a liability and an expense are recognised. The liability will be discharged by surrendering allowances. The liability is measured at the best estimate of the expenditure required to meet the obligation, normally at the current market price of the number of allowances required to meet the liability at the reporting date. The cost to the Authority is recognised and reported in the costs of the Authority's services and is apportioned to services on the basis of energy consumption.

23. Contingent Liabilities

A contingent liability arises where an event has taken place that gives the Authority a possible obligation whose existence will only be confirmed by the occurrence, or otherwise, of uncertain future events not wholly within the control of the Authority. Contingent liabilities also arise in circumstances where a provision would otherwise be made but either it is not probable that an outflow of resources will be required or the amount of the obligation cannot be measured reliably.

Contingent liabilities are not recognised in the Balance Sheet but are disclosed in a note to the accounts.

24 Contingent Assets

A contingent asset arises where an event has taken place that gives the Authority a possible asset whose existence will only be confirmed by the occurrence, or otherwise, of uncertain future events not wholly within the control of the Authority.

Contingent assets are not recognised in the Balance Sheet but are disclosed in a note to the accounts where it is probable that there will be an inflow of economic benefits or service potential.

No contingent assets have been identified for the Authority at 31 March 2018.

25. Reserves

The Authority sets aside specific amounts as reserves for future policy purposes or to cover contingencies. Reserves are created by appropriating amounts out of the General Fund Balance in the Movement in Reserves Statement. When expenditure to be financed from a reserve is incurred, it is charged to the appropriate service in that year to score against the Surplus or Deficit on the Provision of Services in the Comprehensive Income and Expenditure Statement. The reserve is then appropriated back into the General Fund Balance in the

Movement in Reserves Statement so that there is no net charge against Council Tax for the expenditure.

Certain reserves are kept to manage the accounting processes for non-current assets, financial instruments, retirement and employee benefits and do not represent usable resources for the Authority.

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26. Schools

The Code of Practice on Local Authority Accounting in the United Kingdom confirms that the balance of control for Local Authority maintained schools (i.e. those categories of school identified in the School Standards and Framework Act 1998, as amended) lies with the Local Authority. The Code also stipulates that those schools' assets, liabilities, reserves and cash flows are recognised in the Local Authority financial statements (and not the Group Accounts). Therefore schools' transactions, cash flows and balances are recognised in each of the financial statements of the Authority as if they were the transactions, cash flows and balances of the Authority.

27. VAT

VAT payable is included as an expense only to the extent that it is not recoverable from Her Majesty's Revenue and Customs. VAT receivable is excluded from income.

28. Accounting for Council Tax and NNDR

The Council Tax and NNDR income included in the Comprehensive Income and Expenditure Statement is the Authority's share of accrued income for the year. However, regulations determine the amount of Council Tax and NNDR that must be included in the Authority's General Fund. Therefore, the difference between the income included in the Comprehensive Income and Expenditure Statement and the amount required by regulation to be credited to the General Fund is taken to the Collection Fund Adjustment Account and included as a reconciling item in the Movement in Reserves Statement.

The Balance Sheet includes the Authority's share of the end of year balances in respect of Council Tax and NNDR relating to arrears, impairment allowances for doubtful debts, overpayments and prepayments and appeals.

29. Accounting Policies not relevant or material

All accounting policies are reviewed annually to ensure on-going relevance. The following policies have been omitted on the basis of having a non-material impact on the financial statements:

- Valuation of available for sale assets
- Intangible assets – recognition of internally generated assets
- Exceptional Items

REPORT OF THE LEADER OF THE COUNCIL**BETTER BROADBAND FOR NOTTINGHAMSHIRE (BBfN) PROGRAMME
CONTRACT 3****Purpose of the Report**

1. The purpose of this report is fourfold:
 - a) to seek approval to enter into a contract with the preferred supplier to further extend superfast broadband coverage;
 - b) to approve the programme management staffing resource required until September 2019 to complete contract deployment, assurance and close;
 - c) to approve a variation to the capital programme due to additional external funding;
 - d) to seek delegated authority for the Corporate Director, Place and Chair of Policy Committee to approve a bid submission for the European Agricultural Fund for Rural Development funding, subject to the criteria of the fund meeting County Council objectives.

Information

2. As part of a national programme, Nottinghamshire enjoys the vanguard position in the East Midlands with 97.5% superfast coverage. The Council Plan 2017-2021 "Your Nottinghamshire, Your Future" highlights the importance of connectivity and showcases why Nottinghamshire is a great place to start, grow and do business.
3. Better Broadband for Nottinghamshire (BBfN) has already greatly improved access to high-speed broadband to many businesses and the Council continues to make progress with this issue. BBfN is currently on track to ensure 98% superfast coverage by September 2018.
4. Public sector investment in broadband to date in Nottinghamshire for the period 2014-2019 stands at £17,100,000. This investment will result in approximately 83,000 premises in Nottinghamshire having access to a fibre broadband service that would not have received such access without the BBfN programme.
5. In July 2017, Policy Committee approved the procurement exercise in respect of a third contract to extend broadband coverage, prioritising the most rural and business properties across the two district areas of Newark & Sherwood and Bassetlaw.
6. Since then, from the twenty-six bidders who submitted Expressions of Interest, two telecommunications companies, BT Group and Quickline, submitted bids. Following a rigorous evaluation and moderation process, BT Group were selected as the preferred

supplier as they had the highest evaluation score based on the Most Economically Advantageous Tender.

7. Delivery is expected to last 18 months and as indicated under the financial implications paragraph, in the event of further funds being introduced (for example, subject to Policy Committee approval and the criteria of the fund meeting County Council objectives, a funding submission to the European Agricultural Fund for Rural Development), this will extend the contract delivery beyond this period.

Programme Resourcing

8. The current resource for BBfN is a Programme Manager (Band E), a Programme Officer (Band B) and a Broadband Engagement Officer (Band A).
9. Recognising that we are now entering the latter stages of the rollout, with far less programme development and stakeholder management work required, subject to Committee approval, an amendment and reduction to the headcount of the Contract 3 project management is proposed. An internal, officer-led review has concluded that the remaining delivery of BBfN could be delivered by a Project Manager and a Broadband Engagement Officer, as follows:
 - **Project Manager**
 - Day-to-day management of the contract to ensure delivery maximises the benefits within value for money considerations.
 - Lead on, deliver and monitor progress of the specified workstreams within key areas of BBfN.
 - Manage the reporting and claims process for funding partners, until the completion of the contract deployment, assurance and closure.
 - Develop, support and maintain effective relationships with partners while dealing with customer enquiries.
 - **Broadband Engagement Officer**
 - Driving the take-up in local communities with a series of marketing and public relations activities, including attendance at events liaising with Parishes and community groups.
 - Informing Nottinghamshire residents about the availability of new broadband services as they become 'live' in the county.
 - Encouraging residents and businesses to take advantage of superfast broadband access.
 - Promoting the Nottinghamshire Digital Champions volunteering network to help promote the safe and positive use of digital technology.
10. The costs of employing the posts detailed above up to 30 September 2019 are estimated at £121,000, which will be funded from the BBfN reserve.

Other Options Considered

11. The option to do nothing was discounted on three accounts:
 - a) The recent Open Market Review (OMR) undertaken by the Council established that from existing and planned coverage by the telecommunications sector, properties in the County

will still remain without access to superfast broadband unless public sector intervention is made.

- b) One of the key themes from the Council Plan focusses on Nottinghamshire being a great place to enjoy later life. The Broadband Engagement Officer's promotion and support of activities will help individuals and businesses to get online and help create a better and safer online Nottinghamshire community.
- c) Driving up take-up is vital because it links into the clawback (gainshare) mechanism of the broadband contracts, which requires suppliers (i.e. BT) to return part of the public investment when customer adoption of the new service passes beyond the 30% mark. This can then be further boosted by any efficiency savings made during the roll-out. The returned funding is intended to be reinvested towards further coverage improvement via future contracts. BT alone has recently indicated that they had deferred £465 million nationally, which could potentially be harnessed in this way. **Successful management, delivery and take-up of BBfN has already seen £2.7 million returned to the Council**, which has been used as match funding towards the current Contract 2. Having dedicated resource in the form of a Broadband Engagement Officer increases the likelihood of hitting the % threshold as duties will include ensuring businesses, residents and communities are made aware of the availability and benefits of superfast broadband in their areas. Any further increases as contracts complete will be reported to this Committee.

Reasons for Recommendations

- 12. To enable contract signature with the preferred supplier to ensure on-the-ground delivery as soon as possible and to ensure sufficient staffing resource for the successful delivery of the rollout.

Statutory and Policy Implications

- 13. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

- 14. The public sector subsidy for Contract 3 is the previously agreed £1.32m. This is broken-down as Nottinghamshire County Council investment of £600,000 and Department for Digital, Culture, Media & Sport investment of £720,000 and it leverages significant investment from BT. £1.20m of this funding is already approved into the capital programme. However, since then, County Council negotiated an additional £0.12m. It is proposed that a variation to the capital programme is approved to incorporate the additional £0.12m and received from DCMS.
- 15. Provision has been included within the contract for further public funds to be introduced to the contract to extend coverage further. Potential sources of funding could be European funding which is subject to Policy Committee approval and a successful bid or underspend and gainshare funds arising from previous BBfN programme contracts. A request to vary

the capital programme will be submitted to the appropriate Committee once further funding is confirmed.

16. The financial implications of the proposal to employ a Project Manager and a Broadband Engagement Officer to 30 September 2019 are set out in paragraph 9.

Human Resources Implications

17. The BBfN resource will require a revised job description for the Project Manager role. Temporary arrangements (expected to last around three months) are being applied for the incumbent Broadband Programme Officer to take over the project management duties on an honorarium basis. This gives sufficient time for the Project Manager role to undergo evaluation, as the timing will coincide with April 2018 commencement of Contract 3. The job evaluation is in recognition that this latter stage of the rollout requires less resources, as the focus will be on contract delivery with far less development and stakeholder management work required. Once the Job evaluation is complete, the post will be recruited to on a fixed-term basis until September 2019.
18. The incumbent Broadband Engagement Officer is currently an agency member of staff. The role will be transferred to the Council's establishment, in keeping with the proposed Project Manager role, also on a fixed-term basis until September 2019.

RECOMMENDATION/S

19. It is recommended that the Policy Committee:
- 1) Based on the results of the evaluation process, approves the award of the Better Broadband for Nottinghamshire Contract 3 to BT PLC, subject to satisfactory completion of contract finalisation activities;
 - 2) Approves the establishment of the required staffing resource to deliver the Better Broadband for Nottinghamshire programme;
 - 3) Approves the variation to the capital programme due to additional DCMS funding;
 - 4) Delegates authority for the Corporate Director, Place and Chair of Policy Committee to approve a bid submission for the European Agricultural Fund for Rural Development funding subject to the criteria of the fund meeting County Council objectives.

COUNCILLOR MRS KAY CUTTS MBE
Leader of the Council

For any enquiries about this report please contact: Nicola M^cCoy-Brown, Growth and Economic Development ext. 72580

Constitutional Comments (EP 02/03/2018)

20. The recommendations fall within the remit of Policy Committee by virtue of its terms of reference.

Financial Comments [RWK 01/03/2018]

21. The financial implications are set out in paragraphs 14 to 16 of the report.

HR Comments [JP 02/03/2018]

22. The relevant job evaluation and recruitment procedures will be followed in respect of the posts noted in the body of the report.

Background Papers and Published Documents

- *Better Broadband for Nottinghamshire (BBfN) Programme Update* - Report to Policy Committee, 19-07-2017 – published
- *Better Broadband for Nottinghamshire (BBfN) –Additional broadband deployment* – Report to Economic Development Committee, 03-01-2017, Published
- *Better Broadband for Nottinghamshire: authorisation for contract 2* – report to Economic Development Committee, 31-03-2015, published
- *Better Broadband for Nottinghamshire Contract 2* – report to Policy Committee, 07-01-2015, published
- *Better Broadband for Nottinghamshire – Additional Staffing Resource* – report to Economic Development Committee, 16-09-2014, published
- *Update on D2N2 Strategic Economic Plan and Local Growth Deal* – report to Economic Development Committee, 1-7-2014, published
- *Better Broadband for Nottinghamshire Superfast Extension Programme* – report to Policy Committee, 4-6-2014, published
- *Better Broadband for Nottinghamshire – Phase One* – report to Economic Development Committee, 1-4-2014, published
- *Better Broadband for Nottinghamshire – Superfast Extension Programme* – report To Economic Development Committee, 11-03-2014, published
- *Superfast Extension Programme indicative funding allocation letter* – BDUK on behalf of the Department for Culture Media and Sport, 25-2-2014, published
- *Better Broadband for Nottinghamshire* – report to Economic Development Committee 14-01-2014, published
- *Better Broadband for Nottinghamshire – Resource Requirements for Delivery Phase* – report to Economic Development Committee, 12-12-2013, published
- *UK Broadband Impact Study* – Impact Report, SQW, 11-2013
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/257006/UK_Broadband_Impact_Study_-_Impact_Report_-_Nov_2013_-_Final.pdf
- *Superfast Broadband for Nottinghamshire* – report to Economic Development Committee 09-07-2013, published
- *Superfast Broadband for Nottinghamshire* – report to Policy Committee 17-07- 2013, published
- *Investing in Britain's future* – Presented to Parliament by the Chief Secretary to the Treasury by Command of Her Majesty, 6-2013
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209279/PU1524_IUK_new_template.pdf
- *ERDF Funding Agreement*, 14-05-2013
- *Nottinghamshire Local Broadband Plan* – report to Full Council, 28-02-2013, published
- *Update on Nottinghamshire Local Broadband Plan* – report to Policy Committee, 20-06-2012, published
- *Nottinghamshire Local Broadband plan*– report to Full Council, 15-12-2011, published

REPORT OF THE LEADER OF THE COUNCIL**LINDHURST DEVELOPMENT SCHEME UPDATE****Purpose of the Report**

1. To update the Policy Committee on the Lindhurst Development Scheme.

Information

2. The Lindhurst Scheme will help to provide new jobs and homes and improve prospects for the Mansfield area. It is a substantial new neighbourhood which will have 23 hectares of land earmarked for new businesses, build up to 1,700 new homes and provide a community park, shops and bus links. It will also include green routes, a new school, sports and other community facilities. This is therefore a major landmark development in the Mansfield area which will bring over £70m of investment, creating many jobs and economic growth opportunities from new businesses.
3. The three land owners, LJL, W Westerman and Nottinghamshire County Council, have entered into a Collaboration Agreement to promote their land for development in as collaboration partners. This area of land comprised of some 96.522 hectares (238.55 acres) which is located to the east of the Council owned Rushley Farm site. The master plan for the site is shown on Plan A attached to the report.

Update

4. The scheme has made significant positive progress since the last report to Policy Committee in November 2017. Phase 1 is nearing completion with all the residential plots sold or exchanged. The collaboration partners have a new development management team in place to review the potential for future phases.

Management and Control

5. The existing development management team's appointment which was set up to deal with phase 1 of the project and the Homes England (then Homes and Communities Agency) fund, came to an end in February 2018. A new development team was appointed by the collaboration partners, at the end of 2017, to deal with future phasing, operational systems and any outstanding issues from Phase 1.
6. A new reporting structure has been agreed, aligning the development cash flow with accounting reports to ensure greater financial management control for the future. The project will be managed with the requirement for prior budget approval for any expenditure relating to planning, procurement and construction expenditure. A development cash flow has also been prepared in line with accounting requirements

and to adhere to the funding conditions of Homes England.

7. The governance arrangements for decision making under the Collaboration Agreement requires the Council to make nominations of officers to fulfil the roles of: the Council's nominated representative and an authorised signatory to participate and implement decisions as a collaboration partner. To ensure the Council remains an effective partner, these nominations need updating. This is to reflect the staffing and recent structure changes in the Place Department. Previously the roles were filled by named individuals and not referring to their job titles. These officers were the Council's Service Director Environment, Transport and Property (as the Council's nominated representative) & the Corporate Director – Place (as the authorised signatory).
8. An update to these nominations would assign the Council's nominated Representative role to the new post of Service Director for Investment and Growth (and their nominated deputy from time to time) and for the Corporate Director Place to act as the authorised signatory for the purposes of the roles provided for in the Collaboration Agreement.
9. The Service Director for Investment & Growth (or their nominated deputy) will report to an internal project team led by the Corporate Director Place including the Service Director for Finance and the Team Manager for Legal Services. This approach will strengthen governance arrangements for the scheme going forwards.

Phase 1 Infrastructure

10. The main site contractor for the phase 1 infrastructure works, Buckingham, is nearing its completion of the works with the expectation of an end date in March 2018. There are still a number of issues to be resolved in relation to phase 1 including landscaping, drainage and obligations to undertake work on behalf of the housebuilders. These issues are being dealt with via a reserved matters approval to the landscaping and drainage to enable works to commence on site at the beginning of the September 2018.

Land Sales

11. Three leading house builders have acquired plots from the Lindhurst Group and will be responsible for building the houses on site.
12. Avant Homes have now completed the acquisition of plot 1 and the first payment has been received. There is an additional retained amount to be paid once the outstanding works in relation to the road have been completed and there will be a final payment in March 2019. Avant will deliver up to 93 residential units.
13. Barratt David Wilson Homes have completed contracts on plots 3A and 3B and the first part of the payment has been received. Further payments will be made in November 2018, May 2019 and the final payment in January 2020. BDW will deliver up to 280 residential units.
14. Contracts have been exchanged with Bellway and sale completion is anticipated during March 2018 with the first payment to be made on completion and a final payment to be made 12 months thereafter. Bellway will deliver up to 146 residential units.

Phase 2

15. Phase 2 is currently being reviewed by the new development team but the existing proposals are to continue with major housing development and commercial and community elements of the schemes. The overall development requires a focal point, a destination, which will provide the needs of the new community as well as the surrounding residential areas which otherwise have very little by way of facilities within easy walking or cycling distance. Within the local centre it is proposed to accommodate shops of a local centre style, retail and food outlets, with a mixture of office space included. There will be a local supermarket plus there is also provision for two pub/restaurants, a GP surgery and childcare facilities.

Future Phases

16. The new development team have presented the 2018 budget for approval by the Lindhurst Group and Homes England. The budget comprised the expected overheads, site wide costs including planning promotion, site marketing and Section 106 obligations. The budgets also provided for the Phase1 outstanding works and infrastructure for the Phase 2 elements as described above. Outline budgets have also been proposed for the future phases of residential development and employment space including an Innovation Park. How these budgets are funded is set out below.
17. While the future phases are based upon an agreed masterplan the new development team are currently reviewing that plan and its delivery. They have provided initial thoughts as to layouts of uses, phasing and proposals for changes to the delivery approach. While these reviews are in the early stages they are indicating proposals which may lead to changes to the method of delivery and location of uses. The Group has also received approaches from third parties who are proposing different arrangements for delivery than previously envisaged. These proposals and those of the development team will require careful consideration in order to ensure best financial consideration for the Council and also to ensure that any proposals coming forward meet the Councils overarching policy objectives which support economic growth in the County. While these considerations are in the early stages of development it is proposed that a further report will need to be brought to committee on future proposals.

Funding

18. Homes England approval is required for all expenditure and investment decisions in relation to the site from the sales account until such time that the loan facility is repaid by the Lindhurst Group. The full details of the existing fund and bridging loan with Homes England were provided in the report to Committee dated 15 November 2017.

Statutory and Policy Implications

19. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on

these issues as required.

RECOMMENDATION/S

- 1) That the Corporate Director for Place be authorised to consider, in consultation with the Chair of Policy Committee, future options for Phase 2 of the scheme and provide a further report to Policy Committee on future proposals;
- 2) That Policy Committee approve the nominations of the Service Director for Investment and Growth (or their nominee to act as deputy) to act as the Council's Representative and for the Corporate Director Place to act as the authorised signatory for the purposes of the roles provided for in the Collaboration Agreement .

Councillor Mrs Kay Cutts MBE
Leader of the County Council

For any enquiries about this report please contact: Steve Keating, Estates Surveyor
– Tel: 0115 9939397

Constitutional Comments [SSR 09/03/2018]

20. The recommendations set out in this report fall within the scope of decisions that may be approved by Policy Committee.

Financial Comments [GB 07/03/2018]

21. The financial implications are set out in the report.

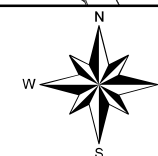
Background Papers and Published Documents

None.

Electoral Division(s) and Member(s) Affected

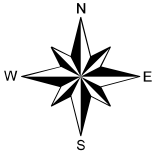
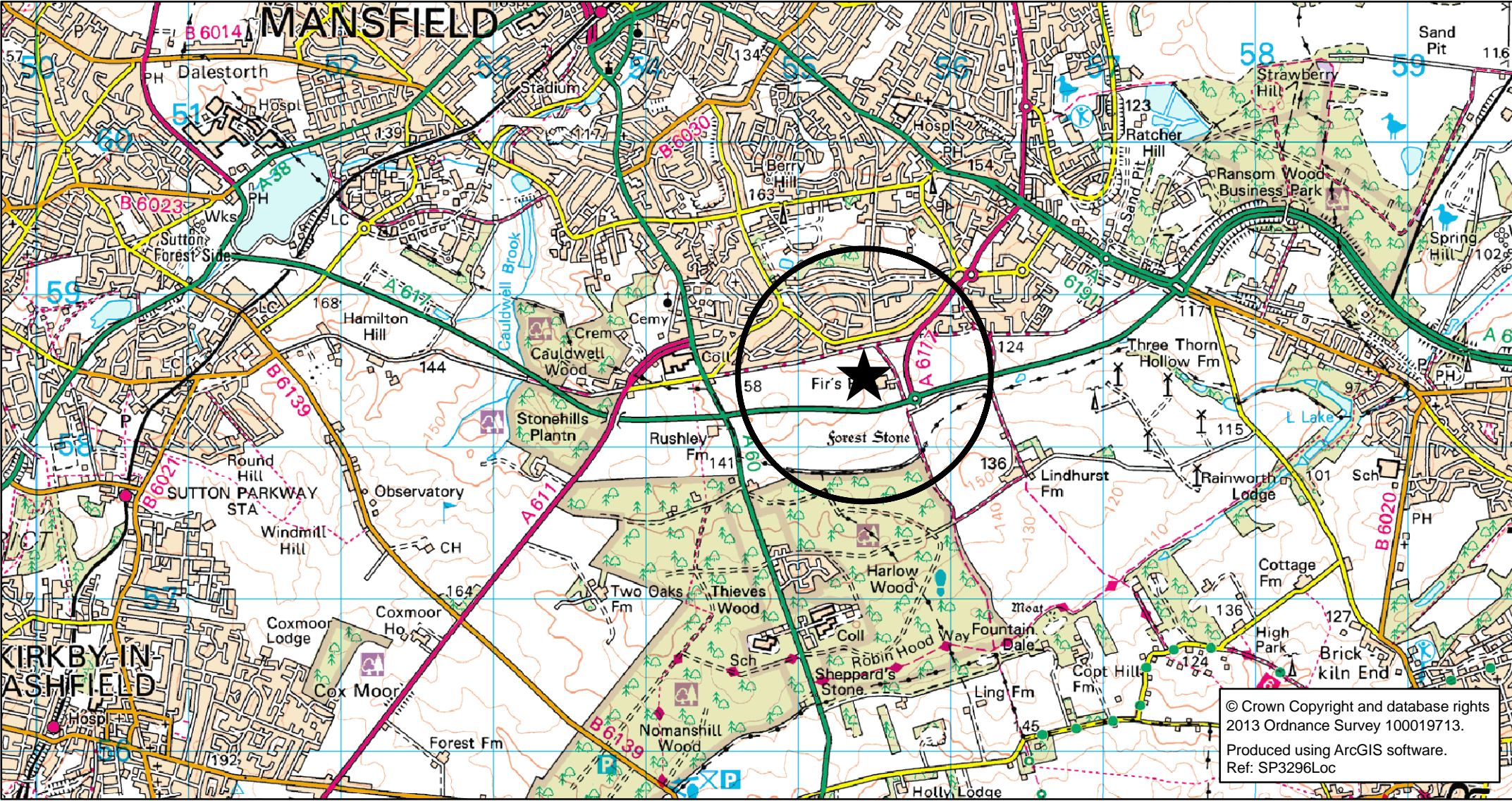
Ward(s): Sutton Central & East
Mansfield South

Member(s): Cllr Samantha Deakin, Cllr Stephen Garner, Cllr Andy Sissons



SP3296 - Location Plan

Plan provided by: dlc

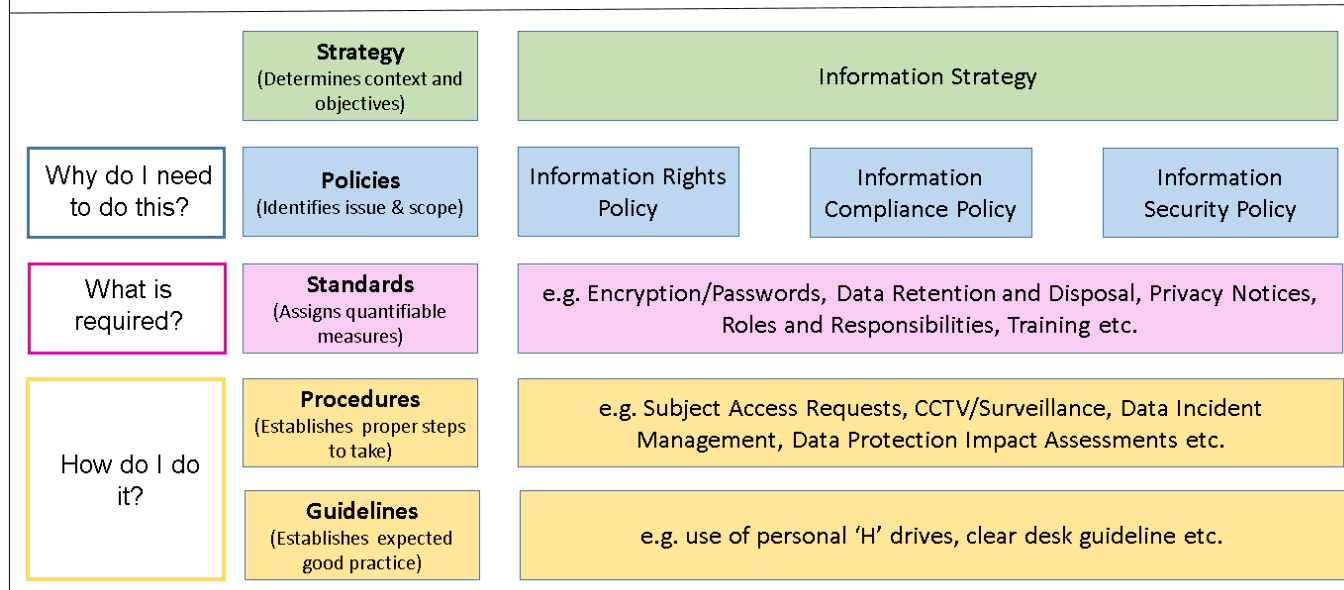


REPORT OF THE CHAIRMAN OF GOVERNANCE & ETHICS COMMITTEE**INFORMATION GOVERNANCE FRAMEWORK AND KEY POLICIES****Purpose of the Report**

1. The purpose of the report is to consider and agree an Information Governance framework and key policies for the County Council as recommended by Governance and Ethics Committee.

Information and Advice

2. The Council's Information Governance (IG) approach is currently undergoing a programme of improvement, approved by Policy Committee in June 2017. The most pressing imperative for improvement is the EU-wide General Data Protection Regulation (GDPR). This will be brought into UK law on 25th May 2018 and will be supplemented by a new Data Protection Act (2018).
3. The legislation responds to the digital age and strengthens the control and rights that citizens have over their own personal data. The new law places increased information governance and data protection obligations on the Council (and other data controlling / processing organisations). It also introduces significantly higher penalties for worst case personal data breaches and failure to evidence compliance with the law (maximum fines of £17m and £8.5m respectively).
4. The advent of GDPR presents an opportunity to put in place a coherent suite of policies and procedures that will comply with the new law and support the workforce to understand and implement our revised approach to information governance.
5. Effective policies and procedures are an important aspect of the documented compliance regime that will evidence that the Council has actively considered and designed approaches to ensure robust data protection is in place.
6. The proposal is to have an overarching Information Governance Framework (Appendix A) underpinned by the following key policies:
 - Information Rights policy mainly aimed at the public (Appendix B)
 - Information Compliance policy mainly for staff (Appendix C)
 - Information Security policy mainly for technical ICT staff (Appendix D)
7. The following schematic sets out the proposed Framework.



8. The framework and key policies have been developed in line with good practice from elsewhere (predominantly Warwickshire County Council and Essex County Council) taking account of the Council's own governance, structures, processes and culture.
9. An Information Strategy which runs until 2018 is in place. Whilst this has been somewhat superseded by developments since it was approved, it is not proposed to amend this now as there are more pressing demands elsewhere in respect of GDPR compliance.
10. As can be seen from the schematic there are a number of standards, procedures and guidelines that will form part of the Framework. The intention is to take these to the Information Governance Group for approval in the months to May 2018.
11. Once agreed, the IG Framework and all associated policies, standards and procedures will be posted, as appropriate, on individual internet and intranet pages for ease of reference.
12. The Framework and associated policies, procedures, standards and guidelines will need to be actively reviewed in accordance with the date specified in the documents. However, it should be noted that there remains a number of uncertainties regarding the implementation of GDPR, most notably the fact that the Data Protection Act 2018 has yet to be passed in the UK; guidance is still emerging from key EU and UK data protection bodies and there is no case law established. Against this background, the documents which comprise the Information Governance Framework will need to be reviewed as more information becomes available.
13. There may be also be much more minor changes required from time to time (e.g. arising as a result in changes to the Council's structure, job roles, scheme of delegation or the passing of new legislation etc). So that these can be effected as efficiently as possible, it is recommended that delegated authority is given to the Monitoring Officer to make any such changes.

14. There is a key risk that the Council, like nearly every other data controlling / processing organisation in Europe, will not be GDPR compliant by 25th May 2018. The Information Commissioner's Office (the data protection supervisory authority for the UK) has acknowledged this but is expecting organisations to have a clear risk-based approach and plan in place to achieve compliance.
15. It should be noted that the IG Framework and its policies are a statement of intent. The Council is on a journey to GDPR compliance and is using a risk based approach to prioritise information governance improvements. This means that there will be some areas of policy which will not be immediately implementable but there will be clear plans in place to address these gaps over time and performance will be monitored.
16. Mandatory basic data protection and information security training is being rolled out to all staff across the Council from March. The intention is that this will be completed by April 2018 and will be supplemented by policy / procedure briefings during May 2018.
17. Governance and Ethics Committee considered the appended framework and key policies at its meeting on 14 March 2018. It agreed to recommend the documents to Policy Committee for approval. Following a demonstration of a data protection training package, Governance and Ethics Committee members agreed that a report be taken to the next available Council meeting outlining members' responsibilities regarding data protection and to make the e-learning package available to further enhance understanding.

Other Options Considered

18. The Council must have up-to-date policies and procedures in place to underpin compliance with GDPR. The approach outlined in this report builds upon good practice from other local authorities which are more advanced in this agenda than Nottinghamshire County Council is at this moment in time.

Reason/s for Recommendation/s

19. The Council requires updated policies to meet the new legislative requirements of GDPR.

Statutory and Policy Implications

20. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) Committee considers and approves the Information Governance Framework; Information Rights Policy; Information Compliance Policy; and Information Security Policy attached at appendices A, B, C and D respectively, as recommended by Governance and Ethics Committee.
- 2) Committee delegate authority to the Monitoring Officer to make any minor drafting changes which may be required from time to time (e.g. arising as a result in changes to the Council's structure, job roles, scheme of delegation or the passing of new legislation) and which do not result in substantive changes to the policies.

County Councillor Bruce Laughton
Chairman of Governance & Ethics Committee

For any enquiries about this report please contact: Caroline Agnew

Constitutional Comments [HD – 14/3/2018]

36. Policy Committee has the authority to determine the recommendations within the report.

Financial Comments [SES – 15/3/2018]

37. There are no specific financial implications arising directly from this report.

HR Comments [JP – 15/3/2018]

38. The HR Implications are contained in the body of the report

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Information Governance Improvement Programme – Programme Plan

Electoral Division(s) and Member(s) Affected

All

Information Governance Framework

Version: To be inserted upon approval

Author: Caroline Agnew

Date of Issue: To be inserted upon approval

Review date: To be inserted upon approval

Protective Marking: Official

Approvals

V	Approval Body	Date
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Review

V	Reviewing Body	Change Description	Date
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Introduction

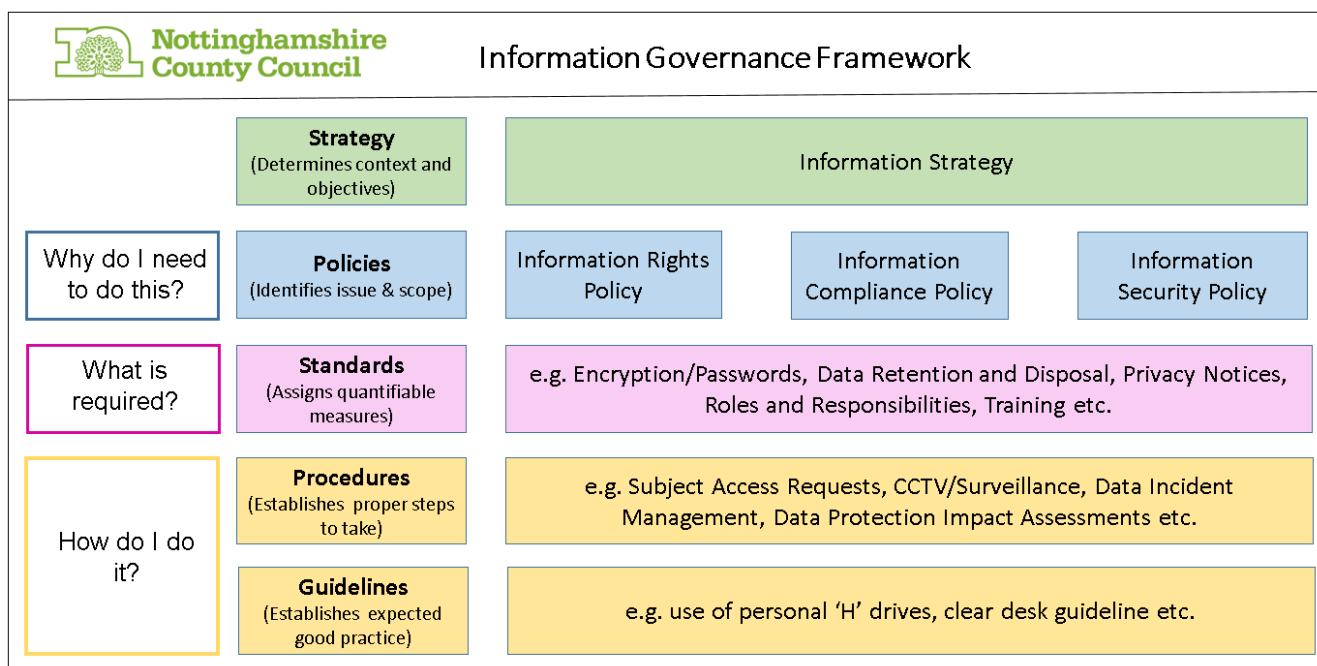
1. Information is a vital asset for the provision of services to the public and for the efficient management of Council services and resources. It plays a key part in governance, service planning and delivery as well as performance management.
2. *“Governance is about how the County Council ensures it is doing the right things, for the right people, in the best way, in a timely, inclusive, open and accountable manner.”*
3. Information governance is concerned with how information is held, obtained, recorded, used and shared. Information is used here as a collective term to cover terms such as data, documents, records and content (electronic and paper).
4. It is essential that the Council has a robust information governance framework, to ensure that information, particularly personal and sensitive information, is effectively managed with accountability structures, governance processes, documented policies and procedures, staff training and appropriate resources.

Scope

5. The principles and commitments set out in this Framework and associated documents apply to all members, employees, trainees / apprentices and volunteers of the County Council and to contractors, suppliers and partners delivering County Council services on our behalf.
6. This Framework and associated documents does not apply to schools who are individually responsible for ensuring that they comply with Data Protection and Freedom of Information legislation.

Key policies

7. The key policies in this information governance framework are the:
 - **Information Rights Policy** – aimed at the public
 - **Information Compliance Policy** – aimed at all staff
 - **Information Security Policy** – aimed at staff and ICT specialist staff
8. These policies are supported by standards, procedures and guidelines which are shown in the framework diagram below.



9. Outputs will be produced from use of these standards and procedures, for example Data Protection Impact Assessments, awareness guides and training material.
10. The framework and associated policies, procedures and standards can be found at: [\[link to be inserted upon approval\]](#)

Senior roles

Committees and Elected Members

11. Policy Committee is the lead Elected Member body responsible for decision making in respect of Council policies.
12. Governance and Ethics Committee has responsibility for overseeing performance and compliance in respect of agreed information governance policies. It also has a decision making responsibility in respect of the information governance approach and performance.

Chief Executive and Corporate Leadership Team

13. The Chief Executive is the Head of Paid Service who leads the Council's staff and advises on policies, staffing, service delivery and the effective use of resources.
14. The Chief Executive, together with Corporate Directors and a few other senior officers, form the Council's Corporate Leadership Team (CLT) which ensures the delivery of an effective Council-wide information governance approach.

Senior Information Risk Owner (SIRO)

15. The Senior Information Risk Owner (SIRO) is responsible for managing information risk in the Council and chairs the Information Governance Group. The SIRO:

- fosters a culture for protecting and using information within the Council
- ensures information governance compliance with legislation and Council policies
- provides a focal point for managing information risks and incidents
- prepares an annual information risk assessment for the Council
- gives strategic direction to the work of the Data Protection Officer (DPO)

Caldicott Guardians

16. The Caldicott Guardians are responsible for ensuring that all personal/patient identifiable information handled on behalf of the Council, are compliant with existing law and standards and they act to safeguard the rights of service users. The Caldicott Guardian ensures that satisfactory information governance policies are in place for their service and adhered to by all staff and providers in their service area.

Data Protection Officer

17. The Data Protection Officer (DPO) is responsible for advising, monitoring and reporting the Council's compliance with the General Data Protection Regulation (GDPR) and any relevant UK legislation. The GDPR is the EU-wide legislation on data protection which becomes law with effect from 25 May 2018. Formal duties are defined by the GDPR and include raising awareness of data protection requirements, leading information audits, advising on and reviewing data protection impacts and information sharing and investigating data breaches and incidents. They will also cooperate with, and be the key point of contact for, the Council's liaison with the Supervisory Authority (currently the UK Information Commissioner's Office).

Information Asset Owners

18. Each Service Director is an Information Asset Owner who is accountable for identifying, understanding and addressing risks to the information assets within their directorates as well as ensuring good information governance.

Information Asset Managers

19. Each Group Manager is an Information Asset Manager who is responsible for the information assets and wider information governance within their business unit. They ensure information is held, used and shared appropriately and support the Information Asset Owner to address risks to the information.

Team / Service Managers

20. Each Team or Service Manager understands and records the information assets for their business unit and supports the Information Asset Manager and Owner to address risk

and safeguard assets. They also promote good information governance practice amongst their staff.

21. A role descriptor sets out in more detail the information governance responsibilities attributable to staff at each of these levels of the organisation.

Information Systems Owners

22. All information systems within the Council will have an assigned System Owner. Systems Owners are responsible for information systems. They will ensure system operating procedures are in place and are followed. They have responsibility to recognise actual or potential security incidents, consult their Information Asset Owners on incident management, and ensure that information systems are accurate and up to date.
23. All of the roles referenced above with a specific responsibility for information governance have an appropriate descriptor setting out responsibilities and expectations of the role.

Key governance bodies

24. The Information Governance Group (IGG) role and responsibilities include:
 - Ensure a comprehensive and current Information Governance Framework is in place and operating effectively throughout the Council.
 - Review and approve information governance procedures and standards.
 - Lead the organisation's approach to controlling and managing information risk.
 - Consider and address issues arising from reports of the Data Protection Officer.
 - Coordinate information governance activities (data protection, information requests, security, quality, and records management) across the Council.
 - Monitor information handling and breaches, implement assurance controls (including audits as required) and take corrective actions
 - Ensure training and action plans for information governance are progressed throughout the Council and evaluate its impact and effectiveness.
 - Communicate and champion the information governance agenda and the work of the Group.
25. The Group comprises the SIRO (Chair), Caldicott Guardians, Data Protection Officer, Senior Information Governance Advisor, representatives from Legal, Democratic Services and Complaints, Human Resources, Information and Community Technologies and each of the Departments within the Council.

Risk, Safety and Emergency Management Groups

26. Each Department has a Risk, Safety and Emergency Management Group whose role is to consider and address information governance risks within that Department, as part of a wider risk management agenda. The Group comprises senior staff from the relevant department, including the representative who will

also sit on the Information Governance Group, in order that there is a reporting and feedback link between the two Groups.

Resources

27. The Council has dedicated resources to support the implementation of its Information Governance Framework.
28. The Information Governance team will develop training and provide expert advice and guidance to all staff on Information Governance. It will develop, review and monitor compliance the Information Governance Framework of policies, standards and procedures and will support the DPO in carrying out their role.
29. The Complaints and Information team processes corporate information and Subject Access Requests, Freedom of Information requests and Environmental Information requests.
30. The IT Security team is the lead for cyber security management and advice for the Council's IT infrastructure, and for the annual IT Health Check for the PSN (Public Sector Network) Accreditation.
31. The Records Management Service provides records management advice and storage to all departments of the County Council. It controls the quantity and length of time that paper records are retained by carrying out annual reviews and maintains an audit log of information use.
32. The Solutions 4 Data Service provides a digitisation service which enables paper documents to be scanned and indexed to enable easy retrieval.
33. The Legal Services team provides expert legal advice on information governance matters to all service teams, including the Complaints and Information and Information Security teams.
34. The Internal Audit Service provides independent assurance of the Council's approach to risk management, control and governance in order that systems and processes are made more effective.
35. There will be identified roles in the Groups whose role includes some aspects of information governance and ensuring compliance. These will vary according to the services provided.

General responsibilities

36. All Council directors and managers are responsible for promoting and monitoring the implementation and adherence of this Information Governance Framework and its associated standards, procedures and guidelines within their directorates and services.

- 37. All staff are responsible for ensuring they apply this Information Governance Framework its associated standards, procedures and guidelines to all their work and the information they handle.
- 38. Wilful or negligent disregard for information governance policies and procedures will be investigated and may be treated as a disciplinary matter which could lead to dismissal or the termination of work agreement or service contracts.

Training and guidance

- 39. Information Governance training for all staff will be mandatory at induction and periodically thereafter, in line with the corporate training standard for information governance.
- 40. Seconded, agency, voluntary and other staff with access to Council systems and data will be required to undertake the training in line with requirements of staff unless evidence of equivalent training is provided through an exceptions process,
- 41. Further modules, as appropriate, for specific information governance and / or certain business roles will be available through e-learning and / or classroom sessions, developed internally or through recognised providers. The requirements and standards for these will be developed, agreed and kept under review.
- 42. Training compliance will be monitored by the Information Governance Group and at an individual level through Employee Performance and Development Reviews (EPDRs).
- 43. Awareness sessions may be given to staff as required, at team meetings or other events.
- 44. Regular reminders on information governance topics are made through corporate and local team briefings, staff news and emails and, on occasions, through targeted publicity campaigns.
- 45. Policies, procedures, standards and advice are available to staff at any time on the Information Management pages at: [Link to be inserted upon approval](#)

Monitoring and review

- 46. This Information Governance Framework will be monitored and reviewed annually in line with legislation and codes of good practice.
- 47. The policies, procedures, standards and guidance that form part of the Framework will be reviewed as set out in the individual documents.
- 48. A detailed review and change log of all documents which comprise this Framework will be maintained by the Information Governance team.

49. Further Information

Details to be inserted upon approval

Appendices

External legislation

50. External legislation related to this policy includes

- [General Data Protection Regulation](#) (from 25 May 2018)
- [Data Protection Act 1998](#) (to May 25 2018)
- [Human Rights Act 1998](#)
- [Freedom of Information Act 2000](#)
- [Environmental Information Regulations 2004](#)
- [Local Government Acts](#)
- [Copyright, Design and Patents Act 1998](#)
- [Computer Misuse Act 1990](#)

Information Rights Policy

Version: To be inserted upon approval
Author: Caroline Agnew
Date of Issue: To be inserted upon approval
Review date: To be inserted upon approval
Protective Marking: Official

Approvals

V	Approval Body	Date
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Review

V	Reviewing Body	Change Description	Date
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Introduction

1. This policy sets out the statement of intent that Nottinghamshire County Council (NCC) and its staff will follow with regard to the public's information rights. For general public access this is often referred to by the name of the legislation, i.e. Freedom of Information and Environmental Information, and for personal information the Data Protection Act and the General Data Protection Regulation (GDPR).
2. We hold information in order to provide services to the public. Where practical we make available public information through our website, in leaflets and on request. We need to restrict publication of some information because it is confidential, may have a copyright attached or contains personal information about other people.
3. We hold personal information to provide services to individuals and an individual has a right to request access to their records and information held about them (Subject Access Request). People should be confident that we handle their personal information responsibly and in line with good practice.
4. This policy forms part of the Council's Information Governance Framework and will be implemented by setting standards and procedures for Council staff, with further guidance to help the public and staff.

Definitions

5. "We" means the County Council and includes all members, employees, trainees / apprentices and volunteers of the County Council and contractors, suppliers and partners delivering County Council services on our behalf.
6. Information is used here as a collective term to cover terms such as data, documents, records and content, audio recordings, digital and photographic images etc.
7. Processing is any operation or set of operations which is performed on personal information such as collection, recording, storing, alteration, retrieval, use, disclosure, destruction etc
8. Personal information means any identifiable data or information relating to a living individual (i.e. a person who can be identified, directly or indirectly, by reference to an identifier such as a name, an identification number, online identifier etc).
9. Council information includes any data or information that is held by us on behalf of individuals, business, partners or that we create in order to carry out our services.

Scope

10. The principles and commitments set out in this policy apply to all members, employees, trainees / apprentices and volunteers of the County Council and

to contractors, suppliers and partners delivering County Council services on our behalf.

11. Members of the Council should note that they are also data controllers in their own right and are responsible for ensuring any personal information they hold/use in their role as Members is treated in accordance with the relevant legislation.
12. This policy does not apply to information held by schools who are individually responsible for ensuring that they comply with Data Protection and Freedom of Information legislation. If a request concerns data protection in a school or a wish to access school records, the requester should contact the Head Teacher of the relevant school.

Personal information

13. We will handle all personal information in a safe, responsible and secure manner.
14. We will meet our obligations to protect personal data and the rights to privacy. This will be in accordance with the principles of the General Data Protection Regulation, Data Protection and Human Rights Acts and other relevant legislation and common law.
15. We will consider and address the risks to personal information when we are planning to use or hold personal information in new ways. For example, when are introducing new systems, or new ways of working.
16. We will review and may take disciplinary or contractual action if staff or contractors misuse or do not look after personal information properly.
17. We may need to share personal information in order to perform our statutory duties and legal obligations.
18. We will provide and publish complete and current privacy notices which explain why we collect personal information, how we use and share information and the rights that people have over their data.
19. In some circumstances we will not rely on, or ask for, individuals' consent to use and share their personal information. Specifically, in relation to information which is sensitive in nature, consent will not be relied on where use and/or sharing of the information is:
 - a. Necessary for health or social care purposes and under the supervision of a health or social work professional or another professional who owns a comparable duty of confidentiality or
 - b. In the substantial public interest and in relation to statutory functions and responsibilities or
 - c. In the substantial public interest and in relation to the prevention or

detection of crime

20. We will keep a record of all the types of activity where, in accordance with paragraph 17 above, consent is not required. The record will explain how our use of information complies with data protection law and how long that information will be retained.
21. Data protection law gives individuals the right to object to their personal information being used and shared. However there are some exemptions to this right.
22. We will keep a record of the types of activity where the Council may refuse a request for an individual's information not to be used or shared. Requests will be considered on a case by case basis.
23. Individuals are entitled to request a copy of the personal information that is held about them by making a 'subject access request'.
24. We will take reasonable steps to verify the identity of the requester prior to providing access to their personal data.
25. We will respond to a 'subject access request' as soon as possible and within the relevant statutory timescales.
26. Where reasonable and practical, we will provide the information in the format requested.

Public information

27. We wish to be an accountable and transparent Council and will publish a range of non-personal information for the public to access and in a reusable format.
28. We will provide as much open access to our information as possible and through a Publication Scheme. Wherever possible, information will be available in digital format from our website www.nottinghamshire.gov.uk.
29. We will provide information unless there is a legal justification for withholding it. Where we refuse to provide information, we will clearly and fully explain the reasons why.
30. We will state if any charges, or restrictions on use, apply in respect of requests for both general and personal information.
31. We will set out clear procedures for requesting and responding to formal requests for general information and we will respond within the relevant statutory timescales set out in guidance for the public.
32. Both in respect of personal and public information, we will set out clear

procedures for asking for an internal review if you are not satisfied with our response and will ensure your concerns are dealt with appropriately.

33. Both in respect of personal and public information, where a requestor has made a complaint, we will advise them that they may complain to the Information Commissioner's Office if they remain unhappy with the outcome.
34. In line with our Equality Policy, we will treat people justly and fairly when they are exercising their rights and in dealing with requests for information.

Responsibilities

35. Nottinghamshire County Council is the overall body responsible for responding to requests for information which it holds, with the legal obligations being enforced by the Information Commissioner's Office and the courts.
36. Specific responsibilities for staff within the Council are as follows:

Staff member/group	Responsibility
All staff and others working for or on behalf of NCC.	Awareness of the relevant legislation relating to requests for information
All staff and others working for or on behalf of NCC.	Understanding and adhering to this Policy and its related procedures
Data Protection Officer	Establishing arrangements to monitor and report on compliance with this policy and provide support and advice and training.
Complaints and Information Team	Maintaining a record of all requests for information, coordinating responses and managing liaison with requestor (except Human Resources)
HR Service	Maintaining record of all requests for information and managing liaison with requestor (Human Resources records)
All managers	Compliance with and implementation of this policy within their teams

Monitoring and review

37. This policy and the supporting standards will be monitored and reviewed annually in line with legislation and codes of good practice.

Appendices

38. NCC information standards, procedures and guidelines which support this policy, which at the time of this policy's approval include:
 - Links to be inserted upon approval

Further Information

39. Further Information

Link to be inserted upon approval

40. The Information Commissioners Office is the UK's independent authority set up to uphold information rights in the public interest, promoting openness by public bodies and data privacy for individuals.

Website: <http://ico.org.uk/> Telephone: 0303 123 10

41. External legislation related to this policy includes

- [General Data Protection Regulation \(from 25th May 2018\)](#)
- [Data Protection Act 1998](#) (to May 25th 2018)
- [Human Rights Act 1998](#)
- [Freedom of Information Act 2000](#)
- [Environmental Information Regulations 2004](#)
- [Local Government Acts](#)
- [Copyright, Design and Patents Act 1998](#)

Information Compliance Policy

Version: To be inserted upon approval
Author: Caroline Agnew
Date of Issue: To be inserted upon approval
Review date: To be inserted upon approval
Protective Marking: Official

Approvals

V	Approval Body	Date
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Review

V	Reviewing Body	Change Description	Date
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Introduction

1. This policy sets out the approach that Nottinghamshire County Council (NCC) will follow with regard to information compliance.
2. The policy and associated standards and procedures are **mandatory** and must be followed. It forms part of the Council's **Information Governance Framework**. The Framework also includes:
 - Our **Information Rights policy** which sets out the rights the public and employees have to access personal and public information.
 - Our **Information Security policy** which sets out the approach that NCC will follow with regard to information security.
3. We will apply this policy and good information governance to all our work and the information we handle, in recognition of our duty to the public as well as complying with legislation.

Definitions

4. "We" means the County Council and includes all members, employees, trainees / apprentices and volunteers of the County Council and contractors, suppliers and partners delivering County Council services on our behalf.
5. Information is used here as a collective term to cover terms such as data, documents, records and content whether in paper or electronic format.
6. Personal information means any identifiable data or information relating to a living individual (i.e. a person who can be identified, directly or indirectly, by reference to an identifier such as a name, an identification number, online identifier etc).
7. Processing is any operation or set of operations which is performed on personal information such as collection, recording, storing, alteration, retrieval, use, disclosure, destruction etc
8. Council information includes any data or information that is held by us on behalf of individuals, business, partners or we create in order to carry out our services.

Scope

9. The principles and commitments set out in this policy apply to all members, employees, trainees / apprentices and volunteers of the County Council and to contractors, suppliers and partners delivering County Council services on our behalf.

10. Members of the Council should note that they are also data controllers in their own right, and are responsible for ensuring any personal information they hold/use in their role as Members is treated in accordance with the relevant legislation.
11. This policy does not apply to information held by schools who are individually responsible for ensuring that they comply with Data Protection and Freedom of Information legislation. If a request concerns data protection in a school or a wish to access school records, the requester should contact the Head Teacher of the relevant school.

Protecting personal and confidential information

12. We will meet our obligations in line with the principles of the Data Protection and Article 8 of the Human Rights Acts and other relevant legislation, recognising the rights to privacy of living and deceased individuals.
13. We will maintain an up to date entry in the Public Register of Data Controllers or any other register required by the appropriate regulatory authority (currently the Information Commissioner's Office).
14. We will need to share some personal data in order to deliver services, perform our duties and legal obligations but will only do so where we have consent or a legal power to do so.
15. We will only rely on consent as a condition for processing personal data if there is no relevant legal power or other condition. Consent will be obtained for any promoting or marketing of goods and services.
16. We will provide and publish complete and current privacy notices which explain why we collect personal information, how we use and share information and the rights that people have over their data.
17. We will only collect and process the minimum amount of personal data necessary to deliver services.
18. We will process and keep personal and confidential information safe and secure at all times, including at the office, public areas, home or in transit. Such information will not be disclosed or discussed except in the performance of normal work duties and only where the recipient is authorised to receive it.
19. Our staff will ensure that their working time is used efficiently on delivering our business outcomes, they maintain our reputation and that IT and other facilities resources are used effectively.

20. We will ensure that privacy risks and implications are formally considered, addressed and documented where there are plans for any new (or change to an existing) system or process which processes personal data. This will typically be done through a Data Protection Impact Assessment (DPIA).

Creating, storing and managing information

21. We will take reasonable steps to ensure the personal data held is accurate, up to date and not misleading. Where opinions or intentions about service users are recorded, this will be done carefully and professionally.
22. We will maintain record of information assets and associated data processing activities.
23. We will classify and use information according to its risk, sensitivity, value, and importance in accordance with our Information Classification and Handling Standard.
24. Personal and Council information will only be stored in approved locations (e.g. paper archives, office cabinets, devices, networks, systems) and in accordance with our Information Security Policy and associated standards and procedures.
25. We will consider the audience and presentation format to make information accessible.
26. We will follow the relevant procedure when personal data needs to be anonymised or pseudonymised, for example for research purposes.

Giving access to information

27. We will respect people's right to access personal and public information that the Council creates, owns or holds and assist them in accessing it. Requests from individuals or their representatives for access to, or copies of, their personal data, will be referred to the Complaints & Information team and handled.
28. Access Requests will be centrally coordinated as set out in the Subject Access Requests procedure. [LINK](#) to be inserted upon approval.

Sending and sharing information

29. We will ensure that any information sharing is undertaken confidentially, securely, legally and consistently and in line with our service standards and procedures. This will include:

- a) use of secure email and encryption for sending electronic information and tracking for paper documents.
- b) ensuring that Information Sharing Agreements and Data Processing Agreements are in place, where deemed necessary and that the terms of those agreements are observed.
- c) That personal data is only shared with external bodies where there is an Information Sharing Agreement or other legal basis for sharing.
- d) That personal data is not shared with an individual or organisation based in any country outside of the European Economic Area (EEA) unless there is express permission to do so following a Data Protection Impact Assessment.

Archiving, preserving and disposing of information

- 30. We will have a Retention Standard [LINK to be inserted upon approval] to ensure information is retained in accordance with legislation and NCC standards. The Retention Standard will be periodically reviewed for changes in legislation and the Council's business needs.
- 31. We will only retain information for the time period applicable to the Retention Standard.
- 32. We will dispose of paper and electronic information classified as personal or confidential using the appropriate standards and procedures.

Third Party suppliers and off-site hosting

- 33. We will ensure processing carried out by third parties on our behalf complies with the provisions of the General Data Protection Regulation, data protection and other appropriate legislation and standards.
- 34. Our staff (including Managers, Commissioners, Contract Managers and Project Managers) will make appropriate contractual arrangements, in conjunction with legal services, where information is processed by third parties on behalf of the Council to ensure its security, transfer, appropriate use, disposal and/or return at the end of the contract.

Alternative Service Delivery Models

- 35. Our staff (particularly including Project Sponsors and Project Managers) are responsible for considering information governance implications and addressing risk from the outset when planning alternative models of service delivery.

Accessing and securing information

- 36. Our staff and those working on our behalf will only view or attempt to view personal information that is necessary for their role and business need. They

will follow system user guidance or other formal processes which are in place and ensure that only those with a business need to access personal data are able to do so.

37. We will keep all NCC paper information locked away when not in use and take all reasonable measures to keep information secure and out of sight when taken out of NCC premises.
38. Our staff and those working on our behalf will not allow unauthorised access to NCC equipment and information, or knowingly introduce any security threat.
39. We will ensure that all Council information and equipment owned or held by us is recorded and is transferred or returned to us by staff or other approved users before they leave the Council.

Information breaches

40. Information breaches are not always obvious and can result from a wide range of situations. For example, the loss or theft of a mobile phone, paper documents or laptop, unauthorised people having access to information, the accidental or malicious deletion of information.
41. Our staff, partners and those working on our behalf will immediately report any potential or actual losses of information or equipment holding information, potential or actual security incidents (e.g. inappropriate access, hacking, misuse of password, viruses), using the Council data breach reporting procedure. [LINK to be inserted upon approval]
42. The Council will investigate reported incidents and information breaches, assist those conducting investigations and take appropriate remedial action.
43. The Council will treat any information breach as a serious issue, potentially warranting a disciplinary investigation. Each incident will be investigated and judged on its individual circumstances, addressed accordingly.

Training

44. We will ensure all staff are trained to an appropriate level and frequency, based on their roles and responsibilities, to be able to handle personal data securely and confidentially. This will be set out in the Council's information training standard.
45. Our staff will consult and seek advice from their line manager if further training or guidance is required, who will arrange further training or support.

Responsibilities

46. The NCC competency framework [LINK to be inserted upon approval] references information governance responsibilities for all staff who must adhere to this policy and its associated standards, procedures and guidelines.
47. Managers have specific information governance responsibilities, for instance in respect of information asset management. These are set out in an information governance role descriptor [LINK to be inserted upon approval].
48. Departmental Risk, Safety and Emergency Management Groups are accountable for the effective management of information risk and information governance compliance, as well as supporting and promoting the policies, standards and procedures.
49. Wilful or negligent disregard for information governance policies and procedures will be investigated and may be treated as a disciplinary matter which could lead to dismissal or the termination of work agreement or service contracts.

Monitoring and review

50. This policy and the supporting standards will be monitored and reviewed annually in line with legislation and codes of good practice.

Appendices

51. NCC information standards, procedures and guidelines which support this policy, which at the time of this policy's approval include:
 - List to be inserted upon completion of work on procedures
52. These may be added to or replaced and are subject to regular updates as approved by the NCC Information Governance Group.
53. The latest version(s) of the related standards, procedures and guidelines can be found at [LINK to be inserted upon approval] for the latest version(s).

Other Nottinghamshire County Council related policies

54. Other NCC policies which relate to this Information Compliance policy includes:
 - NCC information governance framework
 - NCC information rights policy
 - NCC employee and employer code of conduct

- NCC terms and conditions of employment
- NCC accommodation standards - clear desk principles

External Legislaton

55. External legislation related to this policy includes

- [General Data Protection Regulation \(from 25th May 2018\)](#)
- [Data Protection Act 1998](#) (to May 25th 2018)
- [Human Rights Act 1998](#)
- [Freedom of Information Act 2000](#)
- [Environmental Information Regulations 2004](#)
- [Local Government Acts](#)
- [Copyright, Design and Patents Act 1998](#)

Information Security Policy

Version: To be inserted upon approval

Author: Chris Towner

Date of Issue: To be inserted upon approval

Review date: To be inserted upon approval

Protective Marking: Official

Approvals

V	Approval Body	Date
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Review

V	Reviewing Body	Change Description	Date
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Context

1. Information is a critical asset for Nottinghamshire County Council (NCC). The security of information assets, as well as the supporting processes, systems and networks, is essential to maintaining operational effectiveness, reputation, financial accuracy and legal compliance.
2. NCC are subjected to a wide variety of sophisticated security threats, including malware, hackers and computer-assisted fraud. The dependence on data, information systems and services means that NCC are ever more vulnerable to these threats.
3. The requirement to interconnect the NCC network with suppliers and partners, alongside the growing use of Cloud services, makes security increasingly complex.
4. The objective of information security is therefore to achieve and maintain a condition where all information is available at all times to all those who need it, cannot be corrupted or disclosed to unauthorised persons and its origin is authenticated. This involves the preservation of:
 - **Confidentiality** - ensuring that information is only accessible to authorised persons;
 - **Integrity** - safeguarding the accuracy and completeness of information and processing methods;
 - **Availability** - ensuring that authorised users have access to information and associated assets when required;
 - **Non-repudiation** – the reasonable assurance that, where appropriate, a user cannot deny being the originator of a message after sending it.
5. It is important that information security is appropriate, proportionate, integrated and coordinated. It should enhance business processes, rather than impede them.

Scope of this policy

6. The policy applies to all NCC data and systems, and to all NCC personnel with access to NCC data or systems, irrespective of status, including temporary staff, contractors, consultants, and third parties.

Principles and Commitments

7. The Information Security Policy is Mandatory. It must be read and understood by all NCC employees who use, or may need to use, IT systems, information and services at NCC. Wilful or negligent disregard for information governance policies and procedures by employees will be investigated and may be treated as a disciplinary matter which could lead to dismissal.

8. All regulatory and legislative requirements must be met.
9. All users of IT systems are accountable for their actions.
10. All users of IT systems should receive appropriate training and regular updates in organisational IT security policy, standards and procedures.
11. All information must be handled in a way appropriate to its sensitivity, in accordance with the Information Classification and Handling Standard.
12. All hardware and software must be kept up to date to minimise the likelihood of security vulnerabilities being exploited, in accordance with the Patching Standard.
13. IT equipment must be properly configured and managed to reduce the risk of malware and other security threats, in accordance with the Network Security Standard.
14. Users must only be granted access to the IT systems and data necessary to fulfil their role, in accordance with the Access Control Standard.
15. Remote access services must be configured to minimise opportunities for unauthorised access or denial of service, in accordance with the Remote Access Standard.
16. Resources which are hosted in Cloud Computing environments must be maintained to an acceptable level of security, in accordance with the Cloud Security Standard.
17. All IT equipment must be adequately secured to prevent theft, and critical IT infrastructure must be physically secured to prevent unauthorised access, in accordance with the Physical Security Standard.
18. Controls must be implemented to reduce the risk to the confidentiality, integrity and availability of IT systems and data caused by malicious software (malware), in accordance with the Anti-Malware Standard.
19. All IT systems must be designed, configured and managed to minimise opportunities for unauthorised access or denial of service, in accordance with the System Configuration and Management Standard.
20. The use of passwords must be managed to minimise the risk of unauthorised access to IT systems or data, in accordance with the Password Standard.
21. Encryption techniques must be used to protect sensitive information, in accordance with the Encryption Standard.
22. Systems must be monitored to ensure malicious activity is detected, in accordance with the Protective Monitoring Standard.

23. Users of IT systems, including e-mail and the Internet, must use these systems in a way that minimises the risk to the confidentiality, integrity and availability of IT systems and information, in accordance with the Acceptable Use Standard.
24. Controls must be applied to prevent unauthorised access to information stored on removeable media, and to reduce the risk to NCC systems from data originating from removeable media, in accordance with the Removable Media Standard.
25. Third party access to NCC systems must be authorised and controlled, and third parties with such access must adhere to all other NCC policies, in accordance with the Third Party Access Standard.
26. Information must be kept for a period of time described by the Information Retention Standard. Information, systems and hardware that is no longer required must be securely destroyed in accordance with the Data Destruction Standard.
27. All security incidents must be handled in accordance with the Incident Response Standard.
28. Controls must be implemented to minimise the impact of any system unavailability, in accordance with the ICT Business Continuity Standard.

REPORT OF THE DIRECTOR OF PUBLIC HEALTH**HEALTH IN ALL POLICIES****Purpose of the Report**

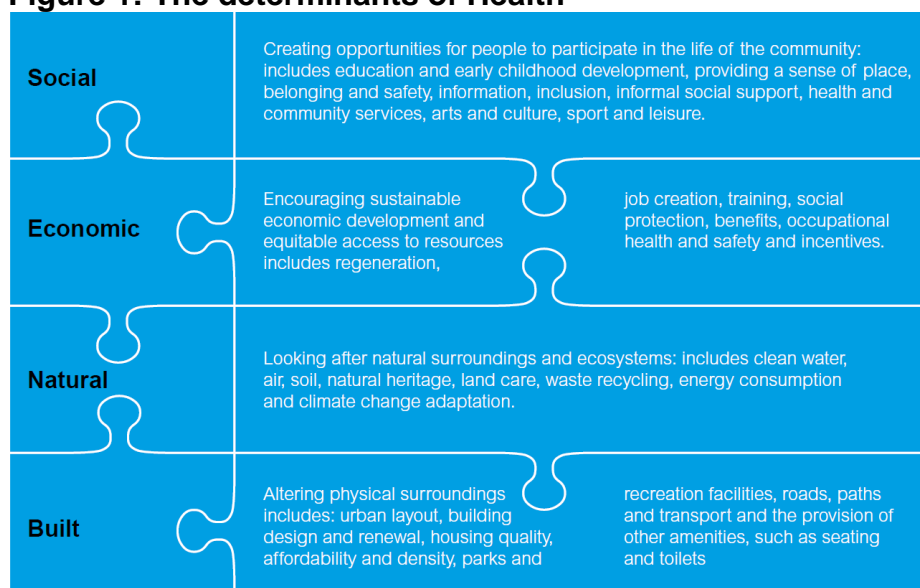
1. The Policy Committee is asked to adopt the Health in All Policies (HiAP) approach for the Council and support a Local Government Association facilitated workshop focused on implementation.

Information

2. Since April 2013 Nottinghamshire County Council has statutorily been responsible for improving the health of their population (conferred by the Health and Social Care Act 2012). This move is a recognition of that fact that health is primarily shaped by factors outside the direct influence of the NHS and care services (see appendix A) instead by our experience of the things that make us healthy e.g. good work, education, housing, resources, our physical environment and social connections, so the role of local government is crucial in this agenda.
3. This statutory responsibility is explicit in the Council plan 'Our Nottinghamshire, Our Future' through commitment 6, 'People are Healthier'. Whilst this commitment is aligned to the second ambition 'A great place to fulfil your ambition', all four ambitions in the plan potentially support health, even if there isn't explicit reference. This is because there could be significant health gain if these ambitions were taken forward in a way that sought to improve health and reduce health inequalities as all our ambitions involve the factors that determine health.
4. The Act also required the establishment of the Health and Wellbeing Board. The Board is responsible for improving health and reducing health inequalities, primarily through the development of a Health and Wellbeing Strategy which addresses the needs identified in the Joint Strategic Needs Assessment. The recently approved Health and Wellbeing Strategy has a stated ambition for 'Healthier decision making – influence decisions where there is potential to impact on improving health & reducing health inequalities'.
5. The recommendation to adopt and implement HiAP was also the first recommendation in the recently published Director of Public Health's (DPH) Annual independent Report 2017.
6. Therefore there is good alignment between the recommendation from the DPH annual report, the Council Plan and the statutory responsibilities of both the Authority and the Health and Wellbeing Board.

7. In 2016 the Local Government Association published Health in all Policies (HiAP)¹ this translated for local Government the approach advocated by the World Health Organisation currently being adopted worldwide. It is “an approach to public policies across sectors that systematically takes into account the health implications of decisions, seeks synergies, and avoids harmful health impacts in order to improve population health and health equity. “Across England this is now being adopted by many local authorities who are taking a whole-council approach to public health, based on an understanding of the interconnectedness of the social determinants of health”. Cllr Izzi Seccombe, Chair, Community Wellbeing Board (LGA). Figure 1 below shows that if the causes of health are social, economic and environmental then the solutions need to be too. Appendix B shows a worked example.

Figure 1: The determinants of Health



8. As implementing HiAP across LAs is an LGA priority, support is available from them at no cost. In discussion with the LGA and having learnt from other areas, the proposal is that a 1 day session is held in Nottinghamshire, facilitated by the LGA, with attendance from both County Cllrs and senior officers. By the end of the session attendees will
- Understand what HiAP is
 - Opportunity to work through some examples
 - Explore how HiAP relates to the council's planning and performance framework

Other Options Considered

9. None.

Reason/s for Recommendation/s

10. The health of the population is strongly influenced by factors beyond health and social care. The Council is closely involved in many of these, and so this provides an

¹ <https://www.local.gov.uk/health-all-policies-manual-local-government>

important opportunity to maximise their positive health impact and ensure that decisions made by the Council reflect the fact that health and wellbeing is everyone's business.

Statutory and Policy Implications

11. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

12. There are no additional financial implications arising from adopting HiAP it will be delivered through existing resources. LGA support for the proposed workshop is provided at no cost.

Human Rights Implications

13. The Constitution of the World Health Organisation (1946) envisages “...*the highest attainable standard of health as a fundamental right of every human being.*”

RECOMMENDATIONS

1. That Policy Committee adopt the LGA's Health in all Policies approach and supports a Local Government Association facilitated workshop focused on implementation.
2. That Public Health organises such a workshop in conjunction with Democratic Services.

Jonathan Gribbin
Interim Director of Public Health

For any enquiries about this report please contact:

Jonathan Gribbin
Interim Director of Public Health
Email: Jonathan.Gribbin@nottsc.gov.uk Tel: 0115 9772851

Constitutional Comments SB 19.03.2018)

14. The Policy Committee is the appropriate body to consider the contents of the report.

Financial Comments (DG 16/03/18)

15. The financial implications are contained within paragraph 12 of this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

[Health in all policies: a manual for local government](#)

Local Government Association

[Prevention Matters – How elected members can improve the health of their communities](#)

LGA workshop

Electoral Division(s) and Member(s) Affected

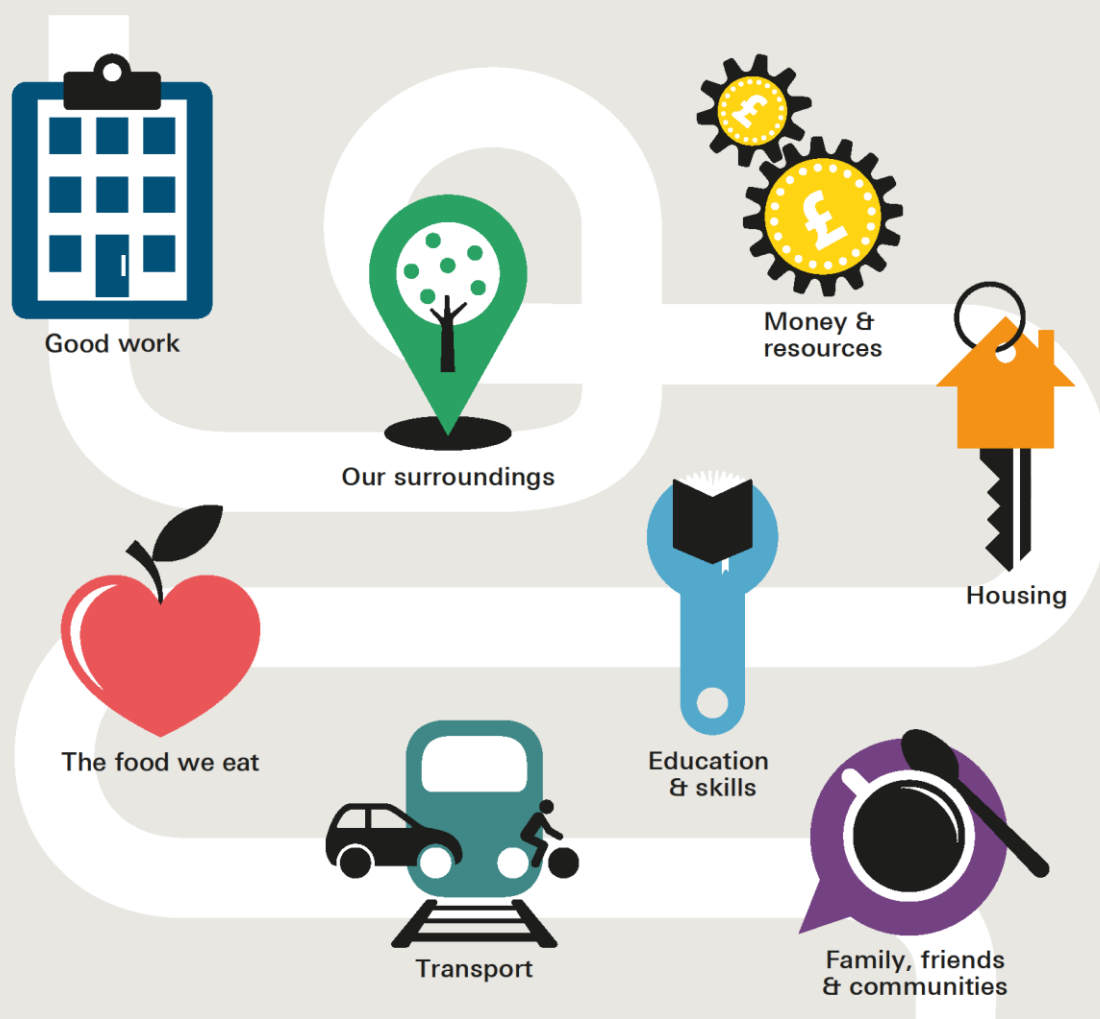
- All

What makes us healthy?

AS LITTLE AS

10% of a population's health and wellbeing is linked to access to health care.

We need to look at the bigger picture:



But the picture isn't the same for everyone.

The healthy life expectancy gap between the most and least deprived areas in the UK is: **19** YEARS

Appendix B

Insecure employment

THE ISSUE

In 2015, there were

1.5 million

zero hour contracts



744,000 people
on zero hour
contracts in their
main job



In 2014, just under **1 in 10** people employed in UK (30m people) were underemployed



over **1 in 5** among people in elementary jobs like labourers, refuse collectors and bar staff, were underemployed

WHY IT MATTERS



Workers reporting insecurity in their jobs have higher self-reported ill health relative to workers in secure employment.

Workers reporting insecurity in their jobs see greater numbers of musculoskeletal disorders, physical health problems generally, psychological distress and occupational injuries.



TACKLING INSECURE EMPLOYMENT

Public bodies and local partners can play an important role in improving employment conditions and job security in their communities:

Require their suppliers to **offer fair terms and conditions** of employment to people who work for them



Change their procurement policy, making use of the Social Value Act and writing a social value policy with partners



REPORT OF THE CHAIRMAN OF THE IMPROVEMENT AND CHANGE SUB-COMMITTEE BUSINESS INTELLIGENCE STRATEGY

Purpose of the Report

1. This report is for the Policy Committee to agree a Business Intelligence Strategy for the Council.

Information

2. The Council Plan “Your Nottinghamshire Your Future” sets out a clear and ambitious vision for the future of Nottinghamshire: A county that is a great place to bring up a family, to fulfil ambition, to enjoy later life and to start and grow a business.
3. The Council has identified information and intelligence as vital assets to be developed and managed to support the Council to achieve its commitments. Through the Business Intelligence Strategy the Council will develop the technology and approaches that it will use for the collection, integration, analysis, and presentation of information and the data that it is derived from.
4. The provision of effective business intelligence is seen as a key requirement to enable future organisational change and transformation. The development of a Business Intelligence Strategy has been considered by the Improvement and Change Sub-Committee and is a key milestone in the Resources Improvement and Change Portfolio of the Resources Departmental Strategy.

Business Intelligence Strategy

5. Business Intelligence (BI) is how we bring together data – a vast range of facts and statistics - for analytical purposes so that we can plan and provide efficient services to the public. This can range from how we present or visualise complex information through to how we structure and use it to automate parts of service delivery.
6. The BI Strategy is intended to set out a framework for the future development of Business Intelligence across the Council and how the Council will explore the new opportunities arising from developments in the way that data can be used.
7. The BI Strategy sets out the principles to be applied in this work and proposes the Council’s approach should be driven by service needs; designed around the Customer journey through our services and the stages that make up that journey – our business processes.
8. The BI Strategy sets out three main areas for focus

- **BI for People** - Developing our understanding of the people who live here, their needs and demands; Putting them at the heart of our plans to build a great place
 - **BI for Services** Having the right information and processes to make wise choices in the way that we run our services and budgets
 - **BI for Transformation** - Getting the most out of our data, basing our toughest choices on the strongest analysis and using data driven technology to transform our services
9. Importantly, the Strategy also outlines work to develop a performance management culture that makes full use of developments and new approaches in Business Intelligence and furthers the implementation of the Council's Planning and Performance Management Framework. This includes strengthening the role of managers through the competency framework, learning and development, communication and governance.
10. The Strategy is included as an Appendix to the report for consideration by Policy Committee.

Other Options Considered

11. Development of a Business Intelligence Strategy is a key milestone in the Resources Improvement and Change Portfolio on the Resources Departmental Strategy. No other options were considered.

Reason/s for Recommendation/s

12. The Council's Policy Framework requires all policies and strategies to be approved by a single body, the Policy Committee. The recommendation progresses the Strategy to fulfil this Constitution requirements.

Statutory and Policy Implications

13. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.
- Development of the Council's Business Intelligence Infrastructure and BI Hub has particular regard to information management and data security requirements to ensure that this is managed appropriately and in accordance with statutory requirements.

Financial Implications

15. There are no financial implications arising directly from this report.

RECOMMENDATION/S

- 1) It is recommended that the Policy Committee agree the Business Intelligence Strategy.

Councillor Reg Adair
Chairman of the Improvement and Change Sub-Committee

For any enquiries about this report please contact:

Matthew Garrard, Performance, Intelligence and Policy Team Manager

Constitutional Comments (KK 13/03/18)

16. The proposal in this report is within the remit of Policy Committee.

Financial Comments (SES 07/03/18)

17. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- None

Electoral Division(s) and Member(s) Affected

- All

Business Intelligence Strategy 2018



Contents

Introduction

- Your Nottinghamshire Your Future

Section One

- Strategic Context and Challenges

Section Two

- Our Approach to Business Intelligence

Section Three

- Priorities and Key Actions to Support the Delivery of the Council Plan
- BI for People, Services and Transformation

Section Four

- Developing Business Intelligence

Section Five

- Embedding and Evaluating Change

“More data is estimated to have been created between 2013 and 2015 than in the entire previous history of the human race.”

“Yet it is estimated that only 0.5% of data is ever analysed.”

Introduction

Your Nottinghamshire, Your Future

The way we live our lives is changing at an unprecedented rate. In Nottinghamshire we see this as a fantastic opportunity to show vision and ambition and put the county at the forefront of modern Britain.

Our new Council Plan 'Your Nottinghamshire Your Future' sets out a clear and ambitious vision for the future of Nottinghamshire. A county that is a great place to bring up a family, to fulfil ambition, to enjoy later life and to start and grow a business. And our Departmental Strategies set out how we intend to achieve these ambitions.

The way we operate as a Council and our approach to change are fundamental to the delivery of these plans. As a Council, our duty is to provide a diverse range of services, to protect and shape the environment in which we live, and to create the right conditions for a strong local economy.

We must also make sure that these aims are delivered in a way that provides the best possible value for our taxpayers. The Council must provide the best possible services for local people, improve the place in which we live, and give good value for money.

Information and intelligence are vital assets to support us to deliver services in this way. This Strategy sets out how the Council will use Business Intelligence to achieve our commitments and our duty to provide the best possible services for local people, improve the place in which we live, and give good value for money.

Our Strategy focuses on how we use Business Intelligence for people, services and transformation:

BI for People

Developing our understanding of the people who live here, putting them at the heart of our plans to build a great place.

BI for Services

Having the right information and processes to make wise choices in the way that we run our services and budgets for today and the future.

BI for Transformation

Getting the most out of our data, basing our toughest choices on the strongest analysis and using data driven technology to transform our service.

Strategic Context and Challenges

Strategic Context

It is widely acknowledged that expectations of public services are changing. With an ever increasing demand for good quality services to be delivered in a timely and efficient way, it has never been more important that we put value for money at the forefront of our thinking, ensuring that we understand our data and evidence base in order to design services in the best way.

Key to this is the development of our use of business intelligence, both in terms of how we collect, integrate, manage, analyse and present information to inform decisions, and how we manage and get maximum value from the data that we hold.

The Business Intelligence strategy has been developed in the context of the key drivers which will support the County Council in delivering its commitments as set out in the Council Plan. These business drivers fall into three main categories:

Strategic Drivers

- A sustained reduction in Central Government funding for Councils allied to increased demand and costs for children's and adults social care mean that current forecasts show a funding gap in excess of £54 million up until the financial year 2020/21. These long term financial constraints and the increased demand for services continually challenges the County Council's existing models of service delivery to remain affordable, sustainable and relevant to service users. Key to the success of any new/revised operating models will be the information and insight that the Council uses to make decisions about services.

- Nationally driven initiatives such as the Troubled Families Programme, the Midlands Engine Local Industrial Strategy, the Sustainability and Transformation Plan (STP) and Health and Social Care integrations require evidence driven collaboration at a Regional and County level. Local partnership priorities for Economic Growth, Health and Wellbeing and Community Safety require shared intelligence for the targeting of action and interventions.

Service Drivers

- Demand from services for more advanced intelligence to move beyond our reporting of 'what happened' to understand more analytical questions such as 'how could we prevent it happening', 'why did it happen', 'could it happen again', 'what will happen if we change xyz' and 'what else does the data tell us that we have never thought to ask'
- Increasing need for service redesign to increase productivity, meet new pressures, implement the data driven recommendations of service diagnostics carried out by Newton Europe and realise the benefits of the reconfiguration of Place and Resources Departments.



Technology Drivers

- The availability of data to learn from continues to grow at a significant pace as residents increasingly interact with social media, smart technology, voice recognition and as big data and the internet of things (IoT) become a greater part of our lives.
- Data and the technology to analyse data are being revolutionised through the development of data science, predictive analytics, data mining and cognitive processes such as machine learning and artificial intelligence (AI). Developing our uses of these techniques offers opportunities to redesign public service built around the needs of local people.
- The increasing availability of data driven technology, smart appliances, the internet of things and AI provide opportunities for the public sector to reconsider the way that some services are provided.
- The County Council has a clear direction to fully embrace off-premise (Cloud) solutions and decommission current data centre services by the end of 2019 changing where our systems and data resides.

Building on our foundations

This Strategy is intended to build on work that the Council has already undertaken to improve access to management information. Over the past year we have made great strides in developing an enterprise data warehouse – a technical store to bring together data from some of the Council's key systems.

Having this data together in the warehouse has enabled improvements to be made to reporting of information for our social care services – making it more user friendly and providing better access to support decision making. Our progress includes:

- Provision of a 'BI Hub' – a single point of access for management information
- Development of static reports of social care information derived from the data warehouse
- Completed discovery scoping work for expansion of the warehouse to include data from other core business systems
- Centralised performance, policy and reporting roles into a single service to provide resource for business intelligence. Scoped the integration of public health intelligence into the service
- Initiated a business change analytical function
- Reviewed community safety partnership analytical needs

This initial work enables the Council to explore new opportunities for using BI.

Whats happened
- Reporting

Why has it happened
- Analysis

When might it happen
again – Modelling

What is happening
– Learning and Advising

Our approach to Business Intelligence

Business Intelligence

Information is increasingly coming from a wider range of sources as people generate more data about their daily lives through the way they access and pay for services, through the internet, smart homes, mobile devices and social media.

It is being generated in many formats, from traditional structured data such as that from IT systems, databases and spreadsheets to more unstructured data such as text files, internet cookies, photos, and videos. The availability of data is growing and through computer learning, artificial intelligence and sophisticated data mining, software data is ever developing.

For the Council,

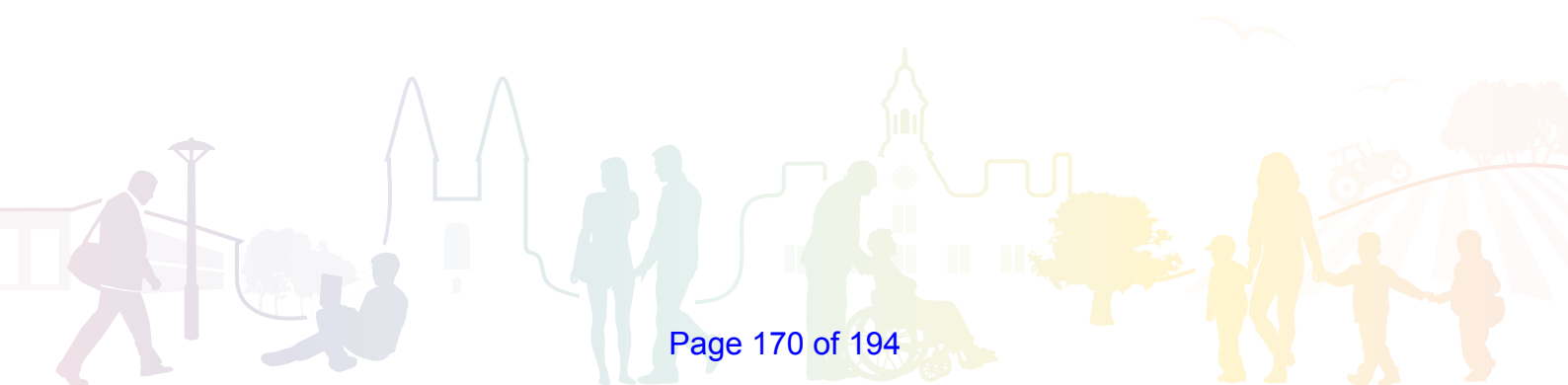
Business Intelligence is how we bring together data

– a vast range of facts and statistics – for analytical purposes so that we can plan and provide efficient services to the public

As a commissioner and provider of services, data is generated throughout the customer journey through our services.

Through analysis of this data and the wider sources of data that are available, the Council will seek to manage efficient services as part of our Planning and Performance Management Framework and based on:

- our understanding of customer needs
- planning services to meet needs
- managing delivery of
 - the Customer journey or service as a whole through to its outcome
 - the stages of the journey or the business processes that lead to the outcome
- learning from the Customer experience (across one or more services) to improve or transform future service delivery
- improve our understanding of future need.



Our Principles

Our principles of good business intelligence are:

1. Single version of the truth

Data will be brought together and viewed through a single, trusted Hub for business intelligence and analysis. We will seek to improve our data to provide an accurate and consistent view, particularly where services cross organisational divides.

2. Data as an asset

Data gathered and held by the Council will be used as an enabler for public services across Nottinghamshire. It will be managed as an asset - so that the development of business intelligence can help meet multiple service needs and outcomes across the whole Council. The value of data, intelligence and analysis will be respected when storing, sharing and disposing of it, and ensuring GDPR compliance.

3. Timely and accessible intelligence

Business Intelligence will be designed and presented to meet the needs of decision makers. This means providing the right information, in the right way at the right time. We will use technology to expand visualisation (how we present information) and develop skills in business analysis, design and analytics to get the maximum value from our data. Our analysis will be interpreted and assured to a consistent standard to support our decision making.

4. Customer focused intelligence

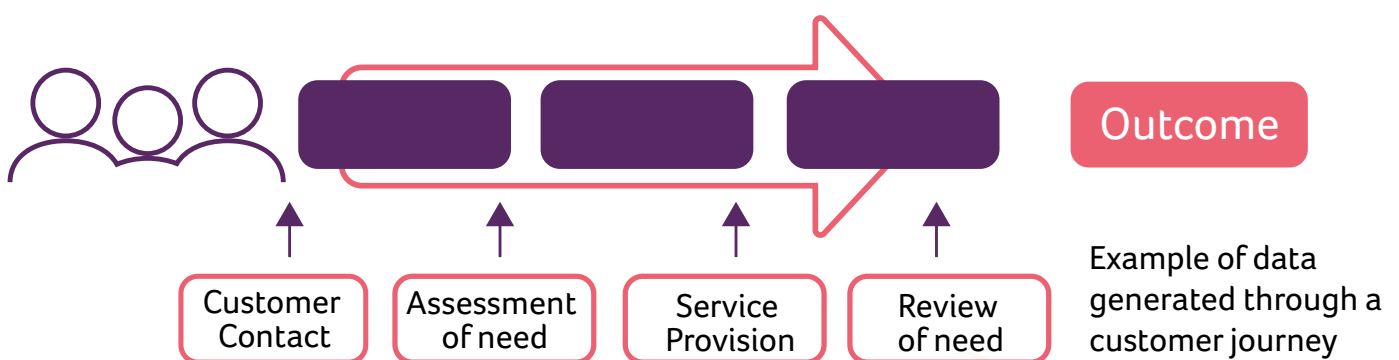
Business intelligence will be shaped and designed around outcomes for our customers, their journey through our services and the stages that make up that journey – our business processes. We will seek to bring together different views of that journey from the perspectives of the customer, outcome, quality, cost, time and risk.

5. Structured data and intelligence

Business Intelligence will be underpinned by good design choices in the way that we organise our data. We will transform the way that the Council's major repositories of data are structured and managed to provide a data warehouse and linked data repositories across the Council. Analytical 'layers' on top of our data will enable the development of dashboards and querying by our analysts. We will bring consistency to our data and manage change across our data sources to protect the integrity of our data and intelligence architecture.

6. Integrating analysis and insight

Analysis and data science will increasingly inform our service choices in the future. We will integrate cognitive BI, automation and data driven technology into our decision making. We will seek to expand data science (how we turn data into insight through BI and technology) and analytical capability across the Council.



Priorities and key actions

Using BI for people

A strong understanding of Nottinghamshire and the people who live here is important to be able to plan and deliver our services.

The Council want to put local people at the heart of everything we do and so it is important that we have a consistent understanding of those local people that can be used across our services.

By bringing together statistics and data about people such as demographics, economic activity, wellbeing and deprivation we will develop a single Council wide view of Nottinghamshire.

We bring together address, property and spatial data to link these characteristics to places to offer interactive mapping and spatial analysis across the Council.

The Council operates in a wider environment supporting and working with many different organisations. Our relationship with these partners also benefits when we work from a single evidence base and a shared understanding of our communities.

This work is often based on the findings of a needs assessment, used to identify gaps between the current and desired health and condition of local people. We will share appropriate intelligence with our partners and our single view of Nottinghamshire will form the basis for the Council's contribution to the assessments of need.

How will we use this:

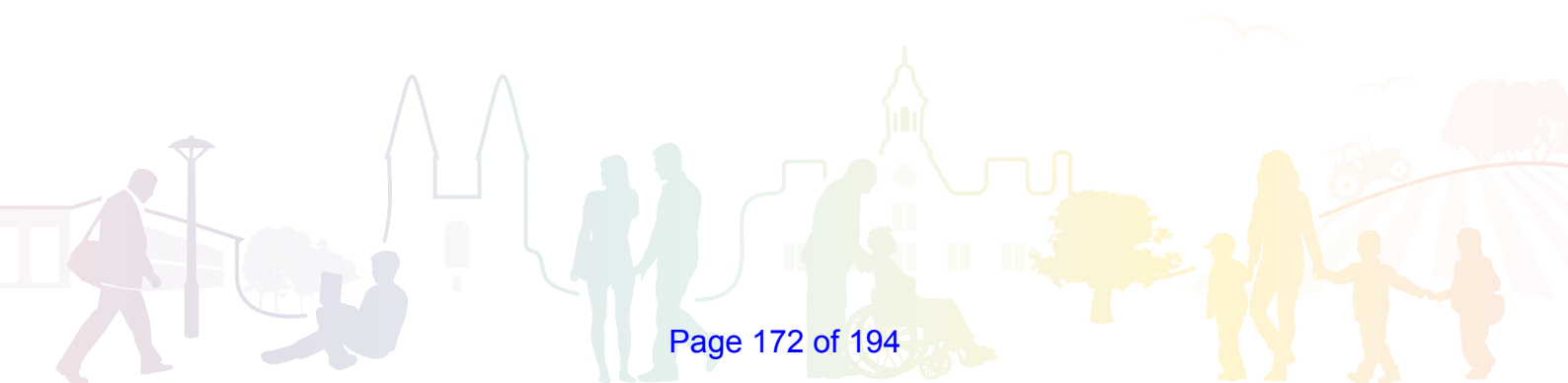
The Council is committed to using business intelligence to achieve:

A shared view of need

Putting our understanding of local people at the heart of our plans and strategies and how we measure our successes.

To put local people at the heart of everything we do the Council needs to translate our understanding of people into action by reflecting it in our plans. Starting with the measures of success set out in our Council Plan we will use BI to identify and follow the key characteristics and changes in our community.

We will use BI to pursue the progress of our plans through performance management of Core Data Sets - a hierarchy of measures linked together by technology - and follow performance through to see how services are helping our achievement. Where further progress is needed we will follow the hierarchy of measures to identify the source of problems or reverse it to understand the potential impact of emerging challenges.



A shared view of demand

Identifying future demand for services and where people may need an intervention or different service.

The Council continues to see rising demand for many of its services and Business Intelligence provides an opportunity to model this in advance to enable the Council to take long term decisions about service delivery.

We will build on our understanding of people by gathering and analysing data about customers. We will bring together customer data including their perceptions and satisfaction to develop our customer insight and a Council view of demand.

Some of the Council's services are aimed at reducing or preventing future demand for often more expensive services – or the whole county cost of receiving services from multiple public sector agencies. The Council targets these services based on a detailed understanding of need, often in partnership with other public sector organisations. We will work with partners to integrate and analyse data that enables us to target service delivery and interventions such as the work with vulnerable people through the Safer Nottinghamshire Board Integrated Working Project.

Benefit for people

Creating opportunities for others to use our Business Intelligence to benefit people and the economy.

Our Business Intelligence has the potential for wider use in Nottinghamshire to bring benefits for local people through the actions of our partners and entrepreneurs such as those working in the digital economy. We will share non-personal data and our BI about place where it can appropriately be used to help unlock external resources and funding from partners such as our work with the sporting community. Where appropriate we will license BI as open data to provide opportunities for it to be used creatively.

We will also use our understanding of place to support the commercial operations of the Council including growth in our services and by exploring the market for selling BI services.

To deliver the Strategy we will:

- pilot changes to our service planning process to map the customer journey through our services and the key data and metrics required to manage it
- work with managers to develop service datasets and provide dashboards and maps that bring together information about people, place, activity, finance, assets and staff
- embed a cycle of continuous service improvement into the delivery of services to support the Adult and Public Health and Children and Young People Strategies
- identify data opportunities, new data sources and transition services to the use of master records
- build the identification of future BI requirements into the planning of service changes and improvement.

Priorities and key actions

Using BI for Services

The way we make decisions and manage our services affects our ability to deliver on our ambitions for Nottinghamshire. The decisions that we make in service delivery rely on the information available when they are taken to support our service to spend money wisely.

The Council wants to make best use of resources by adopting creative and innovative ways of working that deliver value for money for our residents.

By bringing together data from our different systems we can ensure that our managers have the right information available to them to make decisions both now and for the future. By sharing our single view of Nottinghamshire we can help connect our services to the changes in our communities and use BI to manage the delivery of our commitments to them.

How will we use this:

The Council is committed to using business intelligence to:

Understand service delivery

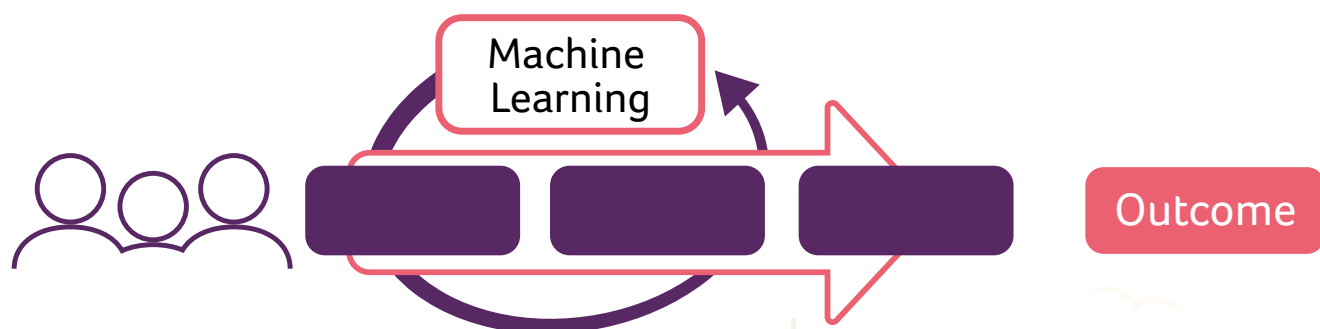
Mapping business processes to data to build a common understanding of the customer journey through our services.

As a commissioner and provider of services, data is generated throughout the customer journey through our services. We will work with our services to deconstruct and map these journeys and identify the data held across the Council and how it can be compared or benchmarked with other services.

Our understanding of business processes and data will inform the review of our performance measures so that their importance in supporting management of each of our services can be understood. We will strengthen understanding of the way that our services are provided by creating a service dataset of the key measures of the customer journey from the perspectives of the customer, outcome, quality, cost, time and risk.

We will also identify data opportunities to:

- bring in new or master datasets to support management of the service
- use BI to learn from the data that our services hold and move towards predictive BI
- use service data to improve the efficiency and effectiveness of other services across the Council.



Information from the service is used to identify unknown or suspected problems through machine learning.

Improve service delivery

Visualising service data to support day to day decisions and continuous improvement as part of the management of our services.

Everyday decisions in our services impact on customers, public finances and service provision. We will provide managers with the tools and opportunities to make decisions to lead improvement and change at a service level.

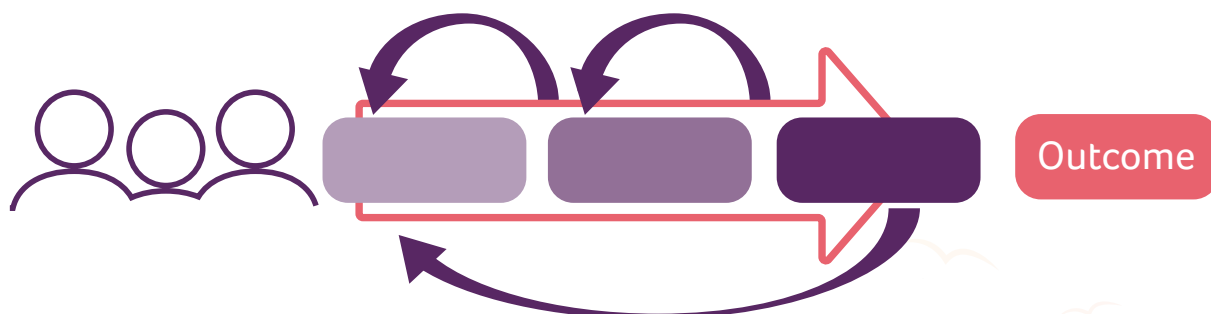
We will use business intelligence to bring together data about our services to ensure that managers have the right information available to them – their service dataset. We will move away from spreadsheets and static reports of activity to use interactive dashboards that bring together information about the service and its processes – linked through to the detailed data that sits behind it.

We will work with managers to identify the key measures that they need to manage to maintain a high standard of service delivery and to drive forward improvement. Managers will be supported to review these metrics at set intervals to form a cycle of continuous improvement. These improvement cycles will be defined through our service plans and reported through our Planning and Performance Management Cycle.

When the need for service change is identified, BI and analytics will be used alongside qualitative information from our staff and customers to develop our plans for change. We will also consider future BI requirements as an integral part of service change and support managers to use the new BI through the transition in service delivery.

To deliver the Strategy we will:

- pilot changes to our service planning process to map the customer journey through our services and the key data and metrics required to manage it
- work with managers to develop service datasets and provide dashboards and maps that bring together information about people, place, activity, finance, assets and staff
- embed a cycle of continuous service improvement into the delivery of services to support the Adult and Public Health and Children and Young People Strategies
- identify data opportunities, new data sources and transition services to the use of master records
- build the identification of future BI requirements into the planning of service changes and improvement.



Information about a whole service and its processes is reviewed to ensure efficiency and effectiveness.

Priorities and key actions

Using BI for transformation

With sustained changes in funding, increased demand for services and technology playing an increasing role in everyday life, the way that we provide our services must also continue to evolve.

The Council wants to be creative and work in new ways to reflect the digital age that is transforming the way that we live, do business and spend our leisure time. These transformations in our lives will inevitably lead to transformation in the way that we deliver services.

Our strong understanding of need, demand and our services will provide a foundation for BI to contribute to three stages of transformation:

- Identifying and analysing transformation opportunities
- Transforming processes and services
- Embedding change within our services

How will we use this:

The Council is committed to using business intelligence to:

Analyse opportunities

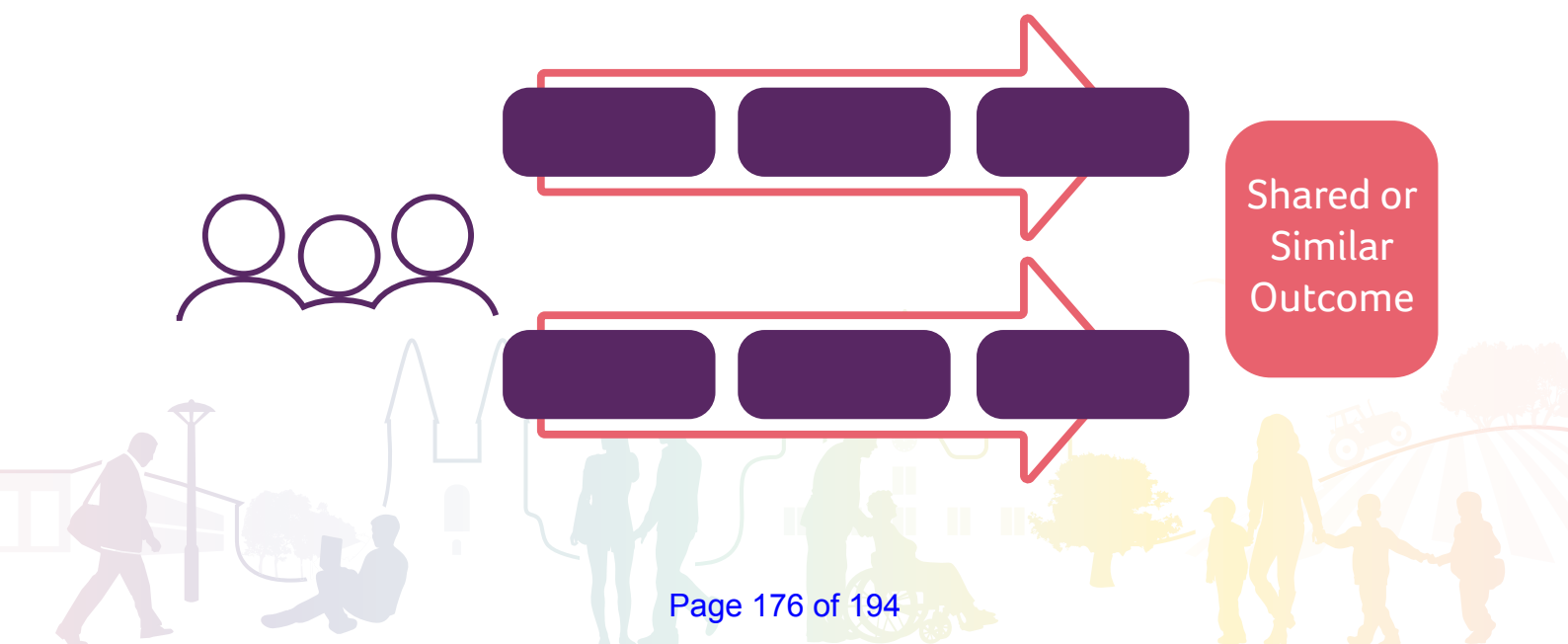
Providing insight and analysis to inform the Council's major transformation portfolios.

Big changes to services start with an understanding of how they are working and then require the right intelligence to ensure that potential changes can be modelled, costed and tested before they are implemented.

We will develop our data and analytical capabilities to inform our transformation choices. By providing a single source of BI analysis for transformation we will be able to assure data and analysis through our BI service, so that decision makers can have increased trust in the information and insight that they receive. By moving access to analysis to our BI hub, decision makers will know that it is up to date and that the data that it is based on is protected, supporting our compliance with the GDPR requirements.

We will use advances in BI to identify and gather new data and insight to improve services and outcomes and bring forward new transformation opportunities across one or more customer journeys.

Transformation should also look at the journey through multiple services that could be integrated.



Transform services

Using technology to improve services and processes and by reducing the need for manual contact, data calculations and decision making.

Our ambition is to make the best use of the opportunities offered by the ever-changing world of business intelligence and data driven technology. We will take advantage of new tools and techniques to design and develop services focused on the customer that will address council pressures and drive efficiency.

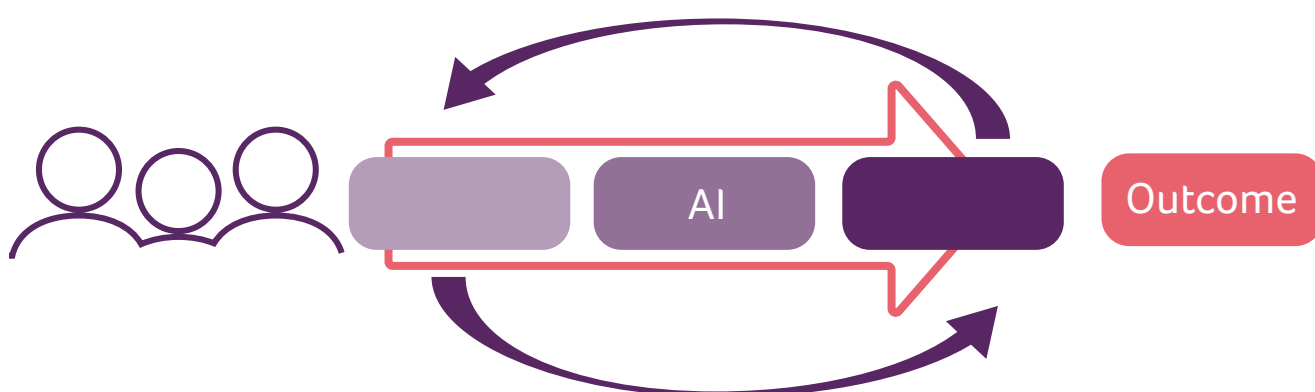
We will look to use automation to deliver our repetitive business processes, particularly those of our back office services and use AI to provide capacity in our interactions with customers. In some cases AI may be used to manage the entirety of these customer interactions.

We will also explore the opportunities for BI to prioritise service delivery following contact from a potential customer, particularly for our Place Services.

New technology is bringing new opportunities to transform service delivery. The Internet of Things and devices that learn from user activity such as Alexa, Hive and Nest are entering more homes and are being used to control a range of appliances such as entertainment, lighting and heating. These devices use and generate data and can also be used to provide information or services to users. Structuring and managing data for this technology will be key to getting maximum value as we explore the benefits of its use for our customers and service users.

To deliver the Strategy we will:

- expand our advanced analytics offer to model change and transformation activity
- develop our approach to machine learning and AI to support the Resources Strategy including piloting automation for some processes and customer access
- develop our approach to analysing sensor data to support the Place Strategy including piloting data prioritisation for some service processes
- provide advanced analytics to identify transformation opportunities for preventative or targeted services
- provide advanced analytics to analyse cross service and agency customer journeys and support wider public sector reform such as the STP.



Artificial intelligence or AI uses information about customers to prioritise delivery of services - or in some cases deliver a service. Information from the transaction is processed to inform the next customer interaction.

Developing Business Intelligence

Managing BI

Our focus on BI for people, services and transformation, will be underpinned by how we approach the development of business intelligence across the Council.

Improvements to the way that we develop Business Intelligence will enable us to deliver for the future. Our approach to BI will include changes to the way that we:

Capture requirements

Many Council services use business intelligence reports to get data as part of a business process but do not go on to make full use of the technology available. We will explore opportunities to use BI software to transform business processes by improving our requirement gathering to promote maximum use of Business Intelligence and analytics within our services and encourage a move away from spreadsheets and static reports of activity.

Develop BI

We will be creative and work in new ways with business intelligence by following experimental, innovative and incremental approaches to development that help grow our business intelligence skills in data design and data science.

To manage the increasing demand for BI we will seek to automate the supply of regular BI so that resource can be deployed to deliver new BI requirements. Our development of new BI capabilities will be delivered in three phases:

- **Diagnostic and pilot** – we will create an overall design for each new capability that fits with the Council's BI architecture and pilot capabilities with one or more of our services.
- **Build** – we will deliver each new BI capability across additional services and implement Council wide processes for maintenance and use prior to roll out to services.
- **Embed and enhance** – we will support use of the new capability, learn from feedback and deliver enhanced functionality where there is a business case to do so.

Where the Council's needs exceed the BI or analytical skills available we will commission external expertise through the BI service and seek to learn from the services that they provide.

Add new capabilities

Providing BI is dependent upon our ability to access data and structure it in a logical, sustainable way. We will continue to develop our data warehouse to bring together data from our major systems, partners, big data and new data sources.

We will design this to industry best practices, ensuring that it is well documented and low maintenance. We will provide an 'analytical layer' on top of our warehouse to enable the development of dashboards and ad-hoc querying by our analysts.

As the availability of data continues to grow through everyday interactions with data driven technology and smart devices so will the importance in being able to analyse and trial new uses through BI. Our approach to data science techniques such as machine learning, data mining and artificial intelligence – where systems learn responses to customers based on data from past experiences – will shape how we respond to new opportunities to use data.

We will build capacity to explore this work and identify the requirements for advanced analytics – such as a data development environment that allow us to bring together and explore a wider pool of data without impacting on our trusted BI provision.

Defining the processes to make best use of BI and manage data effectively

When our services change so can the way that they gather data. Improvements to the way that we deliver services can also have an unexpected impact on existing uses for data, particularly when this has multiple or wider uses across the Council or a partnership. We will develop common standards to support our BI including:

- data formats, storage, master records and unique identifiers, data licencing, data management and data quality.
- inputting records, data and performance and for providers of contract data.
- analysis, presenting or visualising data
commissioning of external analysis and assurance of analysis.
- recording progress against plans, strategies and projects.

We will also strengthen data integrity by introducing new arrangements for data held outside of our systems (such as in spreadsheets) to be stored in a secure central repository such as Microsoft SharePoint to support its use in BI.

- link data in our major systems to our data warehouse and expand our BI capabilities
- define the processes, standards and governance required to make best use of BI and manage system change effectively
- align and improve system development and BI requirement gathering processes
- establish approaches for our BI Service to develop data science and analytics including new skills and technology
- create a data development environment for experimentation and piloting of new approaches to BI and automation
- update our BI tools to keep pace with changes in technology and our move to the Cloud.

Embedding and Evaluating Change

Our Culture

Our focus on BI for people, services and transformation, will be underpinned by developing a culture that values its use.

Evidence based decision making can only be as good as the information that is available to the decision maker. The majority of the Council's Business Intelligence will be based on the information gathered through the processes and systems that make up our customer journeys. The quality of our BI will therefore be reliant upon the data from those processes and systems being up to date and accurate.

Promoting the value of Business Intelligence is not only important for embedding the use of BI for people, services and transformation, but also for explaining the importance of good record keeping and data quality that underpins our BI.

Our approach to embedding BI in our culture will involve:

Embedding BI in our work

Defining the roles, processes and competencies of managers and staff in using BI in our work

A successful Business Intelligence Strategy is about more than just the provision of information it's about the way that it is used. Our goal is that high quality business intelligence should be shaped by mature business processes and a culture that values its use.

Like many organisations the Council uses 'competencies' to link individual performance to the goals of the organisation.

To ensure that the Council embeds an intelligence led culture, Business Intelligence will be integrated into the Council's competencies with staff supported in its use through their own personal development reviews and learning plans.

We will provide the learning and training packages that our staff and managers require to support development of BI across the Council and to understand their responsibility for its quality and use.

Supporting BI in our work

Ensuring that our BI and analytical support evolves as our use of BI matures

As the Council changes the way that it uses BI it should be matched with a change in the skills and resources available to manage and innovate our use.

The Council has already started this transition by using temporary contracts to increase capacity in BI reporting and warehouse development – including upskilling some of our BI specialists as part of the business reporting and management information project.

To secure the Council's BI culture we will bring together a range of existing roles and resources to provide consistent support and leadership for innovation in BI. We will move away from traditional performance roles to provide a dedicated BI and Analysis service based on our existing data, reporting, intelligence, policy, change, public health and performance analysts.

We will look to the Service to provide specialist advice on opportunities to develop BI for People, Services and Transformation and support our services with the implementation of our BI Strategy.

Our new service will need to provide capacity for data science, innovation and delivery of the BI Strategy. By automating the supply of regular BI we will release resource to deliver our new BI requirements.

Sharing BI in our successes

Improving the communication of performance and success. Using BI in a campaign showing achievements against the Council's Plans

To develop an understanding of the value of Business Intelligence the Council will change the way that it communicates about data.

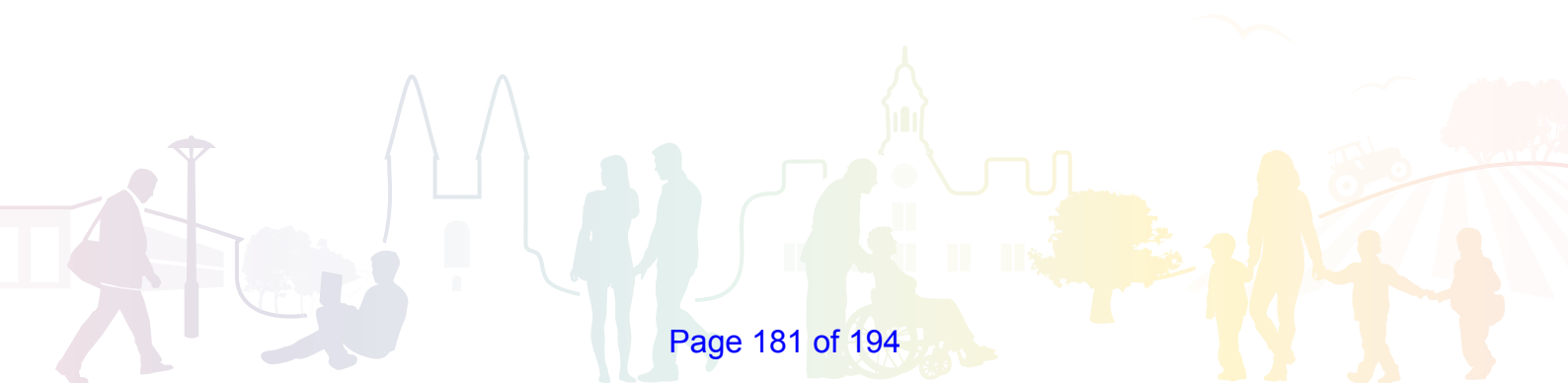
The most visible part of business intelligence is where it connects with performance and the interpretation of how well the Council is doing. The Council Plan sets the standards for the Council to achieve – our measures of success – which we will link to a visible campaign and branding about how we are making Nottinghamshire a great place.

The campaign will have a strong internal focus on sharing success and developing understanding of the people and place based on our BI and the actions of our services.

Through the campaign we will seek to show the relevance of data and BI to our service delivery. We will communicate our uses of data driven technology and BI to transform service, to stimulate ideas and suggestions for how we further its use and innovate in Nottinghamshire.

To deliver the Strategy we will:

- define the roles, processes and competencies of managers and staff in using BI in our work
- identify and develop organisational learning and development to support the use of BI
- bring together data, intelligence, change, public health and performance analysts and rebalance these with new skills in a dedicated BI service
- use BI in a campaign showing achievements against the Council's Plans and improve the communication of BI, performance and successes.



Glossary

Glossary of key terms used in the BI Strategy and across the Council:

- **Data** - a vast range of facts and statistics
- **Business Intelligence (BI)** - how we bring together data for analytical purposes so that we can plan and provide efficient services to the public
- **Data Visualisation** - the presentation of data in a pictorial or graphical format to communicate significant or complex information or identify new patterns

Data

- **Big Data** - an evolving term that describes a large volume of structured, semi-structured and unstructured data that has the potential to be mined for information. Big Data is often too vast to be interpreted using traditional analysis techniques
- **Open Data** – a standard for data that anyone can access, use and share
- **Master Data** – core data used across an organisation or multiple services to provide a single record or identifier eg a master record of people
- **Data Cleansing** – the action of identifying and removing or amending data that is incorrect, incomplete or duplicated.

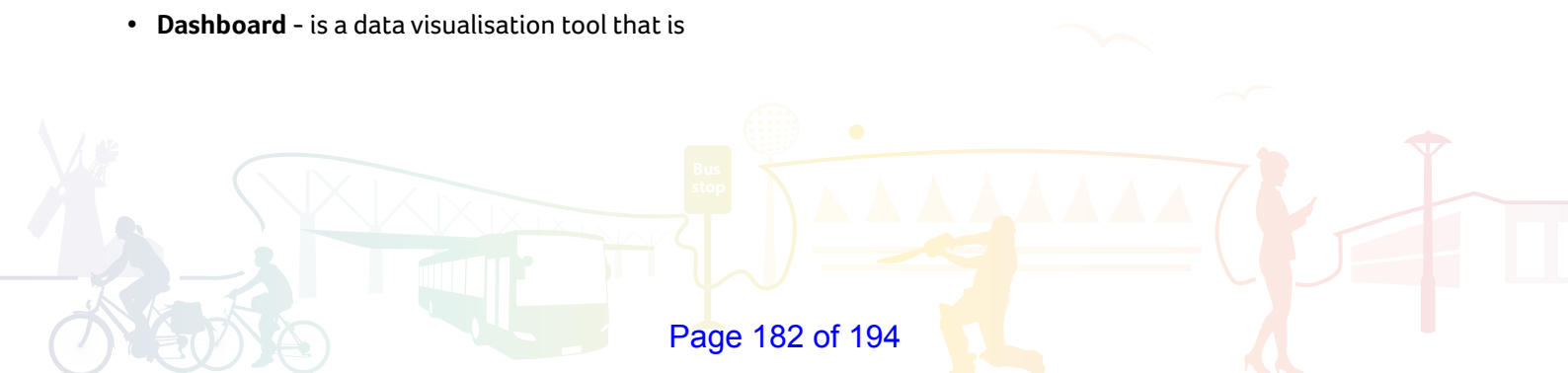
Tools and Processes

- **Data Warehouse** – an organised and structured store of data brought together from multiple sources
- **Cubes** – are a method for organising and applying common rules to a group of datasets from a warehouse for analytical and presentational uses
- **ETL** – extract, transform and load, the process of copying data from a system into a warehouse.
- **Reports** – a means of presenting data, from a warehouse or ICT system. Typically shown as static content and developed using coding language (sql)
- **Dashboard** - is a data visualisation tool that is

used to track a group of related metrics, activity and other key data points relevant to a process, service or organisation

Analytics and Approaches

- **Data Science** - methods, processes, algorithms and systems to extract knowledge or insights from data in various forms
- **Machine Learning** - a field of computer science that gives systems the ability to “learn” or progressively improve performance on a task using data rather than being explicitly programmed
- **Artificial Intelligence (AI)**- when a machine mimics functions associated with human minds, such as learning and problem solving
- **Automation** – a technique of making a process, or a system operate automatically.
- **Data mining** - using software to look for patterns in large data sets to identify patterns and establish relationships to solve problems through data analysis
- **Fuzzy logic** – a method of matching data by assessing variables using logic that approximates human reasoning.



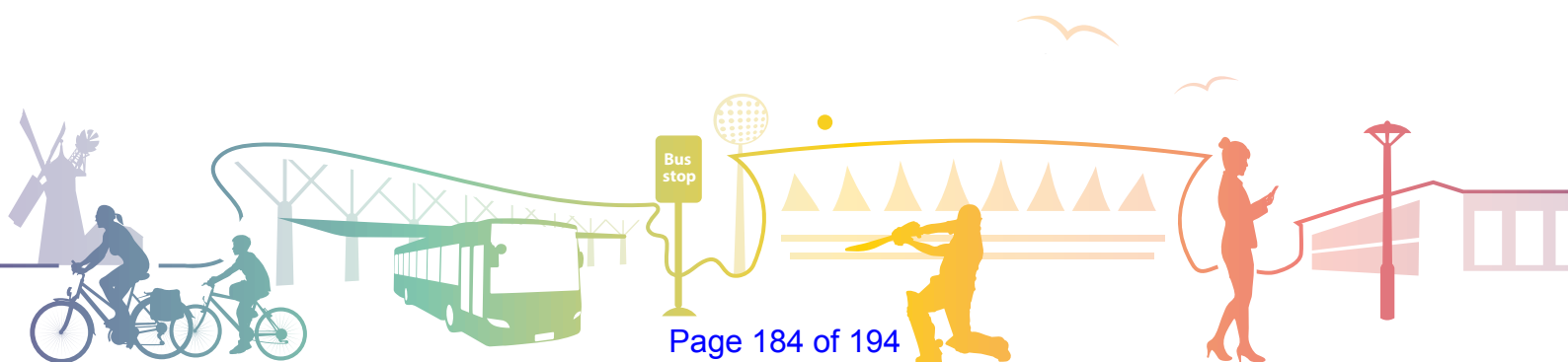
<p>BI for People</p> <p>Developing our understanding of the people who live here, putting them at the heart of our work to build a great place</p>	<ul style="list-style-type: none"> • Bring together our data and statistics about people and places to create a single view of Nottinghamshire and a platform for BI. • Align our needs assessments to provide a single evidence base for our key strategies and partnership activity • Apply a hierarchy to our performance measures and core datasets to link need to outcomes and to activity • Establish a Council wide mapping system (GIS) to support services and the key activities of the Place Departmental Strategy • Bring together our data about customers to model current and future demand across our services • Provide specialist business intelligence services across Nottinghamshire to support income generation and the Adult and Public Health Improvement Portfolio • Explore opportunities to publish open data to enable innovation and entrepreneurship
<p>BI for Services</p> <p>Having the right information and processes to make wise choices in the way that we run our service</p>	<ul style="list-style-type: none"> • Pilot changes to our service planning process to map the customer journey through our services and the key data and metrics required to manage it. • Work with managers to develop service datasets and provide dashboards and maps that bring together information about people, place, activity, finance, assets and staff. • Embed a cycle of continuous service improvement into the delivery of services to support the Adult and Public Health and Children and Young People Strategies • Identify data opportunities, new data sources and transition services to the use of master records • Build the identification of future BI requirements into the planning of service changes and improvement
<p>BI for Transformation</p> <p>Getting the most out of our data, making our toughest choices on the basis of our strongest analysis and using data driven technology to transform our services</p>	<ul style="list-style-type: none"> • Expand our advanced analytics offer to model change and transformation activity • Develop our approach to machine learning and AI to support the Resources Strategy including piloting automation for some processes and customer access • Develop our approach to analysing sensor data to support the Place Strategy including piloting data prioritisation for some service processes • Provide advanced analytics to identify transformation opportunities for preventative or targeted services • Provide advanced analytics to analyse cross service and agency customer journeys and support wider public sector reform such as the STP.
<p>BI Development</p> <p>Governing, developing and exploring opportunities for data and analytics</p>	<ul style="list-style-type: none"> • Link data in our major systems to our data warehouse and expand our BI capabilities • Define the processes, standards and governance required to make best use of BI and manage system change effectively • Align and improve system development and BI requirement gathering processes • Establish approaches for our BI Service to develop data science and analytics including new skills and technology • Create a data development environment for experimentation and piloting of new approaches to BI and automation • Update our BI tools to keep pace with changes in technology and support our move to the Cloud
<p>Embedding a BI Culture</p> <p>Business intelligence shaped by business processes and a culture that values its use</p>	<ul style="list-style-type: none"> • Define the roles, processes and competencies of managers and staff in using BI in our work • Identify and develop organisational learning and development to support the use of BI • Bring together data, intelligence, change, public health and performance analysts and rebalance these with new skills in a dedicated BI service • Use BI in a campaign showing achievements against the Council's Plans and improve the communication of BI, performance and successes

W nottinghamshire.gov.uk
E enquiries@nottscc.gov.uk
T 0300 500 80 80

Nottinghamshire County Council, County Hall
West Bridgford, Nottingham NG2 7QP

 facebook.com/nottinghamshire

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REPORT OF THE CORPORATE DIRECTOR OF RESOURCES**USE OF URGENCY PROCEDURES****Purpose of the Report**

1. To update Policy Committee on the use of the Council's Urgency Procedures in the last monitoring period (July 2017 – January 2018).

Information

2. The Constitution sets out procedures to deal with events which require a decision outside of a committee's normal cycle of meetings. The use of these procedures should periodically be reported to Policy Committee. The procedures enable urgent decisions by committee, calling an additional meeting of a committee or an urgent decision by the Chief Executive (the latter decisions are reported to the next meeting of the relevant committee).
3. The following decision was taken using the urgency procedures in the period July 2017 – January 2018:-

URGENT DECISIONS BY COMMITTEE

<u>Date</u>	<u>Committee</u>	<u>Decision taken</u>	<u>Reason for Urgency</u>
18/9/17	Children and Young People's Committee	To commence a fostering recruitment campaign in September / October 2017.	To enable the campaign to start at the earliest opportunity.

4. There were no Urgent Decisions taken by the Chief Executive in this period and no additional meetings called to deal with urgent matters in this period.
5. Use of the Urgency Procedures has been limited and appropriate and these procedures have only been utilised when it was in the public interest to do so.

Other Options Considered

6. None – Members are asked to note the update.

Reason/s for Recommendation/s

7. To enable the Committee to be updated on the use of the urgency procedures, in line with the Council's Constitution.

Statutory and Policy Implications

8. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION

That Members consider whether any further information or actions are required in relation to the use of the Council's urgency procedures in the last monitoring period of July 2017 – January 2018.

Jayne Francis-Ward
Corporate Director - Resources

For any enquiries about this report please contact: Keith Ford, Team Manager, Democratic Services Tel: (0115) 9772590 E-mail: keith.ford@nottsc.gov.uk

Constitutional Comments (SLB)

Policy Committee is the appropriate body to consider the content of this report. If Committee resolves that any actions are required it must be satisfied that such actions are within the Committee's terms of reference.

Financial Comments (SES)

There are no specific financial implications arising directly from this report.

Background Papers

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Submission of Urgent Item record
- Report to Children and Young People's Committee – 18 September 2017 (published)

Electoral Division(s) and Member(s) Affected

All

REPORT OF THE BUSINESS MANAGER OF THE RULING GROUP**APPOINTMENTS TO OUTSIDE BODIES****Purpose of the Report**

1. To seek approval to add the Transport for the North (TfN) Board to the Council's approved outside body list. To appoint Councillor John Ogle (one of the Vice-Chairs of Finance and Major Contracts Management Committee) as the Council's representatives.

Information

2. TfN is a unique partnership arrangement that sees Northern elected leaders and Local Enterprise Partnerships (LEP's) working together to speak to central Government with a united voice. Representatives from all areas of the North, along with the Secretary of State for Transport, Highways England, Network Rail and HS2 Ltd.
3. The aim of the Board is to improve the transport infrastructure investment to boost the North's economy.
4. In 2016 they submitted a proposal for statutory status which was passed by the House of Lords and the House of Commons, the legislation will come into force on 1 April 2018.
5. As part of the Sub-national Body (Transport for the North) regulations 2018 Nottinghamshire County Council has been invited to nominate an appointee to serve upon the TfN Board as a Co-opted Member and to appoint a substitute to act on behalf of the appointee if necessary. The first meeting will be held on Thursday 5 April 2018.

Other Options Considered

6. Policy Committee could decide not to add the Board to the Council's list of Outside Bodies.

Reason/s for Recommendation/s

7. To enable the County Council to link in to the work of the Board as appropriate.

Statutory and Policy Implications

8. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and

the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

None arising from the report.

RECOMMENDATION/S

- 1) That the Transport for the North Board be added to the Council's approved outside body list.
- 2) That the Council appoints Councillor John Ogle, a Vice-Chair of Finance and Major Contracts Management Committee, as the Council's Co-opted Member on this Board
- 3) That the Council also nominates a substitute representative from the Nottinghamshire County Council Conservatives and Mansfield Independent Forum Group, to be agreed by the Group Business Manager.

**Cllr Richard Butler,
Business Manager,
The Nottinghamshire County Council Conservatives and
Mansfield Independent Forum Group**

For any enquiries about this report please contact: Sarah Ashton, Democratic Services Officer, Telephone number 0115 9773962

Constitutional Comments (EP 02/03/2018)

9. The recommendations fall within the remit of the Policy Committee by virtue of its terms of reference.

Financial Comments (SES 02/03/18)

10. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Letter from TfN dated 16 February 2018

Electoral Division(s) and Member(s) Affected

- All

REPORT OF THE CORPORATE DIRECTOR OF RESOURCES**WORK PROGRAMME****Purpose of the Report**

- 1). To review the Committee's work programme for 2018.

Information

- 2). The County Council requires each committee to maintain a work programme. The work programme will assist the management of the committee's agenda, the scheduling of the committee's business and forward planning. The work programme will be updated and reviewed at each pre-agenda meeting and committee meeting. Any member of the committee is able to suggest items for possible inclusion.
- 3). The attached work programme includes items which can be anticipated at the present time. Other items will be added to the programme as they are identified.
- 4). The Policy Committee will be asked to determine policies, strategies and statutory plans developed or reviewed by other Committees of the Council. Committee Chairmen are invited to advise the Policy Committee of any additional policy reviews that are being considered.
- 5). The following changes have been made since the work programme was published in the agenda for the last meeting.
 - 5.1. The following items were added to the agenda for March 2018:-
 - Information Governance Framework and Policies
 - Replacement of the Orchard Special School and Newark Day Centre
 - Adult Social Care Charging Policy
 - Appointment to Outside Bodies
 - Business Intelligence Strategy
 - Accounting Policies
 - Proposals for the Future of Sir John Robinson House
 - Development of County Hall Campus
 - 5.2. The following items were removed from the work programme:-
 - Futures, Advice, Skills & Employment Governance Arrangements – this issue had been dealt with at the Policy Committee meeting of 18 October 2017
 - Corporate Services Review

- Transport for the East Midlands – approved by Communities and Place Committee on 8 February 2018.

5.3. The following items were deferred from March 2018 to May 2018 to enable further work to be undertaken:-

- Home to School and Post-16 Transport Policies 2019-20
- Developer Contributions Strategy
- Report from Improvement and Change Sub Committee on performance
- The Mill Adventure Base

Other Options Considered

- None.

Reason for Recommendation

- To assist the Committee in preparing and managing its work programme.

Statutory and Policy Implications

6) This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION

1) That the Committee considers whether any amendments are required to the Work Programme.

Jayne Francis-Ward

Corporate Director - Resources

For any enquiries about this report please contact: Keith Ford, Team Manager, Democratic Services, Tel: 0115 9772590

Constitutional Comments (SLB)

7) The Committee has authority to consider the matters set out in this report by virtue of its terms of reference.

Financial Comments (NS)

8) There are no financial implications arising directly from this report.

Background Papers

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

None

Electoral Division(s) and Member(s) Affected

All

POLICY COMMITTEE - WORK PROGRAMME (AS AT 20 MARCH 2018)

<u>Report Title</u>	<u>Brief summary of agenda item</u>	<u>Lead Officer</u>	<u>Report Author</u>
16 May 2018			
Home to school and post-16 transport policies 2019-20	To approve the home to school and post-16 transport policies for the 2018/19 academic year.	Colin Pettigrew	Marion Clay
Report from Improvement and Change Sub Committee on performance	Six monthly feedback report.	Jayne Francis-Ward	Celia Morris
The Mill Adventure Base	To consider proposal to take a new 20 year lease to comply with HLF funding bid submitted by Ashfield District Council.	Adrian Smith	Mona Walsh
Developer Contributions Strategy	To approve the strategy	Adrian Smith	Sally Gill
Early Years Provision Rental Arrangements in NCC Owned Properties	To approve the arrangements.	Adrian Smith	Mona Walsh
Direct Payment Policy	To approve the revised Direct Payment Policy, updated in line with Internal Audit recommendations.	David Pearson	Cath Cameron-Jones.
Update on City of Nottingham and Nottinghamshire Economic Prosperity Committee and the Local Enterprise Partnership	6 Monthly Update report from David Ralph, Chief Executive. Of the Local Enterprise Partnership.	Adrian Smith	Nicola McCoy-Brown
Update on the work of East Midlands Councils	Quarterly Update from Stuart Young, Executive Director.	Jayne Francis-Ward	Stuart Young
Property Operational Decisions Quarterly Report	Update report on operational decisions taken by officers in the quarter October – December 2017	Adrian Smith	Andrew Stevens
Gedling Access Route – acquisition of Glebe Farm	Acquisition of land and buildings along proposed Gedling Access Route	Adrian Smith	Mona Walsh
20 June 2018			
18 July 2018			

12 September 2018			
Update on the work of East Midlands Councils	Quarterly Update from Stuart Young, Executive Director.	Anthony May	Stuart Young
Use of Urgency Procedures	To provide the latest 6 monthly monitoring report on the use of the Council's Urgency Procedures.	Anthony May	Keith Ford
17 October 2018			
14 November 2018			
Update on City of Nottingham and Nottinghamshire Economic Prosperity Committee and the Local Enterprise Partnership	6 Monthly Update report from David Ralph, Chief Executive. Of the Local Enterprise Partnership.	Adrian Smith	Nicola McCoy-Brown