

# **POLICY AND RESOURCES COMMITTEE**

## **VIRTUAL MEETING NOTICE AND AGENDA**

For a virtual/remote meeting to be held on Monday, 13 September 2021 at 7.30 pm

Members of the Policy and Resources Committee:-

Councillors:

Sarah Nelmes (Chair)  
Matthew Bedford  
Stephen Cox  
Stephen Giles-Medhurst  
Alex Hayward  
Paula Hiscocks  
Chris Lloyd

Dominic Sokalski (Vice-Chair)  
Reena Ranger  
Andrew Scarth  
Roger Seabourne  
Phil Williams  
Debbie Morris

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*Joanne Wagstaffe, Chief Executive  
Monday, 6 September 2021*

“The Local Authorities and Police and Crime Panels Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 made under the Coronavirus Act 2020 enable Council / Committee meetings to be held in a virtual format and enables remote attendance.

The meeting will start at 7.30pm and will be virtual / remote, in that they will be conducted at no specific location and all participants are at various locations, communicating via audio and online.

The Council welcomes contributions from Members of the public to its discussion on agenda items at Planning Committee meetings. Contributions will be limited to one person speaking for and one against each item for not more than three minutes. Please note that in the event of registering your interest to speak on an agenda item but not taking up that right because the item is deferred, you will automatically be given the right to speak on the item at that next meeting of the Committee. Details of the procedure are provided below:

Members of the public wishing to speak will be entitled to register and identify which application(s) they wish to speak on from the published agenda for the remote meeting. Those who wish to register to speak must do so by notifying the Committee team by e-mail ([CommitteeTeam@threerivers.gov.uk](mailto:CommitteeTeam@threerivers.gov.uk)) 48 hours before the meeting. The first 2

people to register on any application (1 for and 1 against) will be sent a link so that they can join the meeting to exercise that right. This will also allow the Committee Team to prepare the speaker sheet in advance of the remote meeting to forward to the Chair of the meeting.

In accordance with The Openness of Local Government Bodies Regulations 2014 any matters considered under Part 1 business only of the meeting may be filmed, recorded, photographed, broadcast or reported via social media by any person.

Recording and reporting the Council's meetings is subject to the law and it is the responsibility of those doing the recording and reporting to ensure compliance. This will include the Human Rights Act, the Data Protection Act and the laws of libel and defamation.

**Please note that the meeting is being held virtually. The business of the meeting will be live streamed at –**

**1. APOLOGIES FOR ABSENCE**

**2. MINUTES**

(Pages 5  
- 12)

To confirm as a correct record the Minutes of the Policy and Resources Committee meeting held on 19 July 2021.

**3. NOTICE OF OTHER BUSINESS**

Items of other business notified under Council Procedure Rule 30 to be announced, together with the special circumstances that justify their consideration as a matter of urgency. The Chair to rule on the admission of such items.

**4. DECLARATIONS OF INTEREST**

**To receive any declarations of interest.**

**Policy**

**5. CALENDAR OF MEETINGS**

(Pages  
13 - 26)

To consider the draft Calendar of Meetings for the Local Government Year 2023/24

**6. SOUTH WEST HERTS JOINT STRATEGIC PLAN - STATEMENT OF COMMON GROUND AND STATEMENT OF COMMUNITY INVOLVEMENT**

(Pages  
27 - 92)

To seek Council's agreement to a Statement of Common Ground (SCG) and an agreement to consult on a draft Statement of Community Involvement (SCI) to support the preparation of a Joint Strategic Plan (JSP) for South West Hertfordshire

**7. ANTI SOCIAL BEHAVIOUR POLICY 2021**

(Pages  
93 - 106)

The Anti-Social Behaviour (ASB) Policy expired in 2019, and therefore has

now been updated and reviewed. The new draft policy is attached at Appendix A. The policy was under review in early 2020 but the impact on the service due to COVID meant that the review was delayed until 2021.

This has been consulted on internally and with key partner agencies working on anti-social behaviour including the Police, Hertfordshire County Council, Watford Community Housing Trust and Thrive Homes.

## **8. LIVESTREAMING AND ABILITY TO HOLD HYBRID MEETINGS**

Item deferred

### **Resources**

## **9. EXEMPTION FROM PROCUREMENT PROCEDURE RULES** (Pages

To advise Members that an exemption to the Procurement process was approved by the Head of Finance under the Exceptional Circumstances exemption as permitted by the Council's Constitution.

107 -  
112)

## **10. CORPORATE FRAMEWORK, SERVICE PLANNING AND FINANCIAL PLANNING 2022-2025** (Pages

The purpose of this report is to seek agreement to the process whereby the Council will determine its three-year medium-term Corporate Framework for 2022-2025, the related service plans, and the allocation of financial resources to achieve them.

113 -  
122)

## **11. BUDGET MONITORING QUARTER 1** (Pages

Budget monitoring report is a key tool in scrutinising the Council's financial performance. It is designed to provide an overview to all relevant stakeholders. It is essential that the council monitors its budgets throughout the year to ensure that it is meeting its strategic objectives and that corrective action is taken where necessary.

123 -  
158)

This report seeks approval to a change in the Council's 2021 - 2024 medium-term revenue financial plan. The report shows the Council's overall consolidated medium term financial plan for both revenue and capital.

## **12. WORK PROGRAMME** (Pages

159 -  
164)

## **13. OTHER BUSINESS - if approved under item 3 above**

## **14. EXCLUSION OF PRESS AND PUBLIC**

If the Committee wishes to consider the remaining item in private, it will be appropriate for a resolution to be passed in the following terms:-

"that under Section 100A of the Local Government Act 1972 the press and public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined under paragraph X of Part I of

Schedule 12A to the Act. It has been decided by the Council that in all the circumstances, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.”

(Note: If other confidential business is approved under item 3, it will also be necessary to specify the class of exempt or confidential information in the additional items.)

**1. OTHER BUSINESS - IF APPROVED UNDER ITEM 3 ABOVE**

**To receive any declarations of interest.**

**General Enquiries: Please contact the Committee Team at [committeeteam@threerivers.gov.uk](mailto:committeeteam@threerivers.gov.uk)**

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**POLICY AND RESOURCES COMMITTEE****MINUTES**

Of a meeting held in the Penn Chamber, Three Rivers House, Northway, Rickmansworth on 19 July 2021 at 7.30pm to 8.15pm.

Councillors present:

Sarah Nelmes (Chair)	Chris Lloyd (Leisure)
Dominic Sokalski (Vice-Chair) (Resources and Shared Services)	Andrew Scarth (Housing)
Stephen Cox	Alison Wall (for Cllr Reena Ranger)
Matthew Bedford (Infrastructure & Planning Policy)	Roger Seabourne (Community Safety and Partnerships)
Alex Hayward	Debbie Morris
Stephen Giles-Medhurst (Transport and Economic Development)	Phil Williams (Lead Member for Environmental Services, Climate Change & Sustainability)
Paula Hiscocks	

Other Councillors were in attendance –  
Councillor Reena Ranger OBE

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Officers Present: Geof Muggerridge, Director of Community and Environmental Services  
Alison Scott, Shared Director of Finance  
Lauren McCullagh, Senior Planning Officer  
Sarah Haythorpe, Principal Committee Manager

**PR16/21 APOLOGIES FOR ABSENCE**

An apology for absence was received from Councillor Reena Ranger with the substitute member being Councillor Alison Wall.

**PR17/21 MINUTES**

The Minutes of the Policy and Resources Committee meeting held on 14 June were confirmed as a correct record and were signed by the Chair subject to checking the time of the opening hours of Three Rivers House pre Covid and whether it was 8.30am or 8.45am.

POST MEETING NOTE: the opening hours were from 8.30am and the minutes would be corrected.

**PR18/21 NOTICE OF OTHER BUSINESS**

The Committee were advised that appendix 2 of the Member Training report had been published a few days late but both the report and appendix had been published on time. The Chair and the Committee agreed to take the item so that the Committee could agree the framework for the year ahead.

**PR19/21 DECLARATION OF INTERESTS**

None received.

## **PR20/21 MEMBER TRAINING**

The purpose of the report was to recommend a framework for Member Training for 2021/22 and to determine that the Council do not sign up to the Member Charter but look to work towards achieving its standards.

A Member asked how many other Councils had signed up to the Member Charter and was worried the Council may fall short on training without a Charter in place.

A Member said another organisation they were part of had considered a Member Charter but found it was not cost effective and instead wished to attain the level through internal processes. Councillor Chris Lloyd said this was a comprehensive report and moved the recommendation, duly seconded.

A Member said achieving the Member Charter status would provide a gap analysis on training and help Members to identify their training gaps. It was very good the LGA were heading up the external training.

The Principal Committee Manager advised they would work with HR to establish what was needed to reach Member Charter status and undertake further consultation with the Member Charter organisation.

A Member said that training attendance had been disappointing but wanted to know Member attendance at each individual training session. A Member training breakdown was provided in Appendix 1 but Officers could break this down into individual training courses and circulate to the Committee.

A Member asked if budget training could be provided as this was very important for Members. The Shared Director of Finance advised that the Audit Committee had been offered a series of training sessions prior to future meetings of the Committee. The topics of these were to be confirmed but could be opened up to all Members.

On being put to the Committee the recommendations as set out in the Officer report were declared CARRIED by the Chair the voting being unanimous.

RESOLVED:

- 1) Noted the Individual Member Training record for 2020/21.
- 2) Agreed to continue with the framework for Member Training for 2021/22 as follows:

That the Chief Executive have delegated authority to:

1. Authorise attendance at LGA Leadership and other LGA courses in consultation with the relevant Group Leader.
2. Authorise attendance at other external training courses which are not free in consultation with the relevant Group Leader where there are exceptional circumstances.
- 3) Agreed any necessary mandatory online training as required for all Members on Prevent, Safeguarding Adults at Risk and Safeguarding Children at Risk

- 4) Agreed not to sign up to the Member Charter at a cost of £3,000 but look to try to achieve the standard required.

## **PR21/21 HOUSING DELIVERY TEST ACTION PLAN**

This report was to update Members on the Housing Delivery Test that was published in January 2021, and for Members to approve the revised Action Plan.

The Senior Planning Officer advised that the National Planning Policy Framework (NPPF) required Councils to prepare an action plan where housing delivery had fallen below the housing requirement.

The Action Plan analyses the reasons for the under-delivery of new homes and sets out actions to improve housing delivery within the District.

The 2020 Housing Delivery Test Result was published by the Secretary of State in January 2021. Three Rivers scored 54% which was an improvement on the previous year of 42%. The improvement was due to larger sites being approved such as the Fairways Farm site, the Gas Works site in Rickmansworth and further dwellings delivered in South Oxhey. As the Council were still below the 75% mark it is required to continue to:

1. Produce a Housing Delivery Test Action Plan;
2. Apply a 20% buffer to its 5 year housing land supply calculation; and
3. Apply the 'presumption in favour of sustainable development' set out in paragraph 11 of the NPPF.

In practice nothing would be changing as the Council were already applying these measures due to the previous year's HDT score being under 75%. The action plan had been revised in line with the new figures with the main action to increase delivery through the Local Plan.

A Member wondered how the 54% compared to other Authorities and how we ranked nationally. The Senior Planning Officer advised that in South West Herts Dacorum had scored 89%, Hertsmere 102%, St Albans 63% and Watford 48%. If there was a league table of scores details would be sent to the Committee.

A Member asked about the Local Housing Needs Assessment (LNHA) (2020) and who undertook this and was it part of national guidance that the categories be 1-3 bedroom dwellings/4 plus or was that something Three Rivers had commissioned. The action plan at Paragraph 3.1.8 talked about new homes 1-3 bedroom and new homes 4 bedrooms plus but in Table 3 it did not show this historically. The Senior Planning Officer advised it was an evidence base study undertaken by consultants as part of the Local Plan preparation and was an independent assessment. The housing need assessment categories were taken from national guidance.

A Member asked if it was possible to do an analysis on how many homes we were providing in each category. The Chair advised that this information was already available and from which the table information had been provided. With regard to the houses that the Council had delivered in the past this information was also available and the Committee would be pointed to where it can be found.

#### POST MEETING NOTE:

At 54%, TRDC had the ninth lowest HDT measurement for 2020 nationally (joint with two other authorities). Overall, 20 authorities are at/below 54% due to several authorities having the same percentage measurement.

In respect of monitoring past delivery of 1, 2, 3 and 4+ beds, this is shown at Table 4.8 of Annual Monitoring Reports. The most recent Annual Monitoring Report (for the 2019/20 period) is downloadable at:

<https://www.threerivers.gov.uk/download?id=48769>. All other Annual Monitoring Reports are published here: <https://www.threerivers.gov.uk/egcl-page/annual-monitoring-report>.

A Member asked if reference could be made that we are compliant with the Neighbourhood Plans which had been approved in Three Rivers. The action plan mentioned that we go down the planning in principle route for part 2 of the register and wondered if Officers could expand on that.

The Senior Planning Officer said the action plan included the action of considering whether it was appropriate to split the register into two parts. Officers would consider this action later in the year and the associated risks and if it was considered appropriate to split the Brownfield Register into two parts, then this would be reported back to the Committee.

A Member asked what the process was to split the registers. The Senior Planning Officer advised that details were set out in national guidance. Officers would need to look at whether the amount of sites that may come forward for permission in principle would be worthwhile in terms of splitting the Brownfield Register into two parts. In Three Rivers there was such a short supply of available brownfield land, whether or not introducing two parts was worthwhile would need to be considered. Any report on introducing Part 2 of the Brownfield Register/permission in principle sites would need to go to the IHED Committee or if there was a policy change to P&R Committee.

A Member referred to Page 8, Table 3 of the action plan and the information provided that there was a 40% requirement for 1 bedroom Social/ Affordable Rented Housing and asked where that statistic came from. The Senior Planning Officer said the figure had come from the Local Plan and the evidence



base study which was available on the Council's website. The link to the study would be sent to Committee Members.

**POST MEETING NOTE:**

The Local Housing Needs Assessment (2020) is available to download from the following link: <https://www.threerivers.gov.uk/download?id=49966>. The study is published on the New Local Plan Evidence Base webpage here: <https://www.threerivers.gov.uk/egcl-page/new-local-plan-evidence-base>. The Housing Mix section which assesses the needs for 1, 2, 3 and 4+ bedroom dwellings is at Chapter 6 (from page 116).

A Member referred to Paragraph 3.28 and the Implementation of Planning Permissions and Development Management Performance and highlighted a growing problem that in order to implement the permission developers were closing footways and roads, taking out parking bays and closing bus stops for a considerable period of time. This was due to the developer designing a scheme which went up to the highways boundary. Developers should be sensitive to residents needs when implementing planning permission and the conditions included particularly relating to the construction management plan.

A Member said with the need for higher density on sites we could remove Permitted Development.

On being put to the Committee the recommendations as set out in the officer report were declared CARRIED by the Chair the voting being unanimous.

**RESOLVED:**

- Noted the Housing Delivery Test Result for 2021;
- Agreed the Action Plan and the series of actions that the Council will seek to implement;
- Agreed to the publication of the Action Plan on the Council's Housing Delivery test webpage.

**PR22/21 LIVESTREAMING OF COUNCIL/COMMITTEE/SUB-COMMITTEE MEETINGS**

A motion was received for full Council on 13 July 2021 as detailed below:

*Cllr Alex Hayward, seconded by Councillor Ciaran Reed moved the following motion:*

In order to maximise transparency and electoral accountability this Council believes that the residents of Three Rivers should all be able to access the meetings of this Council via live streaming and that this Council looks to implement this facility as soon as possible.

Under Rule 11(6) the motion had been referred to this meeting for discussion and debate.

A report was provided to aid the debate/discussion on the motion.

A Member asked how the costings had been done and if Officers could look to have fixed cameras only and not cameras which track participants when speaking.

In response to a question on livestreaming to You Tube, the Shared Director of Finance advised that the Council had initially used You Tube to livestream our virtual meetings but they had stopped the livestreaming due to unsuitable content. This was not a solution going forward but we can look to have just fixed cameras and review the costs.

Councillor Alex Hayward, seconded by Councillor Chris Lloyd, moved the recommendations as set out in the report with the amendment on the cameras to just be fixed.

Members were advised that we would need to have some sort of license to livestream the meetings rather than just having an i-phone to record the meeting and livestream to You Tube.

Another Council had introduced livestreaming and it was expensive and there would be a license fee required and you were limited to just the room where the equipment was installed. Officers were asked to ensure that all running costs were included.

On being put to the Committee the motion was declared CARRIED by the Chair the voting being unanimous.

On being put to the Committee the proposals set out in the Officer report were declared CARRIED by the Chair the voting being unanimous.

RECOMMEND:

The motion be recommended to Council as required under Rule 11(6) as follows:

In order to maximise transparency and electoral accountability this Council believes that the residents of Three Rivers should all be able to access the meetings of this Council via live streaming and that this Council looks to implement this facility as soon as possible.

RESOLVED:

That officers obtain updated detailed quotes on the livestreaming of meetings but with the need to include any maintenance and support for the system for the Committee to review in September using the following list of requirements:

- To be able to live stream a meeting on a link accessible from the Council's website which could be published with the agenda.
- To be able to retain a recording of the live stream to be accessible from the Council's website via the link for a year after the meeting.
- For the cameras within the room to be fixed and to not track the participants in the meeting when they are speaking.
- The live stream should be simple to operate by officers so that it is simple to end a live stream when the meeting concludes or moves into Part 2 session and with a clear ability for a simple return to broadcasting of Part 1.
- For the system to comply with the Council's ICT security policies.
- For there to be minimal staff resource required in operating the system.
- That all maintenance costs and ongoing revenue costs be provided.

**PR23/21 WORK PROGRAMME**

The Committee received their work programme and noted that the Tree Strategy report would come to the December meeting.

RESOLVED

That the work programme be noted.

**CHAIR**

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## POLICY AND RESOURCES COMMITTEE

### PART I – PART DELEGATED

#### 5. CALENDAR OF MEETINGS 2023/24

##### (CED)

#### 1 Summary

- 1.1 To consider the draft Calendar of Meetings for the Local Government Year 2023/24.

#### 2 Details

- 2.1 Officers were asked by Members to extend the calendar of meetings so that dates are available up to two years in advance. The meetings for 2022/23 were agreed by Full Council in October 2020.

- 2.2 Council/Committee/Sub-committee meetings were held virtually from 5 April 2020 to until 6 May 2021 under the Covid 19 Regulations. With these regulations ending on 6 May 2021 we now legally have to hold Council/Committee meetings as face to face meetings with all the Members making the decisions having to be present. This may of course change before May 2023 and the Government could decide to bring in legislation which could allow the Council to hold meetings virtually, as hybrid meetings or a combination of the two. In addition, the Council are also looking at installing the required technology to livestream our meetings and to be able to hold hybrid meetings (a separate report is provided on the agenda for this meeting).

- 2.3 In 2021/22 we continue to hold Forum meetings virtually as they are not decision making bodies following advice received from Counsel. Officers recommend this continues.

- 2.4 Some of the points/recommendations raised in the report would be implemented with immediate effect whilst the calendar would not come into effect until May 2023. The recommendations include agreement to holding non-decision making meetings virtually and only meetings where decisions can be made as physical meetings.

- 2.5 The draft calendar includes the following meetings:

- 2.5.1 Full Council and Annual Council – in 2023/24 meetings have been scheduled for July, October, December and February. The Annual Council meeting for May 2023 is scheduled for 16 May and the Planning meeting for 18 May which leaves a very short period between the election, getting the papers published for the meetings and organising mandatory training for the Planning Committee.

Following the postponement of these meetings this year (2021), CMT are asked to consider changing these meeting dates for both 2022 and 2023 to:

24 and 26 May 2022 (currently – 17 and 19 May)

23 and 25 May 2023 (currently – 16 and 18 May)

This pattern would then continue for future years and the dates for May 2024 accord with this proposal.

- 2.5.2 Policy and Resources Committee – seven meetings have been organised to meet before the two Service Committees. This will ensure that all policy and budget decisions are agreed first allowing the Service Committees to then agree the detail and implementation. Details of the Policy and Resources and Audit Committee

meetings will be sent to Watford BC to ensure they don't clash with their Finance/Audit meetings.

- 2.5.3 Two Service Committees – Infrastructure, Housing and Economic Development and Leisure, Environment and Community – six meetings of each of the Service Committees are scheduled in the calendar. Officers monitor the level of items on the agenda for the meetings and the cancellation of the meetings. In 2020/21 no meetings were cancelled but in 2021/22 one meeting of each Service Committee has been cancelled so far.
- 2.5.4 Planning Committee – 12 meetings of the Committee have been included in the calendar of meetings. All Councillors appointed to the Committee, newly appointed Councillors and named substitute Councillors are required to undertake mandatory training before the first meeting in the Local Government Year.
- 2.5.5 Licensing and Regulatory Services Committees – the meetings will continue to be held on the same evening and have the same Chair of each Committee and membership. All Councillors appointed to the Committees, newly appointed Councillors and any Member who acts as a substitute on the Regulatory Services Committee will be required to undertake mandatory training before the first meeting in the Local Government Year. No substitutes can be appointed to the Licensing Committee.
- 2.5.6 Local Area Forums and Environmental Forum – these meetings to be held virtually following Counsel's advice as they are not decision making bodies. The budget used for the hire of the venues is now used towards the zoom licenses for the Chairs of the Forums.
- 2.5.7 Audit Committee – the sign-off of the draft Statement of Accounts has reverted back to the end of July therefore the meetings schedule has been amended to hold two meetings in July the second meeting to sign off the draft statement of accounts, with further meetings at the end of September, November and one in March.
- 2.5.8 Council Tax Setting Committee – a meeting has been scheduled following the conclusion of the Full Council meeting (February 2024) but as with previous meetings the Council Tax has been set by Full Council without the need for the meeting. The setting of the Council Tax is though dependent on the HCC/Police Authority setting precepts by that date.
- 2.5.9 Local Strategic Partnership Board – the LSP Board meets co-jointly with the Community Safety Board. The LSP Board meeting dates have been included in the calendar as they are public meetings.
- 2.5.10 Pensioner Forum – three meetings have been included in the calendar. Over the last year the meetings have been held virtually but there is a request by the Champion to revert to holding physical meetings in the Penn Chamber.
- 2.5.11 Licensing/Regulatory Services Sub-Committees – are organised only if an objection is received to an application for a new or variation of a premises licence or club licence, objection to a Temporary Event notice or a taxi licence. In addition a request can be received to ask the Council to review a licence.
- 2.5.12 Sub-committee meetings have not been included in the calendar as the dates are set up ad-hoc as and when there is a requirement for them to meet. We recommend that these meetings (when organised) are held virtually as they are also not decision

making bodies. We are looking to hold the Equalities Sub-Committee on 28 September 2021 virtually.

- 2.5.13 Community Safety Co-ordinating meetings and Aquadrome Forum meetings are not public meetings therefore are not included on the calendar of meeting.

### **3 Options and Reasons for Recommendations**

3.1 The Committee are asked to recommend to Council:

3.1.1 That the attached draft Calendar of Meetings for 2023/24 be agreed with Members able to comment on the dates before ratification by Council on 19 October.

3.1.2 That the proposed changes in the scheduling of the Annual Council and Planning meeting in May as detailed in Paragraph 2.4.1 be agreed for ratification by Full Council on 19 October.

3.2 That the Committee be asked to agree that:

3.2.1 All Local Forum meetings be held virtually.

3.2.2 That all Sub-Committee meetings when organised, as non decision making bodies, be held virtually.

3.2.3 Whether Equalities Sub-Committee meetings and Local Plan Sub-Committee meetings are livestreamed for people to watch live due to high public interest in the meetings.

### **4 Policy/Budget Reference and Implications**

4.1 The recommendations in this report are within the Council's agreed policy and budgets. The relevant policy forms part of the change of Council's Governance to Committee arrangements agreed by Full Council on 24 April 2014. Minute CL81/13 and the Council Constitution refers.

### **5 Financial Implications**

5.1 We have a budget of £750 for booking venues for Local Area Forum meetings. This budget will be used towards the purchase of the Zoom licences for the Local Area Forum Chairs to run the meetings and the Committee Team zoom licence. The total cost is currently £1,600.

5.2 In 2020/21, with the meetings held virtually, we made a saving of £3,674 to the Members travel budget.

5.3 If it was agreed that Sub-Committee meetings were to be livestreamed then there could be additional costs to do this. Officers are looking the livestreaming being undertaken in house or whether we use an external company. There is no legal requirement to livestream the meetings as they do not have any decision making powers.

### **6 Legal Implications**

6.1 To accord with the requirements of the Council's Constitution (Council Procedure Rule 30 refers).

6.2 There is no requirement to livestream non decision making meetings as long as the public can attend the virtual meeting. This has been the case for all Environmental Forum, Pensioner Forum and Local Area Forum meetings.

6.3 Members have asked if the Sub-Committee meetings of P&R Committee are also held virtually as they have no decision making powers. It has been advised by the Monitoring Officer that this would be possible.

## **7 Environmental Implications**

7.1 Holding more virtual meetings not only increases attendance at the meetings and enables more people to take part in the democratic process but it contributes to achieving the objectives in our Climate Change Strategy by reducing travel to meetings and not having the costs associated with holding a physical meeting (staff resources, heating, lighting etc.).

## **8 Community Safety, Public Health**

8.1 Non specific.

## **9 Staffing Implications**

9.1 The meetings can be managed within the staffing resources available to the Committee team.

## **10 Customer Services Centre, Communications & Website**

10.1 All the meetings are included on the Council website in various formats but will include monthly meetings, yearly calendar of meetings and meeting pages for each of the meetings.

10.2 Once the Calendar is agreed it will be communicated to all Councillors, Managers and the Customer Services Centre and published on the Council website.

## **11 Equal Opportunities Implications**

11.1 Relevance Test

Has a relevance test been completed for Equality Impact?	Yes
Did the relevance test conclude a full impact assessment was required?	No – having more virtual meetings provides greater access to our meetings

## **12 Risk and Health & Safety Implications**

12.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the report have also been assessed against the Council's duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.



12.2 The subject of this report is covered by the Committee service plan. Any risks resulting from this report will be included in the risk register and, if necessary, managed within this/these plan(s).

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
Members not available to attend the meetings	The meeting would not be quorate	Provide sufficient notice of the meeting dates	Treat	1
Members and members of the public not able to access the virtual meeting	The meeting would not be quorate and Members and the public would be unable to participate in the meeting	Provide the required technology and support to enable Members to participate remotely in meetings and provide sufficient information and details to members of the public	Treat	2

12.3 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

<b>Very Likely</b> -> Remote Likelihood	<b>Low</b> 4	<b>High</b> 8	<b>Very High</b> 12	<b>Very High</b> 16
	<b>Low</b> 3	<b>Medium</b> 6	<b>High</b> 9	<b>Very High</b> 12
	<b>Low</b> 2	<b>Low</b> 4	<b>Medium</b> 6	<b>High</b> 8

	<b>Low</b> 1	<b>Low</b> 2	<b>Low</b> 3	<b>Low</b> 4
	<b>Impact</b>			
	Low -----> Unacceptable			

**Impact Score**

4 (Catastrophic)

3 (Critical)

2 (Significant)

1 (Marginal)

**Likelihood Score**

4 (Very Likely (≥80%))

3 (Likely (21-79%))

2 (Unlikely (6-20%))

1 (Remote (≤5%))

12.4 In the officers' opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**13 Recommendation**

13.1 The Committee are asked to recommend to Council:

13.1.1 That the attached draft Calendar of Meetings for 2023/24 be agreed with Members able to comment on the dates before ratification by Council on 19 October.

13.1.2 That the proposed changes in the scheduling of the Annual Council and Planning meeting in May as detailed in Paragraph 2.4.1 be agreed for ratification by Full Council on 19 October.

13.2 That the Committee be asked to agree that:

13.2.1 All Local Forum meetings be held virtually.

13.2.2 That all Sub-Committee meetings when organised, as non decision making bodies, be held virtually.

13.2.3 Whether Equalities Sub-Committee meetings and Local Plan Sub-Committee meetings are livestreamed for people to watch live due to high public interest in the meetings.

Report prepared by: Sarah Haythorpe, Principal Committee Manager

**Data Quality**

Data sources: September 2020 Committee report

Data checked by: James Baldwin, Monitoring Officer, Sally Riley, Assistant Finance Manager

Data rating: Tick

<b>1</b>	<b>Poor</b>	
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<b>2</b>	<b>Sufficient</b>	
<b>3</b>	<b>High</b>	*

**Background Papers - none**

**APPENDICES / ATTACHMENTS**  
Draft calendar of meetings 2023/24

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## Council Meeting Calendar 2023-2024

<b>May</b>	<b>2023</b>
<b>Bank Holiday</b>	<b>Monday 1 May</b>
<b>District Elections</b>	<b>Thursday 4 May</b>
Annual Council	Tuesday 23 May
Planning Committee	Thursday 25 May
<b>Bank Holiday</b>	<b>Monday 29 May</b>
<b>June</b>	
Policy and Resources Committee	Monday 12 June
Licensing Committee/Regulatory Services Committee	Wednesday 14 June
Croxley Green Local Area Forum	Thursday 15 June
Local Strategic Partnership Board (10am)	Tuesday 20 June
Infrastructure, Housing & Economic Development Committee	Tuesday 20 June
Environmental Forum	Wednesday 21 June
Planning Committee	Thursday 22 June
Abbots Langley Local Area Forum	Tuesday 27 June
Watford Rural Local Area Forum	Thursday 29 June
Pensioners' Forum (2pm)	Friday 30 June
<b>July</b>	
Rickmansworth Local Area Forum	Tuesday 4 July
Leisure, Environment and Community Committee	Wednesday 5 July
Audit Committee	Thursday 6 July
Council	Tuesday 11 July
Planning Committee	Thursday 13 July
Policy and Resources Committee	Monday 17 July
Audit Committee (to approve the Statement of Accounts)	Thursday 27 July
<b>Summer Holidays – to be confirmed</b>	
<b>August</b>	
Infrastructure, Housing & Economic Development Committee	Tuesday 15 August
Planning Committee	Thursday 17 August
Leisure, Environment and Community Committee	Wednesday 23 August
<b>Bank Holiday</b>	<b>Monday 28 August</b>
<b>September</b>	
Policy and Resources Committee	Monday 11 September
Local Strategic Partnership Board (10am)	Tuesday 12 September
Infrastructure, Housing & Economic Development Committee	Tuesday 12 September
Planning Committee	Thursday 14 September
Audit Committee	Thursday 28 September
<b>October</b>	
Leisure, Environment and Community Committee	Wednesday 11 October
Chorleywood and Sarratt Local Area Forum	Monday 16 October
Council	Tuesday 17 October
Planning Committee	Thursday 19 October
<b>Half Term – to be confirmed</b>	

<b>November</b>	
Environmental Forum	Wednesday 8 November
Abbots Langley Local Area Forum	Thursday 9 November
Pensioners' Forum (2pm)	Friday 10 November
Policy and Resources Committee	Monday 13 November
Watford Rural Local Area Forum	Tuesday 14 November
Planning Committee	Thursday 16 November
Infrastructure, Housing & Economic Development Committee	Tuesday 21 November
Rickmansworth Local Area Forum	Thursday 23 November
Croxley Green Local Area Forum	Tuesday 28 November
Leisure, Environment and Community Committee	Wednesday 29 November
Audit Committee	Thursday 30 November
<b>December</b>	
Policy and Resources Committee	Monday 4 December
Licensing Committee/Regulatory Services Committee	Wednesday 6 December
Council	Tuesday 12 December
Planning Committee	Thursday 14 December
<b>Christmas Day</b>	<b>Monday 25 December</b>
<b>Boxing Day</b>	<b>Tuesday 26 December</b>
<b>School Holiday – to be confirmed</b>	
<b>January</b>	<b>2024</b>
<b>New Year's Day</b>	<b>Monday 1 January</b>
Leisure, Environment and Community Committee	Wednesday 10 January
Infrastructure, Housing & Economic Development Committee	Tuesday 16 January
Planning Committee	Thursday 18 January
Policy and Resources Committee	Monday 29 January
<b>February</b>	
Licensing Committee/Regulatory Services Committee	Wednesday 7 February
Council to be followed by Council Tax Setting Committee	Tuesday 20 February
Planning Committee	Thursday 22 February
<b>Half Term – to be confirmed</b>	
<b>March</b>	
Pensioners' Forum (2pm)	Friday 1 March
Rickmansworth Local Area Forum	Tuesday 5 March
Chorleywood and Sarratt Local Area Forum	Wednesday 6 March
Abbots Langley Local Area Forum	Thursday 7 March
Policy and Resources Committee	Monday 11 March
Leisure, Environment and Community Committee	Wednesday 13 March
Planning Committee	Thursday 14 March
Infrastructure, Housing & Economic Development Committee	Tuesday 19 March
Environmental Forum	Wednesday 20 March
Local Strategic Partnership Board (10am)	Wednesday 20 March
Audit Committee	Thursday 21 March
<b>Good Friday</b>	<b>Friday 29 March</b>

<b>April</b>	
<b><i>Easter Monday</i></b>	<b><i>Monday 1 April</i></b>
Planning Committee	Thursday 18 April
<b><i>Easter Holiday – to be confirmed</i></b>	
<b>May</b>	
<b><i>District Elections</i></b>	<b><i>Thursday 2 May</i></b>
<b><i>Bank Holiday</i></b>	<b><i>Monday 6 May</i></b>
Annual Council	Tuesday 21 May
Planning Committee	Thursday 23 May
<b><i>Bank Holiday</i></b>	<b><i>Monday 27 May</i></b>

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## Form A – Relevance Test

Function/Service Being Assessed: Calendar of meetings 2023/24

Officer completing form: Sarah Haythorpe

Date of completion: 17 August 2021

### 1. Populations served/affected:

Universal (service covering all residents)?

### 2. Is it relevant to the general equality duty? (see Q and A for definition of 'general duty')

Which of these three aspects does the function relate to (if any)? All of them

1 – Eliminating discrimination, harassment and victimisation

2 – Advancing equality of opportunity

3 – Fostering good relations

Is there any evidence or reason to believe that some groups could be differently affected?

No

Which equality categories are affected? All

Race

Age

Sexual Orientation

Disability

Sex

Religion

Gender reassignment

Marriage / civil partnership

Maternity / Pregnancy

### 3. What is the degree of relevance?

In your view, is the information you have on each category adequate to make a decision about relevance? Yes

Are there any triggers for this review (for example is there any public concern that functions/services are being operated in a discriminatory manner?) If yes please indicate which:

No

### 4. Conclusion

On the basis of the relevance test would you say that there is evidence that a medium or high detrimental impact is likely? (See below for definition)

No

**Note:** if a medium or high detrimental impact has been identified then a full impact assessment must be undertaken using Form B.

Completed forms should be attached as an appendix to the relevant report and a copy sent to the Community Partnerships Unit

### Definition of Low, Medium or High detrimental impact.

For any one (or more) equality group the following evidence is found:

	<p><b>Evidence may come from one or more of the following sources:</b></p> <ul style="list-style-type: none"> <li>• <b>Local service data</b></li> <li>• <b>Data from a similar authority (including their EIA)</b></li> <li>• <b>Customer feedback</b></li> <li>• <b>Stakeholder feedback</b></li> <li>• <b>National or regional research</b></li> </ul>
<b>High Relevance</b>	<p>The evidence shows a clear disparity (of more than 80% probability) between different sections of the community in one or more of:</p> <ul style="list-style-type: none"> <li>• levels of service access;</li> <li>• quality of service received; or</li> <li>• outcomes of service.</li> </ul>
<b>Medium Relevance</b>	<p>The evidence is unclear (or there is no evidence) if there is any disparity in terms of:</p> <ul style="list-style-type: none"> <li>• levels of service access;</li> <li>• quality of service received; or</li> <li>• outcomes of service.</li> </ul>
<b>Low Relevance</b>	<p>The evidence shows clearly ( at least 80% certainty) there is no disparity in terms of:</p> <ul style="list-style-type: none"> <li>• levels of service access;</li> <li>• quality of service received; or</li> <li>• outcomes of service..</li> </ul>

## POLICY AND RESOURCES COMMITTEE - 13 SEPTEMBER 2021

### COUNCIL – 19 OCTOBER 2021

#### PART I – NOT DELEGATED

## 6. SOUTH WEST HERTS JOINT STRATEGIC PLAN – STATEMENT OF COMMON GROUND AND STATEMENT OF COMMUNITY INVOLVEMENT (DCES)

### 1 Summary

1.1 To seek Council's agreement to a Statement of Common Ground (SCG) and an agreement to consult on a draft Statement of Community Involvement (SCI) to support the preparation of a Joint Strategic Plan (JSP) for South West Hertfordshire.

### 2 Introduction to the JSP

2.1 This Council has begun work on a statutory Joint Strategic Plan (JSP) for the South West Hertfordshire area. This work is being done in partnership with St Albans City & District Council, Hertsmeare Borough Council, Dacorum Borough Council and Watford Borough Council; with the support of Hertfordshire County Council.

2.2 In terms of the scope and management of JSP:

- It will be a statutory plan focussing on climate change, infrastructure delivery, strategic housing and employment, and Green Belt/AONB; and
- It will be about more than planning and will create a framework for investor confidence in SW Herts.
- The JSP currently proposes a timeframe of 2036 - 2050, although this is subject to review.
- It will be managed by Chris Outtersides, who was appointed by Dacorum Borough Council on behalf of the programme, to lead preparation of the JSP.

2.3 In terms of the benefits of a JSP, these include:

- Increased potential for unlocking infrastructure investment from Government;
- Creating a bigger canvas to make decisions about future growth;
- Allowing an infrastructure-led approach; not 'planning by numbers'; and
- Enabling a coordinated approach to investment and delivery of infrastructure giving priority to strategic solutions.

2.4 For the avoidance of doubt, the intention will be for all five LPAs to retain 'sovereignty' over the JSP process, with the plan following essentially the same process as individual Local Plans and therefore needing approval from each of the partner authorities at each key stage of its preparation and final adoption.

2.5 As Members will also note from Paragraph 2.2 above, the JSP looks at the period beyond the timescale being followed for the five Boroughs' and Districts' emerging Local Plans. The ongoing work on the JSP does not and will not affect current work on the new Three Rivers Local Plan.

### 3 Background to the Statement of Common Ground

3.1 Under the National Planning Policy Framework (2021 NPPF), local planning authorities are expected to produce, maintain and keep up to date a Statement of

Common Ground (SCG) to highlight agreement on cross boundary strategic issues with neighbouring authorities and other relevant bodies.

- 3.2 In accordance with this guidance (and its earlier iterations), the South West Herts authorities agreed a Memorandum of Understanding (MoU) on joint strategic planning in January 2018. This MoU set out how initial cooperation between the authorities would be managed in respect of strategic planning issues.
- 3.3 This was followed by an initial Statement of Common Ground (SCG) that was agreed by officers in early 2019.
- 3.4 The SCG which is the subject of this report is therefore the third in a series of documents that has been prepared to guide preparation of the JSP.
- 3.5 Although this SCG has been prepared to support the Duty to Cooperate (DtC), as currently required by national planning policy, it is acknowledged that Government is currently reviewing the role of the DtC. Should the role of the DtC be amended, or removed, any resultant impact on the JSP will be reflected in future versions of this SCG.
- 3.6 In accordance with agreed JSP governance arrangements, the SW Herts JSP Planning Members Group (SPMG) – which comprises the Planning Portfolio Holder for each of the SW Herts authorities - considered the draft SCG at their meeting on 29 June 2021. At that meeting, all Members advised that they were happy with the draft SCG. Informal, high level advice on the content of the SCG has also been taken from Simon Ricketts and Mary Cook QC at Town Legal.

#### **4 Content of the Statement of Common Ground**

- 4.1 The SCG (**Appendix 1**) will set the scene for the SW Herts JSP, outlining the area, the authorities, the role of the county council, the role of the Hertfordshire Growth Board and their commitment to preparing a JSP including an outline of the Plan and its timetable.
- 4.2 The SCG will also set out the areas of common strategic interest within which the group will work together to prepare the JSP, and the methodology and project management arrangements that they will use to prepare it.
- 4.3 The SCG and commitment to prepare a JSP reflects the ongoing strong collaborative working amongst all six partner authorities, and the desire to “place shape” the future growth of the area. As stated previously, the SCG and JSP do not however, remove the local authority’s sovereignty in Local Plan making.
- 4.4 The SCG will be a “live” document and will evolve and be updated at key stages in the preparation of the JSP. The signed SCG will also be used by the authorities as a ‘pre-commencement’ commitment document for the JSP.
- 4.5 All of the South West Herts authorities are now being asked to approve the Statement of Common Ground, as endorsed by the SPMG.

#### **5 Background to the Statement of Community Involvement**

- 5.1 The role of a Statement of Community Involvement is to set out the Council’s approach for involving the community, both in preparing and revising planning policy documents and, where appropriate, in the assessment of planning applications. The

requirements for preparing SCIs are set out in Section 18 of the Planning and Compulsory Purchase Act 2004.

5.2 Planning Practice Guidance issued by central government states that:

*Local planning authorities must review their Statements of Community Involvement every 5 years from the adoption date. It is important that Statements of Community Involvement are kept up-to-date to ensure effective community involvement at all stages of the planning process. Therefore, a local planning authority should regularly review and update their Statement of Community Involvement to reflect any changes to engagement.*

*A local planning authority may review and update their Statement of Community Involvement at the same time as reviewing and updating a plan to reflect what action is taken to involve the community in any change to the plan.*

## **6 SW Herts JSP Statement of Community Involvement**

6.1 The Statement of Community Involvement (SCI) (**Appendix 2**) sets out how future consultations on the JSP will be undertaken. The proposed SCI for the JSP is limited in scope – covering only the consultation that will be carried out as part of the strategic plan-making process. Development Management matters will remain the responsibility of the local authority area in which they are located and consultation on planning applications will therefore continue to be governed by the SCI for the relevant council area.

6.2 The statutory JSP SCI will be supplemented by a more detailed and public facing Communications and Engagement Strategy that will be drawn up to support the JSP. This strategy will run alongside the SCI, and will be updated for each plan-making stage, setting out the detailed consultation arrangements. It is not considered appropriate to cover these detailed arrangements within the SCI itself, as they will be tailored to the nature of each consultation, and insofar as time and resources allow, thereby allowing the evolution of the JSP to reflect and respond to emerging best practice in terms of approaches to engagement.

6.3 Hertfordshire County Council do not need to formally endorse the SCI but have confirmed their support for the approach set out within it.

### **6.4 Consultation**

6.5 There is no longer a legal requirement to consult on the content of SCIs. However, a number of the other Councils within the SW Herts area, have previously chosen to carry out targeted engagement on their documents. For consistency it is therefore recommended that this approach is applied to the SCI for the SW Herts JSP.

6.6 The SW Herts JSP Director will co-ordinate consultation with statutory consultees. These are listed in Appendix 1 of the document. Individual districts will be responsible for carrying out any consultation they feel is appropriate with relevant local consultees. For Three Rivers this will comprise town and parish councils, local residents associations. As the SW Herts SCI does not cover planning application matters, it is not considered necessary to consult local planning agents and developers.

6.7 Provided that approval to consult on the SCI is granted by all five SW Herts districts, targeted consultation will be carried out on the SW Herts JSP SCI for a 6 week period. This is currently scheduled for autumn 2021.

6.8 Following the consultation, the SCI will then be brought back to Policy & Resources Committee and Full Council to seek formal approval for the final version of the document – incorporating any changes required as a result of the consultation process. Members should note that formal approval for the SCI from all five districts that make up the SW Herts JSP area must be in place before any statutory consultation on the SW Herts JSP takes place.

## **7 Next Steps for the JSP**

7.1 The signing of the SCG and preparation of the SCI represents two of the JSP's key work priorities for 2021/22. In addition to the SCG, the principal elements of the JSP work programme propose:

- JSP Visioning Engagement
- JSP Regulation 18 Consultation – Issues and Options.

7.2 The indicative timescale for this work, including going through the relevant Committee processes at all the partner authorities, shows the 'JSP Regulation 18 Consultation: 'Issues and Options' is likely to be in early 2022.

7.3 A SWH JSP website to host all JSP related materials and the future public consultations is also planned. This is likely to be ready by the end of summer 2021.

7.4 The JSP programme also continues to work closely with senior officials from MHCLG in relation to the proposed amendments to the planning system and the planning White Paper. The JSP programme submitted a detailed submission to the Planning White Paper advocating for stronger Government support for strategic planning. Government officials have clearly indicated that they are keen to work with South West Hertfordshire officers to test potential strategic planning solutions moving forward.

## **8 Options and Reasons for Recommendations**

8.1 Members could choose not to recommend to Council that the Statement of Common Ground is agreed but this would mean that the Council would be withdrawing from the SW Herts JSP.

8.2 Not agreeing the draft SCI for the SW Herts JSP would mean that this document cannot go out for the necessary targeted consultation and will therefore not be in place in time for the first consultation on this new joint plan, scheduled for spring 2022. It is a legal requirement to have an adopted SCI in place before consultation commences on any statutory plan. Relying on existing broad references to JSP engagement processes within current district-level SCIs could result in confusion and a lack of consistency across the SW Herts area regarding how engagement on the joint plan is carried out. To fail to have an agreed SCI in place, or to have an inconsistent approach to consultation arrangements could potentially result in a successful future legal challenge to the JSP.

## **9 Policy/Budget Reference and Implications**

9.1 The recommendations in this report are within the Council's agreed policy and budgets.

## **10 Equal Opportunities, Environmental, Community Safety, Public Health, Customer Services Centre Implications**

10.1 None specific.

## 11 Financial Implications

11.1 None arising from this report. The JSP programme is funded through contributions of £40,000 per annum from TRDC and each of the member authorities, and awards of external funding from Government.

## 12 Legal Implications

12.1 Section 18 of the Planning and Compulsory Purchase Act 2004 requires local planning authorities to produce a Statement of Community Involvement. Local Planning Authorities must comply with SCIs in the preparation of Local Plan documents and if there is non-compliance, a Local Planning Authority may be open to legal challenge at examination.

## 13 Staffing Implications

13.1 None arising from this report as SOCG and SCI prepared by SW Herts Officer Group.

## 14 Communications and Website Implications

14.1 None. The SW Herts JSP will have its own dedicated website. Communications Officer consulted as part of any communications/consultations.

## 15 Risk and Health & Safety Implications

15.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the report have also been assessed against the Council's duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.

15.2 The subject of this report is covered by the Economic & Sustainable Development service plan. Any risks resulting from this report will be included in the risk register and, if necessary, managed within this/these plan(s).

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
Preparation of SW Herts Joint Strategic Plan fails to meet key project milestones	Will impact on the timing of the adoption of the JSP		Tolerate	4

15.3 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

<b>Very Likely</b> ----- <b>Likelihood</b> ----- ▼ <b>Remote</b>	<b>Low</b> 4	<b>High</b> 8	<b>Very High</b> 12	<b>Very High</b> 16
	<b>Low</b> 3	<b>Medium</b> 6	<b>High</b> 9	<b>Very High</b> 12
	<b>Low</b> 2	<b>Low</b> 4	<b>Medium</b> 6	<b>High</b> 8
	<b>Low</b> 1	<b>Low</b> 2	<b>Low</b> 3	<b>Low</b> 4
<b>Impact</b> Low -----► <b>Unacceptable</b>				

**Impact Score**

- 4 (Catastrophic)
- 3 (Critical)
- 2 (Significant)
- 1 (Marginal)

**Likelihood Score**

- 4 (Very Likely (≥80%))
- 3 (Likely (21-79%))
- 2 (Unlikely (6-20%))
- 1 (Remote (≤5%))

15.4 In the officers' opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**16 Recommendation**

16.1 That Policy & Resources Committee recommends to Full Council:

That the Statement of Common Ground (SCG), attached as Appendix 1, be approved as a guide to the preparation of a Joint Strategic Plan (JSP) for South West Hertfordshire, and

That the new Statement of Community Involvement (SCI) 2021 for the South West Herts Joint Strategic Plan, be approved for targeted consultation with arrangements for this consultation and any minor amendments to the document to be agreed by the Head of Planning Policy & Projects in consultation with the Director of Community and Environmental Services and the Leader of the Council under delegated authority.

Report prepared by: Claire May, Head of Planning Policy & Projects



**APPENDICES**

Appendix 1 SW Herts JSP Statement of Common Ground

Appendix 2 SW Herts JSP Statement of Community Involvement

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# **SOUTH WEST HERTFORDSHIRE JOINT STRATEGIC PLAN**

## **STATEMENT OF COMMON GROUND – V2.0**

between

Dacorum Borough Council  
Hertsmere Borough Council  
St Albans City & District Council  
Three Rivers District Council  
Watford Borough Council  
Hertfordshire County Council

**August 2021**



## **CONTENTS**

- 1.0 INTRODUCTION**
- 2.0 BACKGROUND AND STRUCTURE**
- 3.0 LOCATION – SOUTH WEST HERTFORDSHIRE**
- 4.0 KEY STRATEGIC MATTERS**
- 5.0 MANAGING NEED**
- 6.0 OTHER STRATEGIC MATTERS**

- Appendix 1 Memorandum of Understanding
- Appendix 2 Statement of Common Ground (officer version)
- Appendix 3 Planning Practice Guidance advice
- Appendix 4 Governance structure

## **1.0 INTRODUCTION**

- 1.1 The five South West Hertfordshire Local Planning Authorities of Dacorum Borough Council, St Albans City & District Council, Three Rivers District Council, Hertsmere Borough Council and Watford Borough Council, together with Hertfordshire County Council and known collectively as 6JSPA, have agreed to prepare a new Joint Strategic Plan (JSP) for South West Hertfordshire (SWH).
- 1.2 6JSPA have agreed this second Statement of Common Ground (SCG) which is the third in a series of documents that has been prepared by them to assist them in the preparation of the JSP. This SCG will establish the areas of common strategic interest within which 6JSPA will work together to prepare the JSP, and the methodology that they will use to prepare it.
- 1.3 Although this SCG has been prepared to support the Duty to Cooperate (DtC), as currently required by national planning policy, it is acknowledged that Government is currently reviewing the role of the DtC. Should the role of the DtC be amended, or removed, any resultant impact on the JSP will be reflected in future versions of this SCG.
- 1.4 This SCG also sets out the project management arrangements for the JSP. This is an iterative process with this SCG to be used by 6JSPA as a 'pre-commencement' commitment document for the JSP.
- 1.5 This SCG initiates the formal process for preparing the JSP. Each Local Planning Authority have agreed to update their Local Development Schemes (LDS) to reflect this new portfolio approach to plan making across South West Hertfordshire.

## **2.0 BACKGROUND AND STRUCTURE**

- 2.1 Under the 2021 National Planning Policy Framework (2021 NPPF), local planning authorities are expected to produce, maintain and keep up to date a Statement of Common Ground (SCG) to highlight agreement on cross boundary strategic issues with neighbouring authorities and other relevant bodies.<sup>1</sup>
- 2.2 In addition, the 2021 NPPF sets out a number of soundness tests against which local plans should be assessed at the examination stage. Of relevance to this SCG, and as set out in paragraph 35 of the 2021 NPPF, these tests include a requirement that Local Plans are:

*“informed by agreements with other authorities, so that unmet need from neighbouring areas is accommodated where it is practical to do so and is consistent with achieving sustainable development; and*

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<sup>1</sup> National Planning Policy Framework, July 2021, para 27

*based on effective joint working on cross-boundary strategic matters that have been dealt with rather than deferred, as evidenced by the statement of common ground.”*

- 2.3 In accordance with this guidance, 6JSPA, agreed a Memorandum of Understanding (MoU) on joint strategic planning in January 2018 (attached as **Appendix 1**). This MoU set out how initial cooperation between 6JSPA would be managed in respect of strategic planning issues.
- 2.4 This MoU was followed by an initial Statement of Common Ground on strategic planning issues that was signed by Officers in February 2019 (attached as **Appendix 2**).
- 2.5 The Government’s current advice on the structure of a SCG is principally set out in the Planning Practice Guidance<sup>1</sup>(PPG), (attached as **Appendix 3**, which sets out the relevant parts of the PPG and the National Planning Policy Framework). This SCG has been prepared in accordance with this guidance.

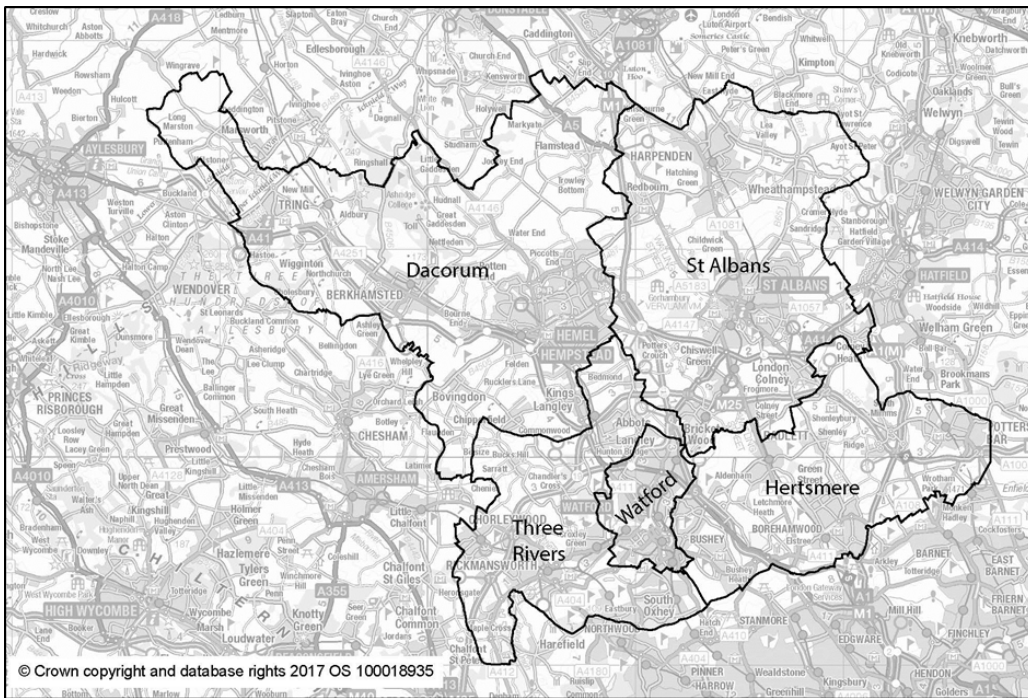
### **3.0 LOCATION – SOUTH WEST HERTFORDSHIRE**

- 3.1 SWH area covers the administrative areas of Dacorum Borough Council, Hertsmere Borough Council, St Albans City and District Council, Three Rivers District Council and Watford Borough Council.
- 3.2 This geography is based on the agreed approach that the five Local Planning Authority areas constitute a single South West Hertfordshire Housing Market Area (HMA) and Functional Economic Market Area (FEMA). The geographical extent of SWH is set out on Map 1 below.

#### **Map 1: South West Hertfordshire**

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<sup>1</sup> Paragraph: 003 Reference ID: 61-003-20180913



#### 4.0 **KEY STRATEGIC MATTERS**

4.1 The JSP will provide the strategic context for the statutory development plan portfolio across SWH and will be prepared jointly by all of the parties. Its scope will be focused on the following strategic policy matters that are common across all five local planning areas:

- 1: **An appropriate spatial strategy for SWH;** distribution of growth, town centre hierarchy;
- 2: **Strategic areas for growth** and the role of each;
- 3: **Strategic housing need** and distribution across SWH, Local Plan requirements and provision;
- 4: **Strategic and long term approach to Green Belt,** areas of Outstanding Natural Beauty (AONB) and blue and green infrastructure across SWH;
- 5: **Strategic employment need** across SWH, Local Plan requirements and provision, including any priorities and spatial implications of the emerging Local Industrial Strategy;

- 6: **Strategic transport and infrastructure priorities** across SWH to support sustainable and good growth, Local Plan requirements and provision;
- 7: **Climate change mitigation and energy use;**
- 8: **Cross-cutting themes:** including zero carbon, promoting social cohesion; healthy and inclusive growth; high quality development and design; supporting sustainable development; and
- 9: **Implementation and Monitoring Framework** for the above

4.2 Planning for minerals and waste in Hertfordshire is the responsibility of Hertfordshire County Council. This is managed through separate local planning processes and will therefore not be part of the JSP. A separate SCG will be prepared to help manage the strategic minerals and waste planning matters.

## **5.0 MANAGING NEED**

- 5.1 It is proposed that infrastructure, housing and employment need and requirements will be managed on a SWH basis with the distribution across the SWH area reflecting the JSP's vision, shared spatial strategy and priorities. Although preparation of the JSP will be steered through the Strategic Planning Members Group, decision-making will remain the responsibility of the individual members of 6JSPA.
- 5.2 To facilitate this approach, the JSP will be founded on a robust and proportionate evidence base prepared for SWH as a whole, to give a clear understanding of strategic housing and economic needs, infrastructure capacities, constraints and opportunities and environmental constraints and characteristics.

### Strategic Housing and Employment Need, Plan Requirements and Provision

- 5.3 The JSP will set out the total identified housing and employment requirement for SWH for the agreed plan period, and the apportionment for each Local Planning Authority area.
- 5.4 The JSP will also identify broad locations for strategic housing and economic growth across SWH, taking account of the agreed JSP vision and objectives, the opportunities offered by infrastructure investment, environmental constraints and economic growth forecasts.
- 5.5 The calculation of housing need figures will be based upon the Government's standard method for calculating housing need published on 16 December 2020.
- 5.6 The evidence to support the JSP will build on the existing economic evidence base, as well as the emerging Local Industrial Strategy (LIS), to assess the strategic suitability of all existing employment sites, along with any other areas,



including any Strategic Areas of Growth, to assess and strategically plan for the future employment needs of SWH.

#### Strategic Infrastructure Need and Provision

- 5.7 Strategic infrastructure needs and priorities across SWH will be one of the key determinants of the agreed spatial strategy and the locations of the emerging Strategic Areas of Growth.
- 5.8 The approach to strategic transport infrastructure will be based on the following guiding principles as set out in Hertfordshire's Local Transport Plan 2018 - 2031:
- Modal shift and encouraging active travel;
  - Integration of land use and transport planning;
  - Application and adoption of technology; and
  - Cost effective delivery and maintenance.
- 5.9 As with housing and employment needs, the evidence to support the JSP will build on the existing infrastructure evidence base and will assess the strategic suitability of any existing and proposed sustainable transport corridors, along with any strategic areas of growth, to assess and strategically plan for the future infrastructure needs of SWH. Working with the Hertfordshire Growth Board (HGB) and infrastructure providers, this work will also assist in identifying and supporting any SWH strategic infrastructure funding opportunities

#### Strategic approach to Green Belt, Areas of Outstanding Natural Beauty and Green and Blue Infrastructure

- 5.10 Green Belt (Metropolitan Green Belt) and landscape (Chilterns Area of Outstanding Natural Beauty) designations apply to the majority of the SWH area it is also home to the Chilterns Beechwoods Special Area of Conservation which is protected under the Conservation of Habitats and Species Regulations 2017 (as amended).
- 5.11 The evidence to support the JSP will assess the existing Green Belt across SWH, along with any Strategic Areas of Growth, to assess and strategically plan for the future Green Belt requirements of SWH.
- 5.12 The JSP will also set out a strategic approach to Green and Blue infrastructure.

### **6.0 OTHER STRATEGIC MATTERS**

- 6.1 It is intended that the emerging JSP will provide the 'effective strategic planning mechanism' to ensure compliance with the requirements of the DtC, with the existing joint work, evidence base and already established shared governance demonstrating that cooperation is proactive, positive and ongoing.

#### Relationship of the JSP to current or future Local Plans

- 6.2 While the JSP will be a jointly prepared and adopted strategic planning framework intended to form part of part 1 of the development plan, each Local Planning Authority will maintain responsibility for preparing appropriately detailed Development Plan Documents (DPD's) and/or part 2 Local Plan(s). These documents will provide more detailed planning and place shaping policies, particular in relation to the delivery of the Strategic Areas for Growth.
- 6.3 The suite of local planning documents required to deliver the JSP will be prepared in alignment so that it could reflect the emerging spatial strategy. However, whilst the JSP is being prepared there is a need to ensure that there continues to be a planning framework, particularly to meet five to 10 year land supply requirements. The transition from relying on individual Local Plans to the new planning portfolio (including the JSP) is therefore being managed through the current Local Plan review process across the five Local Planning Authorities.

#### Other Strategic Matters

- 6.4 6JSPA agree that all Local Plans, where adopted before the JSP is adopted, will be reviewed at the earliest practicable time after the JSP is adopted in order to achieve conformity with the JSP.
- 6.5 Functional housing and economic relationships exist beyond the HMA / FEMA. At this stage, it is proposed that strategic issues in relation to these areas are to be addressed as follows:

#### Greater London

- 6.6 Liaison and cooperation with The Greater London Authority, Transport for London, as well as any adjoining North London authorities will continue to be undertaken directly by the relevant Local Planning Authorities themselves. As the JSP emerges, the delivery body of the JSP will engage on behalf of 6JSPA both as a collective and individual authorities. Future arrangements will be reviewed on an annual basis and agreed by 6JSPA.

#### Central Bedfordshire Council, Buckinghamshire Council, Welwyn & Hatfield District Council

- 6.7 Initially, 6JSPA will seek to enter into individual MoUs with these Local Planning Authorities (to be negotiated) as appropriate, with 6JSPA also needing to engage collectively as the JSP emerges.
- 6.8 This will be approached on the basis that:
- the defined SWH area is accepted by the adjoining Local Planning Authorities as an appropriate HMA / FEMA; and
  - there is currently no intention, or reasonable prospect, of transferring development requirements and provision between the SWH area and other adjoining Local Planning Authority areas, however defined. However, this is subject to further testing as part of the evidence that will

support the JSP. Should this evidence conclude that some of the SWH development needs will need to be met from outside SWH, and should this position be supported by the adjoining affected Local Planning Authority, this position may need to be revisited.

6.9 In terms of other relevant Statements of Common Ground, separate Statements will be prepared to support the current Local Plan review processes across SWH. Future versions of this SCG will need to be cognisant of these Statements where they are relevant to the JSP.

6.10 There are no other strategic matters to be addressed.

## **7.0 JSP TIMELINE**

7.1 Key milestones for preparing the JSP are set out below. A detailed work programme has been agreed by the Strategic Planning Members Group (SPMG) to help manage the preparation of the JSP and to ensure it continues to be treated as a priority by 6JSPA.

7.2 Key milestones for preparing the JSP are set out below.

Autumn 2021: 6JSPA endorse the first stage Statement of Common Ground

JSP Statement of Community Involvement (SCI) to be agreed and finalised.

Early 2022: The Draft 'Issues and Options' JSP setting out the Plan's Vision and Objectives is published for Regulation 18 Consultation, in line with the SCI and agreed JSP timetable.

Early 2023: The Draft 'Spatial Options' JSP with spatial strategy options and preferred spatial option is published for consultation

Early 2024: Final draft version of JSP is published for Regulation 19 Consultation

Mid 2024: JSP submitted for Examination

End 2024: JSP adopted by 6JSPA

## **8.0 GOVERNANCE**

8.1 The approved Governance structure for the JSP is contained in the structure chart at **Figure 1**. This comprises the Strategic Planning Member Group (SPMG), Steering Group (SG) and Strategic Planning Officer Group (SPOG) with associated roles and membership.

- 8.2 The JSP governance structure was approved by the Strategic Planning Member Group in February 2021 and is set out in **Appendix 4**.
- 8.3 In summary, the SPMG will set the direction for the plan, scrutinise the work, and agree to recommend approval of the JSP for submission for examination and later adoption by their respective Local Planning Authorities. The SPMG will meet at least every quarter and will review and scrutinise progress on the plan. The SPMG will be tasked to approve budgets and sign off annual accounts.
- 8.4 The Steering Group (SG) will ensure that the direction set by the SPMG is integrated into the JSP. The SG will work with the JSP Director and Strategic Planning Officers Group (SPOG) to review the evidence and the draft JSP, provide feedback to their respective Local Planning Authorities and to the SPOG. The SG will meet at least every eight (8) weeks to receive project updates and to provide a corporate and strategic steer to the JSP when appropriate unless a special additional meeting is called.
- 8.5 The Strategic Planning Officers Group (SPOG) will work with the JSP Director to produce the JSP and associated Delivery Plan. Meetings will take place every two to three weeks to develop approaches for the JSP and Delivery Plan, to review the work undertaken and ensure that the project is being delivered in accordance with the agreed delivery timescales. Update reports will be prepared by the JSP Director for the SG and SPMG. These reports will be circulated to SPOG members prior to the SG or SPMG meeting. SPOG members will be required to comment on the reports. Reports will need to be issued five working days before the SG or SPMG meetings.
- 8.6 As required, other officers and external advisers will occasionally be asked to attend meetings of SPMG, SG or SPOG to provide specialist advice on JSP related and Delivery Plan related matters.

**Figure 1: SW Herts Joint Strategic Plan Governance Structure**

Group	Role	Membership
Hertfordshire Growth Board (HGB)	The HGB will have no statutory or approvals role in the preparation of the JSP. Briefing of the HGB will be the responsibility of the SPMG Chair, supported by the JSP Director	Leaders supported by Chief Executives
SWH Strategic Planning Members Group (SPMG)	The SPMG will set the direction, scrutinise and agree sign-off for individual Council approval of the the JSP.	Political representatives to be either Leader or Portfolio Holder level (as appropriate for each Council) Supported by Senior Officers and JSP Director
JSP Steering Group (SG)	The SG will provide strategic direction for the JSP, supported by SPOG, address key issues and be the key strategic interface with local authorities	Corporate Directors and the JSP Director
Strategic Planning Officers Group (SPOG)	SPOG will work with the JSP Director for daily delivery of the JSP.	Senior Strategic Planning Officers and the JSP Director

## **9.0 DISPUTE RESOLUTION**

- 9.1 In the event that one or more of 6JSPA disagrees with a matter associated with the preparation of the JPS or the content of the emerging JPS, it should be raised initially at the SG. In the event that the matter cannot be resolved at the SG the aggrieved party may escalate the issue to the SPMG. In the event that the matter is escalated to the SPMG a special meeting will be convened with the sole purpose of discussing the matter under dispute. All members of the SPMG must be in attendance for the meeting to proceed. A decision on the matter must be agreed on by all SPMG members present. In the event that there is not unanimity the matter will not be taken forward as part of the JSP.
- 9.2 To minimise the use of the mechanism identified in 9.1 above, all parties will work together to find an acceptable solution as part of the risk management process through the SPOG.

## **10.0 JSP BUDGET**

- 10.1 The cost of producing the JSP, the examination, legal challenges and related costs will be shared equally among 6JSPA.
- 10.2 Budget setting for the following year will be undertaken by September each year for the following financial year. Budgets will need to be approved by the SPMG and then taken to each of the 6JSPA for approval by each individual party as part of their own budget setting procedures. In the event that one or more party does not approve their share of the budget a special meeting of the SPMG will be called where all members will be required to attend to discuss how the JSP will continue to be funded or if the partnership should be discontinued.
- 10.3 The JSP budget will initially be held by Dacorum Borough Council. This arrangement will be kept under review with a 12 month notice being required for change of the budget holder.
- 10.4 Quarterly Budget Updates will be reported to the SG by the JSP Director supported by the budget host party's finance team. An annual budget report will be provided to the SPMG at the end of each financial year for sign off.
- 10.5 In the event of funding opportunities being made available for JSP work or related projects, bids will be submitted to government and the LEP for funding as and when such opportunities become available. These will be led by the JSP Director, supported by the parties and signed off by the SPMG.

## **11.0 EMPLOYMENT AND MANAGEMENT OF STAFF**

- 11.1 The JSP Director and any additional staff required to deliver the plan will initially be employed and managed by Dacorum Borough Council under Dacorum Borough Council's employment terms and conditions.

- 11.2 Payment of staff, and associated employment costs, will be shared equally among the member authorities in the event of no further government funding. If staff are seconded from a 6JSPA member that has served notice of termination that member of staff will return to that authority on the date of termination.
- 11.3 In the event of a staff member's employment being terminated for any reason, including redundancy, or the staff member being on long term sick, any costs incurred will be shared equally among the parties unless the officer has been seconded. Seconded officers will remain the responsibility of the officer's 'home' authority.
- 11.4 These arrangements will be kept under review with a 12 month notice being required for change in budget or management of JSP employed staff.

## **12.0 TERMINATION DATE AND REVIEW PROCESS**

- 12.1 The preparation of the SCG is an iterative process reflecting the development of both individual local plans and the JSP. The SCG will therefore be reviewed at key stages in the JSP's progress, and at least every two years, with the first review due by 31 March 2023. In addition, the SCG will be updated when each individual local plan is submitted to the Secretary of State for examination.
- 12.2 In the event of a 6JSPA member wishing to withdraw from the JSP process, the withdrawing 6JSPA member will need to provide no less than 12 months' notice written such notice to expire on the 31<sup>st</sup> March in any year.

## **13.0 STATUS**

- 13.1 This SCG cannot override the statutory duties and powers of the 6JSPA member and is not enforceable by law. However, the 6JPS agree to the principles set out in this SCG.

**Signed by**

<b>Signature</b>	<b>Role</b>	<b>Authority</b>	<b>Date</b>
	<b>Leader of Council</b>	<b>Dacorum</b>	
	<b>Chief Executive</b>		

	<b>Leader of Council</b>	<b>Hertsmere</b>	
	<b>Managing Director</b>		

	<b>Leader of Council</b>	<b>St Albans</b>	
	<b>Chief Executive</b>		

	<b>Leader of Council</b>	<b>Three Rivers</b>	
	<b>Chief Executive</b>		

	<b>Leader of Council</b>	<b>Watford</b>	
	<b>Managing Director</b>		

	<b>Leader of Council</b>	<b>Hertfordshire County Council</b>	
	<b>Chief Executive</b>		



**MEMORANDUM OF UNDERSTANDING  
FOR STRATEGIC PLANNING  
IN SOUTH WEST HERTFORDSHIRE**

**February 2018**

# STRATEGIC PLANNING IN SOUTH WEST HERTFORDSHIRE

## Memorandum of Understanding

between

Dacorum Borough Council

Hertsmere Borough Council

St Albans City & District Council

Three Rivers District Council

Watford Borough Council

Hertfordshire County Council

This Memorandum of Understanding (MoU) sets out how cooperation between the five local planning authorities in South West Hertfordshire and Hertfordshire County Council will be managed in respect of strategic planning issues.

The Localism Act 2011 places a Duty to Cooperate on local planning authorities and county councils<sup>1</sup> (amongst other public sector organisations), requiring them to engage constructively, actively and on an on-going basis in the preparation of plans where this involves strategic matters. Local planning authorities will be tested in relation to legal compliance with the Duty at examination, as well as whether strategic cooperation has resulted in a 'sound' and robust approach to delivering strategic objectives.

The Neighbourhood Planning Act 2017<sup>2</sup> requires local planning authorities to "identify the strategic priorities for the development and use of land in the authorities' area and set out policies to address those priorities in the development plan documents, taken as a whole. This clause was included to allow greater flexibility in the way that local planning authorities prepare local planning documents, and specifically to support the preparation of 'strategic' local plans, whether prepared individually or jointly with neighbouring authorities. However, several recent announcements from Government on proposed planning reforms indicates strongly that the Government's preferred approach is for strategic priorities to be managed on a joint basis across housing market areas through the use of joint spatial plans.

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<sup>1</sup> Localism Act 2011, Section 110.

<sup>2</sup> Neighbourhood Planning Act Part 1, Section 8

Building on the existing strong foundations of cooperation developed through the Duty to Cooperate, the Local Authorities have agreed to move to a more formal approach to strategic planning. This will be developed through a 'portfolio' of plans, with a Joint Strategic Plan (JSP) setting out strategic spatial and infrastructure priorities that are considered to be of mutual benefit, prepared alongside a suite of Local Plans to manage delivery within each of the local planning areas.

Work on the JSP will be steered within the governance structure of the Joint Member and Officer Board (JMOB) to ensure that it aligns with other strategic priorities. Although the JSP will be prepared on the basis of collaboration, formal decisions on the JSP at key stages in its preparation (identified in each local planning authorities' Local Development Scheme) will be taken by the individual local planning authorities which will continue to retain the statutory local planning duty (as set out in the 2004 Planning and Compulsory Purchase Act and the 2017 Neighbourhood Planning Act).

A Statement of Common Ground (SoCG) will be prepared by the Authorities, setting out the process and timetable for the plan, what local delivery plans will be needed (and how current local plans will be managed through the transition process), governance and working arrangements, and the key evidence needed to support the JSP. Although the focus will be strategic development (housing and economic development) and infrastructure, other strategic priorities may be included where they are required to support delivery of the long term shared vision for South West Hertfordshire. The Statement will be reviewed on an ongoing basis and updated as and when needed. This will form key evidence to support the JSP and individual Local Plans and should therefore be made available on each of the partner authority's websites.

In preparing the JSP, all partners agree to:

- Engage constructively, actively, openly and on an on-going basis in relation to strategic planning matters under the Duty to Cooperate (or equivalent processes);
- Ensure a broad and consistent approach to strategic planning and development issues in South West Hertfordshire;
- Support better alignment between strategic planning, infrastructure and investment priorities in South West Hertfordshire;
- Adhere to the governance structure set out in this document and ensure that activities are delivered, actions are taken and communications are made as required;
- Be accountable for ensuring that the role and responsibilities as agreed in the Statement of Common Ground are adhered to;
- Be open and communicate about concerns, issues and opportunities in respect of collaboration and joint working;
- Act in a timely manner, recognising the time critical nature of consultations, technical projects and plan preparation;
- Adhere to statutory requirements. Comply with applicable laws and standards, data protection and freedom of information requirements;

- Encourage, develop and share best practice in strategic planning matters;
- Ensure adequate resources and staffing are in place to undertake effective collaboration and joint working (resources to be agreed by the South West Hertfordshire Authorities through the Statement of Common Ground).
- Seek to align informal and formal decision making to ensure the completion of key stages works effectively for all partners

### **Area Covered**

For the purposes of this MoU the geographic area of South West Hertfordshire applies to the administrative areas of Dacorum Borough Council, Hertsmere Borough Council, St Albans City & District Council, Three Rivers District Council and Watford Borough Council.

### **Status**

This MoU cannot override the statutory duties and powers of the parties and is not enforceable by law. However, the parties agree to the principles set out in this MoU.

This MoU is not a development plan, nor a legally binding document, but will be used in the consideration of how the local authorities have jointly approached strategic planning issues and legal compliance with the Duty to Cooperate.

This MoU may be supported by other documentation, and other subject specific MoUs, which set out in more detail how the parties will work together to tackle more detailed matters with respect to strategic planning in South West Hertfordshire.

It is accepted that an individual party or group of parties that are signatories to this MoU may also be signatories to other MoUs between themselves, or with other parties outside South West Hertfordshire in respect of the Duty to Cooperate.

### **Key outputs of this MoU are:**

- A Joint Strategic Plan (JSP) setting out strategic spatial and infrastructure priorities across South West Hertfordshire;
- A Delivery Strategy setting out how the strategic policy framework of the JSP will be delivered, accompanied by a risk assessment and risk management plan;
- A Statement of Common Ground setting out how a JSP will be delivered, what the evidence base is, including identification of various development needs;
- A JSP monitoring process to chart and monitor delivery of the JSP.

### **Governance, Roles and Responsibilities**

Preparation of the Joint Spatial Plan and associated Delivery Strategy will be steered under the governance arrangements of a Joint Member and Officer Board (JMOB). Formal decisions on the JSP at key stages (to be set out in individual Local Development Schemes) will be

taken by individual Local Planning Authorities on the advice and recommendations of JMOB. The JMOB will comprise the Leader and the Chief Executive (or equivalent) from each of the District/Borough authorities and the Portfolio Holder and Lead Planning Officer from Hertfordshire County Council.

A Strategic Planning Members Group (SPMG) will be accountable for the overall project management of the JSP, supported by a Strategic Planning Officers Group (SPOG). The SPMG will comprise political representatives from each of the partners (to be appointed by individual authorities) with appropriate authority to make key decisions on progress with the SoCG and JSP. The SPOG will comprise the Heads of Service (or equivalent) from each of the partner authorities, and the lead officer for strategic planning.

‘Task and finish’ groups will be used to develop specific policy areas, to be identified by the SPMG as and when needed.

Terms of Reference for all groups will be established, setting out the roles, responsibilities and administration. These will be agreed by all partners and reviewed annually to ensure they remain relevant.

Local authorities should ensure that adequate resources are provided in order to undertake the joint work programme as set out in the Statement of Common Ground. Additional resources may be provided by other relevant bodies, as agreed to undertake specified tasks under the work programme.

**Review of the MoU**

This MoU is effective from the date it is signed by the Chief Executive and Leaders of all parties. It will be reviewed as and when indicated through the Statement of Common Ground.

**Table of Signatories**

<b>Signature</b>	<b>Role</b>	<b>Authority</b>	<b>Date</b>
	<b>Leader of Council</b>		
	<b>Chief Executive</b>		

## APPENDIX 2

### South West Hertfordshire (SWH) Draft Statement of Common Ground (SoCG) – February 2019 - FINAL

#### **13.0 INTRODUCTION AND BACKGROUND**

1.1 In February 2017, and as part of the Housing White Paper on ‘*Fixing our Broken Housing Market*’, the Government introduced the proposition that all Local Planning Authorities (LPAs) be required to prepare a ‘Statement of Common Ground’ (SCG) to strengthen the Duty to Cooperate and help manage strategic planning matters across local authority areas. The Government’s objectives of the proposal were to:

- *increase certainty and transparency, earlier on in the plan-making process, on where effective co-operation is and is not happening;*
- *encourage all local planning authorities, regardless of their stage in plan-making, to co-operate effectively and seek agreement on strategic cross-boundary issues, including planning for the wider area’s housing need; and*
- *help local planning authorities demonstrate evidence of co-operation by setting clearer and more consistent expectations as to how co-operation in plan-making should be approached and documented.*

1.2 The revised National Planning Policy Framework (NPPF), issued in July 2018, implemented the Housing White Paper’s plan. In particular, paragraph 27 of the revised NPPF states that

*“In order to demonstrate effective and on-going joint working, strategic policy making authorities should prepare and maintain one or more statements of common ground, documenting the cross-boundary matters being addressed and progress in cooperating to address these.”*

1.3 Paragraph 35 of the NPPF goes on to set out the soundness tests against which local plans are assessed at the examination stage, and proposes a strengthening of the positively prepared and effective soundness tests so that local plans are:

*“informed by agreements with other authorities, so that unmet need from neighbouring areas is accommodated where it is practical to do so and is consistent with achieving sustainable development; and*

*based on effective joint working on cross-boundary strategic matters that have been dealt with rather than deferred, as evidenced by a statement of common ground.”*

- 1.4 In accordance with this guidance, the South West Hertfordshire Local Planning Authorities of Dacorum Borough Council, St Albans City & District Council, Three Rivers Borough Council, Hertsmere Borough Council and Watford Borough Council, together with Hertfordshire County Council, agreed a Memorandum of Understanding (MoU) on joint strategic planning in January 2018 (refer **Appendix 1** of this SoCG).
- 1.5 This MoU sets out how cooperation between the five LPA's along with Hertfordshire County Council will be managed in respect of strategic planning issues.
- 1.6 Of relevance to this SoCG, the MoU includes a commitment to:
- *A Joint Strategic Plan (JSP) setting out strategic spatial and infrastructure priorities across South West Hertfordshire; and*
  - *A Statement of Common Ground setting out how a JSP will be delivered, what the evidence base is, including identification of various development needs.*

### **Statement of Common Ground Structure**

- 1.6 The Government's current advice on the structure of a SoCG is principally set out in the Planning Practice Guidance<sup>1</sup>, (refer to **Appendix 2** of this SoCG which sets out the relevant parts of the PPG and the National Planning Policy Framework). This SoCG has been prepared in accordance with this guidance.

## **2.0 LOCATION – SOUTH WEST HERTFORDSHIRE**

- 2.1 This South West Hertfordshire (SWH) area covers the administrative areas of Dacorum Borough Council, Hertsmere Borough Council, St Albans City and District Council, Three Rivers Borough Council and Watford Borough Council.
- 2.2 This geography is based on the agreed approach that the five LPA area constitutes a single South West Hertfordshire Housing Market Area (HMA) and Functional Economic Market Area (FEMA). This is set out in the MOU and on Map 1 below.

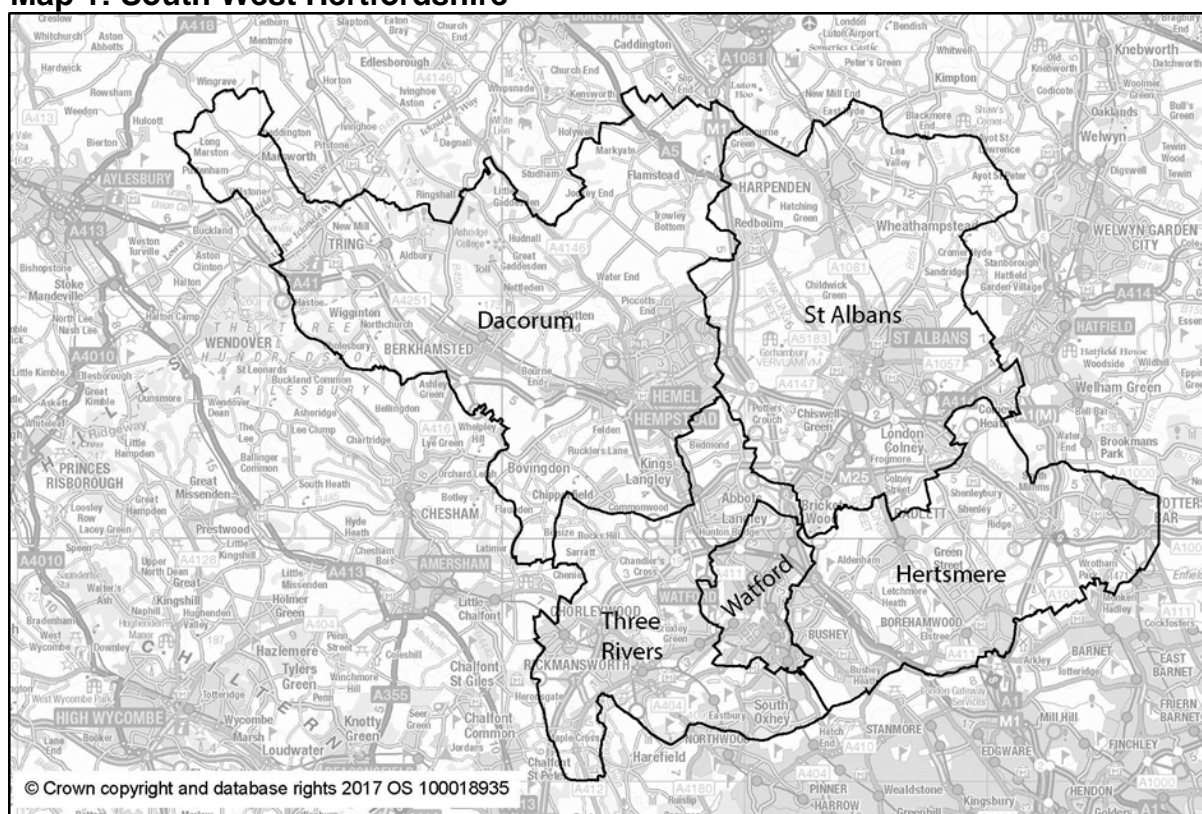
### **South West Hertfordshire Housing Market Area and Functional Economic Market Area**

- 2.3 Evidence for the definition of the SW Herts HMA and FEMA is set out primarily in the following studies:
- SWH Strategic Housing Market Assessment (SHMA) 2016;
  - Draft SWH SHMA Update / Housing Needs Assessment (HNA) 2018/19;
  - SWH Economy Study 2016; and
  - Draft SHW Economy Study Update 2018/19.

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<sup>1</sup> Paragraph: 003 Reference ID: 61-003-20180913

**Map 1: South West Hertfordshire**



### **3.0 STATEMENT OF COMMON GROUND SIGNATORIES**

3.1 The principal signatories to this SoCG are:

- Dacorum Borough Council (as LPA);
- Hertsmere Borough Council (as LPA);
- St Albans City and District Council (as LPA);
- Three Rivers Borough Council (as LPA);
- Watford Borough Council (as LPA); and
- Hertfordshire County Council (as highways and education authority)

3.2 Additional signatories may be party to future versions of SoCG.

### **4.0 KEY STRATEGIC MATTERS**



4.1 The Joint Strategic Plan (JSP) will provide the strategic context for the statutory development plan portfolio across South West Herts and will be prepared jointly by all of the partner LPAs and Hertfordshire County Council. Its scope will be focused on the following strategic policy matters that are common across all five local planning areas:

- 1: A Spatial Strategy for South West Herts including any Strategic Areas of Opportunity;
- 2: Strategic housing need across South West Herts, Local Plan requirements and provision;
- 3: Strategic employment need across South West Herts, Local Plan requirements and provision, including any priorities and spatial implications of the emerging Local Industrial Strategy
- 4: Strategic infrastructure need across South West Herts, Local Plan requirements and provision; and
- 5: Strategic approach to Green Belt, areas of Outstanding Natural Beauty (AONB) and blue and green infrastructure across South West Herts.

## **5.0 GOVERNANCE**

5.1 The preparation of the Joint Spatial Plan and associated Delivery Strategy will be steered under the governance arrangements of a Joint Member and Officer Board (JMOB). Formal decisions on the JSP at key stages (to be set out in individual Local Development Schemes) will be taken by individual Local Planning Authorities on the advice and recommendations of JMOB. The JMOB will comprise the Leader and the Chief Executive (or equivalent) from each of the District/Borough authorities and the Portfolio Holder and Lead Planning Officer from Hertfordshire County Council.

5.2 A Strategic Planning Members Group (SPMG) will be accountable for the overall project management of the JSP, supported by a Strategic Planning Officers Group (SPOG). The SPMG will comprise political representatives from each of the partners (to be appointed by individual authorities) with appropriate authority to make key decisions on progress with the SoCG and JSP. The SPOG will comprise the Heads of Service (or equivalent) from each of the partner authorities, and the lead officer for strategic planning.

5.3 The preparation of the SoCG is a live process and will reflect the development of both the respective district's local plans and the JSP. It will therefore be reviewed at key stages in the JSP's preparation as well as at key stages for the individual local plans.

### **JSP Timeline**

5.3 Key milestones for preparing the JSP are set out below.

- July 2019: All SW Herts LPAs and Hertfordshire County Council endorse the first stage Statement of Common Ground
- All SW Herts LPAs update their Local Development Schemes (LDS) and agree to update their Statement of Community Involvement (SCI) to reflect the JSP and associated timeline
- February 2020: The Draft ‘Issues and Options’ JSP with spatial strategy options is published for Regulation 18 Consultation, in line with the SCI and agreed JSP timetable.
- October 2020: The Draft ‘Preferred Options’ JSP with preferred spatial option is published for consultation
- September 2021: Final draft version of JSP is published for Regulation 19 Consultation
- January 2022: JSP submitted for Examination
- Winter 2022: JSP adopted by all SW Herts LPAs

## **6.0 MANAGING NEED**

- 6.1 The JSP will be founded on a robust and proportionate evidence base prepared for South West Herts as a whole, to give a clear understanding of housing and economic needs, infrastructure capacity constraints and opportunities and environmental constraints and characteristics.
- 6.2 All of the SW Herts partners support the following approach as set out in the PPG<sup>1</sup>:

*“Strategic policy-making authorities should explore all available options for addressing strategic matters within their own planning area, unless they can demonstrate to do so would contradict policies set out in the National Planning Policy Framework.”*

### Strategic Housing Need, Plan Requirements and Provision

- 6.3 The JSP will set out the total identified housing requirement for South West Herts and the apportionment for each Local Authority area.
- 6.4 The calculation of housing need figures will be based upon the Government’s finalised methodology for calculating local housing need 2018/19.

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<sup>1</sup> Planning Practice Guidance: Paragraph: 014 Reference ID: 61-014-20180913

- 6.5 The most recent and relevant figures as set by the Government’s consultation proposals within the ‘*Technical consultation on updates to national planning policy and guidance method*’ 26 October 2018 are detailed below:

Dacorum	1,035 dpa
Hertsmere	714 dpa
St Albans	902 dpa
Three Rivers	615 dpa
Watford	798 dpa
<b>SWHG Total</b>	<b>4,164 dpa</b>

- 6.6 In accordance with the PPG, the distribution of housing need will be determined on the principle that each LPA will seek to make provision to meet their own local housing need in the first instance (refer table above). This is unless the evidence prepared to support the JSP suggests that by doing so would contradict policies set out in the NPPF, and is therefore not possible. Such evidence and reasoning will need to be agreed through the JSP governance process and then embodied in Local Plans and subsequently the JSP. If such reasons are identified (and evidenced) the unmet housing need may need to be distributed within South West Herts or elsewhere.

#### Strategic Employment Need, Plan Requirements and Provision

- 6.7 The JSP will set out the total identified employment requirement for South West Herts and the apportionment for each Local Authority area.
- 6.8 The evidence to support the JSP will build on the existing economic evidence base, as well as the emerging Local Industrial Strategy, to assess the strategic suitability of all existing employment sites, along with any other areas, including any Strategic Areas of Opportunity, to assess and strategically plan for the future employment needs of SW Herts.
- 6.9 The distribution of employment provision will be determined on the principle that each LPA will seek to make to meet their own employment need in the first instance. This is unless the evidence prepared to support the JSP suggests that by doing so would contradict policies set out in the NPPF, and is therefore not possible. Such evidence and reasoning will need to be agreed through the JSP governance process and then embodied in Local Plans and subsequently the JSP. If such reasons are identified (and evidenced) the unmet employment need may need to be distributed within South West Herts or elsewhere.

#### Strategic Infrastructure Need and Provision

- 6.10 Strategic infrastructure priorities across SW Herts will be one of the key determinants of the agreed spatial strategy and the locations of the emerging Strategic Areas of Opportunity. This approach will be based on the following guiding principles as set out in Hertfordshire’s Local Transport Plan 2018 - 2031:

- Integration of land use and transport planning;

- Application and adoption of technology;
- Cost effective delivery and maintenance; and
- Modal shift and encouraging active travel

6.11 As with housing and employment needs, the evidence to support the JSP will build on the existing infrastructure evidence base and will assess the strategic suitability of any existing and proposed infrastructure corridors, along with any strategic areas of opportunity, to assess and strategically plan for the future infrastructure needs of SW Herts. Working with the Hertfordshire Infrastructure and Planning Partnership (HIPP), this work will also assist in identifying and supporting any SW Herts strategic infrastructure funding opportunities

Strategic approach to Green Belt, Areas of Outstanding Natural Beauty and Green and Blue Infrastructure

6.12 Green Belt (Metropolitan Green Belt) and landscape (Chilterns Area of Outstanding Natural Beauty) policy constraints apply to the very large majority of the SW Herts area.

6.13 The evidence to support the JSP will assess the existing Green Belt across SW Herts, along with any Strategic Areas of Opportunity, to assess and strategically plan for the future Green Belt requirements of SW Herts.

**7.0 OTHER STRATEGIC MATTERS**

7.1 It is intended that the emerging JSP will provide the ‘effective strategic planning mechanism’ to ensure compliance with the requirements of the Duty to Cooperate, with the existing joint work, evidence base and shared governance demonstrating that cooperation is proactive, positive and ongoing.

Relationship of the JSP to Local Plans

7.2 While the JSP will be a jointly prepared and adopted strategic planning framework, each of the partner LPA’s will maintain responsibility for preparing its own Local Plan to guide more detailed planning decisions at a local level.

Other Strategic Matters

7.2 The LPA partners have agreed that all Local Plans will be aligned by use of a common Local Plan period end date of 2036. The plan period for the JSP will have an end date of 2050.

7.3 The LPA partners have agreed that all Local Plans, where adopted before the JSP is adopted, will be reviewed at the earliest practicable time in order to achieve conformity with the JSP.

7.4 Functional housing and economic relationships exist beyond the HMA / FEMA. Strategic issues in relation to these areas are to be addressed as follows:

Greater London

- 7.5 Liaison and cooperation with The Greater London Authority, Transport for London, as well as any adjoining North London authorities will be undertaken directly by the SW Herts authorities themselves.
- 7.6 Based on this process, it is understood that, for the foreseeable future, Greater London is planning to meet its own development needs and to maintain the Metropolitan Green Belt within its area (emerging London Plan 2018).
- 7.7 There is therefore no need for a further / formal arrangement, or SoCG/MOU on strategic matters at this stage.

Central Bedfordshire Council, South Bucks / Wycombe Councils and Buckinghamshire County Council, Welwyn & Hatfield District

- 7.8 Individual MoU's will be sought with these LPAs (to be negotiated) as appropriate.
- 7.9 This will be approached on the basis that:
- the defined SWH area is accepted by the adjoining LPAs as an appropriate HMA / FEMA; and
  - there is currently no intention, or reasonable prospect, of transferring development requirements and provision between the SWH area and other adjoining functional areas, however defined. However, this is subject to further testing as part of the evidence that will support the JSP. Should this evidence conclude that some or the SW Herts development needs will need to be met from outside SW Herts, and should this position be supported by the partner LPA's, this position may need to be revisited.
- 7.10 There are no other Statements of Common Ground covering the same area.
- 7.11 There are no other strategic matters to be addressed.

**8.0 STATUS**

- 8.1 This SoCG cannot override the statutory duties and powers of the parties and is not enforceable by law. However, the parties agree to the principles set out in this SoCG.

**Signed by**

Local Authority	Planning Policy Lead	Date
Hertsmere Borough Council		
St Albans District Council		
Three Rivers District Council		
Watford Borough Council		

<b>Dacorum Borough Council</b>		
<b>Hertfordshire County Council</b>		

**APPENDIX 3**

**PPG Update 13.9.18**

***What is a statement of common [ground] expected to contain?***

*It is expected to contain the following:*

- a. a short written description and map showing the location and administrative areas covered by the statement, and a brief justification for these area(s);*
- b. the key strategic matters being addressed by the statement, for example meeting the housing need for the area, air quality etc.;*
- c. the plan-making authorities responsible for joint working detailed in the statement, and list of any additional signatories (including cross-referencing the matters to which each is a signatory);*
- d. governance arrangements for the cooperation process, including how the statement will be maintained and kept up to date;*
- e. if applicable, the housing requirements in any adopted and (if known) emerging strategic policies relevant to housing within the area covered by the statement;*
- f. distribution of needs in the area as agreed through the plan-making process, or the process for agreeing the distribution of need (including unmet need) across the area;*
- g. a record of where agreements have (or have not) been reached on key strategic matters, including the process for reaching agreements on these; and*
- h. any additional strategic matters to be addressed by the statement which have not already been addressed, including a brief description how the statement relates to any other statement of common ground covering all or part of the same area.*

*The level of cooperation detailed in the statement is expected to be proportionate to the matters being addressed. The statement is expected to be concise and is not intended to document every occasion that strategic policy-making authorities meet, consult with each other, or for example, contact prescribed bodies under the duty to cooperate. The statement is a means of detailing key information, providing clear signposting or links to available evidence on authorities' websites.*

*Paragraph: 003 Reference ID: 61-003-20180913*

*Revision date: 13 09 2018*

***What information will a statement of common ground be expected to contain about the distribution of identified development needs?***

*When authorities are in a position to detail the distribution of identified needs in the defined area, the statement will be expected to set out information on:*

*a. the capacity within the strategic policy-making authority area(s) covered by the statement to meet their own identified needs;*

*b. the extent of any unmet need within the strategic policy-making authority area(s); and*

*c. agreements (or disagreements) between strategic policy-making authorities about the extent to which these unmet needs are capable of being redistributed within the wider area covered by the statement.*

*Paragraph: 004 Reference ID: 61-004-20180913*

*Revision date: 13 09 2018*

***When is it appropriate for plan-making authorities to prepare more than one statement of common ground?***

*Authorities are expected, wherever possible, to detail cooperation in a single statement. They may feel it is appropriate to produce more than one statement if they feel this would be the clearest and most expedient way to evidence joint working. This will depend on the matters being addressed and authorities and bodies cooperating with each other. For example, multiple statements may be appropriate where authorities work in different groupings to address certain strategic matters.*

*Paragraph: 005 Reference ID: 61-005-20180913*

*Revision date: 13 09 2018*

***What are the strategic matters on which cooperation is required?***

*Paragraph 20 of the National Planning Policy Framework sets out the matters that the strategic policies should make provision for, this is not an exhaustive list and authorities will need to adapt this to meet their specific needs. For local planning authorities this is linked to matters set out in sections [33A\(4\)](#) and [19\(1B\) to 19\(1E\)](#) of the Planning and Compulsory Purchase Act 2004.*

*Paragraph: 006 Reference ID: 61-006-20180913*

*Revision date: 13 09 2018*

***What activities are expected to be documented in a statement of common ground?***

*Strategic policy-making authorities are expected to document the activities undertaken when in the process of addressing strategic cross-boundary matters whilst cooperating. These will include (but are not limited to):*

- working together at the outset of plan-making to identify cross-boundary matters which will need addressing;*
- producing or commissioning joint research and evidence to address cross-boundary matters;*

- *assessing impacts of emerging policies; and*
- *preparing joint, or agreeing, strategic policies affecting more than one authority area to ensure development is coordinated, (such as the distribution of unmet needs or policies relating to county matters).*

*These activities will need to be tailored to address local circumstances.*

*Paragraph: 007 Reference ID: 61-007-20180913*

*Revision date: 13 09 2018*

### ***How can effective cooperation address strategic infrastructure needs?***

*Effective cooperation enables strategic policy-making authorities and infrastructure providers to establish whether additional strategic cross-boundary infrastructure is required. The statement is evidence that the strategic policy-making authorities have sought agreement with the relevant bodies. It can also inform the [Community Infrastructure Levy](#), and can form part of the evidence base for the Infrastructure Funding Statement, especially when forecasting contributions required for future planned development.*

*Authorities which agree to take additional housing from other areas may in turn require investment in infrastructure provision to support this. Where effective cross-boundary working can be demonstrated in the statement of common ground, this could be used as evidence when trying to secure grants for infrastructure where effective joint working forms part of the assessment criteria.*

*Paragraph: 008 Reference ID: 61-008-20180913*

*Revision date: 13 09 2018*

### ***Which geographical area does a statement of common ground need to cover?***

*The statement will need to cover the area which strategic policy-making authorities and public bodies cooperate during plan-making. This will depend on:*

- *the strategic matters being planned for, informed by a [review of the matters affecting the area](#) and [early engagement](#) with neighbouring authorities, communities and other key stakeholders; and*
- *the most appropriate functional geographical area to gather evidence and develop policies to address these matters, based on demonstrable cross-boundary relationships.*

*For example housing market and travel to work areas, river catchments, or landscape areas may be a more appropriate basis on which to plan than individual local planning authority, county, or combined authority areas. Cooperation between these different tiers (counties, districts and combined authority areas) may be needed. Authorities may well work in different groupings to address different strategic matters. Authorities should be pragmatic in determining the areas.*

*Paragraph: 009 Reference ID: 61-009-20180913*

*Revision date: 13 09 2018*



**When should the statement of common ground be prepared, published and updated?**

*Statements should be prepared and then maintained on an on-going basis throughout the plan making process. As a minimum, a statement should be published when the area it covers and the governance arrangements for the cooperation process have been defined, and substantive matters to be addressed are determined. If all the information required is not available (such as details of agreements on strategic matters) authorities can use the statements to identify the outstanding matters which need to be addressed, the process for reaching agreements on these and (if possible) indicate when the statement is likely to be updated.*

*Authorities should have made a statement of common ground available on their website by the time they publish their draft plan, in order to provide communities and other stakeholders with a transparent picture of how they have collaborated. Authorities may consider using independent bodies as arbiters or facilitators to aid discussions such as county councils in two-tier areas, or Mayors in combined authority areas.*

*Once published, authorities responsible for the statement should ensure that it reflects the most up to date position in terms of joint working across the area. Updates should occur when either agreements are reached, or a decision is taken to update strategic policies in the area covered by the statement.*

*Paragraph: 012 Reference ID: 61-012-20180913*

*Revision date: 13 09 2018*

**How is the statement of common ground expected to be published?**

*The statement is expected to be published on the websites of all the authorities responsible for its production, and should comply with any template or data standards produced by or on behalf of the government.*

*Paragraph: 013 Reference ID: 61-013-20180913*

*Revision date: 13 09 2018*

**Are strategic policy-making authorities required to reach agreement on strategic matters, and what should an authority do if they are unable to secure these agreements?**

*Strategic policy-making authorities should explore all available options for addressing strategic matters within their own planning area, unless they can demonstrate to do so would contradict policies set out in the National Planning Policy Framework. If there they are unable to do so they should make every effort to secure the necessary cooperation on strategic cross boundary matters before they submit their plans for examination. Authorities are not obliged to accept needs from other areas where it can be demonstrated it would have an adverse impact when assessed against policies in the National Planning Policy Framework.*

*Inspectors will expect to see that strategic policy making authorities have addressed key strategic matters through effective joint working, and not deferred them to subsequent plan updates or are not relying on the inspector to direct them. Where a strategic policy-making authority claims it has reasonably done all that it can to deal with matters but has been unable to secure the cooperation necessary, for example if another authority will not cooperate, or agreements cannot be reached, this should not prevent the authority from submitting a plan for examination. However, the authority will need to submit comprehensive and robust evidence of the efforts it has made to cooperate and any outcomes achieved; this will be thoroughly tested at the plan examination.*

*Paragraph: 014 Reference ID: 61-014-20180913*

*Revision date: 13 09 2018*

### **Who are additional signatories to the statement of common ground?**

*Additional signatories will be those bodies who have a role in the matters covered in a statement of common ground, and with whom an authority needs to cooperate in order to plan for these matters. These may include: other relevant public bodies (such as: Local Enterprise Partnerships, Local Nature Partnerships, and the Marine Management Organisation in coastal areas); other authorities (such as county councils, combined authorities without plan-making powers, and strategic policy-making authorities outside of the area covered by the statement); infrastructure providers; or any other non-government organisations (such as advisory bodies) the authority cooperates with to address strategic matters through the plan-making process. This is not an exhaustive list.*

*In the case of local planning authorities and county councils, prescribed bodies under the duty to cooperate can be treated as additional signatories. Engagement between authorities and prescribed bodies which does not involve agreements on strategic matters can be detailed in Authority Monitoring Reports.*

*Paragraph: 015 Reference ID: 61-015-20180913*

*Revision date: 13 09 2018*

### **Duty to cooperate**

#### **How is the duty to cooperate different from the statement of common ground?**

*The statement of common ground is the means by which strategic policy-making authorities can demonstrate that a plan is based on effective cooperation and that they have sought to produce a strategy based on agreements with other authorities.*

*The duty to cooperate was introduced by the [Localism Act 2011](#), and is set out in [section 33A of the Planning and Compulsory Purchase Act 2004](#). It places a legal duty on local planning authorities and county councils in England, and prescribed public bodies to engage constructively, actively and on an ongoing basis to maximise the effectiveness of local plan and marine plan preparation in the context of strategic cross boundary matters.*

*Paragraph: 021 Reference ID: 61-021-20180913*

## **NPPF 2021**

### *Strategic policies*

*20. Strategic policies should set out an overall strategy for the pattern, scale and quality of development, and make sufficient provision for:*

*a) housing (including affordable housing), employment, retail, leisure and other commercial development;*

*b) infrastructure for transport, telecommunications, security, waste management, water supply, wastewater, flood risk and coastal change management, and the provision of minerals and energy (including heat);*

*c) community facilities (such as health, education and cultural infrastructure); and*

*d) conservation and enhancement of the natural, built and historic environment, including landscapes and green infrastructure, and planning measures to address climate change mitigation and adaptation.*

### *Examining plans*

*35. Local plans and spatial development strategies are examined to assess whether they have been prepared in accordance with legal and procedural requirements, and whether they are sound. Plans are 'sound' if they are:*

...

*c) **Effective** – deliverable over the plan period, and based on effective joint working on cross-boundary strategic matters that have been dealt with rather than deferred, as evidenced by the statement of common ground;*

*137. Before concluding that exceptional circumstances exist to justify changes to Green Belt boundaries, the strategic policy-making authority should be able to demonstrate that it has examined fully all other reasonable options for meeting its identified need for development. This will be assessed through the examination of its strategic policies, which will take into account the preceding paragraph, and whether the strategy:*

...

*c) has been informed by discussions with neighbouring authorities about whether they could accommodate some of the identified need for development, as demonstrated through the statement of common ground.*

## **APPENDIX 4**

### **South West Hertfordshire Joint Strategic Plan – Governance Structure**

#### **February 2021 Refresh**

#### **1.0 Introduction**

- 1.2 This governance structure is intended to ensure a joint and cohesive approach to the development of the South West Hertfordshire Joint Strategic Plan (JSP) across the partnership Councils. The structure is designed to cover the period of the JSP plan-making process, but will be regularly reviewed as the programme progresses through this continuum, to enable adaptation at key stages of the process.
- 1.3 It is intended that the governance structure will complement, not supersede, decision making structures operated by the councils individually or jointly.
- 1.4 The Governance structure for the JSP is contained in the structure chart in **Figure 1** including the Member and Officer Groups, roles and membership. This structure also includes the relationship between the JSP governance and the Hertfordshire Growth Board.

#### ***Hertfordshire Growth Board (HGB)***

- 1.5 The Hertfordshire Growth Board will have no statutory or approvals role in the preparation of the JSP. However, it will be important that the HGB is kept up to date on the progress of the JSP as the JSP and Local Plans are key instruments in the delivery of the aspirations of the Growth Board and its membership. Briefing of the HGB will be undertaken by the Chair of the SPMG, working with the JSP Director where appropriate.

#### ***Strategic Planning Members Group (SPMG)***

- 1.6 The Strategic Planning Members Group (SPMG) will set the direction for the JSP, scrutinise the plan preparation, act as advocates for the JSP within their respective authorities and agree to recommend approval of the JSP for formal consultation, submission for examination and later adoption to their respective Councils. The SPMG will be supported by the Steering Group/Director (SG) in delivering these functions. Political membership of the SPMG will continue to be either Leader or Portfolio Holder (as appropriate for each Council). It will be important that the political representatives of this group have the authority to make key decisions in relation to the preparation of the JSP. The SPMG will also work with the Steering Group (SG) to review the evidence and the draft plan, provide feedback to their respective authorities on any JSP related issues and to the SPOG. The SPMG will be tasked to approve the overall budget and sign off annual accounts. The SPMG will continue to meet quarterly

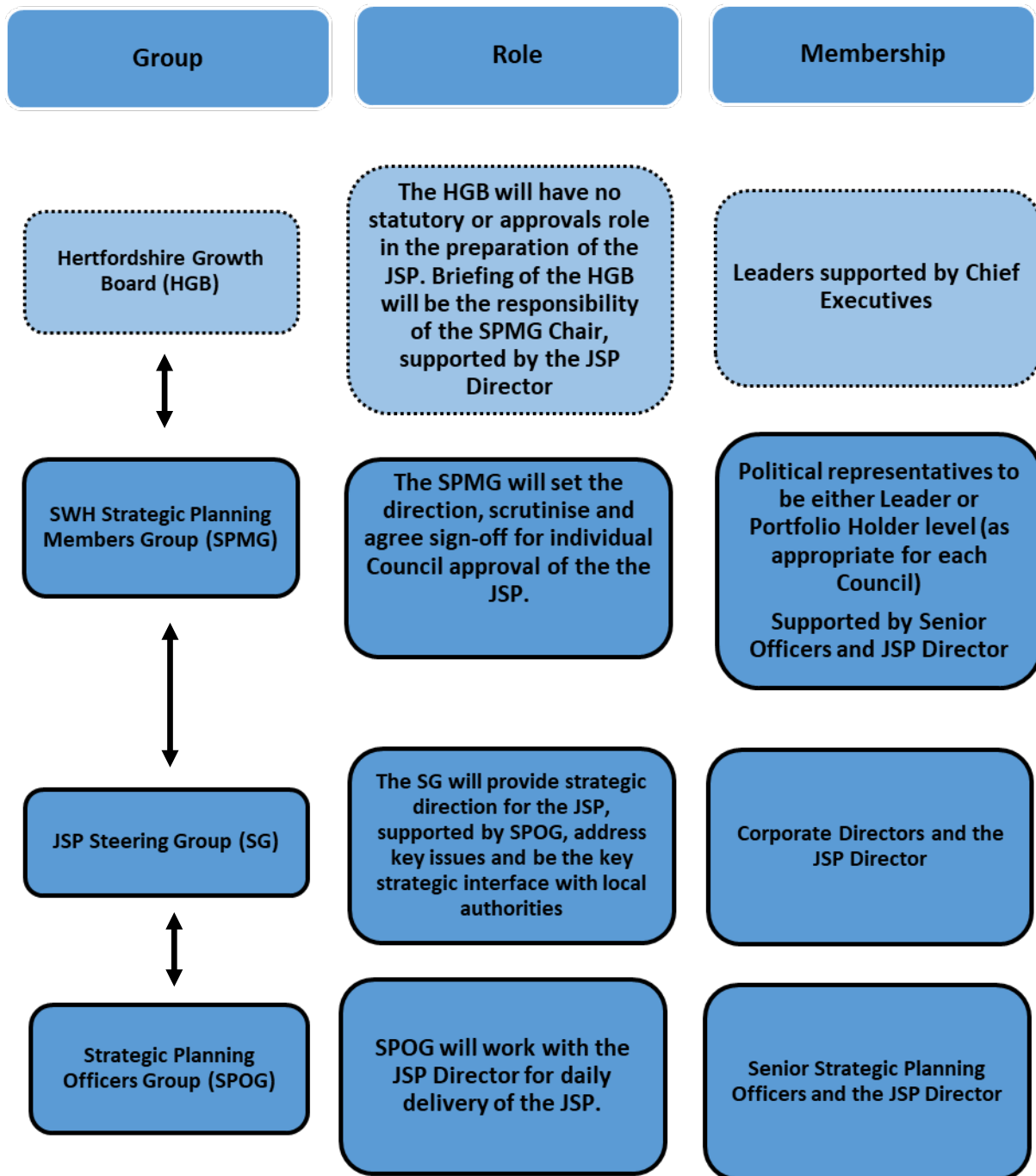
### **JSP Steering Group (SG)**

- 1.7 The Steering Group will define the scope of the JSP programme, take a strategic view of relevant cross-boundary issues and provide strategic direction and scrutinise the JSP Director and SPOG as they take forward the agreed projects and work programmes. It will be responsible for commissioning papers and reports to be considered by the Strategic Planning Members Group (SPMG), considering recommendations from the SPMG and making recommendations to the SPMG. The core membership of the Steering Group will be focussed on the corporate director level from the main partner authorities, with a lead Chief Officer from within the districts.
- 1.8 To enable the Steering Group to function appropriately to meet the challenges of this programme, briefings will be arranged by the JSP Director for the Steering Group members in advance of the formal meetings – the purpose of these briefings will be to explore in more detail the agenda items on the forthcoming meeting agenda with relevant advisors.
- 1.9 The Steering Group will meet every eight weeks.

### **Strategic Planning Officers Group (SPOG)**

- 1.10 The Strategic Planning Officers Group (SPOG) will work with the SW Herts Joint Strategic Plan (JSP) Director to produce the JSP and associated Delivery Plan. Comprising a lead officer for strategic planning from each of the partner local authorities, this group will deliver the projects, share approaches and learning across the various projects, A key responsibility for the SPOG in conjunction with the Project Director will be developing a project plan, budget and risk register for the JSP, in order that there is a clear route map and opportunities to review progress through the planning process. Meetings will initially take place monthly, with the frequency increasing to weekly to service key milestones, to develop approaches for the JSP, review the work undertaken and ensure that the project is being delivered in accordance with the agreed delivery timescales.
- 1.11 As required, officers from other council departments such as communications officers and external advisers will occasionally be asked to attend meetings of SPMG and/or SPOG to provide specialist advice on plan related and plan delivery matters. Task and finish' groups will be used to develop specific policy areas, to be identified by the SPMG.
- 1.12 The figure below illustrates the governance structure and relationship between the groups. Membership & terms of reference for the groups are set out in the following sections.

**Fig 1: Proposed SW Herts Joint Strategic Plan Governance Structure**



## **2 Terms of Reference and Membership of the Groups**

### **2.1 Strategic Planning Members Group (SPMG)**

#### Key purpose:

The SPMG will be a Member led cross-authority group that will provide overall direction for the JSP while scrutinising the work of the SPOG. This executive group will represent and make key decisions on behalf of the primary partner organisations in accordance with organisational constitutions, which will effectively enable the programme to move forward. The SPMG will act as advocates for the JSP within their respective authorities, agree to recommend approval of the SW Herts Joint Strategic Plan for consultation, submission for examination and later adoption to their respective Councils. This group is the ultimate level of governance and high level risks and issues should be escalated here for appropriate resolution if mitigation is not possible at the SPOG level. The political members of the group will liaise closely with the Leaders of the partner Councils

The SPMG will be chaired by a Leader from one of the partner authorities. That Leader will also be responsible for briefing the HGB on the process of the JSP, assisted by the JSP Director.

#### Core membership:

- Leaders or Planning Portfolio Holders (as appropriate) at St Albans C&D Council, Hertsmere BC, Three Rivers DC, Watford BC, Dacorum BC and Hertfordshire CC
- JSP Director
- Steering Group members
- Other parties on an 'invitation only' basis

#### Terms of Reference:

- Meet at least every quarterly or as required.
- Provide a strategic direction to the JSP
- Agree to recommend approval of the SW Herts Joint Strategic Plan for submission for examination and later adoption to their respective Councils
- Inform and manage the SPOG led approach to the development of a robust JSP; to assist the statutory plan-making process.
- Review the evidence and the draft plan, provide feedback to their respective authorities and to the SPOG.
- Ensure the appropriate resources and working mechanisms are in place to deliver a co-ordinated cross-boundary JSP.
- Resolve any blockages and issues should they occur, if they cannot be resolved by SPOG
- Provide strategic direction on potential external funding opportunities

## 2.2 JSP Steering Group

### Key purpose:

The Steering Group will provide strategic oversight of the JSP programme project, take a strategic view of relevant cross-boundary issues and provide strategic direction to the JSP Director and SPOG for taking forward the projects and work programmes related to them. It will be responsible for agreeing to the commissioning of papers and reports and making recommendations to the SPMG. The core membership of the Steering Group will be focussed on the corporate director level from the main partner authorities, and a lead officer from the Chief Executive group of SW Herts authorities.

To enable the Steering Group to function appropriately to meet the challenges of this programme, in person briefings will be arranged by the JSP Director for the Steering Group members in advance of the formal meetings – the purpose of these briefings will be to explore in more detail the agenda items on the forthcoming meeting agenda with relevant advisors.

### Terms of Reference:

#### Decisions

- Agree the scope of the programme at relevant stages
- Monitor progress of the JSP programme
- Make recommendations to the SPMG in respect of delivery issues related to the JSP programme
- Resolve any blockages and issues should they occur, and hold to account the delivery of the programme of SPOG/full time members of staff
- Maintain a budget for the programme and keep it under review
- Maintain a risk register for the programme and keep it under review
- Ensure the appropriate resources and working mechanisms are in place to deliver a co-ordinated cross-boundary approach to the JSP
- Sign off on any joint consultancy commissions drafted to support the JSP
- Ensure an appropriate project governance structure and is in place to meet the challenges and needs of the programme
- Ensure that due diligence and appropriate decision making channels are exercised in relation to decisions required for delivery of the JSP
- Provide direction on external communications related to the programme

#### Administrative

- The Chairperson of the Steering Group will be appointed on a revolving twelve monthly basis
- The Steering Group will meet every eight weeks or more frequently if necessary.
- The agenda and supporting papers for each meeting will be circulated five working days prior to the meeting
- Prior to each Steering Group meeting (and if requested), the JSP Director will arrange an in person briefing for core Steering Group members and appropriate advisors in respect of agenda items if required
- It will approve and recommend what key decisions need to be made by the SPMG.



### Core membership:

- Watford BC – Group Head of Place Shaping
- Hertsmere – Executive Director
- Dacorum – Chief Executive
- Three Rivers – Director of Community & Environmental Resources
- St Albans – Head of Planning & Building Control
- HCC – Director of Environment & Infrastructure
- Hertfordshire Growth Board Director
- Advisors on an ‘invitation only’ basis

## **2.3 Strategic Planning Officers Group (SPOG)**

### Key purpose:

The SPOG will support the full time staff and consultants to deliver the JSP, reflecting the approach to strategic cross-boundary strategic planning that has been agreed between the local authorities under a MoU. The purpose of this cross-authority group is to define and enable the delivery of all cross-boundary activity, overseeing programme progress from a strategic and operational perspective, including the formation of relevant Task and Finish groups. Key risks and issues will be escalated to this level in the first instance by the JSP Director. The Group will have delegated authority from the SPMG in respect of the programme’s budgetary management. A key role of the group will be to ensure that all partners are providing appropriate input to the plan-making, investment and evidence gathering input needed to prepare the JSP.

The JSP Director, will chair this group.

### Core membership:

- JSP Director
- St Albans C&D Council – Spatial Planning Manager
- Hertsmere BC – Planning Strategy Manager
- Three Rivers DC – Head of Planning Policy and Projects
- Watford BC – Head of Planning and Building Control
- Dacorum BC – Assistant Director, Planning, Development and Regeneration
- Hertfordshire CC – Head of Spatial Planning and Economy
- Other parties on an ‘invitation only’ basis

### Terms of Reference:

- Meets every two to four weeks or more often as required to support key milestones
- Develop and review the programme plan for the JSP and sets up Task & Finish Groups as appropriate to undertake specific defined workstreams;
- manages and progresses development of an appropriate evidence base on a series of themes and topics to inform the plan-making process for the JSP Report on progress on implementation of the project plan to the SPMG
- Review evidence base for the Local Plan process and update as necessary
- Agree the scope of work needed, prepare and approve briefs for commissioning of consultants to prepare the evidence work that may be required to inform the JSP;
- Act as key interface group for consultants appointed to prepare evidence base, informing and monitoring progress of commissions.

- Prepare papers for consideration by the SPMG/SPOG as requested.
- Manage engagement and consultation with wider groups & interested parties in relation to the JSP
- Identify and progress potential funding opportunities to support delivery of the JSP



# SWHERTS

## Joint Strategic Plan

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YOUR FUTURE

# Statement of Community Involvement

*DRAFT V1.4*

*DRAFT FOR TARGETED CONSULTATION*

August 2021



**Covid-19 Pandemic**

In circumstances such as the current Covid-19 pandemic, we will endeavour to carry out planning engagement as set out within this document. However, should the Government amend planning regulations or formally advise that certain forms of engagement should be suspended, then the Council will amend its approach to reflect the most up-to-date Government advice at that time.

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## 1.0 INTRODUCTION

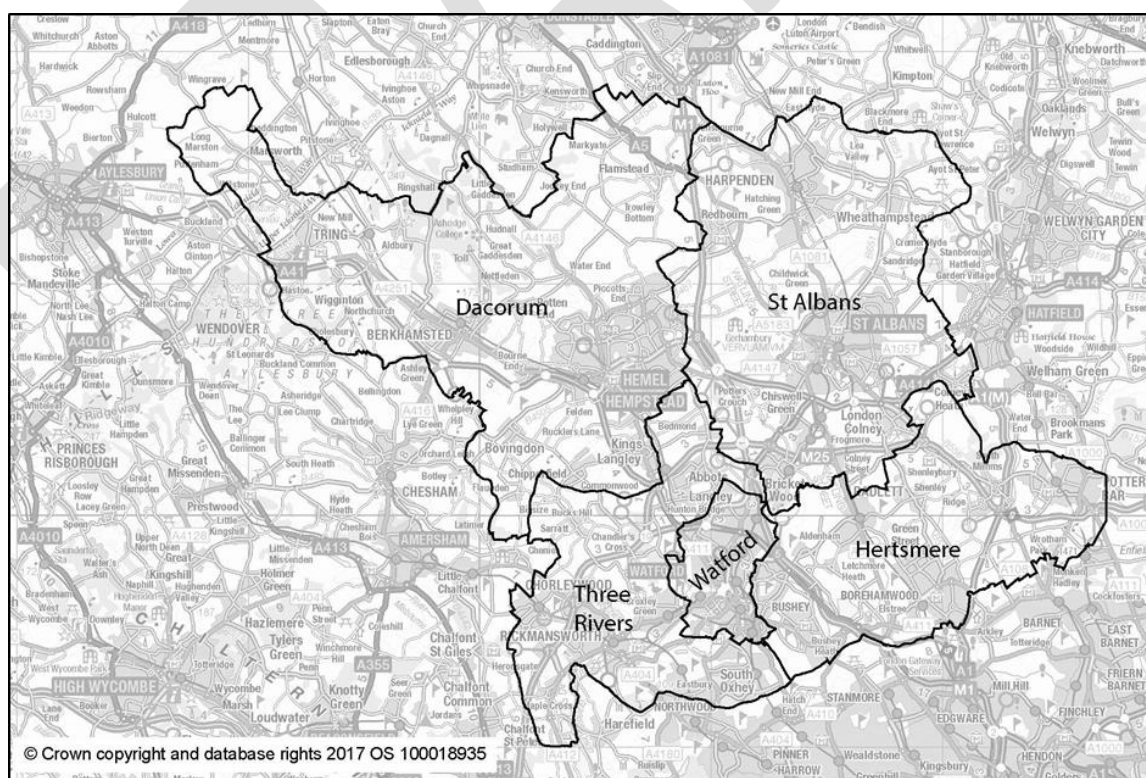
### What is a Statement of Community Involvement?

- 1.1 This Statement of Community Involvement (SCI) sets out how Dacorum Borough Council, St Albans City & District Council, Hertsmere Borough Council, Watford Borough Council, Three Rivers District Council and Hertfordshire County Council (referred to as 'the Councils'), will engage stakeholders and the public in preparation of the South West Hertfordshire Joint Strategic Plan (JSP).
- 1.2 The SCI describes how the Councils will ensure that the public, businesses, landowners, developers, adjoining local authorities, government agencies and any other individuals, groups and organisations within and with an interest in, the local authority areas, can get involved in the creation of the JSP.
- 1.3 The production of an SCI is required by the Planning and Compulsory Purchase Act 2004.

### What is the South West Hertfordshire Joint Strategic Plan?

- 1.4 The South West Hertfordshire Joint Strategic Plan (JSP) will provide a South West Hertfordshire integrated strategic planning framework and supporting evidence base to support sustainable growth to 2050.

**Figure 1: Area covered by the JSP**



- 1.5 The JSP will be a formal Development Plan Document (DPD), prepared under Section 28 of the Planning and Compulsory Purchase Act 2004 (as amended) which enables two or more local planning authorities to agree to prepare a joint Plan. Hertfordshire County Council will support the plan preparation process.
- 1.6 The JSP will identify the overall quantum of housing and economic growth within South West Hertfordshire to be planned for between 2036 and 2050 and its broad distribution across the area. The plan will identify strategic allocations and priorities, as well as the strategic infrastructure necessary to deliver the spatial strategy.
- 1.7 The JSP will build on the current suite of adopted and emerging Local Plans that cover period up to between 2031 and 2038, the Hertfordshire Local Transport Plan and will link to a new Local Industrial Strategy prepared by the Hertfordshire Local Enterprise Partnership.
- 1.8 The JSP will be formally adopted by the individual LPAs and will provide a high-level framework for the review and roll-forward of the Local Plans and related Neighbourhood Plans. **Figure 2** shows the relationship between the JSP and other relevant plans.

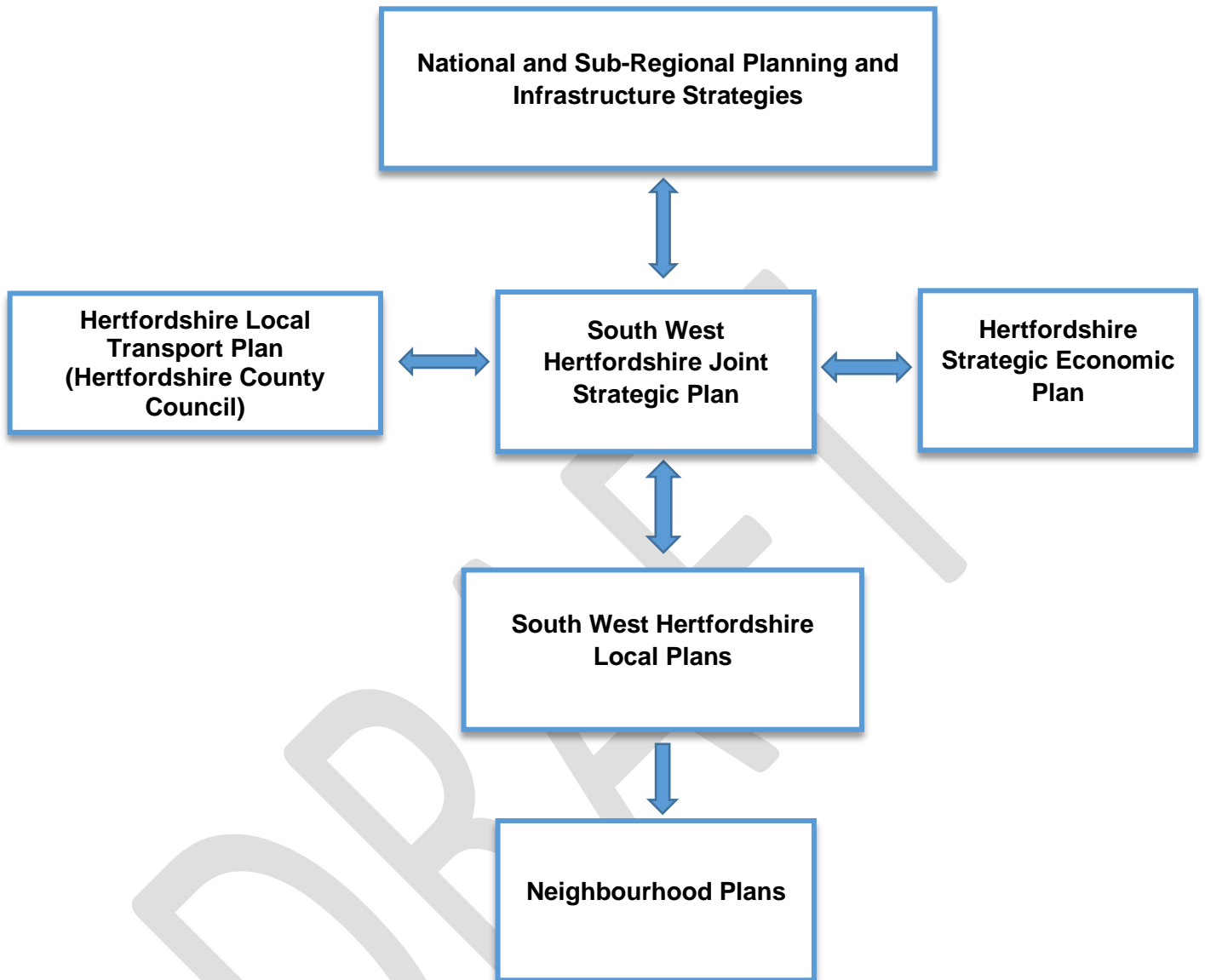
#### **Why is a Statement of Community Involvement being prepared?**

- 1.9 There is a legal requirement on Local Planning Authorities (LPAs) to undertake public consultation on local plans. In addition, one of the aims of the planning system is to encourage effective and meaningful community and stakeholder involvement throughout all of the stages of the plan making process. Effective community involvement will give people the opportunity to say what sort of place they want South West Herts to be and explain how their views can make a difference.
- 1.9 This SCI sets the steps that will be taken to ensure that the JSP will be shaped by early, proportionate and meaningful engagement between plan makers and communities, local organisations, businesses, infrastructure providers and statutory consultees.
- 1.10 The outcomes of the consultation processes set out in this SCI will be an important element of the considerations of the LPA's in developing the JSP. However, they are one element of a wider range of material considerations such as the evidence base and the Sustainability Appraisal. Consultees and those engaged should therefore recognise the multi-faceted considerations that will go towards informing the content of the JSP that is submitted for Examination.
- 1.11 The South West Hertfordshire authorities are committed to a continuous review of the SCI to ensure that it continues to reflect current advice and best practice guidance.

#### **What does this Statement of Community Involvement cover?**

- 1.12 This SCI is specific to the production of the JSP. The Local Planning Authorities (LPAs) will also have their own individual SCIs concerned with the production of their Local Plans and any Neighbourhood Plan in their areas. These district-level SCIs also set out how each authority will deal with planning applications arising as a result of site allocations.
- 1.13 This SCI will therefore sit alongside the existing SCIs, it will not replace them.

**Figure 2: Relationship between JSP and Other Plans**



**JSP Governance**

- 1.14 A JSP Strategic Planning Member Group (SPMG) was established in November 2019 to guide the preparation of the JSP. The SPMG will monitor progress on the JSP, approve its budget and review the milestones as part of an annual review. Minutes from the SPMG meetings can be found on each of the partner authority’s websites.
- 1.15 The SCI will be endorsed by the Strategic Planning Members Group (SPMG) for consultation and then formally considered through the governance arrangements of the respective South West Hertfordshire Local Planning Authorities.



### **Duty to Cooperate**

- 1.16 The Localism Act 2011 places a 'duty to cooperate' on local planning authorities, county councils, neighbouring authorities and other public bodies for any strategic cross boundary issues.
- 1.17 The duty to cooperate prescribed bodies are defined in the Town and Country Planning (Local Planning) (England) Regulations 2012).
- 1.18 The way the South West Hertfordshire local authorities are working together under the Duty to Cooperate to complete the JSP will be set out in a South West Hertfordshire-wide Statement of Common Ground that is currently being prepared.

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## **2.0 WHEN AND HOW WILL THE COUNCILS CONSULT ON THE JSP?**

### **Background**

- 2.1 A public-sector Equality Duty came into force on 5 April 2011. This means that public bodies must consider all individuals when carrying out their day-to-day work in shaping policy, in delivering services and in relation to their own employees. It also requires that public bodies have due regard to the need to:
- eliminate discrimination
  - advance equality of opportunity
  - foster good relations between different people when carrying out their activities.
- 2.2 The Town and Country Planning (Local Development) (England) Regulations 2012 identifies specific and general consultation bodies that must be consulted when preparing Local Plans and Supplementary Planning Documents. Specific consultation bodies must be consulted where the proposed subject matter will be of interest to them. These groups are listed in Appendix 1. There is also a requirement to invite representations from such residents and persons carrying on business as considered appropriate.

### **How and when will we involve Stakeholders?**

- 2.3 Relevant regulations set out the formal stages in the preparation process of the JSP, i.e. when we must formally publish the documents for comment and for how long. This SCI reflects how these requirements will be met.
- 2.4 The South West Hertfordshire Councils intend that all people should have the opportunity to have their say in how South West Herts is spatially planned, irrespective of their differences; including by way of age, disability, gender reassignment, pregnancy and maternity, race, religion and belief, sex and sexual orientation. Research may be commissioned to understand public attitudes on relevant topics. Documents will be written in plain English. To achieve value for money and to ensure that consultation is proportionate to the issues being considered, the translation of documents into other languages will be balanced against the cost, time constraints and the available resources.
- 2.5 The early stage of plan preparation (under Regulation 18) will involve engagement with stakeholders, prescribed bodies, partners and consultees to inform the identification of issues and options. Notwithstanding this, engagement with key stakeholders will be undertaken on a continuous basis to ensure options are thoroughly tested and policy preparation is robust. We may use panels or reference groups as part of this engagement as well as undertake additional research such as an opinion poll.
- 2.6 A JSP consultation database containing specific and general consultees and others that have expressed an interest to be consulted will be developed and maintained in accordance with the General Data Protection Regulation. Where consultation is required, all those on the consultation database will be consulted. When an individual or organisation makes a representation on the JSP or its supporting documentation they will be added to the consultation database.

- 2.7 There will be opportunities to comment on the draft JSP when it is formally published (Regulation 19 stage) and to be involved during its examination by an independent Inspector (Regulations 23-24).
- 2.8 A Sustainability Appraisal is an integral part of the plan preparation process and is required for DPDs. It looks at the environmental, social and economic effects of a plan to make sure that the plan promotes sustainable development and takes the most appropriate approach given reasonable alternatives. At each stage of the JSP preparation there will be a corresponding stage of the Sustainability Appraisal which will be made available for comment during public consultation.
- 2.9 Groups we will engage with during the JSP preparation process will include:
- The community and members of the public;
  - statutory consultees as set out in the relevant regulations, including neighbouring councils;
  - local service providers and other key general consultation bodies who may have an interest in the JSP; and
  - other interested groups, businesses, developers, landowners, agents, Town Councils and Parishes, and residents who register on our consultation database.
- 2.10 Different levels and methods of community involvement will be appropriate as the JSP progresses through the plan-making process, but in summary, we will follow the following approach:
- We will contact appropriate organisations and individuals directly (see list in Appendix 1).
  - We will publicise consultations by a combination of methods, as appropriate, such as: website, press release, displays, social media, community events.
  - We will make consultation documents available at council offices and public libraries where appropriate (see list in Appendix 2).
  - Consultation documents will be made available for download via the JSP website, which will be signposted from each Council's own website.
  - Where appropriate we will organise consultation events such as public exhibitions and stakeholder workshops.
  - We will publish comments received or a summary as soon as feasible. We will explain how these comments have been taken into account when decisions are made.
- 2.11 **Table 1** sets out the key consultation stages and milestone dates in the preparation of the JSP, together with the different groups we will involve in the plan-making process and how we propose to involve them and keep them updated on progress of the plan.

**Table 1**  
**Stages and methods of consultation and communications**

<b>Plan stage</b>	<b>What will we be consulting or communicating on?</b>	<b>How will we consult / communicate?</b>
<b>Issues and Options</b>  <i>(Regulation 18)</i>	This stage can comprise one or more public consultations. These can relate to broad issues and options, draft policies and/or potential sites. To include consultation on associated sustainability appraisal.	<ul style="list-style-type: none"> <li>• Inviting representations through the JSP and signposted from individual council's websites.</li> <li>• Advertising through social media, press releases and electronic alerts.</li> <li>• Written / email consultation with key consultees / organisations as required by the regulations.</li> <li>• Consultation documents available to view at specified deposit points (listed in Appendix 2)</li> <li>• Public consultation events such as targeted workshops and/or exhibitions, if appropriate to the nature of the consultation.</li> </ul>
<b>Pre-submission publication</b>  <i>(Regulation 19)</i>	This stage comprises consultation on the plan that the authorities wish to take forward to adoption. To include consultation on associated sustainability appraisal.  <i>Note: All representations must be received within the specific consultation period.</i>	
<b>Examination</b>  <i>(Regulations 23-24)</i>	This stage comprises the formal Examination of the Plan by an independent Inspector	<ul style="list-style-type: none"> <li>• Notice on JSP website and signposted from individual council's websites.</li> <li>• Written / email notification of consultees/ organisations as required by the regulations (via Programme Officer)</li> <li>• Advertising through social media, press releases and electronic alerts.</li> </ul>
<b>Consultation on Inspectors main modifications to the draft plan (if any)</b>	This stage comprises consultation on any changes to the plan required by the Inspector to ensure the plan is 'sound.' To include consultation on any associated	<ul style="list-style-type: none"> <li>• Inviting representations through the JSP and signposted from individual council's websites.</li> <li>• Advertising through social media, press releases and electronic alerts.</li> </ul>

	sustainability appraisal update required.	<ul style="list-style-type: none"> <li>• Written / email notification of consultees/ organisations as required by the regulations.</li> <li>• Consultation documents available to view at specified deposit points (listed in Appendix 2).</li> </ul>
<b>Publication of Inspector's Report</b> <i>(Regulation 25)</i>	Notification of people/ organisations of the outcome of the examination.	<ul style="list-style-type: none"> <li>• Notice on JSP website and signposted from individual council's websites.</li> <li>• Written / email notification to groups / organisations as required by the regulations.</li> </ul>
<b>Adoption</b> <i>(Regulation 26)</i>	Notification of final adoption of the JSP.	

### How long will we consult for

- 2.12 Where a formal consultation is carried out (as set out in Table 1), this will be for a minimum of six weeks. Where part of the consultation falls over a holiday period, where possible, the consultation period will be extended to accommodate members of the public who may be away at these times, usually up to a maximum of 8 weeks. Timescales for informal consultation that is targeted at specific groups will be depend on the nature of that engagement.

### How to comment on the JSP

- 2.13 Table 1 sets out the methods we will use to engage with stakeholders and residents on the development of the JSP. We will encourage electronic engagement as the primary portal for consultation and will encourage people to make use of the JSP consultation portal, accessed through the JSP website as this will set out the information we are seeking at each consultation stage, together with clear instructions on how to register comments. This will offer an easy method for response and in turn will help speed up the analysis of the comments received.
- 2.14 A comments form will also be produced for each consultation stage that can be submitted by email or post. Verbal comments will not be recorded, because it is important that all comments are accurately logged and reported.
- 2.15 Comments will be publicly available. The Councils will comply with the obligations under the General Data Protection Regulations, and the principles of the Data Protection Act, in how they manage any personal data collected through consultation processes.
- 2.17 All comments made during the consultation periods will be carefully considered and will be reported to the relevant committee. A report summarising the consultation activities and the comments made and how these have informed the next stage of plan making will be prepared for each stage. This report will be made available.

## 2.0 REVIEW OF THE SCI

3.1 The Town and Country Planning (Local Planning) (England) (Amendment) Regulations 2017, state that LPAs in England must review their SCI every five years to ensure it is kept up to date and reflects current legislation and best practice.

3.2 Notwithstanding this, the SCI will be updated if a review is required due to changes to:

- Legislation/national policy
- Local decisions
- Consultation methods
- Technology

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## Consultation Groups

### Specific statutory consultation bodies

- Natural England
- Environment Agency
- Highways England
- Historic England
- Local clinical commissioning groups (Herts Valleys CCG) and the National Health Service Trusts
- Network Rail Infrastructure Limited
- Homes England (formerly the Homes and Communities Agency)
- Relevant Electricity Undertakers
- Relevant Gas Companies
- Relevant Sewerage Undertakers
- Relevant Telecommunications Companies
- Relevant Water Undertakers
- British Waterways Board
- The Coal Authority
- The Marine Management Organisation
- Neighbouring local, county and unitary authorities:
  - Hertfordshire:
    - Welwyn Hatfield Borough Council
    - Broxbourne Borough Council
    - East Hertfordshire District Council
    - North Hertfordshire District Council
    - Stevenage Borough Council
  - Essex
    - Essex County Council
    - Harlow Borough Council
    - Uttlesford Borough Council
  - Buckinghamshire
    - Buckinghamshire Council
  - Bedfordshire
    - Bedfordshire County Council
    - Central Bedfordshire Council
    - Luton Borough Council
  - London
    - Mayor of London (GLA)
    - London Borough of Barnet
    - London Borough of Enfield
    - London Borough of Harrow
    - London Borough of Hillingdon

## **General consultation organisations**

Although not defined as formal consultation bodies, the following will also be consulted:

- Local Nature Partnership
- Local Enterprise Partnership
- Chilterns Conservation Board
- Relevant Government departments
- Civil Aviation Authority
- Local Strategic Partnerships
- Hertfordshire Police and Crime Commissioner
- Relevant organisations representing the interests of local residents, the environment, businesses etc in the area.

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## Document inspection points

### Main Council Offices

Hertsmere Borough Council,  
Civic Offices, Elstree Way, Borehamwood, Hertfordshire, WD6 1WA

Watford Borough Council  
Town Hall, Watford, Hertfordshire, WD17 3EX

Dacorum Borough Council  
The Forum, Marlowes, Hemel Hempstead, Hertfordshire, HP11DN

Three Rivers District Council  
Three Rivers House, Northway, Rickmansworth, Hertfordshire, WD3 1RL

St Albans City and District Council  
Civic Centre, St Peter's Street, St Albans, Hertfordshire, AL1 3JE

### Local libraries

#### Borehamwood Library

96 Shenley Road  
Borehamwood  
WD6 1EB

WD24 7RW

**Watford Library**  
Hempstead Road  
Watford  
WD17 3EU

#### Potters Bar Library

The Elms  
High Street  
Potters Bar  
EN6 5BZ

#### Abbots Langley Library

High Street  
Abbots Langley  
WD5 0AP

#### Bushey Library

Sparrows Herne  
Bushey  
WD23 1FA

#### Chorleywood Library

Lower Road  
Chorleywood  
WD3 5LB

#### Radlett Library

Radlett Centre  
1 Aldenham Avenue  
Radlett  
WD7 8HL

#### Croxley Green Library

Barton Way  
Croxley Green,  
WD3 3HB

#### North Watford Library

St Albans Road  
Watford

#### Rickmansworth Library

High Street  
Rickmansworth  
WD3 1EH

**South Oxhey Library**

Bridlington Road  
South Oxhey  
WD1 6AG

**Adeyfield Library**

1A Queens Square  
Hemel Hempstead  
HP2 4EW

**Berkhamsted Library**

185 High Street  
Berkhamsted  
HP4 3HB

**Bovingdon Library**

High Street  
Bovingdon  
HP3 0HJ

**Hemel Hempstead Library**

The Forum  
Marlowes  
Hemel Hempstead  
HP1 1DN

**Kings Langley Library**

The Nap  
Kings Langley  
WD4 8ET

**Leverstock Green Library**

Village Centre  
Leverstock Green Way  
Hemel Hempstead  
HP3 8QG

**Tring Library**

High Street  
Tring  
HP23 4AF

**Harpenden Library**

27 High Street  
Harpenden  
AL5 2RU

**London Colney Library**

Community Centre  
Caledon Road  
London Colney  
AL2 1PU

**Redbourn Community Library**

Redbourn Fire Station and Community  
Library  
Dunstable Road  
Redbourn  
AL3 7BE

**St Albans Library**

Level 2, The Maltings  
St Albans  
AL1 3JQ

**Wheathampstead Library**

Fire Station and Library  
Marford Road  
Wheathampstead  
AL4 8AY

## Glossary of acronyms

<b>CCG</b>	Clinical Commissioning Group	The arm of the National Health Service responsible for commissioning primary healthcare services.
<b>DPD</b>	Development Plan Document	A formal planning strategy document, such as a Local Plan or Joint Strategic Plan
<b>GLA</b>	Greater London Authority	The office of the Mayor of London
<b>LPA</b>	Local Planning Authority	The local council responsible for planning services in a particular area
<b>LDS</b>	Local Development Scheme	The project plan setting out when Local Plans and Joint Strategic Plans will be prepared and when they will be issued for consultation
<b>JSP</b>	Joint Strategic Plan	A high level planning policy document being prepared by a number of councils on a joint basis.
<b>NPPF</b>	National Planning Policy Framework	The document which sets out the Government's planning policies and approach to key issues, which must be taken into account by councils when preparing their own planning documents
<b>PINS</b>	Planning Inspectorate	The organisation to are appointed by the Secretary of State to carry out independent public examinations of plans
<b>SCI</b>	Statement of Community Involvement	The document which sets out how consultation on planning matters will be carried out by local councils.
<b>SPMG</b>	Strategic Plan Members Group	The group of elected representatives (one for each council) who will oversee production of the Joint Strategic.

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## POLICY AND RESOURCES COMMITTEE - 13 SEPTEMBER 2021

### PART I – NOT DELEGATED

#### 7. ANTI-SOCIAL BEHAVIOUR POLICY 2021 (CED)

##### 1 Summary

- 1.1 The Anti-Social Behaviour (ASB) Policy expired in 2019, and therefore has now been updated and reviewed. The new draft policy is attached at Appendix A. The policy was under review in early 2020 but the impact on the service due to COVID meant that the review was delayed until 2021.
- 1.2 This has been consulted on internally and with key partner agencies working on anti-social behaviour including the Police, Hertfordshire County Council, Watford Community Housing Trust and Thrive Homes.

##### 2 Details

- 2.1 The ASB Policy has been updated in line with changing government policy, the Anti-Social Behaviour, Crime and Policing Act 2014, Statutory Guidance for Frontline Professionals (updated January 2021) and to reflect new issues in the local community and ways of tackling them. i.e. cuckooing and serious youth violence.
- 2.2 The policy also now incorporates the requirement for ASB Case Reviews, commonly known as the Community Trigger. The Anti-Social Behaviour, Crime and Policing Act 2014 introduced specific measures designed to give victims and communities a say in the way that complaints of anti-social behaviour are dealt with. ASB Case Reviews give victims of persistent anti-social behaviour reported to any of the main responsible agencies (such as the council, police, housing provider) the right to request a multi-agency case review of their case where a local threshold is met. The process of this has been outlined in the new draft policy.
- 2.3 The use of reporting tools and in particular on-line methods of reporting ASB have now been included and encouraged in line with the Customer Experience Strategy.
- 2.4 The list of issues highlighted in the policy that do not constitute anti-social behaviour that we deal with has also been expanded to include not managing personal CCTV issues or social media posts and door slamming (unless they are excessive or late at night) but any reports will be signposted to the relevant responsible agencies.
- 2.5 We have reviewed and researched work across our internal council departments to assess what the new policy should include and ensure that each department has the tools they need to respond to different forms of anti-social behaviour and thereby provide better outcomes for our community and residents. For instance we have included ASB in temporary accommodation for Housing Services and ASB in parks and open spaces for Leisure Services along with other departments who have been consulted.
- 2.6 ASB as a whole is continuous and varying from day to day from the normal neighbour disputes, issues in our parks and open spaces through to serious crime like cuckooing of our residents that impacts on our community and the safeguarding of the most vulnerable. In the past 18 months the ASBAG (Anti-Social Behaviour Action Group) has assessed over 350 medium to high risk ASB cases. We do not see a

decline in ASB as the COVID restrictions are lifted. There have been 3 Closure Orders obtained and 30 ASB Community Protection Notices served with 1 partner agency securing an ASB Injunction in this timeframe.

2.7 Our approach to ASB is comprised of four key areas:

- Prevention
- Early intervention
- Support
- Enforcement

2.8 These themes apply across all anti-social behaviour. However, our approaches differ slightly for dealing with hotspots, serious crime or high risk cases.

2.9 The council recognises that all forms of anti-social behaviour (ASB) can have destructive and negative consequences on peoples' lives and is a real concern of people in Three Rivers. The Council is committed to reducing and preventing ASB across the district. One of the Strategic Objectives of the Council is "to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions." The ASB Policy enables us to deliver the service in line with the Anti-Social Behaviour, Crime and Policing Act 2014.

### **3 Options and Reasons for Recommendations**

3.1 It is recommended that Policy and Resources agree the revised Anti-Social Behaviour Policy and recommend it to Council on 19 October 2021 for adoption.

3.2 The reason for the recommendation is that the current ASB Policy is out of date and needed updating to include legislative changes in line with the Anti-Social Behaviour, Crime and Policing Act 2014 and the challenges the service is facing with the complexity of its cases.

### **4 Policy/Budget Reference and Implications**

4.1 The recommendations in this report are within the Council's agreed policy and budgets. The relevant policy is entitled The Anti-Social Behaviour Policy and was agreed previously on 21 March 2016 at Policy and Resources Committee.

4.2 The recommendations in this report relate to the achievement of the following performance indicators.

CP47 - Public perception of ASB

CO02 - Public perception of how well informed residents feel about Three Rivers District Council

CP49 - Percentage of new cases coming to ASBAG that have an action plan developed

CP21 - Number of victims of domestic abuse supported by domestic abuse caseworker service

CP51 - Percentage of South West Herts Youth Action Panel (YAP) cases with action plans developed.

### **5 Financial Implications**

5.1 There are no financial implications arising.

## **6 Legal Implications**

6.1 Legal Services support the Community Safety Partnership in responding to complaints of ASB that have been referred to the Council under the Corporate Complaints Procedure or Local Government Ombudsman and represent the Council at Court on breach of relevant ASB powers i.e. Closure Orders. This Anti-Social Behaviour Policy supports this process.

## **7 Equal Opportunities Implications**

7.1 Relevance Test

Has a relevance test been completed for Equality Impact? Attached at Appendix B	Yes
Did the relevance test conclude a full impact assessment was required?	No

## **8 Staffing Implications**

8.1 None Arising

## **9 Environmental Implications**

9.1 None Arising

## **10 Community Safety Implications**

10.1 The changes to the ASB Policy reflect changes in legislation and the Anti-social Behaviour, Crime and Policing Act 2014. The changes will need to be embedded into processes and new ways of working. Implications are within the body of the main report.

## **11 Public Health implications**

11.1 None Arising

## **12 Customer Services Centre Implications**

12.1 The new policy reflects the role of the Customer Services Centre.

## **13 Communications and Website Implications**

13.1 The new policy will be provided on the website. Further information provided on the tools and powers of the Council in relation to anti-social behaviour and how to access support will also be provided on the website.

## **14 Risk and Health & Safety Implications**

14.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the

report have also been assessed against the Council's duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.

- 14.2 The subject of this report is covered by the Community Partnerships service plan. Any risks resulting from this report will be included in the risk register and, if necessary, managed within this/these plan(s).

<b>Nature of Risk</b>	<b>Consequence</b>	<b>Suggested Control Measures</b>	<b>Response</b> <i>(tolerate, treat, terminate, transfer)</i>	<b>Risk Rating</b> <i>(combination of likelihood and impact)</i>
Failure to achieve Community Safety targets due to policy being out of date and not setting public expectations	The Community Safety Partnership fails to demonstrate clear actions and process to tackle anti-social behaviour leading to an increase of issues in Three Rivers.	Agree new Anti-social Behaviour Policy and communicate this with staff, members, partners and residents.	Treat	6

- 14.3 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

<b>Very Likely</b> ↓ <b>Likelihood</b>	<b>Low</b> 4	<b>High</b> 8	<b>Very High</b> 12	<b>Very High</b> 16
	<b>Low</b> 3	<b>Medium</b> 6	<b>High</b> 9	<b>Very High</b> 12



	<b>Low</b> <b>2</b>	<b>Low</b> <b>4</b>	<b>Medium</b> <b>6</b>	<b>High</b> <b>8</b>
	<b>Low</b> <b>1</b>	<b>Low</b> <b>2</b>	<b>Low</b> <b>3</b>	<b>Low</b> <b>4</b>
	<b>Impact</b>			
	Low -----> Unacceptable			

**Impact Score**

4 (Catastrophic)

3 (Critical)

2 (Significant)

1 (Marginal)

**Likelihood Score**

4 (Very Likely (≥80%))

3 (Likely (21-79%))

2 (Unlikely (6-20%))

1 (Remote (≤5%))

14.4 In the officers' opinion none of the new risks above, were they to come about, would seriously prejudice the achievement of the Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

**15 Recommendation**

15.1 That:

Policy and Resources Committee agrees the Three Rivers District Council Anti-Social Behaviour Policy 2021 and recommends it to Council on 18<sup>th</sup> October 2021.

That public access to the report be immediate

Report prepared by:

Rebecca Young, Head of Community Partnerships

Michelle Wright, Community Safety Intervention Officer

**Data Quality**

Data sources: The Anti-Social Behaviour, Crime and Policing Act 2014

Data checked by:

Gordon Glenn, Performance and Projects Manager

Data rating: Tick

<b>1</b>	<b>Poor</b>	
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<b>2</b>	<b>Sufficient</b>	
<b>3</b>	<b>High</b>	<b>X</b>

**Background Papers – None.**

**APPENDICES / ATTACHMENTS**

**Appendix A Draft Anti-Social Behaviour Policy 2021**  
**Appendix B Relevance Test**

# **ANTI-SOCIAL BEHAVIOUR POLICY**

**August 2021**

## Three Rivers District Council Anti-Social Behaviour Policy

### 1. Purpose

Three Rivers District Council recognises that all forms of anti-social behaviour (ASB) can have destructive and negative consequences on peoples' lives and is a real concern of people in Three Rivers. The Council is committed to reducing and preventing ASB across the district. One of the Strategic Objectives of the Council is: "to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions."

This policy sets out:

- The Council's definition of ASB
- The Council's aims in responding to ASB
- The Council's values in relation to ASB
- Responsibilities within the Council for responding to ASB
- Who the policy applies to
- The Council's approach to responding to ASB
- How the Council will work in partnership to address ASB
- Role of Social Housing Providers
- Role of Hertfordshire Constabulary
- Role of Health and Social Care Services
- Customer engagement for ASB
- The Council's use of enforcement actions for ASB
- Performance indicators for ASB
- Data protection measures for ASB
- Training commitments for ASB

### 2. Definition

The Council's definition of anti-social behaviour is:

"Conduct that has caused, or is likely to cause, harassment, alarm or distress to any person"

Ref Anti-social Behaviour, Crime and Policing Act 2014).

Some examples of this behaviour include (but are not limited to):

- Harassment or intimidation
- Verbal or written abuse
- Criminal damage and vandalism
- Neighbour nuisance
- Noise nuisance
- Graffiti
- Nuisance behaviour caused by drinking or substance misuse
- Nuisance from vehicles
- The repair of vehicles on the street for money
- Abandoned vehicles
- Fly tipping
- Hoarding
- Domestic Abuse
- Litter
- Uncontrolled animals
- Bonfires

- Hate behaviour targeted at individuals or groups on the grounds of age, disability, gender reassignment, marriage and civil partnership, race, religion or belief, sex or sexual orientation.

Anti-social behaviour (ASB) can be difficult to define and there are some types of issues that would not constitute ASB. For instance, some behaviours that individuals perceive as being 'anti-social' are unavoidable and consideration must be given to how to effectively deal with these types of issues to try to secure a positive outcome. The type of issues that may not constitute ASB include:

- Living or domestic noises e.g. a baby crying, ordinary conversation levels through walls, noise from children playing in a garden, everyday domestic activity such as vacuuming, toilets flushing, using a washing machine, door slamming (unless they are excessive or late at night)
- Social media posts or the use of CCTV
- Children playing in the street or communal area
- Young people gathering socially (unless they are being intimidating)
- Being unable to park your car outside the owners/tenants house
- DIY and car repairs unless they are taking place late at night
- Civil disputes between neighbours e.g. shared driveways.

The Council's officers must therefore consider what constitutes ASB on a case by case basis and determine the appropriate response.

### **3. The Council's values in relation to ASB**

Three Rivers District Council believes that:

- Everyone has the right to enjoy a peaceful and secure environment in which to live, free from intimidation and ASB
- Everyone has the right to their own chosen lifestyle providing this does not impact adversely on the quality of life of others
- There must be tolerance and respect of difference including differences of ethnic origin, race, religion, gender, age, sexual orientation, gender reassignment, marital or civil partnership status, disability or maternity/pregnancy
- Customers are encouraged to report ASB via an electronic platform. There are a number of reporting methods via the Council's website and the Customer Service Centre.
- Acknowledgement of an ASB report will be made within 3 working days and a full response will be provided within 10 working days.
- Where an ASB report is deemed to be high risk, the Council will prioritise our response to those cases.

### **4. Who does this policy apply to?**

People living, working, visiting or socialising within the Three Rivers District.

### **5. The Council's approach to responding to ASB**

The Council's approach in dealing with ASB takes into account a number of aspects from prevention to rehabilitation. As each case of ASB is unique, so is the way in which we handle each complaint, and our actions will depend upon the nature, frequency and severity of each case.

Our approach is comprised of four key areas:

- Prevention
- Early intervention
- Support

- Enforcement

These themes apply across all anti-social behaviour. However, our approaches differ slightly for dealing with hotspots or high risk cases.

We will support victims and witnesses of ASB in a number of ways including:

- Taking all complaints of ASB seriously
- Keeping the victim at the forefront of our service
- Seeking to intervene early to prevent further ASB
- Taking enforcement action where necessary
- Offering support to complainants and witnesses of ASB
- Keeping complainants informed throughout the process
- Protecting confidentiality
- Referring to specialist support agencies
- Improving safety measures
- Using professional witnesses where necessary
- Using surveillance equipment where necessary

We will consider whether the alleged perpetrator's behaviour is a result of their health (including mental health) status or disability. We will offer support and rehabilitation to alleged perpetrators where we have identified a need for a referral to a relevant support agency.

The Council recognises the significant impact of domestic abuse on victims (including children). We will prioritise the referral of such cases to domestic abuse support services in order to safeguard victims. We will work with the Intensive Family First Support Team where children form part of an ASB concern.

The Council recognises the impact of hate crimes such as racial harassment, sexual, transphobic or homophobic harassment, religious or cultural harassment, or disability based harassment. We will prioritise our response to such cases. This will include the offer of referral to relevant support services.

## **6. The Council's aims and responsibilities in responding to Anti-Social Behaviour**

In dealing with incidents of ASB, the Council will seek to:

- Stop the ASB
- Encourage residents to resolve their own differences in a reasonable manner
- Provide a framework or action plan for supporting both the complainant and perpetrator
- Work in partnership with other agencies to tackle ASB
- Target repeat victims by prioritising areas or individuals affected by repeated ASB
- Take early and effective action against perpetrators when they fail to engage with support
- Introduce preventative measures
- Monitor the effectiveness of action taken
- Escalate enforcement action if the ASB is not modified or ended, using a multi-agency approach in more complex cases
- Support witnesses through the lifetime of a complaint of ASB and beyond.

Customer Service Centre:

- To receive, report and direct to the relevant service department or other relevant agency.
- To maintain up to date information on who ASB is dealt with in the Council in order to direct enquiries appropriately.

Community Partnerships Unit:

- To oversee and review the Corporate ASB Policy

- To manage and support the Community Safety Partnership structures that deliver joint agency responses to ASB
- To manage and respond to individual cases not covered by police, housing providers, Environmental Health or Environmental Protection
- To refer cases to other agencies where appropriate
- To oversee the ASB Case Review (also known as the Community Trigger) – the process by which the public can ask Community Safety Partnership agencies to collectively review their responses to ASB complaints.
- To maintain procedures for its responsibilities.
- To monitor ASB cases that have been referred to other agencies and housing providers but remain an issue.
- To refer any cases at risk of homelessness or in need of housing advice to the Housing Options Team
- Manage the monthly ASBAG (Anti-Social Behaviour Action Group) meetings and outcomes

#### Housing Services/Residential Environmental Health

- To manage and respond to ASB cases involving: noise nuisance, bonfires, high hedges, nuisance caused by lighting, nuisance odours, houses in multiple occupation, hoarding and derelict properties
- To work in partnership with the Community Partnerships team regarding any ASB cases in council-owned temporary accommodation.
- To maintain procedures for its responsibilities.

#### Environmental Protection:

- To manage and respond to ASB cases on public, private or council land involving: litter (excluding private land), fly tipping, graffiti removal, abandoned vehicles, drug paraphernalia and vandalism in parks and open spaces
- To manage and respond to ASB cases involving uncontrolled animals.
- To maintain procedures for its responsibilities

#### Leisure Services

- To receive reports of ASB that occur in Council-owned parks and open spaces
- To work with the community partnerships team in combating the behaviours taking place in our parks and open spaces.

#### Licensing:

- To manage and respond to ASB cases for any licensed premises.
- To manage complaints of ASB towards licensed taxi / private hire drivers.

#### Legal

- To provide legal support, advice and guidance to Council Officers and, where appropriate, their partners within the Three Rivers Community Safety Partnership, with regard to the legal powers available to combat ASB.
- To represent the Council in respect of any applications or prosecutions brought under the Anti-social Behaviour, Crime and Policing Act 2014.
- To support the Council in responding to complaints relating to ASB that have been referred to the Council under the Corporate Complaints Procedure or Local Government Ombudsman.

## 7. How the Council will work in partnership to address ASB

The Council is the lead authority for Three Rivers Community Safety Partnership. Within this role:

- We will manage and support inter-agency ASB casework discussions to ensure joint action plans are agreed and monitored between relevant agencies including the Council, County Council, Health Services, The Police, the Fire Service and Housing Providers

- We will share data with other agencies within our agreed information sharing protocols and our responsibilities under the Data Protection Act, seeking consent to do so when required
- We will receive and manage requests for the ASB Case Review (also known as the Community Trigger) on behalf of the Community Safety Partnership.
- ASB can be an indicator of a more serious underlying issue such as cuckooing or modern slavery. Cuckooing is the term used when drug dealers take over the home of a vulnerable person in order to use it as a base for drug trafficking. The crime is named after the cuckoo's practice of taking over other birds' nests. Modern Slavery is a serious crime being committed across the **UK** in which victims are exploited for someone else's gain. It can take many forms including trafficking of people, forced labour and servitude.

## 8. ASB Case Review (Community Trigger)

We know that, where left unchecked, anti-social behaviour can have an overwhelming impact on its victims and, in some cases, on the wider community.

The Anti-social Behaviour, Crime and Policing Act 2014 introduced specific measures designed to give victims and communities a say in the way that complaints of anti-social behaviour are dealt with. This includes the ASB case review, which gives victims of persistent anti-social behaviour reported to any of the main responsible agencies (such as the Council, police and social housing providers) the right to request a multi-agency case review of their case where a local threshold is met. Agencies, including local authorities, the police, local health teams and registered providers of social housing have a duty to undertake a case review when someone requests one and their case meets a locally defined threshold. Each area chooses a lead agency to manage the process, this is usually the council or police.

### How it works

The mechanism for carrying out the case review is set locally.

Complaints may either come directly from the victims of anti-social behaviour or from a third party (with the victim's consent), such as a family member, friend or local elected representative (a councillor or MP).

The victim may be an individual, a business or a community group.

Each local area sets a threshold which must be met for the trigger to be used. The threshold must include:

- the frequency of complaints
- effectiveness of the response
- potential harm to the victim or victims making the complaint

The threshold is about the incidents reported, not whether the agency responded. The threshold should be no higher than 3 complaints, but agencies may choose to set a lower threshold. If the qualifying complaints are made, a case review must be held to then determine the adequacy of the agency responses.

The relevant bodies and responsible authorities who undertake the case review are:



- councils
- police
- Clinical Commissioning Groups in England and Local Health Boards in Wales
- registered providers of social housing who are co-opted into this group

The relevant bodies must publish the Community Trigger procedure to ensure that victims are aware that they can apply to activate the procedures in appropriate circumstances. The information should be provided on the websites of all the relevant bodies, signposting the public to the lead agency's website, a point of contact and the procedures for activating the process.

## **9. Role of social housing providers**

The Council recognises that housing providers have powers to address ASB caused by tenants or leaseholders, their household members and their visitors, through tenancy and lease enforcement and ASB legislation. The Council will signpost all relevant cases to housing providers for a response. Where such cases have escalated the Council will ensure they are discussed by the Community Safety Partnership at the monthly ASBAG meeting where agreed joint action plans will be put in place.

## **10. Role of Hertfordshire Constabulary**

The Council works closely with the Police to address crime and ASB in Three Rivers. Where individual ASB cases include acts of a criminal nature, the Council will signpost such cases to the Police, providing a joint response where appropriate, without jeopardising any criminal investigation. The Council will also work collaboratively with the Police to monitor and investigate ASB. Police Neighbourhood Teams, including Police Community Support Officers, provide people with reassurance, can patrol hotspot areas, and can support enforcement action taken to tackle ASB. The Police can also provide a response out of hours, including an emergency response where cases have escalated. They will not provide a response to noise nuisance. They will refer back to the Council or relevant landlord any ASB calls made to the Police where there is no criminal aspect.

## **11. Role of Health and Social Care Services**

Statutory and voluntary health and social care services can provide support to both victims and perpetrators of ASB. This may be for reasons connected with mental health, drug and alcohol use, safeguarding of children or adults at risk of abuse, or providing early help to families in need, or adults with complex needs. The Council will work within established multi-agency guidance (including the Early Help Guidance, Children's Safeguarding Guidance, Adults Safeguarding Guidance, and the Mental Health Concordat) to ensure that relevant victims and perpetrators of ASB are offered access to appropriate health and social care services to address such needs. Where relevant these agencies will be involved in multi-agency casework management.

## **12. Customer engagement for ASB**

Individual services that respond to ASB within the Council will:

- Undertake customer satisfaction surveys and case reviews to identify and implement improvements to our services
- Organise resident meetings when required to discuss ASB in hotspot areas either virtually or in person.
- Provide information on our website to help understand our services.

### **13. Performance indicators for ASB**

The Council will set, monitor and report on performance in relation to ASB within individual services, at a local level, and within the Community Safety Partnership.

### **14. Data protection measures for ASB**

To comply with its duties under the Data Protection Act 2018 the Council will:

- Keep all records of ASB cases in accordance with all applicable data protection and privacy legislation in force from time to time in the UK including the UK General Data Protection Regulation, the Data Protection Act 2018 and the Privacy and Electronic Communications Regulations 2003 and the guidance and codes of practice issued by the Information Commissioner's Office.
- Seek consent from a victim to share their information with relevant partner agencies, explaining the process.
- Share information with other relevant agencies such as the police, children's services, adults' services or mental health services without consent, in certain situations, when:
  - preventing and detecting unlawful acts, or
  - safeguarding children or individuals at risk, or
  - there are reasons of substantial public interest, or
  - undertaking a public duty.

This will be done within the relevant legislative framework and agreed local guidance.

ASB cases, where there has been an identified risk of medium to high will be logged via the secure ASB database Safetynet+. This is predominately a Police database whereby agencies are vetted and signed up to use with the emphasis on data sharing and managing cases by way of a partnership approach. Those low-medium ASB cases are kept and secured within the Council's IT systems.

### **15. Training commitments for ASB**

The Council will provide staff in relevant departments with the appropriate training to deliver ASB services and will refresh this when required.

The Council will provide housing providers with the appropriate training to deliver ASB enforcement when delegated authority has been given by the council.

Version: 3

Date: August 2021

Adopted:

Date to be reviewed by: August 2024

## POLICY AND RESOURCES COMMITTEE – 13 SEPTEMBER 2021

### PART I - DELEGATED

#### 9. EXEMPTION FROM PROCUREMENT PROCEDURE RULES – CCTV MANAGEMENT (CED)

##### 1. Summary

1.1 To advise Members that an exemption to the Procurement process was approved by the Head of Finance under the Exceptional Circumstances exemption as permitted by the Council's Constitution.

##### 2. Details

2.1 The CCTV Management contract previously in place with Tyco for the 6 Community Safety Partnership cameras ended on 14 August.

2.2 Hertfordshire CCTV Partnership (HCCTVP) currently supports Stevenage Borough Council, East Hertfordshire District Council, North Hertfordshire District Council, Hertsmere Borough Council and a number of Parish Councils with their re-deployable CCTV cameras.

2.3 Hertfordshire CCTV Partnership will offer the following services:

2.3.1 Reactive Monitoring Service for Three Rivers Police as required.

2.3.2 Each mobile camera will be dialled into 2 times a day to check connectivity by the CCTV Operators.

2.3.3 Operations Manager will control all data with regards to all GDPR requirements and footage requests for yourselves and any third party requests that we receive through our web site.

2.3.4 Each camera will be logged onto Hertfordshire CCTV Partnership website. This website will be shared through the TRDC webpage.

2.3.5 Will manage SLA with Police. SLA has already been developed with Hertfordshire Constabulary for other Districts to ensure processes are in place to share evidence.

2.3.6 Provide the Police a live feed when requested via CCTV control room.

2.3.7 All footage can be reviewed in the Data Suite within the control room in Stevenage by the Police.

2.3.8 There is no charge to move the cameras but there is a cost of £185 + Vat if a spur is needed on the new location column and will be moved in 24 hours of all completed paperwork received.

2.3.9 Cameras will receive a planned preventative maintenance (PPM) visit every 6 months.

2.3.10 If a fault does arise with a camera, an engineer will be deployed in a timely manner. If it can't be fixed / rebooted on site, coordination with WCCTV will be managed for its collection and repair.

- 2.3.11 No call out charges.
- 2.3.12 Signage will be provided for each camera location as requested in the SCC Codes of Practice.
- 2.4 A Service Level Agreement is in place between Three Rivers District Council and Hertfordshire CCTV Partnership for 5 years from 29<sup>th</sup> July 2021.

### **3. Options and Reasons for Recommendations**

- 3.1 The Constitution requires that a report is taken to the Policy and Resources Committee on the action taken in the event that an exemption to the procurement process is approved by the Chief Executive or a Director. This exemption is based upon the “Exceptional Circumstances” and “Limited Market” exemption set out in the Contracts Procedures Rules, evidence being that set out above and attached in Appendix A.

### **4. Policy/Budget Reference and Implications**

- 4.1 The recommendations in this report are set out in Part 4 of the Council's Constitution.

### **5. Financial**

- 5.1 This service will be provided at a cost of £1,600 per camera for year 1, and will increase annually by 1-3%. The total contract cost for 5 years is £59,354.06 (incl. VAT).
- 5.2 A contribution towards these costs is being made by Thrive Homes. £1,000 per annum for 3 years.
- 5.2 The remaining cost is within existing budgets.

### **6. Legal, Equal Opportunities, Staffing, Environmental, Community Safety, Public Health, Customer Services Centre, Communications & Website, Risk Management and Health & Safety Implications**

- 6.1 None specific.

### **7. Recommendation**

- 7.1 That the Policy and Resources Committee note the action taken.

Report prepared by: Shivani Dave – Partnerships Manager

#### **Data Quality**

Data sources: Not applicable

#### **Background Papers**

The Council's Constitution: Part 4 – Contracts Procedure Rules

#### **APPENDICES / ATTACHMENTS**

Appendix A – CCTV Exemption Form

## TRDC Central Register of Exemptions

The Audit Report “Procurement and Contract Management Baseline Assessment” Recommended: “We recommend that consideration should be given to maintaining a central record of waivers and exemptions that have been approved.”

The Council's Contract Procedure Rules state:

### **Exemptions:**

- Acquisition or disposal of Land:

These Rules do not apply to the acquisition or disposal of Land except where a lease or licence is granted as a part of a principal contract for other Works, Supplies or Services.

- Unforeseeable emergency:

Where exemption from these Rules is unavoidable due to an unforeseeable emergency involving immediate risk to persons or property or likely to give rise to major or serious disruption to the Council's services, a Head of Service and the Chief Executive or a Director may jointly approve an exemption. They must inform the relevant Portfolio Holder and make a report to the next Executive meeting on the action taken. Urgency caused by undue delay will not usually be a valid reason for an exemption.

- Exceptional Circumstances:

An exemption may be considered by the Chief Executive or a Director in exceptional circumstances. This may, for example, apply where a key supplier has gone into Liquidation, Administration or Receivership. It applies where the event will involve significant risk to a key contract and is likely to give rise to a significant disruption to a Council service. In such an event a Head of Service and the Chief Executive or a Director may jointly approve an exemption. This may, for example, be a single tender action or the use of a substitute contractor from the original tender responses to complete a contract or part of a contract. The Head of Service must make a report to the next Executive meeting on the action taken.

- Limited market:

A partial exemption may apply where a supply or service is only obtainable from a single or a very limited number of contractors. In such a case, evidence of the limited market must be provided, such as by public advertisement or detailed market research. A Head of Service and the Chief Executive or a Director may jointly approve a partial exemption. The Head of Service must make a report to the next Executive meeting on the action taken.

- Prior approval:

Other than as specified above no exemption from these Rules shall be made unless prior approval has been granted at an Executive meeting.

Record of Exemptions – Heads of Service must ensure that full details of approved waivers and exemptions are recorded in a central register held by the officer designated by the Chief Finance Officer to hold the contract record.

A record form must be completed and signed for each approved Exemption.

V3.0 Nov 2015

## Approved Exemption Record Form

	Details
<p>Exemption category</p> <ul style="list-style-type: none"> <li>• Unforeseeable emergency</li> <li>• Exceptional Circumstances</li> <li>• Limited market</li> <li>• Prior approval</li> </ul>	<p>Exceptional Circumstances and Limited Market</p>
<p>Details / Circumstances / Explanation of why an exemption was required:</p>	<p>Three Rivers District Council currently have six operational cameras within the District which are installed in locations of Rickmansworth High Street, Bridlington Road, Carpenders Park Station, Barn Lea and Swannels Walk. Each camera is re-deployable unit which has an internal hard drive.</p> <p>The cameras have been used to tackle and gather evidence in relation to high risk anti-social behaviour, exploitation, cuckooing and prolific offending.</p> <p>Currently the cameras are managed by the Community Partnerships Team, with repairs and moves being co-ordinated by the team with current contractors TYCO.</p> <p>Herts CCTV Partnership manage re-deployable cameras for other councils in Hertfordshire including East Herts District Council, North Herts District Council, Stevenage Borough Council, Hertsmere Borough Council and a number of Parish Councils.</p> <p>Hertfordshire CCTV Partnership are able to provide an extensive service to Three Rivers District Council meeting the Council CCTV requirements including:</p> <ul style="list-style-type: none"> <li>• A Reactive Monitoring Service for Community Safety Partnership.</li> <li>• Each mobile camera will be dialled into 2 times a day to check connectivity by the CCTV Operators.</li> <li>• If a fault does arise with a camera, an engineer is sent out. If the camera can't be fixed / rebooted on site, Herts CCTV will notify Three Rivers District Council and the camera supplier WCCTV of its removal and organise WCCTV for its collection and repair. Herts CCTV will not charge for call outs.</li> <li>• All cameras will receive PPM every 6 months with a report provided to the council on completion.</li> <li>• An Operations Manager will control all data to all GDPR requirements and footage requests for the Council and Hertfordshire Constabulary, along with any third party requests that are received through their web site.</li> <li>• Each camera will be logged onto Herts CCTV Partnership</li> </ul>

	<p>website. This website will be shared through the TRDC webpage.</p> <ul style="list-style-type: none"> <li>• Hertfordshire CCTV already have an agreed SLA with Hertfordshire Constabulary for the other Districts to ensure processes are in place to share evidence.</li> <li>• Herts CCTV provide the Police a live feed when requested via CCTV control room.</li> <li>• All footage can be reviewed in the Data Suite within the control room in Stevenage by the Police.</li> <li>• Herts CCTV will not charge for camera redeployment when moved to a location column with existing spur. Where a new Spur is required on a location column there is a one off cost of £185 + Vat. The camera will be moved in 24 hours of all completed paperwork received. Herts CCTV have an agreement in place with Hertfordshire Highways where no Structural Testing/ licensing is required.</li> <li>• Signage will be provided for each Camera Location as requested in the SCC Codes of Practice.</li> </ul> <p>The proposed re-deployable service will enable the Council to become flexible with movement of cameras to address rising ASB issues, incidents of exploitation and to prevent and deter crime.</p> <p>No other agency within Hertfordshire has partnership agreements already in place with Hertfordshire Police and Highways to allow for swift and efficient access to footage and movement of cameras.</p> <p>The proposed service by Herts CCTV is not offered through any other provider within Hertfordshire, therefore meets the exemption to tender through limited market.</p> <p>Furthermore the contract for CCTV meets exceptional circumstances for exemption due to the urgency of implementing a replacement provider to avoid significant disruption to the council's corporate plan to tackle crime and anti-social behaviour within the district.</p>
<p>Approved by (Name and date):</p> <ul style="list-style-type: none"> <li>• HoS</li> </ul>	<ul style="list-style-type: none"> <li>• Rebecca Young – Acting Head of Community Partnerships</li> </ul>
<p>Executive meeting informed (Date):</p>	
<p>Date reported to Committee:</p>	<p>19 July 2021</p>
<p>Contract Title:</p>	<p>Three Rivers CSP CCTV</p>
<p>Vendor / Contractor:</p>	<p>Hertfordshire CCTV Partnership</p>
<p>Date Contract let:</p>	<p>1 August 2021</p>
<p>Term of Contract:</p>	<p>5 years</p>

End date:	31 <sup>st</sup> September 2026
Total Value of Contract:	£49,461.72
TRDC Contract Manager (Name and contact details):	Freddy Chester Partnerships & Projects Officer Ext. 7155
Comments / Other Information:	
Date entered onto Exemptions Register:	02/08/21
Signed by Head of Service:	Rebecca Young

Copies to:

Contract File  
Head of Service  
Corporate Procurement Manager  
Central Register of Exemptions

Note: It has been noted that TRDC no longer have an Executive meeting. Pending an update of the Rules the advice from James Baldwin on 09/03/16 is "Having looked at Article 6 of the TRDC Constitution, I think it should be Policy and Resources. It could arguably go to Audit Committee and there does appear to be some overlap of functions, but I see this as an issue of procurement and that does fall squarely within P & R."



### PART I – DELEGATED

#### 10. CORPORATE FRAMEWORK, SERVICE AND FINANCIAL PLANNING 2022- 2025 (DoF)

##### 1 Summary

1.1 The purpose of this report is to seek agreement to the process whereby the Council will determine its three-year medium-term Corporate Framework for 2022-2025, the related service plans, and the allocation of financial resources to achieve them.

##### 2 Details

###### *Introduction*

2.1 Each year the Council is required to set a realistic, achievable in-year budget and indicative budgets for the following two years. Overall responsibility for the budget setting process is the responsibility of the Director of Finance. (shared services)

2.2 The process for agreeing the strategic, service and financial plans relies upon the principles that:

- The Policy and Resources Committee concentrates at a strategic level on how the Council allocates resources between its key objectives, the level of council tax to be set, and the financial reserves to be held.
- Service committees formulate recommendations to the Policy and Resources Committee on the provision and level of services within their remit and validate the details of the budget to achieve this.
- Officers prepare savings & growth proposals for consideration by the service committees.

###### *Corporate Framework*

2.3 The Council adopted its current three-year Corporate Framework (which used to be known as the Strategic Plan) for the period 2020-2023 on 23 February 2021). This was prepared taking into account consultation on priorities with the Local Strategic Partnership and the public and national priorities. The themes and objectives within the plan are:

- Housing and Thriving Communities
  - We will work on a local plan to deliver sufficient housing and adopt that plan by 2023
  - Through our joint ventures and partnerships we will take all available practicable action to increase the supply of affordable homes in the district
  - We will seek to increase the number of Green Flag accredited parks and open spaces
  - We will work towards reducing inequalities, prevent homelessness and encourage healthy lifestyles
  - We will continue to work with partners to tackle crime and anti-social behaviour and secure investment in priority interventions
- Sustainable Environment
  - We will produce and deliver a Climate Change Strategy and action plan
  - We will continue to improve the energy efficiency of the council's buildings
  - We will deliver and implement a Cycling and Walking Strategy

- We will seek to maintain our position as the highest recycling authority in Hertfordshire
- Successful Economy
  - We will undertake a review of the council's role in relation to the economy and agree an economic strategy
  - We will continue to participate in the Hertfordshire Growth Board and South West Herts Partnership and engage the Hertfordshire Local Enterprise Partnership to support the economy
  - Three Rivers will be recognised as a great place to do business
  - We will continue to improve our relationship with the local business community
  - We will continue to support Visit Herts and promote Three Rivers as the home of the internationally significant Warner Bros Studios
- High Performing, Financially Independent Council
  - We will generate enough income to continue to provide services for the district
  - We will develop and deliver an improved Property Investment Strategy to maximise income from our assets and support the Commercial Strategy
  - We will progress our Customer Experience Strategy that provides a range of contact channels for customers and sets out corporate expectations of how they should be treated
  - We will produce an Organisational Development Strategy to support the council in delivering its priorities and objectives

2.4 The Corporate Framework consists of two elements, noted below. For each year of the Framework we will produce a shorter Action Plan, for our customers, to tell them what they can expect us to achieve in that year.

- an introduction that outlines the purpose of the plan and the internal and external influences that have been taken into account during the plan's development, and
- a representation of each of the themes with corresponding objectives

### ***Service Plans***

2.5 Officers will prepare service plans based on the Corporate Framework. These are currently scheduled to be presented to committees in November. The plans will include:-

- Summary of the latest approved budgets
- Human Resource Management
- Organisational Chart
- Performance Management including performance indicators.
- Project Management
- Contracts
- Risk assessment

### ***Financial Plan - Revenue***

- 2.6 The Local Government and Finance Act 2012 brought in fundamental changes to the way in which local government is financed. These changes are designed to stimulate growth but they also transfer more financial risk from central government to local government.
- 2.9 With Government funding reduced and an increasing reliance on generating additional business rates income, then it becomes important for the Council to manage its budgets prudently and services need to continually investigate new initiatives to generate additional sustainable revenue income whilst also looking to realise opportunities to reduce costs.
- 2.10 The Council prepares and monitors a rolling three-year Medium Term Financial Plan (MTFP) consisting of a working budget for the current year and indicative budgets for the following years. This contains budget estimates calculated at a detailed level. The latest budget monitoring report (at end of June – Period 3) is elsewhere on this agenda.
- 2.11 Officers will convert the previous indicative budget for 2022/23 into a detailed plan. They will also add a ‘new’ third year indicative budget to complete the three-year plan for 2022/23 to 2024/25. **Appendix 1** details the assumptions to be used in preparing these detailed budget figures.
- 2.12 Current plans include annual council tax increases of £5.00 for a Band D equivalent in each year of the MTFP.
- 2.13 In determining a budget strategy, the Committee is asked to consider the following financial objectives:-
- a) if any savings already factored into the three-year medium term financial plan are unlikely to be achieved, then equivalent savings must be identified;
  - b) that the Council should aim to balance its budget over the medium term whilst retaining prudent general fund balances of around £2m.
  - c) that any proposals for growth, including those to pump-prime initiatives in the draft strategic plan, should (in the first instance) be matched in service plans by equivalent savings (preferably savings that do not impact on the level of service provided). The scheme used to prioritise revenue and capital growth is shown at **Appendix 2**.

### ***Capital Investment Programme***

- 2.14 The budget monitoring reports provide the current position on progress against the 2021/22 capital investment programme and the resources available for future investment.
- 2.15 Officers will carry out option appraisals on the future capital investment schemes. It is proposed to use the method of prioritising schemes that was applied last year.
- 2.16 Officers should note that schemes that are deemed to be as ‘invest to save’ are likely to be regarded more favourably than those requiring growth in revenue expenditure.
- 2.17 In accordance with the Protocol on Member / Officer Relations, briefings on the strategic, service or financial plans can be requested by party groups.

## **Budget Consultation**

- 2.18 Members are asked to consider whether the Council wishes to carry out any budget consultation, and if so, what form it should take.

### **Timetable**

- 2.19 Attached at **Appendix 3** is the draft timetable. The Strategic and Financial Plans for 2022-2025 will be recommended for adoption to Council on 22 February 2022 by the Policy & Resources Committee resulting from its meeting on 24 January 2022. Final service plans will be approved in March 2022.

## **3. Options/Reasons for Recommendation**

- 3.1 The recommendation, if accepted, allows the planning process to commence.

## **4. Policy/Budget Implications**

- 4.1 The recommendations in this report are within the Council's agreed policy and budgets.
- 4.2 The recommendations in this report do not relate to the achievement of any performance indicators.

## **5. Financial Implications**

- 5.1 There are no changes to the budget or the savings targets already agreed by Members as a result of this report.

## **6. Legal Implications**

- 6.1 The Council must set its budget before 11 March 2022 in accordance with Section 32 (10) of the Local Government Finance Act 1992.
- 6.2 The Council's Chief Financial Officer (Shared Director of Finance) has a statutory duty to report to the Council if it is likely to incur expenditure that is unlawful or likely to exceed its resources.
- 6.3 The Localism Act includes powers to allow local residents to veto through a referendum council tax rises that propose to exceed the limit imposed by Central Government.

## **7. Equal Opportunities Implications**

- 7.1 Relevance Test

Has a relevance test been completed for Equality Impact? <i>There is no proposed change to current policy.</i>	No
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Has a relevance test been completed for Equality Impact?	No
Did the relevance test conclude a full impact assessment as required?	N/A

## **8. Staffing Implications**

- 8.1 Staff and their representatives will be kept fully aware of the consequences of this year's planning process as it evolves.

## 9. Environmental, Community Safety, Public Health, Customer Services Centre, Communications & Website Implications

9.1 None specific.

## 10. Risk and Health and Safety Implications

10.1 The Council has agreed its risk management strategy which can be found on the website at <http://www.threerivers.gov.uk>. In addition, the risks of the proposals in the report have also been assessed against the Council's duties under Health and Safety legislation relating to employees, visitors and persons affected by our operations. The risk management implications of this report are detailed below.

Nature of Risk	Consequence	Suggested Control Measures	Response (tolerate, treat, terminate, transfer)	Risk Rating (combination of likelihood and impact)
Failure to agree the Corporate Framework and Service Plans for implementation from 1 April 2022 and failure to meet statutory deadline for setting a legal budget	The Council does not have a Corporate Framework for 2022/23 and does not legally set a budget	Revert to previous Corporate Framework and MTFP	Tolerate	4

10.2 The above risks are scored using the matrix below. The Council has determined its aversion to risk and is prepared to tolerate risks where the combination of impact and likelihood scores 6 or less.

10.3 In the officers' opinion none of the risks above, were they to come about, would not prejudice the achievement of the existing Strategic Plan and are therefore operational risks. The effectiveness of the management of operational risks is reviewed by the Audit Committee annually.

## 11. Recommendation

11.1 That the assumptions to use in preparing the detailed budgets for the period shown in Appendix 1 be agreed.

11.2 That the scheme used to prioritise revenue & capital growth shown in Appendix 2 be agreed.

11.3 That the draft timetable at Appendix 3 be agreed.

11.4 That the format of any budget consultation if agreed be approved by the Director of Finance in consultation with the Lead Member for Resources.

Report prepared by:  
Nigel Pollard – Section Head Financial Planning

### Data Quality

Data sources: Financial Management system

Data checked by: Alison Scott – Director of Finance

Data rating:

1	Poor	
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2	Sufficient	
3	High	✓

### **Background Papers**

Medium Term Financial Plan 2021-2024

### **APPENDICES**

- 1 Assumptions to be used in preparing budgets
2. Scheme for Prioritising Revenue Growth, Savings and Capital Bids
3. Timetable

**ASSUMPTIONS TO BE USED IN PREPARING BUDGETS**

The following assumptions will be made in preparing the detailed estimates for the three-year medium-term financial plan.

***Employee Costs***

A 1% year on year increase has been assumed however, this is subject to change depending on any update before for final budget setting. A 1% increase is approx. equivalent to an additional budget pressure of £130k. The Council also allows for a 1% vacancy provision.

The employers' pension contributions and national insurance contributions will also be built into the financial projections.

***Parish Precepts***

This is assumed to increase by 3%.

***Other Cost Inflation - Supplies & Services***

As in past years, a cash freeze will be applied to detailed budgets unless there is a contractual agreement (e.g. in fuel prices) to the contrary or there are known increases or demographic pressures – i.e.: unavoidable growth.

***Fees & Charges***

With RPI expected to be averaged at 2.7% for 2022, an increase of **3%** will be factored into the forecast for all fees and charges that are not set by statute. Heads of Service will be asked to review increases in the light of their effect on demand, affordability and vulnerability. Any request to not increase discretionary fees and charges must be supported by a growth bid.

**SCHEME FOR PRIORITISING REVENUE GROWTH, SAVINGS AND CAPITAL BIDS**

Criteria	Revenue Growth		Savings		Capital Bids	
	Score	Description	Score	Description	Score	Description
Measure of Quality of Service	3	Maintaining Current Service	3	Reducing External Service	3	Maintaining Current Service
	6	Improved Internal Service	6	Reducing Internal Service	6	Improved Internal Service
	9	Improved External Service	9	Maintaining Current Service	9	Improved External Service
Customer Impact / Quantity of Service	3	Affects < 10% of residents	3	Affects all residents	3	Affects < 10% of residents
	6	Affects < 50% of residents	6	Affects < 50% of residents	6	Affects < 50% of residents
	9	Affects all residents	9	Affects < 10% of residents	9	Affects all residents
Links to Strategic Plan	2	Contributes to General Theme	2	Contributes to Specific Objective	2	Contributes to General Theme
	4	Contributes to General Aim	4	Contributes to General Aim	4	Contributes to General Aim
	6	Contributes to Specific Objective	6	Contributes to General Theme	6	Contributes to Specific Objective
Impact on Partners (as defined in the Community Strategy)	1	No impact on partner agencies or joint priorities	1	Impacts several partners / priorities	1	No impact on partner agencies or joint priorities
	2	Impacts on 1 partner agency / priority	2	Impacts on 1 partner agency / priority	2	Impacts on 1 partner agency / priority
	3	Impacts several partners / priorities	3	No impact on partner agencies or joint priorities	3	Impacts several partners / priorities
Partnership Funding	1	No Partnership Funding	1	Fully Funded by Partners	1	No Partnership Funding
	2	Partly Funded by Partners	2	Partly Funded by Partners	2	Partly Funded by Partners
	3	Fully Funded by Partners	3	No Partnership Funding	3	Fully Funded by Partners
Equalities	1	No impact on vulnerable groups	1	Impacts several vulnerable groups	1	No impact on vulnerable groups
	2	Impacts on one vulnerable group	2	Impacts on one vulnerable group	2	Impacts on one vulnerable group
	3	Impacts several vulnerable groups	3	No impact on vulnerable groups	3	Impacts on several vulnerable groups
Asset Management	1	Not related to asset maintenance	1	Saving means backlog repair remains	1	Not related to asset maintenance
	2	Allowing asset to continue in use	2	Allowing asset to continue in use	2	Allowing asset to continue in use
	3	Expenditure required to bring asset up to standard enabling service to continue (i.e. an element of 'backlog' repair exists)	3	Not related to asset maintenance	3	Expenditure required to bring asset up to standard enabling service to continue (i.e. an element of 'backlog' repair exists)



Criteria	Revenue Growth		Savings		Capital Bids	
	Score	Description	Score	Description	Score	Description
Statutory/Discretionary Service	1	Entirely Discretionary	1	Entirely Statutory	1	Entirely Discretionary
	2	Partly Statutory	2	Partly Statutory	2	Partly Statutory
	3	Entirely Statutory	3	Entirely Discretionary	3	Entirely Statutory
Contractually Committed	1	No Commitment	When proposing a saving, the net saving, i.e. the saving after any costs of withdrawing from a contract should be used	1	No Commitment	
	2	Moral Obligation (e.g. SLA)		2	Moral Obligation (e.g. SLA)	
	3	Contractually Committed		3	Contractually Committed	
Financial Implications					1	Revenue Cost
					2	Revenue Neutral
					3	Revenue Saving
Invest to Save	6	Return on Investment in 1 Yr			6	Return on Investment in 1 Yr
Will your growth PID repay the original capital investment?	4	Return on Investment in 3 Yr			4	Return on Investment in 3 Yr
	2	Return on Investment in 5 Yr			2	Return on Investment in 5 Yr

**TIMETABLE – CORPORATE FRAMEWORK, SERVICE AND FINANCIAL PLANNING 2022-25**

**APPENDIX 3**

<b>Date</b>	<b>Responsibility</b>	<b>Details</b>
13-Sep-21	Policy & Resources Committee	2021/22 Quarter 1 Budget Monitoring report
01-Oct-21	PIDs for Revenue and Capital growth items closes	All PIDS added to group share folder by this date
w/c 04-Oct-21	PID scoring meeting	PID scores to go to Committees during November
19-Oct-21	Draft Service Plans to CMT	Draft service plans considered by CMT
19 Oct-21	Council	Recommendation from P&R 13 September 2021
01-Nov-21	Policy and Resources Committee	Review draft service plans for 2022-2025. 2021/22 Quarter 2 Performance report. Budget Management report (Quarter 2). PIDs
16 Nov 21	Infrastructure, Housing and Economic Development Committee	
26 Nov-21	Leisure, Environment and Community Committee	
14-Dec-21	Council	2022/23 Council Tax base agreed
24 Jan-22	Policy and Resources Committee	Draft 2022-2025 Medium Term Financial Plan
22-Feb-22	Council	2022-2025 Medium Term Financial Plan approved
22-Feb-21	Council Tax Setting Committee	Council Tax for 2022/23 approved including Parishes, HCC and Police
14-Mar -22	Policy and Resources Committee	Final Service Plans
16-Mar-22	Leisure, Environment and Community Committee	
22-Mar-22	Infrastructure, Housing and Economic Development Committee	
17- May-22	Council	

## POLICY AND RESOURCES COMMITTEE – 13 SEPTEMBER 2021

### PART I - NOT DELEGATED

#### 11. BUDGET MONITORING – Quarter 1 (June) (DoF)

##### 1 Summary

1.1 Budget monitoring report is a key tool in scrutinising the Council's financial performance. It is designed to provide an overview to all relevant stakeholders. It is essential that the council monitors its budgets throughout the year to ensure that it is meeting its strategic objectives and that corrective action is taken where necessary.

1.2 This report seeks approval to a change in the Council's 2021 - 2024 medium-term revenue financial plan. The report shows the Council's overall consolidated medium term financial plan for both revenue and capital.

##### 2 Details

2.1 An overall increase in the Council's budgets requiring the use of balances must be approved by Council. Virements between cost centres within each service are approved by each committee.

##### **Revenue**

2.2 The Council's original net revenue budget for 2021/22 (as approved by Council on 23 February 2021) was £12.759 million. The latest budget including variances reported in March (Period 10 2020/21) and the approved carry forward budgets from 2020/21 is £13.107 million. The forecast outturn at quarter 1 is estimated to be £13.240 million which gives an unfavourable variance compared to the latest budget of **£0.133 million**.

2.3 The table below shows how the forecast outturn has been constructed.

<b>Net Revenue Budget 2021/22</b>	<b>£ million</b>
<b>Original Net Revenue Budget</b>	<b>12.759</b>
Carry Forward from 2020/21 (Outturn report June 2021)	0.448
Variances Previously Approved- March 2021 (Period 10)	(0.100)
Latest Approved Budget	<b>13.107</b>
Variances Reported at Quarter 1 – <i>(to be approved)</i>	0.133
<b>Forecast Outturn</b>	<b>13.240</b>

2.4 The document attached (Budget Management 2020/21 - Annex 1) contains detailed information on the variance and the impact on the Council's medium term financial plan.

## **Capital**

- 2.5 The original budget for 2021/22 was £4.408 million. The latest budget including variances reported in March (Period 10 - 2020/21) and approved rephasings from the 2020/21 outturn report (June 2021) is £6.612 million. The forecast outturn at quarter 1 is estimated to be £6.612 million and therefore a **zero** variance is reported at this time.

The table below shows how the forecast outturn has been constructed.

<b>Capital Investment Programme 2021/22</b>	<b>£ million</b>
<b>Original Budget</b>	<b>4.408</b>
Rephasing from 2020/21	1.365
Variances Previously Approved- March 2021 (Period 10)	0.839
<b>Latest Approved Budget</b> (Council February 2021)	<b>6.612</b>
Variances Reported at Quarter 1 ( <i>to be approved</i> )	0
<b>Forecast Outturn</b>	<b>6.612</b>

- 2.6 The document attached (Budget Management 2021/22 - Annex 1) contains detailed information on the variance and the impact on the Council's medium term financial plan.

### **3. Options/Reasons for Recommendation**

- 3.1 The recommendations below enable the Committee to make recommendations to Council concerning their budget.

### **4. Policy / Budget Reference and Implications**

- 4.1 In accordance with the Council's financial procedure rules, if the recommendations are accepted, this will amend the Council's budgets.

- 4.2 There are no substantial changes to Council policy resulting from this report.

### **5. Legal, Equal Opportunities, Staffing, Environmental, Community Safety, Customer Services Centre, Communications, Health & Safety & Website Implications**

- 5.1 None specific.

### **6. Financial Implications**

- 6.1 The following revenue and capital variations have been identified for all service committees at Quarter 1.

<b>Variance</b>	<b>2021/22 £</b>	<b>2022/23 £</b>	<b>2023/24 £</b>
<b>Revenue</b> - (Favourable)/ Unfavourable	132,951	305,800	288,800
<b>Capital</b> - Increase / (Decrease)	0	0	0

## **7. Risk Management Implications**

- 7.1 The Council has agreed its risk management strategy.
- 7.2 In the officers' opinion none of the risks above, in isolation, were they to come about, would seriously prejudice the achievement of the Corporate Plan and are therefore operational risks that will be included and managed via the Corporate Services Service Plan. The effectiveness of treatment plans are reviewed by the Audit Committee.

## **9. Recommendation**

To Council:

- 9.1 That the revenue and capital budget variations as shown in the table at paragraph 6.1 be approved and incorporated into the three-year medium-term financial plan.

Report prepared by:

Temi Opeyemi - Finance Manager Financial Planning & Analysis

Checked by:

Nigel Pollard –Section Head Financial Planning & Analysis

### **Background Papers**

Budget setting recommendations - Council 23 February 2021.

Period 10 Budget Management report - Policy and Resources Committee 8 March 2021.

Outturn 2020/21 report - Policy and Resources Committee 14 June 2021

### **ATTACHMENTS**

Annex 1 – Budget Management 2021/22 Quarter 1

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# Budget Management 2021/22

## Quarter 1 (End of June)



## **Budget Monitoring Summary**

Budget monitoring report is a key tool in scrutinising the Council's financial performance and is designed to provide an overview to all relevant stakeholders. It is essential that the council monitors its budgets throughout the year to ensure that it is meeting its strategic objectives within its resource limits and, where necessary, corrective action is taken. A key principle of budgetary control is to align the budget holders' financial responsibilities and their management responsibilities.

This report shows the expected financial position (forecast outturn) over the 3 year medium term based on the Council's actual financial performance at the end of June 2021 set against the latest budget.

## **Revenue Summary**

The original 2021/22 budget as approved by Council 23 February 2021 was **£12.759 million**. The latest budget which totals **£13.107 million** includes the variances previously reported in March 2021 (Period 10 Budget Monitoring) and June 2021 (2020/21 Outturn report).

The forecast outturn at Quarter 1 is estimated to be **£13.240 million** giving an unfavourable variance of **£0.133 million**. The main variances are shown below.

		£
1	<b><u>Development Management</u></b> The trend for the first quarter of the year suggests that there will be a reduction of in planning application income. It is assumed that 70% will be recoverable from the Governments loss of income guarantee scheme.	102,650
2	<b><u>Decriminalised Parking</u></b> Reduction in income due to the Covid 19 restrictions have been in place since April and is expected to end in July. It is assumed that 70% will be recoverable from the Governments loss of income guarantee scheme.	91,800
3	<b><u>Community Safety</u></b> Additional budget to fund Equalities and Hate crime with regards to the resettlement of refugees.	20,000
4	<b><u>Leisure Venues</u></b> Due to the continuing effects of the Covid 19 pandemic an agreement has been made with the leisure operator that the annual management fee will not be payable to the Council for 2021/22. In addition, the Council has agreed a potential one off payment to the operator to support its financial situation due to the pandemic. It is assumed that 70% of the management fee (£622k) will be recoverable from the Governments loss of income guarantee scheme.	793,230
5	<b><u>Watersmeet</u></b> Decrease in income due to reduced number of shows, this is partly offset by reduction in expenditure as a result of the ongoing restrictions.	59,395
6	<b><u>Miscellaneous Income &amp; Expenditure</u></b> Income from the Governments loss of income guarantee scheme, which has been extended into 2021/22 due to the on-going effects of the pandemic.	(571,739)
	An additional income has been received from the Governments Covid 19 emergency funding for 2021/22 due to the continuation of additional costs arising from the pandemic.	(389,694)
7	<b><u>Waste Management</u></b> Additional budget is required to fund a supplement for HGV drivers due to a lack of availability of drivers, this will bring the salary in line with the market. The increase will continue in future years.	77,000
8	<b><u>Recycling Kerbside</u></b> Previously advised by HCC that no AFM income for 2020/21 will be forthcoming however, the Council has now been informed that it will receive £118k.	(118,611)
	Other Variances below £20k	68,920
	<b>Total Variance</b>	132,951



## **Capital**

The original 2021/22 capital budget as approved by Council on 23 February 2021 was **£4.408 million**. The latest budget which totals **£6.612 million** includes the variances previously reported in March 2021 (Period 10 Budget Monitoring) and June 2021 (2020/21 Outturn report).

The forecast outturn at quarter 1(June) provided by the services is unchanged at **£6.612 million**.

## **Reserves**

The potential effect of both the revenue and capital variances upon on each reserve at summary level is shown in the table below. A list of reserve balances is shown at **Appendix 9**.

<b>Description</b>	<b>Balance at 1 April 2021</b>	<b>Movement</b>	<b>Balance at 31 March 2022</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
Capital Reserves	(6,168)	4,298	(1,870)
Earmarked Reserves	(7,698)	(144)	(7,842)
Economic Impact Reserve	(1,803)	0	(1,803)
General Fund	(5,210)	1,113	(4,097)
<b>Total</b>	<b>(20,879)</b>	<b>5,267</b>	<b>(15,612)</b>

A glossary of financial terms is shown at **Appendix 10**

## 1.0 Revenue Budget

- 1.1 The Council's latest approved services budget (excluding corporate budgets) is **£11.011 million**. The forecast outturn is now estimated to be **£11.144 million** which results in a service variance of **£0.133 million**.
- 1.2 The table below compares the original budget, latest budget, the forecast outturn and the variance against each Committee. It also shows spend to date up to the end of June 2021 (Q1). The position of each cost centre by committee is shown at **Appendix 1** with the explanation of the variances by committee at **Appendix 2**.

2021/22 Revenue Account – General Fund Summary					
		(A)		(B)	(B – A)
Committee	Original Budget	Latest Budget	Net Spend to Date	Forecast Outturn	Variance
	£000	£000	£000	£000	£000
Leisure, Environment and Community	4,419	4,535	(399)	5,422	887
Infrastructure, Housing and Economic Development	1,504	1,609	201	1,809	200
Policy & Resources	4,790	4,867	2,875	3,912	(955)
<b>Total Service Budgets</b>	<b>10,713</b>	<b>11,011</b>	<b>2677</b>	<b>11,144</b>	<b>133</b>
Corporate Costs (Interest Earned/ Paid), Parish Precepts and Transfer to Reserves	2,046	2,096	1,043	2,096	0
<b>Net General Fund</b>	<b>12,759</b>	<b>13,107</b>	<b>3,720</b>	<b>13,240</b>	<b>133</b>

## Government Funding

- 1.3 For 2021/22 the Council has received £398k from the Governments Covid19 emergency funding.
- 1.4 A further £2.8 million in restart grants to enable local authorities to support their communities to re-open safely following the lifting of restrictions. The Council acts as a conduit for these grants which do not form part of the Council's budget figures.
- 1.5 The Government announced that their income loss guarantee scheme will continue into 2021/22 and the Council will be submitting a claim to recover 70% of income lost through sales, fees and charges. As restrictions were lifted in July, it is difficult to ascertain what level of support the Government is likely to provide to Local Government after this. There is also further impact that the Council may face due to a rise in infections, however this will be quantified as it becomes known.

## Revenue Reserve Position

- 1.6 The continuing effect of the Covid19 pandemic on the Councils finances for 2021/22 is shown in the table below. It is considered that the net impact is met from the general fund reserve at this stage. The Economic Impact reserve has an unused balance of £1.8 million.

	£
Quarter 1 variances due to Covid 19	981,075
<i>Funded from:</i>	
Government C19 Emergency Funding	(389,694)
Government C19 Loss of Income guarantee scheme (Expected)	(571,739)
<b>Net Impact</b>	<b>19,642</b>

- 1.7 The effect of all Quarter 1 variances on the Councils General Fund Reserve over the medium term is shown below.

Movement on General Fund Balance	2021/22			2022/2023	2023/24
	Original	Latest Budget	Outturn	Latest	Latest
	£	£	£	£	£
Balance Brought Forward at 1 April	(4,482,894)	(5,210,222)	(5,210,222)	(4,097,073)	(3,229,512)
Revenue Budget (Surplus)/Deficit for Year	632,369	980,198	1,113,149	867,561	408,524
<b>Closing Balance at 31 March</b>	<b>(3,850,525)</b>	<b>(4,230,024)</b>	<b>(4,097,073)</b>	<b>(3,229,512)</b>	<b>(2,820,988)</b>

A prudent minimum general fund balance of £2 million is considered appropriate.

### Staff Vacancy Monitoring

- 1.8 A major risk of non-delivery of service is where key staff leave the Council's employ and there is a delay or difficulty in recruiting suitable candidates to fill the vacant post. The table below summarises the level of vacancies at the end of June 2021 with a detailed analysis provided by HR at **Appendix 3**.

Committee	No of Vacancies
Infrastructure, Housing and Economic Development	2
Leisure, Environment & Community	11
Policy & Resources	22
<b>Total</b>	<b>35</b>

- 1.9 The percentage of vacant posts at the end of the first quarter is 9.81% when compared against the total number of 377 Council posts. Although there are 37 vacant posts this equates to 35 FTE's as some posts are part time. In some cases, vacant posts will be covered by agency staff to ensure service delivery.

### Investment Portfolio

- 1.10 The Council's Property Investment Board was allocated up to a total of £20 million in 2017 to invest in acquiring property with a specific remit of achieving a 5% return (yield) on the investment. The table below shows those properties that the Council has acquired, the 2021/22 receivable rent and the yield. The governance of property investments is covered in the Property Investment Strategy.

Investment Property	2021/22 rent £000	Total cost of property £000	Yield %	Comments
Nottingham	(186)	4,469	4.16%	Acquisition of freehold interest located in the city centre of Nottingham let to commercial tenants, for a combined rental of £227,600pa on a 10 year lease from Feb 2018 which is subject to upward only rent reviews in Feb 2023. Due to financial difficulties which a number of high street brands have encountered, one tenant company are now under a Company Voluntary Agreement (CVA). Effective from the 2/9/20 to 8/4/2023, paying only a concessionary rent of £12,000 pa as oppose to the contracted rent of £60,000 pa. Additional rent may be charged quarterly, based on the difference between 11% of quarterly turnover and the quarterly concessionary rent. Turnover certificates are provided quarterly. Barclays Bank plc & Robinson Webster (Holdings) Limited contain a tenant only break clause, effective 26th February 2023 on six months minimum notice.
Norwich	(450)	7,169	6.28%	Acquisition of a freehold interest located in the city centre of Norwich. Let to commercial sitting tenants for 20 year lease from December 2007. The rent due for 2021/22 is £450,000. The rent is reviewed annually in line with RPI, with a collar and cap arrangement of 3% and 5% respectively.
Lincoln Drive (South Oxhey)	(161)	2,740	5.88%	The purchase of a Temporary Accommodation hostel at Lincoln Drive, South Oxhey. This comprises of 20 units with a mixture of 1, 2 and 3 bedrooms. This represents the net rent after the deduction of the management fee payable to Watford Community Housing which includes voids and the provision for bad debts.
The Grapevine	(187)	0	0.00%	A joint venture development with Watford Community Housing on the ex-public house site 'The Grapevine'. Loan facilities provided by TRDC to Three Rivers Homes Ltd comprises of £5.182M with an interest payment of £187k.
<b>Total</b>	<b>(984)</b>	<b>14,378</b>	<b>5.44%</b>	<b>Average</b>

## 2.0 Capital Programme

- 2.1 The Council's capital programme has been designed to support and enhance its core services and priorities. The Council's Medium Term Capital Investment Programme is shown by scheme by each Committee at **Appendix 4** and includes variances and commentary from officers. **Appendix 5** is blank as there are no variances to summarise for quarter 1.
- 2.2 The latest capital budget including re-phasing from 2020/21 is **£6.612 million**. The forecast outturn for capital expenditure by Services at quarter 1 remains as budget. Services have indicated that at present, all budgets would be fully spent and there are no variances to report.
- 2.3 The table below shows the 2021/22 original budget, latest budget, forecast outturn, spend to date and variance for Quarter 1.

Committee	Original Budget £000	Latest Budget £000	Spend to Date £000	Forecast Outturn £000	Variance £000
Leisure, Environment and Community	1,307	2,197	40	2,197	0
Infrastructure, Housing and Economic Development	1,377	1,791	142	1,791	0
Policy & Resources	1,497	1,939	133	1,939	0
<b>Total Service</b>	<b>4,181</b>	<b>5,927</b>	<b>315</b>	<b>5,927</b>	<b>0</b>
<b>Major Projects</b>					
<i>South Oxhey Initiative</i>	0	12	0	12	0
<i>Temporary Accommodation</i>	0	92	0	92	0
<i>Property Investment</i>	0	312	38	312	0
<i>Leisure Facility at South Oxhey</i>	227	269	0	269	0
<b>Total Capital</b>	<b>4,408</b>	<b>6,612</b>	<b>353</b>	<b>6,612</b>	<b>0</b>

- 2.4 As at the end of quarter 1, the total spend totalled £0.353 million and represents 5.34% of the latest budget.
- 2.5 The capital programme is mainly supported by three income streams; capital receipts (derived from the sales of assets), grants and contributions, and the use of reserves. In addition the Council may prudentially borrow to fund its capital programme. Decisions on borrowing (amount and duration) will be taken when the need arises. Funding of the capital investment programme over the medium term is shown at **Appendix 6**.

## 3.0 Key Risk Areas

- 3.1 Resources are allocated in the revenue and capital budgets to support the achievement of The Council's corporate plan. The Council's budget is exposed to risks that can potentially impact on service level provision. The key risks highlighted as part of this quarters monitoring are;

- **COVID-19**

The Pandemic has had a widespread impact on local authority spending throughout the country and has been particularly significant for district councils. Although the restrictions were lifted in July, the current rising infection rates means that there may be further lockdowns imposed. The Council is in the process of implementing its recovery strategy.

- **Leisure Management Contract**

It has been agreed with the operator that no management fee income will be received for 2021/22, however, this will be recoverable over the life of the contract, although no specific time frame has been agreed.

• **Business Rates & Council Tax**

The Government has made funding available both for the additional Retail, Hospitality and Leisure reliefs given to business rate payers and the additional support for those of working age who are entitled to Council Tax Relief Support(CTRS). However these reliefs are not expected to completely mitigate the impacts of COVID-19 on Council Tax and NDR. Any impact on collection rates will feed through the Collection Fund to impact on council spending power in 2021-22.

The table below shows the impact on collection rates in the first three months of this year.

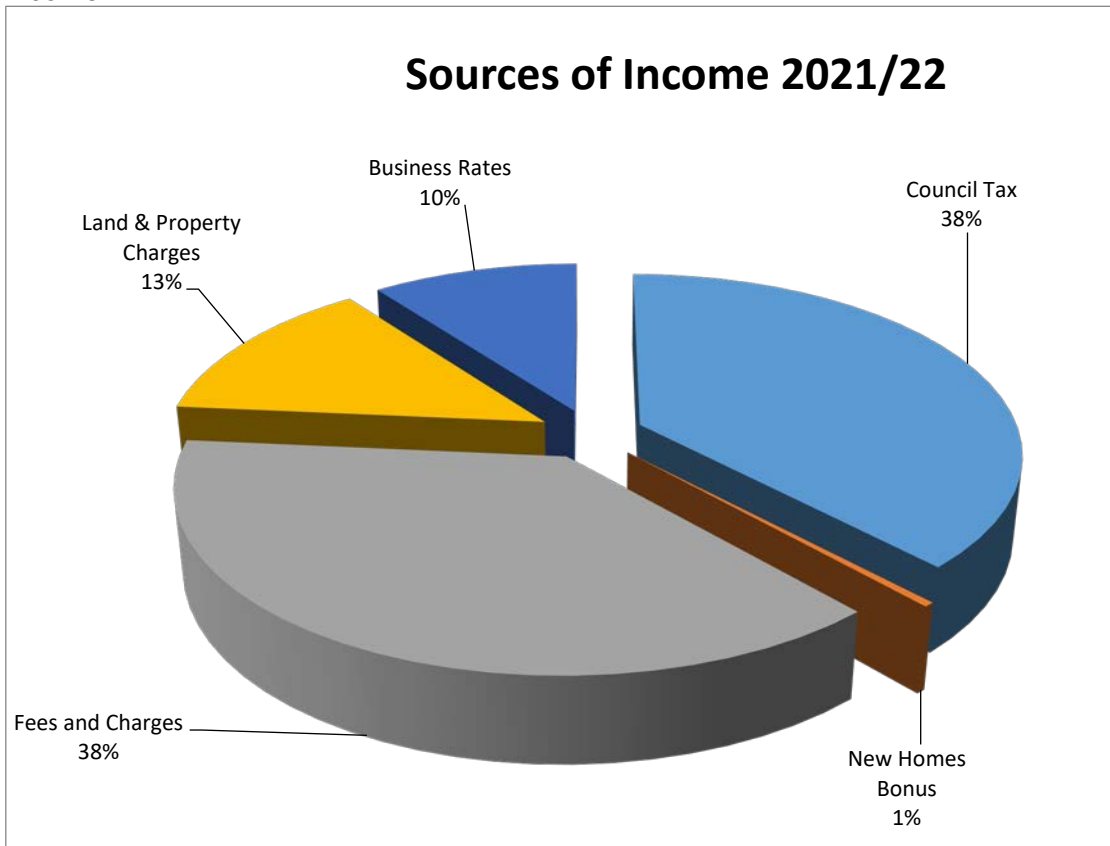
Fund	Q1 2021/22 Target	Q1 2021/22 Actual	Difference
Council Tax	30.4%	30.1%	-0.30%
Business Rates (NDR)	33.8%	33.05%	-0.75%

The council has experienced an increased number of working age people applying for CTRS as a result of increasing unemployment. The Government that deficits on the collection fund can be recovered over 3 years.

3.2 The Council’s overall key financial risk matrix is shown at **Appendix 7**. These are reported and monitored and reviewed by the Council’s Audit Committee on a quarterly basis. The latest matrix was presented to the Audit Committee on 8 July 2021.

**4.0 Council Income**

4.1 The chart below shows the amount of income for each source as a percentage of total income.



4.2 Particular income generating items can fluctuate depending on the economic climate, popularity and affordability. The main risks that are considered the most critical and their financial position are shown in the table below. It should be noted that the income receivable from the Planning Services and Parking Enforcement are not linear and are subject to peaks and troughs throughout the financial year.

- 4.3 Environmental Services, trade waste is invoiced to customers half yearly in April and October and garden waste for existing customers is charged for in one instalment at the beginning of the financial year.
- 4.4 Garage rents are charged on a weekly basis and most are collected by a monthly direct debit. Licensing income relates licences which are issued on a 3 or 5 year basis.

Service	Income Stream	2021/22 Original Budget £	2021/22 Latest Budget £	2021/22 Actual to date £	2021/22 Forecast Outturn £	2021/22 Variance £
Regulatory Services	Application Fees	(696,420)	(696,420)	(122,778)	(593,770)	102,650
	Licenses	(234,040)	(234,040)	(66,925)	(234,020)	0
Parking	Penalty Charge Notices	(115,000)	(115,000)	(12,558)	(82,616)	32,384
	Pay and Display	(220,000)	(220,000)	(32,668)	(175,337)	44,663
Environmental Protection	Trade Refuse	(771,660)	(771,660)	(369,044)	(771,660)	0
	Garden Waste	(1,102,100)	(1,102,100)	(1,085,892)	(1,102,100)	0
	Clinical Waste	(115,850)	(115,850)	(50,070)	(115,850)	0
	Cemeteries	(196,580)	(196,580)	(57,098)	(196,580)	0
Property Services	Garages	(976,830)	(976,830)	(219,021)	(976,830)	0
	Shops	(210,000)	(210,000)	(77,681)	(210,000)	0
	Investment Properties	(1,000,000)	(1,000,000)	(297,473)	(1,000,000)	0

Further details on the Council's key budget indicators for revenue service income streams (including volumes and trends) are shown at **Appendix 8**.

## 5.0 Debtors (invoicing)

- 5.1 The Council charges its customers for various services by raising debtor invoices. If the debt remains outstanding, then a variety of recovery methods are employed including rearranging the payment terms, stopping the provision of the service or pursuing the debt through the legal recovery process.
- 5.2 As at the end of quarter 1 2021, the total outstanding debt was £0.564 million. This is equivalent to 2.32% of total budgeted income of £24.3million. Debts less than a month old total £0.348 million (61.7% of total debt) and it is considered that this sum will be recovered. Outstanding debt over a year old is £0.065 million (11.52% of the total debt) which mainly relate to unpaid rent on Temporary Accommodation. The Council's debt recovery team will continue to chase these debts and initiate payment plans (instalments) wherever possible.

The table below shows a summary of the outstanding debt by the three main aged categories.

Aged debt	Services	Under 1 Month	Over 1 Month to year	Over a year	Total
Committee		£	£	£	£
Leisure, Environment & Community	Community Safety Partnership	208,400	40,700	0	<b>249,100</b>
	Environmental Services	11,880	33,972	5,298	<b>51,150</b>
	Leisure	1,478	704	0	<b>2,182</b>
Infrastructure, Housing and Economic Development	Housing- Temporary Accommodation	6,662	36,532	42,530	<b>85,724</b>
	Planning	27,912	1,326	12	<b>29,250</b>
Policy & Resources	Legal & Property	90,233	1,942	7,018	<b>99,183</b>
	Insurance	0	332	25	<b>357</b>
	Others	1,928	34,527	10,499	<b>46,954</b>
<b>Total</b>		<b>348,483</b>	<b>150,035</b>	<b>65,382</b>	<b>563,900</b>

## **6.0 Treasury Management**

- 6.1 The Council has managed its cash flows and adhered to its Treasury Management policy during the pandemic. The interest earned on the investments made by the Council supports the funding of the services it provides. The Council set an original budget of £90,000 on short-investment interest for 2021/22. It is anticipated that this target may be too high in the current climate. This will be reviewed at quarter 2 (end of September) when the economy is expected to be in recovery.

## **APPENDICES**

- Appendix 1 Medium term revenue budget by Committee and Services
- Appendix 2 Explanations of revenue variances reported this Period
- Appendix 3 Staff Vacancies
- Appendix 4 Medium term capital investment programme
- Appendix 5 Explanations of capital variances reported this Period
- Appendix 6 Funding the capital programme
- Appendix 7 Budgetary risks
- Appendix 8 Key Budget Indicators- Income streams
- Appendix 9 Reserves
- Appendix 10 Glossary of Terms

Medium Term Revenue Budget by Committee and Services

Leisure, Environment & Community										
<i>Community Safety &amp; Partnership</i>	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Citizens Advice Bureaux	303,340	303,340	0	303,340	0	303,340	0	303,340	0	Q1 grant will be paid imminently
Community Development	4,500	4,500	(229,503)	4,500	0	4,500	0	4,500	0	Actuals includes grant income of £206k that will be spent in the year.
Community Safety	245,100	250,020	(15,525)	270,020	20,000	246,650	0	246,650	0	Budget for Equalities and Hate crime with regards to the resettlement of refugees. Grant monies received in advance of spend
Corporate Climate Change	93,490	173,740	17,400	173,740	0	94,090	0	94,090	0	
Community Partnerships	197,340	197,340	22,183	197,340	0	197,340	0	198,610	0	
Env Health - Commercial Team	209,790	209,790	0	209,790	0	209,790	0	209,790	0	Contract with Watford is billed half yearly.
Licensing	(107,050)	(107,050)	(42,916)	(107,050)	0	(105,680)	0	(105,470)	0	
Community & Leisure Grant	80,000	80,000	19,659	80,000	0	80,000	0	80,000	0	
<b>Total</b>	<b>1,026,510</b>	<b>1,111,680</b>	<b>(228,702)</b>	<b>1,131,680</b>	<b>20,000</b>	<b>1,030,030</b>	<b>0</b>	<b>1,031,510</b>	<b>0</b>	



Leisure	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Community Arts	9,910	9,910	(4,442)	9,910	0	9,910	0	9,910	0	Actuals include grant income to be utilised in 2021/22
Watersmeet	56,170	56,170	(45,358)	115,565	59,395	74,075	0	64,995	0	Reduced income due to reduced number of shows/sales anticipated, offset by the receipt of CRF grant of £87.5k, further reduced by a reduction in expenditure includes Box Office of £33.6k, Panto Materials £28K, Catering £9.5k as a result of reduction in number of event in first part of the year, temporary staff of £7k and Utilities of £3k. This is offset by an increase in Advertising expenditure as part of the CRF grant to maximise Recovery.
Leavesden Ymca	(35,000)	(35,000)	(8,750)	(35,000)	0	(35,000)	0	(35,000)	0	Income is received quarterly.
Active Community Devel Fund	41,900	41,900	118	41,900	0	41,900	0	41,900	0	
Oxhey Hall	(3,000)	(3,000)	(750)	(3,000)	0	(3,000)	0	(3,000)	0	Income is received quarterly.
Trees And Landscapes Museum	374,600	374,600	48,856	374,600	0	376,410	0	378,170	0	
	(700)	(700)	0	(700)	0	(700)	0	(700)	0	
Playing Fields & Open Spaces	46,365	50,795	44,890	66,495	15,700	46,305	0	46,415	0	Water rates - utility company catching up on their billing, over the years and additional expenditure due to previous estimated billing
Play Rangers	54,780	54,780	10,091	54,780	0	54,780	0	54,080	0	
Aquadrome	16,480	16,480	18,382	28,680	12,200	16,390	0	16,550	0	increase of budget requested to cover cost of running the generator to the ski club and toilets (£12.2k) this will be reviewed in September when works to provide electricity should be resolved and replacement of Aquadrome gate (£5K)
Leisure Venues	(605,910)	(605,910)	0	187,320	793,230	(635,480)	142,000	(652,480)	125,000	Income reduced by £622k due to no SLM Management fee payable in 2021/22 and payments to Rickmansworth Golf Course £75k and cost of Covid 19 Net support.
Leisure Development	255,290	255,290	54,245	255,290	0	255,980	0	256,410	0	
Play Development - Play schemes	60,300	60,300	(12,447)	60,300	0	60,300	0	60,300	0	Actuals Income received in advance of commencement of summer play schemes
Sports Devel-Sports Projects	26,700	26,700	2,162	26,700	0	26,700	0	26,700	0	
Croxley Green Skateboard Park	17,580	17,580	2,139	17,580	0	17,580	0	17,580	0	
Leisure & Community Services	133,070	133,070	34,079	133,070	0	130,120	(2,720)	144,430	(2,720)	Budgets transferred from temporary staff, long term compensation and stationery to Professional fees budget to assist in analysis of SLM submissions and submissions to Leisure Recovery Fund. Long Term Compensation Budget no longer required going forwards.
Grounds Maintenance	706,590	706,590	153,110	706,590	0	709,080	0	710,820	0	
<b>Total</b>	<b>1,155,125</b>	<b>1,159,555</b>	<b>296,325</b>	<b>2,040,080</b>	<b>880,525</b>	<b>1,145,350</b>	<b>139,280</b>	<b>1,137,080</b>	<b>122,280</b>	

<i>Environmental Services</i>	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Refuse Domestic	(18,560)	(18,560)	5,775	(18,560)	0	(18,560)	0	(18,560)	0	
Refuse Trade	(203,240)	(203,240)	(368,721)	(203,240)	0	(208,480)	0	(208,480)	0	Invoices to businesses are raised twice a year, the first instalment has already been raised. Still awaiting 1st quarter invoices for waste disposal charges
Recycling General	(12,250)	(12,250)	(651)	750	13,000	750	13,000	750	13,000	Income reduced due to on-going international Covid restrictions and price in HWP contract being reviewed
Garden Waste	(312,780)	(293,080)	(995,295)	(293,080)	0	(295,860)	0	(283,900)	0	Income received at start of financial year
Clinical Waste	(47,110)	(47,110)	(42,946)	(41,110)	6,000	(41,110)	6,000	(41,110)	6,000	Increased disposal costs from HCC
Recycling Kerbside	(90,790)	(90,790)	62,325	(209,401)	(118,611)	(90,790)	0	(90,790)	0	Previously advised by HCC that there would be no AFM payments for 2020/21, however, they have now advised that we will receive £118k.
Abandoned Vehicles	250	250	0	250	0	250	0	250	0	
Pest Control	75,000	75,000	0	75,000	0	75,000	0	75,000	0	Invoice for first half of the year yet to be received
Environmental Maintenance	25,970	25,970	729	25,970	0	25,980	0	25,980	0	
Animal Control	57,250	57,250	12,806	57,250	0	57,250	0	57,250	0	
Cemeteries	(182,460)	(182,460)	(43,680)	(180,960)	1,500	(182,430)	0	(182,530)	0	Variance is due to external Legal Advice re Burial rights
Environmental Protection	380,830	380,830	102,972	380,830	0	380,860	0	383,490	0	Budget will be spent
Spot-Batch worth	28,160	28,160	27,999	28,160	0	28,260	0	28,700	0	Budgets for rates fully spent.
Waste Management	2,001,010	2,006,890	678,876	2,091,890	85,000	2,122,430	131,000	2,112,730	131,000	Increase in budget of £8k for 2021/22 and £16k going forwards required for Agency Staff to cover costs of the increasing holiday allowances. Additional budget increase required of £77k for 2021/22 and going forward to fund a market forces supplement for HGV drivers due to a lack of availability of drivers, this will bring the salary in line with the market.
Environmental Maintenance	536,410	536,410	101,936	536,410	0	535,230	0	537,240	0	
<b>Total</b>	<b>2,237,690</b>	<b>2,263,270</b>	<b>(466,855)</b>	<b>2,250,159</b>	<b>(13,111)</b>	<b>2,388,780</b>	<b>150,000</b>	<b>2,396,020</b>	<b>150,000</b>	
<b>Total Leisure Environment &amp; Community</b>	<b>4,419,325</b>	<b>4,534,505</b>	<b>(399,233)</b>	<b>5,421,919</b>	<b>887,414</b>	<b>4,564,160</b>	<b>289,280</b>	<b>4,564,610</b>	<b>272,280</b>	

Infrastructure Housing & Economic Development										
Housing	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Housing Services Needs	483,720	483,720	137,403	483,720	0	490,150	0	493,350	0	
Rent Deposit Guarantee Scheme	5,110	5,110	850	5,110	0	5,110	0	5,110	0	
Homelessness General Fund	(80,770)	(80,770)	(92,583)	(80,770)	0	(80,770)	0	(80,770)	0	Actuals includes ring-fenced grant income received in the year.
Housing Associations	(5,000)	(5,000)	0	(5,000)	0	(5,000)	0	(5,000)	0	Lease income for Wensum Court - charged 1/2 yearly
Env Health - Residential Team	116,440	116,440	33,417	116,440	0	117,130	0	117,150	0	
<b>Total</b>	<b>519,500</b>	<b>519,500</b>	<b>79,087</b>	<b>519,500</b>	<b>0</b>	<b>526,620</b>	<b>0</b>	<b>529,840</b>	<b>0</b>	
Infrastructure & Planning Policy	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Land & Property Info Section	6,570	6,570	558	6,570	0	7,630	0	7,750	0	
Street Naming & Numbering	7,130	7,130	1,725	7,130	0	7,130	0	7,130	0	
Environmental Initiatives	47,470	47,470	69	47,470	0	47,470	0	47,470	0	
Development Management	74,490	93,520	41,672	202,100	108,580	89,490	5,930	94,980	5,930	Budget of £6k no longer required for Planning Condition Fees as now included in planning application budgets. Based on the current income trends in quarter, it is estimated that there may be a reduction of £102k in planning application income . It is acknowledged that Covid may continue to play a role in application numbers and subsequently income as will future Government decisions on permitted development and the progress of the local plan.
Director Community & Env Servs	130,650	130,650	33,773	130,650	0	130,550	0	130,590	0	
Development Plans	346,090	377,940	(29,681)	377,940	0	308,310	0	309,760	0	Actuals includes grant income received that will be spent throughout the year.
Bedfordshire Building Control	(10,147)	(10,147)	(16,501)	(10,147)	0	(9,487)	0	(9,487)	0	
<b>Total</b>	<b>602,253</b>	<b>653,133</b>	<b>31,616</b>	<b>761,713</b>	<b>108,580</b>	<b>581,093</b>	<b>5,930</b>	<b>588,193</b>	<b>5,930</b>	

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<i>Economic Development</i>	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Energy Efficiency	19,500	19,500	0	19,500	0	19,500		19,500		
Sustainability Projects	6,000	6,000	0	4,500	(1,500)	4,500	(1,500)	4,500	(1,500)	Budget Virements to 1408 Sustainable Travel Schemes to pay for annual Lift share and Interlink costs
Car Parking Enforcement	50,250	78,870	(50,988)	170,670	91,800	50,250	0	50,250	0	Parking income for the 1st quarter is lower than the budget set, this is to be expected given the restrictions have been in place since April and is expected to end in July. It has been estimated that we will see a reduction in the overall income budget. Officers are currently anticipating a reduction in income of circa £90k. Awaiting Q1 invoice from parking contractor
Car Parking-Maintenance	114,460	114,460	101,835	114,460	0	115,070	0	96,690	0	
Dial A Ride	40,000	40,000	0	40,000	0	40,000	0	40,000	0	This is invoiced every 6 months.
Sustainable Travel Scheme	0	26,160	35,986	27,660	1,500	1,500	1,500	1,500	1,500	Budget Virements from 1234 Sustainability Projects to pay for annual Lift share and Interlink costs
Better Buses Fund	93,359	93,359	0	93,359	0	93,359	0	93,359	0	
Public Conveniences	4,200	4,200	3,600	4,200	0	4,200	0	4,200	0	
GIS Officer	54,300	54,300	0	54,300	0	54,300	0	54,300	0	Recruitment process ongoing
<b>Total</b>	<b>382,069</b>	<b>436,849</b>	<b>90,433</b>	<b>528,649</b>	<b>91,800</b>	<b>382,679</b>	<b>0</b>	<b>364,299</b>	<b>0</b>	
<b>Total Infrastructure Housing &amp; Economic Development</b>	<b>1,503,822</b>	<b>1,609,482</b>	<b>201,136</b>	<b>1,809,862</b>	<b>200,380</b>	<b>1,490,392</b>	<b>5,930</b>	<b>1,482,332</b>	<b>5,930</b>	

Policy & Resources										
Resources & Shared Services	Original Budget 2021/22	Latest Budget 2021/22	Spend to Date	Forecast Outturn 2021/22	Variance @ Q1	Forecast 2022/23	2022/23 Variance	Forecast 2023/24	2023/24 Variance	Officer Comments
	£	£	£	£	£	£	£	£	£	
Director Of Finance	70,610	70,610	28,402	70,610	0	70,610	0	71,790	0	Quarter 1 invoice to Watford raised and income received
Communication	124,110	174,110	22,913	174,110	0	125,170	0	125,290	0	
Legal Practice	372,740	372,740	108,013	372,740	0	376,350	0	378,770	0	
Committee Administration	175,990	175,990	45,746	198,320	22,330	180,940	0	181,280	0	Budget Virements from 1208 CSC to cover 50% of Committee Manager post
Office Services	240,810	240,810	35,798	228,810	(12,000)	232,810	(8,000)	232,810	(8,000)	Reduction in Income of £1k due to no room booking at the present time, this is offset against a reduction in expenditure on Print Fleet and Main print room equipment has been upgraded and streamlined. Annual saving £5K. Upgrade to franking machine - Annual saving £3K,
Elections & Electoral Regn	129,420	129,420	34,700	129,420	0	129,420	0	130,650	0	
Finance Services	456,420	456,420	147,390	456,420	0	457,280	0	458,350	0	
Revs & Bens Management	38,570	38,570	9,604	38,570	0	36,250	0	36,250	0	
Fraud	82,840	82,840	23,022	82,840	0	82,840	0	82,840	0	
Chief Executive	176,060	176,060	43,555	176,060	0	176,060	0	176,060	0	
Performance Mgt & Scrutiny	47,770	47,770	12,859	47,770	0	47,770	0	47,770	0	
Debt Recovery	200,230	200,230	46,631	200,230	0	201,610	0	202,980	0	
Three Rivers House	366,190	385,590	236,863	388,590	3,000	366,000	0	359,260	0	Additional budget required due to Fire suppression system
Basing House	(10,230)	(10,230)	2,043	(10,230)	0	(10,340)	0	(10,140)	0	Tenant income charged on a monthly basis
Officers' Standby	6,140	6,140	0	6,140	0	6,140	0	6,140	0	This is paid at the year end
Finance Client	98,350	98,350	33,478	98,350	0	126,410	0	126,530	0	
Business App Maintenance	226,200	226,200	201,147	226,200	0	226,200	0	226,200	0	
ICU Client	751,638	835,638	8,668	835,638	0	755,542	0	757,131	0	Awaiting Shared services invoice for Quarter 1 from WBC.
Internal Audit Client	71,460	71,460	0	71,460	0	71,460	0	71,460	0	
Fraud Client	2,690	2,690	0	2,690	0	2,690	0	2,690	0	
Insurances	353,220	353,220	352,196	353,220	0	353,220	0	353,220	0	
Debt Recovery Client Acc	(6,140)	(6,140)	(300)	(6,140)	0	(6,140)	0	(6,140)	0	
HR Client	334,628	334,628	44,953	334,628	0	333,736	0	334,113	0	Shared services invoice for Quarter 1 to WBC has been raised.
Corporate Management	150,680	150,680	0	150,680	0	150,680	0	150,680	0	Includes external audit costs that are paid at year end

<b>Resources &amp; Shared Services</b>	<b>Original Budget 2021/22</b>	<b>Latest Budget 2021/22</b>	<b>Spend to Date</b>	<b>Forecast Outturn 2021/22</b>	<b>Variance @ Q1</b>	<b>Forecast 2022/23</b>	<b>2022/23 Variance</b>	<b>Forecast 2023/24</b>	<b>2023/24 Variance</b>	<b>Officer Comments</b>
	£	£	£	£	£	£	£	£	£	
Democratic Representation	303,758	303,758	80,412	303,758	0	303,758	0	303,758	0	
Benefits & Allowances	725,010	725,010	185,651	725,010	0	729,820	0	728,810	0	Shared services invoice for Quarter 1 to WBC has been raised.
Benefits Client	(549,890)	(549,890)	1,209,226	(549,890)	0	(549,890)	0	(549,890)	0	This holds the housing benefits payments and recovery from DWP and further grants from DWP relating to the provision of benefits. There is timing difference between payments made to claimants and income received from Government
Benefits Non Hra	1,020	1,020	0	1,020	0	1,020	0	1,020	0	Actuals include grant rebate
Council Tax Collection	360,940	360,940	285,615	360,940	0	362,120	0	365,390	0	Shared services invoice for Quarter 1 to WBC has been raised.
NNDR	36,500	36,500	31,911	55,090	18,590	55,090	18,590	55,090	18,590	Additional budget required due to paying outside organisation to identify additional rateable value.
Council Tax Client	(186,140)	(186,140)	0	(186,140)	0	(186,140)	0	(186,140)	0	Income from court costs received at year end
Nndr Cost Of Collection	(107,090)	(107,090)	0	(107,090)	0	(107,090)	0	(107,090)	0	This is received at year end
Register Of Electors	36,800	36,800	1,093	36,800	0	36,800	0	36,800	0	
District Elections	76,320	76,320	0	76,320	0	76,320	0	76,320	0	Costs to be apportioned by November 2021
Customer Service Centre	947,790	947,790	208,349	925,460	(22,330)	955,360	0	958,520	0	Budget transfer to 1232 Committee Administration to cover 50% of Committee Manager post
Major Incident Planning	98,230	98,230	17,831	97,080	(1,150)	98,140	0	98,260	0	Full Budget no longer required
Miscellaneous Income & Expend	59,275	(90,725)	(7,715)	(1,052,158)	(961,433)	34,330	0	(198,288)	0	Variance is due to recovery of 70% of expected losses from the government income compensation scheme for lost sales, fees and charges. A further £389k has been received as part of the Covid19 emergency funding for 2021/22
Non Distributed Costs	249,000	249,000	441	249,000	0	255,000	0	255,000	0	Budget will be fully spent by end of the year
Customer Contact Programme	50,000	98,590	5,448	98,590	0	0	0	0	0	
Miscellaneous Properties	(103,920)	(103,920)	(72,540)	(85,770)	18,150	(102,710)	0	(103,270)	0	Budget transfer of £20k from Garages & Shops Maintenance for Miscellaneous repairs. Reduction in electricity costs due to refunds received.
Asset Management - Property Services	370,810	395,810	91,205	395,810	0	383,530	0	389,630	0	
Garages & Shops Maintenance	(1,142,850)	(1,142,850)	(310,645)	(1,162,850)	(20,000)	(1,142,960)	0	(1,144,030)	0	Budget transfer to Miscellaneous Properties for repairs to properties
Investment Properties	(1,000,000)	(1,000,000)	(297,473)	(1,000,000)	0	(1,000,000)	0	(1,000,000)	0	
Oxhey Drive	9,990	9,990	8,234	9,990	0	10,050	0	10,250	0	
Vacancy Provision	(180,000)	(180,000)	0	(180,000)	0	(180,000)	0	(180,000)	0	This will be reviewed when the annual salary budget exercise is completed in November
Salary Contingency	273,860	273,860	0	273,860	0	275,000	0	275,000	0	Funds to cover expected salary increase when agreed.
<b>Total Policy &amp; Resources</b>	<b>4,789,810</b>	<b>4,866,800</b>	<b>2,874,723</b>	<b>3,911,957</b>	<b>(954,843)</b>	<b>4,800,256</b>	<b>10,590</b>	<b>4,581,124</b>	<b>10,590</b>	
<b>Total All Committees</b>	<b>10,712,957</b>	<b>11,010,787</b>	<b>2,676,627</b>	<b>11,143,738</b>	<b>132,951</b>	<b>10,854,808</b>	<b>305,800</b>	<b>10,628,066</b>	<b>288,800</b>	

<b>Corporate Costs</b>	<b>Original Budget 2021/22</b>	<b>Latest Budget 2021/22</b>	<b>Spend to Date</b>	<b>Forecast Outturn 2021/22</b>	<b>Variance @ Q1</b>	<b>Forecast 2022/23</b>	<b>2022/23 Variance</b>	<b>Forecast 2023/24</b>	<b>2023/24 Variance</b>	<b>Officer Comments</b>
	£	£	£	£	£	£	£	£	£	
Interest Earned	(390,011)	(390,011)	(13,508)	(390,011)	0	(90,000)	0	(90,000)	0	Interest on loan to RSL of £375k is received at the end of the financial year.
Interest Paid	381,220	431,220	0	431,220	0	302,150	0	302,150	0	This relates to the cost of borrowing for the funding of the new Leisure facility at South Oxhey, loan to RSL and the redevelopment of garage sites for temporary accommodation. Payments are scheduled for October and March
Transfer to Reserves	(59,910)	(59,910)	0	(59,910)	0	(59,910)	0	(59,910)	0	Accounting entry made at year end
Parish Precepts	2,114,610	2,114,610	1,057,305	2,114,610	0	2,156,920	0	2,200,060	0	Paid half yearly in April & September
<b>Total Corporate Costs</b>	<b>2,045,909</b>	<b>2,095,909</b>	<b>1,043,797</b>	<b>2,095,909</b>	<b>0</b>	<b>2,309,160</b>	<b>0</b>	<b>2,352,300</b>	<b>0</b>	
<b>Grand Total</b>	<b>12,758,866</b>	<b>13,106,696</b>	<b>3,720,424</b>	<b>13,239,647</b>	<b>132,951</b>	<b>13,163,968</b>	<b>305,800</b>	<b>12,980,366</b>	<b>288,800</b>	

## Explanation of Variances reported in this period - Revenue

Leisure, Environment & Community					
Description	Main Group Heading	Details of Variances to Latest Approved Budget	2021/22 £	2022/23 £	2023/24 £
Community Safety	Supplies and Services	Additional budget to fund Equalities and Hate crime with regards to the resettlement of refugees.	20,000	0	0
<b>Total Community Safety &amp; Partnership</b>			<b>20,000</b>	<b>0</b>	<b>0</b>
Description	Main Group Heading	Details of Variances to Latest Approved Budget	2021/22 £	2022/23 £	2023/24 £
Watersmeet	Employees	Reduction in temporary staff costs due to reduced number of events in first part of the year.	(6,993)	0	0
	Premises	Reduction in amount of rates charged, anticipated reduction in gas & electricity costs due to reduced number of events in first part of the year, offset by the increased cleaning requirements due to Covid 19.	(3,051)	0	0
	Supplies and Services	Reduction in expenditure includes Box Office of £33.6k, Panto Materials £28K, Catering £9.5k as a result of reduction in number of event in first part of the year. This is offset by an increase in Advertising expenditure as part of the CRF grant to maximise Recovery.	(63,510)	0	0
	Income	Reduced income due to reduced number of shows/sales anticipated, offset by the receipt of CRF grant of £87.5k	132,949	0	0
Playing Fields & Open Spaces	Premises	Water rates - utility company has amended charges due as previous bills were based on estimated usage.	15,700	0	0
Aggadrome		Additional budget requested to cover cost of running the generator for the ski club and toilets this will be reviewed again in September when works to provide electricity should be resolved.	12,200	0	0
Leisure Venues	Income	Management fee payable by leisure operator will not be paid in 2021/22. This income is recoverable in future years over the life of the contract. Any income received with regards to lost management fees for 2021/22 will be reported during the relevant budget monitoring iteration.	622,230	0	0
	Third Party Payments	Management fee due for Rickmansworth Golf Course. Support to leisure operator due to the continuing impact of Covid 19.	75,000 96,000	0 142,000	0 125,000
Leisure & Community Services	Employees	Long Term Compensation Budget not required for future years	0	(2,720)	(2,720)
<b>Total Leisure</b>			<b>880,525</b>	<b>139,280</b>	<b>122,280</b>
Description	Main Group Heading	Details of Outturn Variances to Latest Approved Budget	2021/22 £	2022/23 £	2023/24 £
Recycling General	Income	Income reduced on Recycling Textile Bank Contract due to on-going international Covid restrictions and price in HWP contract being reviewed	13,000	13,000	13,000
Recycling Kirbside	Income	Previously advised by HCC that there would be no AFM payments for 2020/21, however, they have now advised that we will receive £118k.	(118,611)	0	0
Clinical Waste	Supplies and Services	Increased disposal costs from Herts County Council	6,000	6,000	6,000
Cemeteries		External Legal Advice re Burial rights	1,500	0	0
Waste Management	Employees	Increase in budget of £8k for 2021/22 and £16k going forwards required for Agency Staff to cover costs of the increasing holiday allowances. Additional budget increase required of £77k for 2021/22 and £115k going forwards to fund a market forces supplement for HGV drivers due to a lack of availability of drivers, this will bring the salary in line with the market.	85,000	131,000	131,000
<b>Total Environmental Services</b>			<b>(13,111)</b>	<b>150,000</b>	<b>150,000</b>
<b>Total Leisure Community &amp; Environment Services</b>			<b>887,414</b>	<b>289,280</b>	<b>272,280</b>

Infrastructure Housing & Economic Development			2021/22	2022/23	2023/24
Description	Main Group Heading	Details of Variances to Latest Approved Budget	£	£	£
Development Management	Income	Based on the current income trends in quarter, it is estimated that there may be a reduction of £102k in planning application income .It is acknowledged that Covid may continue to play a role in application numbers and subsequently income as will future Government decisions on permitted development and the progress of the local plan. Budget of £6k for planning condition fees is already included in planning application budgets.	108,580	5,930	5,930
<b>Total Infrastructure and planning policy</b>			<b>108,580</b>	<b>5,930</b>	<b>5,930</b>
Sustainability Projects	Supplies and Services	Budget transfer from Sustainability projects to Sustainable Travel Schemes to pay for annual Lift share and Interlink costs.	(1,500)	(1,500)	(1,500)
Sustainable Travel Schemes			1,500	1,500	1,500
Car Parking enforcement	Income	Parking income for the 1st quarter is lower than expected given the restrictions have been in place since April and is expected to end in July. It has been estimated reduction in the overall income budget. .	91,800	0	0
<b>Total Economic Development</b>			<b>91,800</b>	<b>0</b>	<b>0</b>
<b>Total Infrastructure, Housing &amp; Economic Development</b>			<b>200,380</b>	<b>5,930</b>	<b>5,930</b>
<b>Policy &amp; Resources</b>					
Description	Main Group Heading	Details of Variances to Latest Approved Budget	2021/22	2022/23	2023/24
Major Incident Planning	Employees	Full Budget for courses no longer required	(1,150)	0	0
Office Services	Supplies and Services	Reduction in expenditure on Print Fleet and Main print room equipment has been upgraded and streamlined. Annual saving £5K, , Upgrade to franking machine - Annual saving £3K,	(13,000)	(8,000)	(8,000)
	Income	No room bookings at the present time	1,000	0	0
Tree Rivers House	Premises	Additional budget required due to the purchase of a 3 year licence of the fire suppression system.	3,000	0	0
DR	Supplies and Services	Additional budget required to fund the identification of business for additional rateable value.	18,590	18,590	18,590
Committee Administration	Employees	Budget transferred from CSC to cover 50% of Committee Manager post	22,330	0	0
Customer Service Centre		Budget transferred to 1232 Committee Administration to cover half of Committee Manager post	(22,330)	0	0
		Re-instating Short Courses budget previously offered as a saving.	1,150	0	0
Miscellaneous Properties	Premises	Budget transfer of £20k from Garages & Shops Maintenance for Miscellaneous repairs, also there is £3k reduction in electricity costs as final credit balances and full history of the properties involved in the South Oxhey Initiative are being investigated and refunds received.	17,000	0	0
Garages & Shops Maintenance		Budget transfer to Miscellaneous Properties for repairs to properties	(20,000)	0	0
Miscellaneous Income & Expenditure	Income	Government Covid 19 income guarantee scheme for lost sales and fees & charges.	(571,739)	0	0
		Government Covid 19 emergency funding for 2021/22	(389,694)	0	0
<b>Total Policy and Resources</b>			<b>(954,843)</b>	<b>10,590</b>	<b>10,590</b>
<b>TOTAL Variances for Quarter 1 2021</b>			<b>132,951</b>	<b>305,800</b>	<b>288,800</b>



Staff Vacancies

Committee	Department	Job Title	Comments	Total	
Infrastructure, Housing and Economic Development	Housing Options	Housing Apprentice	Not currently advertised	1.00	
	Planning	Planning Officer	Currently advertised	1.00	
Leisure, Environment & Community	Grounds Maintenance	Grounds Maintenance Operative	Under offer	1.00	
	Leisure Development	Active Development Officer	Not currently advertised	1.00	
	Leisure Development	Play Ranger	Not currently advertised	0.65	
	Waste Services	Loader x 2		Not currently advertised	2.00
		HGV Driver x 2		Not currently advertised	2.00
		Driver and Street Cleanser		Not currently advertised	1.00
		Street Cleansing Operative		Not currently advertised	1.00
		Chargehand		Not currently advertised	1.00
	Watersmeet	Watersmeet Marketing Apprentice		Currently advertised	1.00
		Watersmeet Kickstart Placement		Not currently advertised	0.68
			Technical Support	Not currently advertised	0.50
Policy and Resources	Property Services	Head of Property	Under Offer	1.00	
	Finance	Section Head - Accountancy (FA&T)	Covered by Interim	1.00	
		Finance Apprentice	Currently recruiting	1.00	
		Head of Finance	Covered by Interim	1.00	
	Revenue and Benefits	Benefits Officer x 8	Covered by Interim	8.00	
		Revenues Manager	Covered by Interim	1.00	
		Recovery Officer	Covered by Interim	1.00	
		Sundry Debt Officer	Not currently advertised	1.00	
		Systems and Subsidy Officer	Covered by Interim	1.00	
	Customer Service Centre	Customer Service Centre Representative x 5	Currently advertised	5.00	
Corporate Services	Communications Officer	Offer Accepted	1.00		
			<b>Grand Total</b>	<b>35.83</b>	

## Medium Term Capital Investment Programme

2021/22 - 2023/24 Capital Programme	2021/22					2022/23			2023/24			
Leisure, Environment & Community												
Community Safety & Partnership	Original Budget 2021/22 £	Latest Budget 2021/22 £	Qtr. 1 Spend To Date	Forecast £	Variance £	Latest Budget 2022/23 £	Forecast £	Variance £	Latest Budget 2023/24 £	Forecast £	Variance £	Comments
ASB Casework Management System	18,750	18,750	0	18,750	0	0	0	0	0	0	0	Budget may not be required as currently liaising with Herts Police to see if we can access their system
Capital Grants & Loans	20,000	23,631	0	23,631	0	20,000	20,000	0	20,000	20,000	0	Budget will be spent
Community CCTV	6,000	12,000	0	12,000	0	6,000	6,000	0	6,000	6,000	0	Demand led service
<b>Total</b>	<b>44,750</b>	<b>54,381</b>	<b>0</b>	<b>54,381</b>	<b>0</b>	<b>26,000</b>	<b>26,000</b>	<b>0</b>	<b>26,000</b>	<b>26,000</b>	<b>0</b>	
Leisure	Original Budget 2021/22 £	Latest Budget 2021/22 £	Qtr. 1 Spend To Date	Forecast £	Variance £	Latest Budget 2022/23 £	Forecast £	Variance £	Latest Budget 2023/24 £	Forecast £	Variance £	Comments
Countryside Management	10,000	10,000	0	10,000	0	10,000	10,000	0	10,000	10,000	0	Budget will be spent
Aquadrome	21,000	23,831	2,498	23,831	0	22,500	22,500	0	22,500	22,500	0	Budget will be spent
Scotsbridge-Chess Habitat	11,390	11,390	0	11,390	0	0	0	0	0	0	0	Budget will be spent
Watersmeet External Roof Access	0	27,253	0	27,253	0	0	0	0	0	0	0	Project expected to complete by September with budget fully spent.
Leisure Facilities Improvement	10,000	12,046	760	12,046	0	10,000	10,000	0	0	0	0	Decommissioning of Sir James Altham Pool
Open Space Access Improvements	50,000	77,506	1,307	77,506	0	50,000	50,000	0	50,000	50,000	0	Budget will be spent
Outdoor Fitness Zones	54,400	54,400	0	54,400	0	54,400	54,400	0	27,200	27,200	0	Budget will be spent within financial year.
Improve Play Area-Future Schemes	158,250	216,633	0	216,633	0	100,000	100,000	0	100,000	100,000	0	Rickmansworth wildwood den, Swillett cycle track and Primrose Hill play area projects in 2021/22
Aquadrome-Whole Life Costing	10,000	10,000	0	10,000	0	11,000	11,000	0	11,000	11,000	0	A survey on the footpaths and bridges is currently being carried out. A management plan is being developed by the Leisure team which will form the basis of a structured programme of works
Watersmeet-Whole Life Costing	15,000	30,799	2,574	30,799	0	20,000	20,000	0	20,000	20,000	0	Budget includes potential additional costs incurred by asbestos removal from ground works in 2021/22, and roof repair works. Project based works that are not evenly spread throughout the year. Full budget to be spent by end of financial year.
Pavilions-Whole Life Costing	10,000	20,968	2,093	20,968	0	11,000	11,000	0	11,000	11,000	0	Investigation of acquiring an alternative sustainable source for the replacement boiler at Scotsbridge
The Swillett - Play area Refurbishment	0	13,647	0	13,647	0	0	0	0	0	0	0	Snagging on the scheme in 2021/22
<b>Total</b>	<b>350,040</b>	<b>508,473</b>	<b>9,232</b>	<b>508,473</b>	<b>0</b>	<b>288,900</b>	<b>288,900</b>	<b>0</b>	<b>251,700</b>	<b>251,700</b>	<b>0</b>	

<i>Environmental Services</i>	Original Budget 2021/22 £	Latest Budget 2021/22 £	Qtr. 1 Spend To Date	Forecast £	Variance £	Latest Budget 2022/23 £	Forecast £	Variance £	Latest Budget 2023/24 £	Forecast £	Variance £	Comments
Waste Plant & Equipment	25,000	40,030	0	40,030	0	25,000	25,000	0	25,000	25,000	0	Tenders currently being prepared
Waste Services Depot	670,000	1,325,494	1,059	1,325,494	0	0	0	0	0	0	0	Works have been started although staged payments are not yet due. Project will be completed by the end of the Financial year
Bulk Domestic Waste	35,000	30,500	7,830	30,500	0	40,000	40,000	0	40,000	40,000	0	Budget will be spent
Waste & Recycling Vehicles	0	0	0	0	0	1,887,000	1,887,000	0	400,000	400,000	0	No spend expected until 2022/23
Street Furnishings	15,000	15,000	0	15,000	0	15,000	15,000	0	15,000	15,000	0	Budget will be spent
Paladin Bins	40,000	53,201	20,685	53,201	0	60,000	60,000	0	60,000	60,000	0	Budget will be spent
Energy Performance Certificate	2,000	6,185	825	6,185	0	2,000	2,000	0	2,000	2,000	0	Inspection visits have been difficult to manage due to current restrictions. These have now been rescheduled
Cemetery-Whole Life Costing	5,000	5,000	851	5,000	0	5,000	5,000	0	5,000	5,000	0	CCTV - currently awaiting quotes
Replacement Ground Maintenance Vehicles	120,000	158,458	0	158,458	0	280,000	280,000	0	180,000	180,000	0	Tenders currently being prepared
<b>Total</b>	<b>912,000</b>	<b>1,633,868</b>	<b>31,250</b>	<b>1,633,868</b>	<b>0</b>	<b>2,314,000</b>	<b>2,314,000</b>	<b>0</b>	<b>727,000</b>	<b>727,000</b>	<b>0</b>	
<b>Total Leisure, Environment &amp; Community</b>	<b>1,306,790</b>	<b>2,196,722</b>	<b>40,482</b>	<b>2,196,722</b>	<b>0</b>	<b>2,628,900</b>	<b>2,628,900</b>	<b>0</b>	<b>1,004,700</b>	<b>1,004,700</b>	<b>0</b>	
<b>Infrastructure Housing &amp; Economic Development</b>												
<i>Economic Development</i>	Original Budget 2021/22 £	Latest Budget 2021/22 £	Qtr. 1 Spend To Date	Forecast £	Variance £	Latest Budget 2022/23 £	Forecast £	Variance £	Latest Budget 2023/24 £	Forecast £	Variance £	Comments
Cycle Schemes	55,000	64,583	0	64,583	0	25,000	25,000	0	25,000	25,000	0	Local Cycling and Walking Strategy being prepared, awaiting outcome before bringing schemes forward.
Disabled Parking Bays	2,500	2,500	0	2,500	0	2,500	2,500	0	2,500	2,500	0	Invoiced by WBC every 6 months
Controlled Parking	164,425	164,425	0	164,425	0	50,000	50,000	0	50,000	50,000	0	Parking Management Programme for 2021-24 agreed, schemes being prepared for consultation.
Finance Trust-Business Start-up	10,000	10,000	0	10,000	0	10,000	10,000	0	10,000	10,000	0	Historically paid in March
Disabled Building Grants	2,500	2,500	0	2,500	0	2,500	2,500	0	2,500	2,500	0	Demand Led Service
South Oxhey Initiative	0	27,690	840	27,690	0	0	0	0	0	0	0	Scheme due to complete this year
Parking Bay & Verge Protection	214,240	301,473	28,130	301,473	0	40,000	40,000	0	40,000	40,000	0	Verge Hardening Programme agreed for 21-24, schemes being prepared. Will monitor spend.
Highways Enhancement	150,000	194,384	0	194,384	0	50,000	50,000	0	50,000	50,000	0	Schemes being prepared, will monitor spend.
Bus Shelters	9,000	9,000	0	9,000	0	9,000	9,000	0	9,000	9,000	0	Awaiting Programme once identified requests
Retail Parades	150,000	194,849	34,504	194,849	0	30,000	30,000	0	30,000	30,000	0	Delta Gain retail refurbishment project is still awaiting landowner consent to proceed, EVCP procurement due early 2021/22)
Carbon Neutral Council	0	4,000	0	4,000	0	0	0	0	0	0	0	Budget will be spent
Rickmansworth Work Hub	39,000	39,000	0	39,000	0	0	0	0	0	0	0	A survey has been carried out by the Property team. This will be reviewed and a planned programme of works implemented
Car Park Restoration	10,000	10,000	0	10,000	0	35,000	35,000	0	35,000	35,000	0	Works include Ashford Green (South Oxhey) following inspection
Estates, Paths & Roads	20,000	28,843	0	28,843	0	20,000	20,000	0	20,000	20,000	0	Chorleywood House Estate in 2021/22
TRDC Footpaths & Alleyways	40,000	56,350	0	56,350	0	25,000	25,000	0	25,000	25,000	0	Planned works include 2 rainbow crossings
Integration of Firmstep to uniform Licensing applications	0	19,000	0	19,000	0	0	0	0	0	0	0	Project has just started
<b>Total</b>	<b>866,665</b>	<b>1,128,597</b>	<b>63,474</b>	<b>1,128,597</b>	<b>0</b>	<b>299,000</b>	<b>299,000</b>	<b>0</b>	<b>299,000</b>	<b>299,000</b>	<b>0</b>	
<b>Housing</b>	<b>Original Budget 2021/22 £</b>	<b>Latest Budget 2021/22 £</b>	<b>Qtr. 1 Spend To Date</b>	<b>Forecast £</b>	<b>Variance £</b>	<b>Latest Budget 2022/23 £</b>	<b>Forecast £</b>	<b>Variance £</b>	<b>Latest Budget 2023/24 £</b>	<b>Forecast £</b>	<b>Variance £</b>	<b>Comments</b>
Disabled Facilities Grant	500,000	652,000	77,697	652,000	0	586,000	586,000	0	586,000	586,000	0	Additional grants of £54k approved
Home Repairs Assistance	10,000	10,000	0	10,000	0	10,000	10,000	0	10,000	10,000	0	Demand led service
<b>Total</b>	<b>510,000</b>	<b>662,000</b>	<b>77,697</b>	<b>662,000</b>	<b>0</b>	<b>596,000</b>	<b>596,000</b>	<b>0</b>	<b>596,000</b>	<b>596,000</b>	<b>0</b>	
<b>Total Infrastructure Housing &amp; Economic Development</b>	<b>1,376,665</b>	<b>1,790,597</b>	<b>141,171</b>	<b>1,790,597</b>	<b>0</b>	<b>895,000</b>	<b>895,000</b>	<b>0</b>	<b>895,000</b>	<b>895,000</b>	<b>0</b>	

Policy & Resources												
Resources & Shared Services	Original Budget 2021/22 £	Latest Budget 2021/22 £	Qtr. 1 Spend To Date	Forecast £	Variance £	Latest Budget 2022/23 £	Forecast £	Variance £	Latest Budget 2023/24 £	Forecast £	Variance £	Comments
Professional Fees-Internal	157,590	157,590	0	157,590	0	157,590	157,590	0	157,590	157,590	0	Entry done at year end
Election Equipment	6,000	9,000	0	9,000	0	6,000	6,000	0	6,000	6,000	0	New election equipment order pending
Members' IT Equipment	46,690	46,690	0	46,690	0	16,260	16,260	0	16,260	16,260	0	All Members IT equipment due to be changed this financial year
ICT-Managed Project Costs	120,000	120,000	0	120,000	0	60,000	60,000	0	60,000	60,000	0	To deliver key projects for O365, cloud migration
Shared Services ICT Hardware Replacement	40,000	160,416	0	160,416	0	40,000	40,000	0	40,000	40,000	0	
Garage Improvements	325,000	505,000	99,260	505,000	0	150,000	150,000	0	150,000	150,000	0	There was a slight delay in starting the programme but this is now fully underway.
ICT Licence Costs	100,000	106,155	0	106,155	0	100,000	100,000	0	100,000	100,000	0	To deliver key projects for O365, cloud migration
Customer Contact Programme	0	21,573	17,875	21,573	0	0	0	0	0	0	0	Budget will be spent
ICT Website Development	0	14,870	0	14,870	0	0	0	0	0	0	0	Project progressing should be spent by year end (link to Customer Experience Strategy project)
ICT Elections	17,000	23,701	15,127	23,701	0	17,000	17,000	0	17,000	17,000	0	Budget will be spent
ICT Hardware Replacement Programme	45,000	64,241	0	64,241	0	45,000	45,000	0	45,000	45,000	0	To deliver key projects for O365, cloud migration
TH Whole Life Costing	250,000	250,000	0	250,000	0	170,000	170,000	0	170,000	170,000	0	Planned works include upgrade of Air conditioning, flooring in the Server room and upgrade of CCTV
Spasing House-Whole Life Costing	30,000	30,000	1,195	30,000	0	60,000	60,000	0	60,000	60,000	0	New boiler is being installed - works will be completed by the end of July
Business Application Upgrade	90,000	109,500	0	109,500	0	90,000	90,000	0	90,000	90,000	0	To deliver key projects for O365, cloud migration
Three Rivers House Transformation	270,000	270,785	0	270,785	0	0	0	0	0	0	0	Works to the Reception area have been started. Further works will be lead by the Customer Experience strategy
Property Information System	0	50,000	0	50,000	0	0	0	0	0	0	0	Specification currently being written
<b>Total</b>	<b>1,497,280</b>	<b>1,939,521</b>	<b>133,457</b>	<b>1,939,521</b>	<b>0</b>	<b>911,850</b>	<b>911,850</b>	<b>0</b>	<b>911,850</b>	<b>911,850</b>	<b>0</b>	

Major Projects	Original Budget 2021/22 £	Latest Budget 2021/22 £	Qtr. 1 Spend To Date	Forecast £	Variance £	Latest Budget 2022/23 £	Forecast £	Variance £	Latest Budget 2023/24 £	Forecast £	Variance £	Comments
Leisure Facility - South Oxhey	226,823	268,473	0	268,473	0	0	0	0	0	0	0	Retention monies
South Oxhey Initiative	0	12,103	0	12,103	0	0	0	0	0	0	0	Contingencies
Property Investment Board	0	312,360	37,500	312,360	0	0	0	0	0	0	0	Funds required for the delivery of PIB initiatives
Temporary Accommodation	0	91,825	0	91,825	0	0	0	0	0	0	0	Retention monies
<b>Total</b>	<b>226,823</b>	<b>684,761</b>	<b>37,500</b>	<b>684,761</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Total Policy &amp; Resources</b>	<b>1,724,103</b>	<b>2,624,282</b>	<b>170,957</b>	<b>2,624,282</b>	<b>0</b>	<b>911,850</b>	<b>911,850</b>	<b>0</b>	<b>911,850</b>	<b>911,850</b>	<b>0</b>	
<b>Total Capital Programme</b>	<b>4,407,558</b>	<b>6,611,601</b>	<b>352,610</b>	<b>6,611,601</b>	<b>0</b>	<b>4,435,750</b>	<b>4,435,750</b>	<b>0</b>	<b>2,811,550</b>	<b>2,811,550</b>	<b>0</b>	

**Explanation of Variances reported in this period - Capital**

No Variances to report

## Funding the Capital Investment Programme

Capital Programme	2021/22	2021/22	2021/22	2022/23	2023/24
	Original Budget	Latest Budget	Forecast	Forecast	Forecast
	£	£	£	£	£
<b>Balance Brought Forward</b>					
Govt Grants: Disabled Facility Grants	(808,468)	(1,234,457)	(1,234,457)	(1,234,457)	(1,234,457)
Other Contributions: Other external Sources	0	(92,308)	(92,308)	(92,308)	(92,308)
Section 106 Contributions	(581,286)	(581,286)	(581,286)	(581,286)	(71,435)
Capital Receipts Reserve	0	0	0	0	0
Future Capital Expenditure Reserve	0	0	0	0	0
New Homes Bonus Reserve	(4,488,083)	(4,260,019)	(4,260,019)	0	0
<b>Borrowing</b>	0	0	0	0	0
<b>Total Funding Brought Forward</b>	<b>(5,877,837)</b>	<b>(6,168,070)</b>	<b>(6,168,070)</b>	<b>(1,908,051)</b>	<b>(1,398,200)</b>
<b>Generated in the Year</b>					
Govt Grants: Disabled Facility Grants	(500,000)	(500,000)	(500,000)	(500,000)	(500,000)
Other Contributions: Other external Sources	(20,000)	(20,000)	(20,000)	(20,000)	(20,000)
Section 106 Contributions	0	0	0	0	0
Capital Receipts Reserve	(1,100,000)	(1,100,000)	(1,100,000)	(1,100,000)	(1,000,000)
Future Capital Expenditure Reserve		0	0	0	0
New Homes Bonus Reserve	(95,407)	(95,407)	(95,407)	(95,000)	(95,000)
<b>Borrowing</b>	0	0	0	0	0
<b>Total Generated</b>	<b>(1,715,407)</b>	<b>(1,715,407)</b>	<b>(1,715,407)</b>	<b>(1,715,000)</b>	<b>(1,615,000)</b>
<b>Use of Funding</b>					
Govt Grants: Disabled Facility Grants	500,000	500,000	500,000	500,000	500,000
Other Contributions: Other external Sources	20,000	20,000	20,000	20,000	20,000
Section 106 Contributions	0	0	0	509,851	71,435
Capital Receipts Reserve	1,100,000	1,100,000	1,100,000	1,100,000	1,000,000
Future Capital Expenditure Reserve	0	0	0	0	0
New Homes Bonus Reserve	2,560,735	4,355,426	4,355,426	95,000	95,000
<b>Funding deficit</b>					
<b>Borrowing</b>	0	367,702	367,702	2,210,899	1,125,115
<b>Total Use of Funding</b>	<b>4,180,735</b>	<b>6,343,128</b>	<b>6,343,128</b>	<b>4,435,750</b>	<b>2,811,550</b>
<b>Balance Carried Forward</b>					
Govt Grants: Disabled Facility Grants	(808,468)	(1,234,457)	(1,234,457)	(1,234,457)	(1,234,457)
Other Contributions: Other external Sources	0	(92,308)	(92,308)	(92,308)	0
Section 106 Contributions	(581,286)	(581,286)	(581,286)	(71,435)	0
Capital Receipts Reserve	0	0	0	0	0
Future Capital Expenditure Reserve	0	0	0	0	0
New Homes Bonus Reserve	(2,022,755)	0	0	0	0
<b>Total Funding Carried Forward</b>	<b>(3,412,509)</b>	<b>(1,908,051)</b>	<b>(1,908,051)</b>	<b>(1,398,200)</b>	<b>(1,234,457)</b>
<b>South Oxhey Initiative</b>					
Balance Brought Forward	0	0	0	0	0
Generated in the Year (Land Receipts)	(6,502,792)	(9,828,445)	(9,828,445)	0	0
Use of Funding (Spend)	0	0	0	0	0
Borrowing	6,502,792	9,828,445	9,828,445	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>South Oxhey Leisure Facility</b>					
Balance Brought Forward	0	0	0	0	0
Use of Funding (Spend)	226,823	268,473	268,473	0	0
Contractor Funded Borrowing	(226,823)	(268,473)	(268,473)	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Expenditure Capital Investment Programme</b>	<b>4,407,558</b>	<b>6,611,601</b>	<b>6,611,601</b>	<b>4,435,750</b>	<b>2,811,550</b>

Budgetary Risks

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates
Sep-15	FIN07	Director of Finance	Strategic	The Medium term financial position worsens.	In that the general fund balance falls below the minimum prudent threshold and capital funding is insufficient to meet the capital programme. This appears as item no.8 in the Council's strategic risk register. <i>The continuing financial impact of COVID 19 places a burden on the Councils Revenue account through loss of income and additional expenditure. The Government's fair funding review is currently on hold</i>	4	4	18	Regular budget monitoring reports to committees; Budgetary and Financial Risk Register reviewed and updated as part of the budget monitoring process; identification of budgetary pressure when reviewing the medium term financial plan during the budget setting process; Audited Statement of Accounts, including Annual Governance Statement. Currently the 2019/20 annual accounts are awaiting sign off from the external auditors	Head of Finance	3	2	6	↓	Regular budget monitoring reports to be taken to P&R. <i>Government financial support is crucial to the Council achieving a sustainable budget. Finance team working towards finalising the 2019/20 accounts ASAP.</i>	Heads of Service/ Head of Finance	On-going
Apr-06	FIN08	Director of Finance	Budgetary	Revenue balances insufficient to meet estimate pay award increases	The Council's 3 year Medium term Financial Strategy includes forecast pay awards for the next three years.	3	3	9	Maintain reserves to guard against risk. Early identification of new pressures. Budget Monitoring	Head of Finance	2	1	2	↓	<i>The 2021/22 pay settlement has yet to be agreed between Employers and Unions. Employers have offered a 1.5% increase</i>	Head of Finance	Sep-21
Apr-06	FIN09	Director of Finance	Budgetary	Revenue balances insufficient to meet other inflationary increases	Other than contractual agreements, budgets have been cash limited where possible. <i>Inflation currently running below assumptions.</i>	1	3	3	Monitor future inflation projections. Actively manage budgets to contain inflation. Maintain reserves .	Service Heads/Head of Finance	1	2	2	↓	Continue to monitor inflation levels	Head of Finance	ongoing
Jan-15	FIN10	Director of Finance	Budgetary	Interest rates resulting in significant variations in estimated interest income	The interest rate has a significant impact on the proceeds from capital receipts that are invested in the money market. The volatility of the global economy continues to place uncertainty on the investment strategy.	2	3	6	PIB strategy has diversified interest rate risk to provide income security.	PIB/Head of Finance	3	2	6	→	Monitoring ongoing income levels.	PIB	ongoing
Apr-06	FIN11	Director of Finance	Budgetary	Inaccurate estimates of fees and charges income	Key income streams reported monthly to Corporate Management Team and shown in the latest Budget Monitoring reports. <i>Due to C19 losses of income on parking and Leisure Management fee have been incurred</i>	3	2	6	Budget levels realistically set and closely scrutinised	Service Heads/Head of Finance	2	2	4	→	Fees and Charges are monitored as part of budget monitoring. <i>Govt will continue to provide the income guarantee scheme for loss of income on fees &amp; charges due to C19</i>	Service Heads	ongoing
Apr-06	FIN12	Director of Finance	Budgetary	Revenue balances insufficient to meet loss of partial exemption for VAT	If the council's expenditure on functions for which it receives income that is exempt for VAT purposes exceeds 5% of its total vatable expenditure, then the Council may lose its ability to recover VAT on all of its exempt inputs. This is mitigated by close monitoring of exempt supplies and prudent VAT planning. The Council elects to tax on development schemes.	2	4	8	VAT Planning and opt to tax on schemes. VAT advisers employed.	Head of Finance	1	4	4	→	Partial Exemption Review commissioned. Continue to opt to tax.	Head of Finance	ongoing
Dec-13	FIN13	Director of Finance	Budgetary	The estimated cost reductions and additional income gains are not achieved	Savings identified and included in the budget will be monitored as part of the budget monitoring process. See fees and charges above. MTFP agreed for next 3 years.	2	3	6	Service Heads to take responsibility for achieving savings. Budget monitoring to highlight any issues to allow corrective action to be taken.	Service Heads/Head of Finance	2	2	4	→	Budget process to be clearly identify savings to be achieved and ensure clarity over responsibility over delivery. Savings to be challenged.	Head of Finance	ongoing
Apr-06	FIN14	Director of Finance	Budgetary	The Council is faced with potential litigation and other employment related risks	The Council has no outstanding litigation cases.	2	3	6	Council procedures are adhered to	Solicitor to the Council	1	3	3	→	Adherence to council procedures to be monitored and procedures maintained.	Solicitor to the Council	ongoing
Dec-13	FIN18	Director of Finance	Budgetary	Fluctuations in Business Rates Retention	From April 2020 the system was due to be subject to reset and increase to 75% retention. <i>This has been further postponed to 2022/23.</i>	3	4	12	Maintain reserves against risk.	Head of Finance	3	3	9	↑	Hertfordshire CFOs have commissioned work from LG Futures to assess the impact. SDCT also looking at impact nationally.	Director of Finance	Jul-22
Mar-16	FIN19	Head of Property Services	Budgetary	Failure to deliver the South Oxhey Initiative to desired outcomes and objectives resulting in a delay in the capital receipt	This is a key project. This appears as item no.7 in the Council's strategic risk register. Phase 1 delivered. Enhanced next phase agreed. <i>Work is scheduled to conclude in 21/22 and remains broadly on track.</i>	2	3	6	Project management team appointed to advise Council; Project management processes in place and reviewed regularly. Policy and Resources Committee receive regular reports on progress of project	Head of Property Services	2	2	4	→	Continue to manage project	Head of Property	ongoing
Jul-16	FIN20	Director of Finance	Budgetary	Failure of ICT systems	The Council's integrated Financial Management System (FMS) is held on an ICT platform. If this were to fail then potentially there will be a loss of functionality occurring during any downtime	3	2	6	System migrated to latest version. Payments system updated.	Head of Finance	1	2	2	↓	Monitor reliability	Head of Finance	ongoing
Mar-18	FIN21	Director of Finance	Budgetary	Property Investment	The Property Investment Board manage its property portfolio in order to secure additional income to support its general fund.	2	3	6	Portfolio to be actively managed to maintain income levels. Income to be reviewed regularly when MTF5 is updated.	Head of Property Services	1	3	3	→	PIB to assume responsibility for ongoing oversight.	Head of Property Services	Continuous
Sep-18	FIN23	Director of Finance	Budgetary	Commercial Investment	The Council is currently exploring other commercial options to improve self sustainability. Currently there is a commercial income target of £1M pa which is being met.	3	2	6	Oversight mechanisms to be put in place to ensure oversight by PIB or similar mechanism. Council to determine approach to risk and level of income dependency within budget.	Head of Finance	2	2	4	→	Monitor new developments	Head of Property Services	Continuous
Nov-19	FIN 24	Director of Finance	Service	Loss of Key Personnel	As the Council becomes more complex in its financial arrangements, key skills become more important. <i>Head of Finance and Section Head (FAT) are currently interim appointments. The Section Head (FPA) retires at the end of September 2021.</i>	3	4	12	Improve depth of skills and knowledge. Bring in temporary additional resources as necessary.	Head of Finance	2	3	6	↑	<i>Permanent appointment to Head of Finance has been made. Start date 9 August 2021. Adverts are currently being placed for the Section Head posts.</i>	Chief Executive/ Director of Finance	Sep-21

## Key Budget Indicators – Income Streams

<b>Regulatory Services</b>									
<b>Car Park Enforcement</b>	<b>Month</b>	<b>2018/19</b>		<b>2019/20</b>		<b>2020/21</b>		<b>2021/22</b>	
<b>Penalty Charge Notices (PCNs)</b>		<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>
	April	(13,718)	306	(12,406)	355	(950)	2	(2,190)	80
	May	(3,482)	116	(13,713)	211	(1,905)	3	(5,008)	133
	June	(11,756)	319	(8,600)	138	(2,155)	10	(5,360)	124
	July	(13,190)	348	(10,493)	164	(2,363)	98		
	August	(12,455)	320	(8,523)	152	(4,115)	138		
	September	(11,869)	368	(9,007)	155	(8,839)	238		
	October	(15,781)	433	(11,212)	170	(12,331)	353		
	November	(13,848)	358	(7,673)	167	(8,964)	108		
	December	(10,606)	295	(8,961)	143	(7,416)	93		
	January	(15,609)	416	(9,635)	248	(3,033)	4		
	February	(10,305)	247	(7,499)	158	(1,951)	9		
	March	(13,710)	327	(7,685)	102	(2,057)	17		
	<b>Total</b>	<b>(146,329)</b>	<b>3,853</b>	<b>(115,407)</b>	<b>2,163</b>	<b>(56,079)</b>	<b>1,073</b>	<b>(12,558)</b>	<b>337</b>
<p><b>Comments:</b> The Original budget for 2021/22 is £115,000. The proposed latest Budget is £82,616 as officers anticipate further reductions in income due to the ongoing restrictions imposed by Covid 19. The charging structure is based on the severity of the contravention. The charge relating to a serious contravention is £70 and payable within 28-days (reduced to £35 if paid within 14 days). The charge relating to a less serious contravention is £50 payable within 28 days (reduced to £25 if paid within 14-days). Residents are charged on a zonal basis. The no of PCN's issued can reduce due to greater parking compliance.</p>									
<b>Car Park Enforcement</b>	<b>Month</b>	<b>2018/19</b>		<b>2019/20</b>		<b>2020/21</b>		<b>2021/22</b>	
<b>Pay &amp; Display Tickets</b>		<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>
	April	(9,710)	3,808	(18,065)	9431	(23)	5	(9,551)	5128
	May	(16,954)	9,482	(19,712)	9907	(20)	8	(10,442)	5577
	June	(14,529)	8,497	(12,913)	9293	(1,967)	1279	(12,675)	6513
	July	(16,673)	9,791	(19,514)	10064	(8,069)	4523		
	August	(25,141)	9,320	(15,275)	8,923	(10,408)	6,149		
	September	(15,831)	9,415	(16,566)	9,053	(12,002)	6,653		
	October	(20,699)	9,979	(19,368)	10,064	(13,292)	6,925		
	November	(18,293)	9,883	(16,736)	9,482	(7,433)	10,031		
	December	(20,255)	10,249	(21,011)	10,873	(8,184)	4,033		
	January	(18,850)	9,613	(20,315)	10,582	(12)	1		
	February	(26,956)	9,419	(18,123)	9588	(131)	40		
	March	(19,788)	10,296	(14,546)	6032	(273)	385		
	<b>Total</b>	<b>(223,678)</b>	<b>109,752</b>	<b>(212,144)</b>	<b>113,292</b>	<b>(61,814)</b>	<b>40,032</b>	<b>(32,668)</b>	<b>17,218</b>
<p><b>Comments:</b> The Original budget for 2021/22 is £220,000. The proposed latest Budget is £175,337 as officers anticipate further reductions in income due to the ongoing restrictions imposed by Covid 19. There are different charging regimes for different car parks within the district. However most pay &amp; display car parks in Rickmansworth operate the following regulations - Monday - Friday, 8.30am - 6.30pm max stay up to 24 Hours - charge £4 with the first hour being free.</p>									
<b>Development Management</b>	<b>Month</b>	<b>2018/19</b>		<b>2019/20</b>		<b>2020/21</b>		<b>2021/22</b>	
<b>Application Fees</b>		<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>
	April	(30,617)	141	(51,431)	133	(38,159)	132	(37,925)	202
	May	(47,353)	144	(54,043)	131	(81,876)	109	(44,506)	200
	June	(46,577)	134	(66,271)	129	(41,283)	143	(40,347)	177
	July	(71,811)	132	(51,656)	149	(32,903)	138		
	August	(26,376)	137	(50,897)	145	(35,997)	142		
	September	(33,905)	128	(42,726)	123	(90,374)	160		
	October	(23,688)	124	(80,266)	131	(29,374)	155		
	November	(34,751)	148	(116,095)	127	(30,543)	170		
	December	(33,388)	102	(51,835)	125	(67,640)	149		
	January	(34,143)	142	(50,727)	99	(30,515)	158		
	February	(19,545)	132	(33,802)	156	(32,295)	155		
	March	(49,015)	138	(40,924)	137	(55,165)	221		
	<b>Total</b>	<b>(451,168)</b>	<b>1,602</b>	<b>(690,672)</b>	<b>1,585</b>	<b>(566,124)</b>	<b>1,832</b>	<b>(122,778)</b>	<b>579</b>
<p><b>Comments:</b> The Original budget for 2021/22 is £696,420. The proposed latest Budget is £593,770 as officers anticipate a reduction in income due to Covid 19 and future Government decisions on permitted developments and the progress of the local plan. There are a number of different charging levels dependent on the type &amp; size of the proposed area. The table of current fees for each type can be found on the Councils website.</p>									



<b>Waste Management</b>									
Trade Refuse	Month	2018/19		2019/20		2020/21		2021/22	
		£	Volume	£	Volume	£	Volume	£	Volume
Contract fees	April	(267,036)	646	(346,064)	955	(280,745)	866	(342,837)	907
	May	(358)		(1,459)		417		(23,082)	
	June	(1,239)		(1,614)		(20,476)		(3,124)	
	July	350		(1,652)		(10,195)			
	August	(428)		(419)		(2,013)			
	September	(1,213)		(1,394)		(1,827)			
	October	(265,560)		(347,316)		(347,427)			
	November	(841)		10		6,383			
	December	(350)		(1,540)		(751)			
	January	(395)		(4,259)		5,463			
	February	(312)		(1,361)		(2,020)			
	March	(7,755)		(19,849)		(8,782)			
	<b>Total</b>	<b>(545,138)</b>		<b>622</b>		<b>(726,916)</b>		<b>955</b>	

**Comments:** The latest 2021/22 budget is £771,660. Customers are invoiced twice a year in April and October. Income can fluctuate depending on the size of the bin collected and customers reducing their bin size and using the recycling service. For 2020/21 the figures include contracts for Schools and glass /plastic/paper and cardboard.

<b>Garden Waste</b>									
Bin Charges	Month	2018/19		2019/20		2020/21		2021/22	
		£	Volume	£	Volume	£	Volume	£	Volume
	April	(902,792)	20,907	(912,988)	21,143	(875,957)	20,314	(1,047,033)	21,524
	May	(30,255)	701	(27,729)	732	(66,976)	1,435	(19,620)	529
	June	(16,176)	375	(14,853)	304	(23,477)	469	(19,239)	331
	July	(8,209)	190	(9,565)	210	(10,812)	243		
	August	(4,667)	98	(5,795)	115	(6,029)	131		
	September	(3,447)	66	(3,940)	96	(4,295)	105		
	October	(2,831)	119	(2,737)	98	(2,456)	85		
	November	(1,467)	51	(1,116)	39	(2,186)	65		
	December	(770)		(436)	16	(925)	28		
	January	(426)		(501)	24	(830)	28		
	February	0		0	0	0	0		
	March	0		0	0	0	0		
	<b>Total</b>	<b>(971,040)</b>	<b>22,506</b>	<b>(979,660)</b>	<b>22,777</b>	<b>(993,943)</b>	<b>22,903</b>	<b>(1,085,892)</b>	<b>22,384</b>

**Comments:** The latest 2021/22 budget is £1,102,100. The standard charges for 2021/22 are £45 for the first bin and £80 for a second bin. Customers in receipt of benefits pay a concession fee of £37 for the first bin.

<b>Garages and Shops</b>									
<b>Garages</b>	<b>Month</b>	<b>2018/19</b>		<b>2019/20</b>		<b>2020/21</b>		<b>2021/22</b>	
<b>Rent</b>		<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>
	April	(93,490)	6%	(88,327)	11%	(74,513)	11%	(67,120)	18%
	May	(74,313)	7%	(71,154)	12%	(53,698)	13%	(84,598)	18%
	June	(73,904)	7%	(70,686)	12%	(107,919)	14%	(67,303)	18%
	July	(92,273)	7%	(87,862)	12%	(71,117)	16%		
	August	(73,914)	8%	(70,632)	11%	(70,223)	15%		
	September	(73,140)	9%	(87,994)	11%	(87,870)	15%		
	October	(88,606)	10%	(70,512)	11%	(70,789)	15%		
	November	(69,977)	10%	(70,692)	11%	(88,099)	15%		
	December	(87,688)	11%	(88,381)	11%	(70,203)	16%		
	January	(70,866)	10%	(71,217)	10%	(69,758)	16%		
	February	(69,700)	11%	(71,695)	10%	(69,793)	17%		
	March	(70,227)	11%	(89,818)	11%	(86,210)	17%		
	<b>Total</b>	<b>(938,097)</b>		<b>(938,968)</b>		<b>(920,190)</b>		<b>(219,021)</b>	

**Comments:** The latest budget for 2021/22 is £976,830. Lower level applied to those in the more difficult to let areas. There are currently 1,116 rentable garages. The void percentage is based on the rentable stock only.

<b>Shops</b>	<b>Month</b>	<b>2018/19</b>		<b>2019/20</b>		<b>2020/21</b>		<b>2021/22</b>	
<b>Rent</b>		<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>	<b>£</b>	<b>Volume</b>
	April	(112,031)	n/a	(70,392)	n/a	(66,330)	n/a	(46,828)	n/a
	May	(8,084)	n/a	(1,875)	n/a	31,706	n/a	0	n/a
	June	(83,320)	n/a	(53,825)	n/a	(38,627)	n/a	(30,853)	n/a
	July	(50,928)	n/a	(141,217)	n/a	(9,727)	n/a		
	August	(1,874)	n/a	(21,358)	n/a	0	n/a		
	September	(78,842)	n/a	(69,147)	n/a	(38,245)	n/a		
	October	(2,753)	n/a	1,317	n/a	(10,796)	n/a		
	November	(946)	n/a	(3,897)	n/a	2,546	n/a		
	December	(77,738)	n/a	(70,049)	n/a	(37,853)	n/a		
	January	(861)	n/a	(13,125)	n/a	(8,250)	n/a		
	February	14,125	n/a	0	n/a	0	n/a		
	March	(2,143)	n/a	1,083	n/a		n/a		
	<b>Total</b>	<b>(405,395)</b>		<b>(442,487)</b>	<b>0</b>	<b>(175,576)</b>	<b>0</b>	<b>(77,681)</b>	<b>0</b>

**Comments:** The 2021/22 budget is £210,000. There are 20 shops in the district which are predominantly let as self repairing leases. Each shop rent is negotiated at the best market rate taking into consideration local factors regarding usage, availability, affordability and community benefit.

## Reserves

Category	Opening Balance 01/04/2021 £	Net Movement in Year £	Closing Balance 31/03/2022 £	Purpose
<b>Revenue Reserves</b>				
General Fund	(5,210,222)	1,113,149	(4,097,073)	Working balance to support the Council's revenue services. £2M is a suggested prudent minimum
Economic Impact (EIR)	(1,802,600)	0	(1,802,600)	To support the funding of unexpected/unplanned Council expenditure as a result of fluctuations in the economy.
Building Control	(194,514)	0	(194,514)	To provide against future losses and/or borrowing against Hertfordshire Building Control Ltd
HB Equalisation	(500,868)	0	(500,868)	To provide against future deficits on the Housing Benefit account
<b>Total Revenue</b>	<b>(7,708,204)</b>	<b>1,113,149</b>	<b>(6,595,055)</b>	
<b>Capital Reserves</b>				
New Homes Bonus	(4,260,019)	4,297,911	37,892	Government grant set aside for supporting capital expenditure
Section 106	(581,286)	0	(581,286)	Developers contributions towards facilities
Grants & Contributions	(1,326,765)	0	(1,326,765)	Disabled Facility Grants and other contributions
<b>Total Capital</b>	<b>(6,168,070)</b>	<b>4,297,911</b>	<b>(1,870,159)</b>	
<b>Other Earmarked Reserves</b>				
Leavesden Hospital Open Space	(769,123)	0	(769,123)	To maintain open space on the ex hospital site
Abbots Langley - Horsefield	(1,165,350)	0	(1,165,350)	Developers contributions towards maintenance of site
Community Infrastructure Levy (CIL)	(4,944,948)	(143,864)	(5,088,812)	Developers contributions towards Infrastructure
Environmental Maintenance Plant	(123,563)	0	(123,563)	Reserve to fund expenditure on plant & machinery
<b>Total Other</b>	<b>(7,002,984)</b>	<b>(143,864)</b>	<b>(7,146,848)</b>	
<b>Total All</b>	<b>(20,879,258)</b>	<b>5,267,196</b>	<b>(15,612,062)</b>	

**Glossary of terms**

<i>Accounting period</i>	The timescale during which accounts are prepared or reported on.
<i>'Accounts Payable'</i>	The section and/or system within the Council that is responsible for paying the Council's creditors and invoices raised against the Council.
<i>'Accounts Receivable'</i>	The section and/or system within the Council that is responsible for invoicing and collection from the Council's debtors and for invoices raised by the Council.
<i>Accrual</i>	The recording within the accounts of the Council the cost of goods or services received and for which an invoice has been received but for which payment has not yet been made.
<i>Asset</i>	A present, economic resource of the Council to which it has a right or other type of access that other individuals or organisations do not have.
<i>Balances</i>	A figure representing the difference between credits and debits in an account; the amount of money held in an account. Also known as 'financial reserves'.
<i>Base budget</i>	Estimate of the amount required to provide services at current levels. Can also be referred to as 'rollover budget'.
<i>Budget Monitoring</i>	The process comparing of actual income and expenditure against budget; used to support budgetary control.
<i>Business Rates/NDR*</i>	Rates are payable on non-domestic property including libraries, offices, schools. The level of business rates is set by the Government and collected by the District Councils on their behalf. The money is then re-allocated to authorities in accordance with resident population as part of the annual financial settlement.
<i>Capital Asset</i>	Capital or Fixed assets are long-term resources, such as plant, equipment and buildings.
<i>Capital Charges</i>	A charge to services to reflect the cost of fixed assets used in the provision of those services
<i>Capital expenditure</i>	Expenditure on items that create an asset which has a long-term benefit of more than one year.
<i>Carry forward [of budget]</i>	Budgets unspent in a prior year that have (once approved) been added to the current year budget. Strict control on 'carried forwards' apply.
<i>Chart of accounts</i>	The hierarchy of recording income and expenditure within the Council's accounts. The main distinctions are between fund e.g. County fund, Pension Fund; objective e.g. service or cost centre; subjective e.g. the classification of expenditure between salaries, equipment, stationery, fuel costs etc.

<i>Commitment</i>	A commitment to spend occurs when an order is raised
<i>Cost centre</i>	A collection of subjective codes linked to a particular service or sub-service area.
<i>Creditor</i>	A person or company to whom the Council owes money.
<i>Debtor</i>	A person or company who owes money to the Council
<i>Depreciation</i>	The accounting method of amortising the value of an asset over its useful life
<i>Ear marking</i>	Setting aside for specific purposes
<i>Financial Regulations</i>	Rules of financial management that apply to all officers and members of the Council. These can be found on the intranet.
<i>Financial Year</i>	Period of twelve months commencing on 1 April and ending 31 March the following year.
<i>Forecast Outturn</i>	A projection of anticipated expenditure incurred and income received to provide an estimate of the service position at the end of the year compared to the planned budget.
<i>Funding</i>	Source of income to support service expenditure – can be capital or revenue.
<i>General Fund</i>	The main revenue account of the Council through which day to day transactions are conducted.
<i>Journal</i>	The transfer of income or expenditure from one ledger code to another.
<i>Medium Term Financial [Plan] [Strategy]</i>	The Council's plan for the management of its resources during the next 3 years, which remains under a rolling review and links to the service planning process.
<i>Liability</i>	The Council's financial debt or obligations that arise during the course of its business operations. Liabilities are settled over time through the transfer of economic benefits including money, goods or services.
<i>Reserves</i>	Amounts set aside for general contingencies and to provide for working balances, or can be earmarked for specific future expenditure.
<i>Resources</i>	Includes cash, staff, equipment, property, stocks, etc.
<i>Revenue expenditure</i>	Expenditure on 'day-to-day' items required to support the running of the Council services
<i>Variance</i>	Difference between budget and actual income or expenditure. May be favourable (more income or lower spend than budgeted) or unfavourable/adverse (less income or more spend than budgeted)
<i>Virement</i>	Formal transfer of funds from one budget to another. Does not change the Council's overall budget.

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## POLICY AND RESOURCES COMMITTEE – 13 September 2021

### PART I - DELEGATED

#### 12. WORK PROGRAMME (CED)

##### 1 Summary

1.1 To agree the Committee's work programme.

##### 2 Details

2.1 Attached, as an appendix to this report, is the Committee's work programme.

2.2 The work programme includes information to Members on the purpose of the item being considered, how the work will be completed, the responsible officer and the outcome expected.

2.3 The work programme is presented for consideration to enable the Committee to make any changes it feels necessary, to review whether reports should remain on the work programme and to provide Members with updated information on future meetings.

##### 3. Policy/Budget Implications

3.1 The recommendations in this report are within the Council's agreed policy and budgets.

##### 4. Financial, Legal, Staffing, Environmental, Community Safety, Customer Services Centre, Website and Risk Management Implications

4.1 None specific to this report.

##### 5. Recommendation

5.1 That the Committee agrees the items included in the work programme.

Report prepared by Sarah Haythorpe, Principal Committee Manager

#### **Background Papers**

Policy and Resources Committee Minutes

#### **APPENDICES / ATTACHMENTS**

Appendix A - Committee Work Programme

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## POLICY AND RESOURCES COMMITTEE - WORK PROGRAMME

No.	Item to be considered	Link to Strategic Plan	Date of Next Meeting	Purpose of the Report	How the work will be done	Responsible Officer	Outcome Expected
1.	Performance Report		Reported via MIB	Performance report update	Written Report	Performance and Projects Manager	Report to note, this will be reported via the Members' Information Bulletin
2.	Final version of the Tree Strategy		1 November 2021	To receive the final version of the tree strategy	Written report	Head of Community Services and Principal Landscape Officer	To consider the recommendations
3.	Draft Corporate Framework, Draft Service Plans and Growth Bids 2022-2025		6 December 2021			Director of Finance/Head of Community Partnerships	To receive a report
4.	Business Rate Pooling 2022/23		To receive a report	Written Report		DoF	To recommend to Council.
5.	Review of Strategic Risks		To seek approval to enter into a business rates pool with Hertfordshire County Council (HCC) and a number of other districts within the County for 2020/21.	Written Report	Written Report	Emergency Planning and Risks Manager	To consider the recommendations

**APPENDIX A**

<b>No.</b>	<b>Item to be considered</b>	<b>Link to Strategic Plan</b>	<b>Date of Next Meeting</b>	<b>Purpose of the Report</b>	<b>How the work will be done</b>	<b>Responsible Officer</b>	<b>Outcome Expected</b>
6.	Financial Planning 2021-2024 to include Fees and charges		24 January 2022	To receive a report	Written Report	DoF and Service Heads	To recommend the budget to Council
7.	Appoint to the Sub-Committees of P&R		June 2022	To receive a report	Written Report	Principal Committee Manager	To consider the recommendations
8.	Budget Outturn report 2020/21		June 2022	To receive a report	Written Report	Head of Finance	To consider the recommendations
9.	Member Training		July 2022	To receive a report	Written report	Principal Committee Manager	To consider any recommendations
10.	Calendar of meetings 2024/25		September 2022	To receive a report	Written report	Principal Committee Manager	To recommend the calendar to Council
11.	Draft Corporate Framework and Financial planning 2023-2026		September 2022	To receive a report	Written Report	Director of Finance/Head of Community Partnerships	To consider the recommendations
12.	Community Infrastructure Levy (CIL) once the Government have reviewed CIL		Future meeting	To receive a report	Written report	DCES	To consider any recommendations

**APPENDIX A**

<b>No.</b>	<b>Item to be considered</b>	<b>Link to Strategic Plan</b>	<b>Date of Next Meeting</b>	<b>Purpose of the Report</b>	<b>How the work will be done</b>	<b>Responsible Officer</b>	<b>Outcome Expected</b>
13.	Three Rivers Community Interest Company		Future meeting	To receive a report	Written report	Acting Head of Community Partnerships	To consider the recommendations

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