



Jacqui Sinnott-Lacey
Chief Operating Officer

52 Derby Street
Ormskirk
West Lancashire
L39 2DF

28 February 2022

**TO: COUNCILLORS I MORAN, Y GAGEN, V CUMMINS, G DOWLING, G OWEN,
J WILKIE, K WILKIE AND A YATES**

Dear Councillor,

A meeting of the **CABINET** will be held in the **COUNCIL CHAMBER, 52 DERBY STREET, ORMSKIRK L39 2DF** on **TUESDAY, 8 MARCH 2022** at **7.00 PM** at which your attendance is requested.

Yours faithfully

A handwritten signature in black ink, appearing to be 'JS', written over a circular stamp or watermark.

Jacqui Sinnott-Lacey
Chief Operating Officer

AGENDA
(Open to the Public)

- 1. APOLOGIES**
- 2. SPECIAL URGENCY (RULE 16 ACCESS TO INFORMATION PROCEDURE RULES)/URGENT BUSINESS**

If, by virtue of the date by which a decision must be taken, it has not been possible to follow Rule 15 (i.e. a matter which is likely to be the subject of a key decision has not been included on the Forward Plan) then the decision may still be taken if:

- a) The Chief Operating Officer, on behalf of the Leader, obtains the agreement of the Chairman of the Executive Overview and Scrutiny Committee that the making of the decision cannot be

reasonably deferred,

- b) The Chief Operating Officer, on behalf of the Leader, makes available on the Council's website and at the offices of the Council, a notice setting out the reasons that the decision is urgent and cannot reasonably be deferred.

- 3. PUBLIC SPEAKING** 1665 - 1670
- Residents of West Lancashire, on giving notice, may address the meeting to make representations on any item on the agenda except where the public and press are to be excluded during consideration of the item. The deadline for submissions is 10.00am Friday 4 March 2022.
- 4. DECLARATIONS OF INTEREST** 1671 - 1672
- If a member requires advice on Declarations of Interest, he/she is advised to contact the Legal & Democratic Services Manager in advance of the meeting. (For the assistance of members a checklist for use in considering their position on any particular item is included at the end of this agenda sheet.)
- 5. MINUTES**
- To receive as a correct record, the minutes of the meeting of Cabinet held on 25 January 2022.
- 6. MATTERS REQUIRING DECISIONS**
- 6a **Corporate Performance Reporting 2022/23** 1673 - 1686
(Relevant Portfolio Holder: Councillor I Moran)
- 6b **Council Plan Delivery Plan Q3 2021/22** 1687 - 1714
(Relevant Portfolio Holder: Councillor Ian Moran)
- 6c **Risk Management Framework & Key Risk Register** 1715 - 1782
(Relevant Portfolio Holder: Councillor A Yates)
- 6d **RIPA Act Regular Monitoring of use of powers - Annual Setting of the Policy** 1783 - 1812
(Relevant Portfolio Holder: Councillor I Moran)
- 6e **Local Development Scheme Update** 1813 - 1844
(Relevant Portfolio Holder: Councillor G Owen)
- 6f **Use Of Section 106 Funds In Up Holland** 1845 - 1852
(Relevant Portfolio Holder: Councillor Gaynar Owen)
- 6g **Review of the Community Infrastructure Levy (CIL) Charging Schedule** 1853 - 1858
(Relevant Portfolio Holder: Councillor G Owen)

6h	Planning Services Review Update Report (Relevant Portfolio Holder: Councillor Gaynar Owen)	1859 - 1876
6i	Equality, Diversity & Inclusion Strategy and Equality Objectives 2022-2026 (Relevant Portfolio Holder: Councillor Y Gagen)	1877 - 1908
6j	HRA Review and Capital Monitoring (Relevant Portfolio Holder: Councillor Jenny Wilkie)	
6k	Queen's Platinum Jubilee Celebrations (Relevant Portfolio Holder: Councillor Yvonne Gagen)	1909 - 1914

We can provide this document, upon request, on audiotape, in large print, in Braille and in other languages.

FIRE EVACUATION PROCEDURE: Please see attached sheet.

MOBILE PHONES: These should be switched off or to 'silent' at all meetings.

For further information, please contact:

Jacky Denning on 01695 585384

Or email jacky.denning@westlancs.gov.uk

**FIRE EVACUATION PROCEDURE FOR:
COUNCIL MEETINGS WHERE OFFICERS ARE PRESENT
(52 DERBY STREET, ORMSKIRK)**

PERSON IN CHARGE: Most Senior Officer Present
ZONE WARDEN: Member Services Officer / Lawyer
DOOR WARDEN(S) Usher / Caretaker

IF YOU DISCOVER A FIRE

1. Operate the nearest **FIRE CALL POINT** by breaking the glass.
2. Attack the fire with the extinguishers provided only if you have been trained and it is safe to do so. **Do not** take risks.

ON HEARING THE FIRE ALARM

1. Leave the building via the **NEAREST SAFE EXIT**. **Do not stop** to collect personal belongings.
2. Proceed to the **ASSEMBLY POINT** on the car park and report your presence to the **PERSON IN CHARGE**.
3. **Do NOT** return to the premises until authorised to do so by the **PERSON IN CHARGE**.

NOTES:

Officers are required to direct all visitors regarding these procedures i.e. exit routes and place of assembly.

The only persons not required to report to the Assembly Point are the Door Wardens.

CHECKLIST FOR PERSON IN CHARGE

1. Advise other interested parties present that you are the person in charge in the event of an evacuation.
2. Make yourself familiar with the location of the fire escape routes and inform any interested parties of the escape routes.
3. Make yourself familiar with the location of the assembly point and inform any interested parties of that location.
4. Make yourself familiar with the location of the fire alarm and detection control panel.
5. Ensure that the zone warden and door wardens are aware of their roles and responsibilities.
6. Arrange for a register of attendance to be completed (if considered appropriate / practicable).

IN THE EVENT OF A FIRE, OR THE FIRE ALARM BEING SOUNDED

1. Ensure that the room in which the meeting is being held is cleared of all persons.
2. Evacuate via the nearest safe Fire Exit and proceed to the **ASSEMBLY POINT** in the car park.
3. Delegate a person at the **ASSEMBLY POINT** who will proceed to **HOME CARE LINK** in order to ensure that a back-up call is made to the **FIRE BRIGADE**.
4. Delegate another person to ensure that **DOOR WARDENS** have been posted outside the relevant Fire Exit Doors.

5. Ensure that the **ZONE WARDEN** has reported to you on the results of his checks, **i.e.** that the rooms in use have been cleared of all persons.
6. If an Attendance Register has been taken, take a **ROLL CALL**.
7. Report the results of these checks to the Fire and Rescue Service on arrival and inform them of the location of the **FIRE ALARM CONTROL PANEL**.
8. Authorise return to the building only when it is cleared to do so by the **FIRE AND RESCUE SERVICE OFFICER IN CHARGE**. Inform the **DOOR WARDENS** to allow re-entry to the building.

NOTE:

The Fire Alarm system will automatically call the Fire Brigade. The purpose of the 999 back-up call is to meet a requirement of the Fire Precautions Act to supplement the automatic call.

CHECKLIST FOR ZONE WARDEN

1. Carry out a physical check of the rooms being used for the meeting, including adjacent toilets, kitchen.
2. Ensure that **ALL PERSONS**, both officers and members of the public are made aware of the **FIRE ALERT**.
3. Ensure that **ALL PERSONS** evacuate **IMMEDIATELY**, in accordance with the **FIRE EVACUATION PROCEDURE**.
4. Proceed to the **ASSEMBLY POINT** and report to the **PERSON IN CHARGE** that the rooms within your control have been cleared.
5. Assist the **PERSON IN CHARGE** to discharge their duties.

It is desirable that the **ZONE WARDEN** should be an **OFFICER** who is normally based in this building and is familiar with the layout of the rooms to be checked.

INSTRUCTIONS FOR DOOR WARDENS

1. Stand outside the **FIRE EXIT DOOR(S)**
2. Keep the **FIRE EXIT DOOR SHUT**.
3. Ensure that **NO PERSON**, whether staff or public enters the building until **YOU** are told by the **PERSON IN CHARGE** that it is safe to do so.
4. If anyone attempts to enter the premises, report this to the **PERSON IN CHARGE**.
5. Do not leave the door **UNATTENDED**.

PUBLIC SPEAKING – PROTOCOL

(For meetings of Cabinet, Overview & Scrutiny Committees, Audit & Governance Committee and Standards Committee)

1.0 Public Speaking

- 1.1 Residents of West Lancashire may, on giving notice, address any of the above meetings to make representations on any item on the agenda for those meetings, except where the public and press are to be excluded from the meeting during consideration of the item.
- 1.2 A Parish Council Representative may, on giving notice, address any of the above meetings to make representations on any item on the agenda for those meetings, except where the public and press are to be excluded from the meeting during consideration of the item.
- 1.3 The form attached as an Appendix to this Protocol should be used for submitting requests.

2.0 Deadline for submission

- 2.1 The prescribed form should be received by Member Services by 10.00 am on the Friday of the week preceding the meeting. This can be submitted by e-mail to member.services@westlancs.gov.uk or by sending to:

Member Services
West Lancashire Borough Council
52 Derby Street
Ormskirk
West Lancashire
L39 2DF

- 2.2 Completed forms will be collated by Member Services and circulated via e-mail to relevant Members and officers and published on the Council website via Modgov. Only the name of the speaker (and representative) and details of the issue to be raised will be published.
- 2.3 Groups of persons with similar views should elect a spokesperson to speak on their behalf to avoid undue repetition of similar points. Spokespersons should identify in writing on whose behalf they are speaking.

3.0 Scope

- 3.1 Any matters raised must be relevant to an item on the agenda for the meeting.
- 3.2 The Legal & Democratic Services Manager may reject a submission if it:
 - (i) is defamatory, frivolous or offensive;
 - (ii) is substantially the same as representations which have already been submitted at a previous meeting; or

- (iii) discloses or requires the disclosure of confidential or exempt information.

4.0 Number of items

- 4.1 A maximum of one form per resident will be accepted for each Agenda Item.
- 4.2 There will be a maximum of 10 speakers per meeting. Where there are more than 10 forms submitted by residents, the Legal & Democratic Services Manager will prioritise the list of those allowed to speak. This will be considered having regard to all relevant matters including:
 - a. The order in which forms were received.
 - b. If one resident has asked to speak on a number of items, priority will be given to other residents who also wish to speak
 - c. Whether a request has been submitted in relation to the same issue.

No amendments will be made to the list of speakers once it has been compiled (regardless of withdrawal of a request to speak).

- 4.3 All submissions received will be published on the Council's website and circulated to Members of the relevant body and officers for consideration.

5.0 At the Meeting

- 5.1 Speakers will be shown to their seats. At the commencement of consideration of each agenda item the Leader/Chairman will invite the speakers to make their representations. Speakers will have up to 3 minutes to address the meeting. The address must reflect the issue included on the prescribed form submitted in advance.
- 5.2 Members may discuss what the speaker/s have said, along with any other information/representations submitted under this protocol, when all speakers on that item have finished and will then make a decision. Speakers should not circulate any supporting documentation at the meeting and should not enter into a debate with Councillors.
- 5.4 If residents feel nervous or uncomfortable speaking in public, then they can ask someone else to do it for them, including a Parish or Borough Councillor representative. They can also bring an interpreter if they need one. They should be aware there may be others speaking as well.

(Note: If a Resident wishes to have their Borough Councillor speak on their behalf, the Borough Councillor is not a member of the body considering the item.)

5.5 Speakers may leave the meeting at any time, taking care not to disturb the meeting.

(Please see attached form.)



REQUEST FOR PUBLIC SPEAKING AT MEETINGS

MEETING & DATE

NAME

ADDRESS

Post Code

PHONE

Email

Please indicate if you will be in attendance at the meeting

YES/NO*

*delete as applicable

Please indicate if someone will be speaking on your behalf at the meeting

YES/NO*

*delete as applicable

If someone is speaking on your behalf please provide their contact details:

NAME

PHONE

Email

Note: This page will not be published.

(P.T.O.)

PLEASE PROVIDE DETAILS OF THE MATTER YOU WISH TO RAISE

Agenda Item Number

Title

Details

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Name

Dated

Completed forms to be submitted by 10.00am on the Friday of the week preceding the meeting to:-

Member Services, West Lancashire Borough Council, 52 Derby Street, Ormskirk, Lancashire, L39 2DF or

Email: member.services@westlancs.gov.uk

If you require any assistance regarding your attendance at a meeting (including access) or if you have any queries regarding your submission please contact Member Services on 01695 585065

Note: This page will be circulated to Members of the Committee and published.

	This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority— (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	Any tenancy where (to M's knowledge)— (a) the landlord is the relevant authority; and (b) the tenant is a body in which the relevant person has a beneficial interest.
Securities	Any beneficial interest in securities of a body where— (a) that body (to M's knowledge) has a place of business or land in the area of the relevant authority; and (b) either— (i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

"body in which the relevant person has a beneficial interest" means a firm in which the relevant person is a partner or a body corporate of which the relevant person is a director, or in the securities of which the relevant person has a beneficial interest; "director" includes a member of the committee of management of an industrial and provident society;

"land" excludes an easement, servitude, interest or right in or over land which does not carry with it a right for the relevant person (alone or jointly with another) to occupy the land or to receive income; "M" means a member of a relevant authority;

"member" includes a co-opted member; "relevant authority" means the authority of which M is a member;

"relevant period" means the period of 12 months ending with the day on which M gives notice to the Monitoring Officer of a DPI;

"relevant person" means M or M's spouse or civil partner, a person with whom M is living as husband or wife or a person with whom M is living as if they were civil partners;

"securities" means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

'non pecuniary interest' means interests falling within the following descriptions:

- 10.1(1)(i) Any body of which you are a member or in a position of general control or management and to which you are appointed or nominated by your authority;
- (ii) Any body (a) exercising functions of a public nature; (b) directed to charitable purposes; or (c) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union), of which you are a member or in a position of general control or management;
- (iii) Any easement, servitude, interest or right in or over land which does not carry with it a right for you (alone or jointly with another) to occupy the land or to receive income.
- 10.2(2) A decision in relation to that business might reasonably be regarded as affecting your well-being or financial position or the well-being or financial position of a connected person to a greater extent than the majority of other council tax payers, ratepayers or inhabitants of the ward, as the case may be, affected by the decision.

'a connected person' means

- (a) a member of your family or any person with whom you have a close association, or
- (b) any person or body who employs or has appointed such persons, any firm in which they are a partner, or any company of which they are directors;
- (c) any person or body in whom such persons have a beneficial interest in a class of securities exceeding the nominal value of £25,000; or
- (d) any body of a type described in sub-paragraph 10.1(1)(i) or (ii).

'body exercising functions of a public nature' means

Regional and local development agencies, other government agencies, other Councils, public health bodies, council-owned companies exercising public functions, arms length management organisations carrying out housing functions on behalf of your authority, school governing bodies.

A Member with a personal interest who has made an executive decision in relation to that matter must ensure any written statement of that decision records the existence and nature of that interest.

NB Section 21(13) of the LGA 2000 overrides any Code provisions to oblige an executive member to attend an overview and scrutiny meeting to answer questions.



**EXECUTIVE OVERVIEW & SCRUTINY
COMMITTEE: 24 FEBRUARY 2022**

CABINET: 8 MARCH 2022

Report of: Corporate Director of Transformation and Resources

Relevant Portfolio Holder: Councillor I Moran

**Contact for further information: Ms A Grimes (Extn. 3211)
(E-mail: alison.grimes@westlancs.gov.uk)**

SUBJECT: CORPORATE PERFORMANCE REPORTING 2022/23

Wards affected: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To seek approval for the Corporate Performance Reporting for 2022/23.

2.0 RECOMMENDATIONS TO EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE

2.1 That the Committee consider the suite of Key Performance Indicators 2022/23 (Appendix A) and agree comments as appropriate.

3.0 RECOMMENDATIONS TO CABINET

3.1 That, subject to consideration of the agreed comments of the Executive Overview & Scrutiny Committee, the suite of Key Performance Indicators (KPIs) and targets in Appendix A are approved and adopted for reporting as part of a Council Plan Corporate Delivery Plan to evidence progress with the Council Plan.

3.2 That the Corporate Director of Transformation and Resources, in consultation with the Leader of the Council as Portfolio Holder, be authorised to finalise and amend the suite (Appendix A) having regard to agreed comments from Executive Overview and Scrutiny Committee made on 24 February 2022, and to make necessary amendments to the suite in year in response to any issues that may arise, for example government policy or collection mechanisms.

4.0 CURRENT POSITION

4.1 The Council Plan 2020-23 was agreed at Council in October 2020 detailing the Vision and Priorities for the organisation. The Plan provides clarity of purpose for

the Council allowing efficient communication of its strategic direction with the public, stakeholders and staff. This in turn allows effective planning and prioritisation of work and supports transparency and accountability. The Plan is provided in Appendix B for reference.

- 4.2 Services have developed actions (the "We Will..." statements) to meet those priorities over the lifespan of the Plan. This covers a large amount of work over several years across a broad spectrum of services. Progress against these actions is summarised and reported to Members along with the supporting KPIs on a quarterly basis as a Corporate Performance Delivery Plan.
- 4.3 The suite of indicators aims to measure the strategic priorities and associated actions (Appendix A). Monitoring these indicators reflects Members' role in the implementation of the Council Plan. Service data is however still used and actively monitored by Managers and Heads of Service to ensure effective operational delivery.
- 4.4 Targets for the KPIs in Appendix A have been set after consideration by services to be challenging but realistic based on current expectations and Cabinet is asked to agree these targets for the coming year. Other than target changes, changes include:

Proposed Changes

- Remove: *WL164: Savings within financial year* (since no savings requirement identified in the Medium Term Financial Strategy)
 - Remove *NI191: Kerbside residual household waste per household (Kg) (still to be monitored in-service; promotion but limited Council influence on outturn)*
 - Replace: *B1: Time taken to process Housing Benefit/Council Tax Support new claims change events* with *B5: Time taken to process Housing Benefit new claims and change events* (CTS still to be monitored in-services, but CTS largely determined by UC process).
- 4.5 An important factor for performance in many service areas will continue to be the ongoing impacts of the COVID pandemic. As with 2020/21, the current year performance in the majority of cases will have been affected by this and the impact will likely continue for an uncertain period of time into the next year.
 - 4.6 In addition to KPIs, information of 'data only' is provided where targets have not been set, with explanations provided in the Appendix. It should be noted that not all KPIs will have a quarterly outturn. Explanations of underperformance and activity to address this within actions or KPIs will be provided within the report.
 - 4.7 Future refresh/development of the Council Plan and review of KPIs / targets will be carried out together so that they are not considered in isolation. There is no change to the Council Plan for 2022/23 other than where actions have been completed and this is indicated in Appendix B.

5.0 SUSTAINABILITY IMPACTS

5.1 The information set out in this report aims to help the Council achieve its vision and priorities and should contribute to the sustainability of services and the borough as a whole. There are no significant sustainability impacts associated with this report/update and, in particular, no significant impact on crime and disorder.

6.0 FINANCIAL AND RESOURCE IMPLICATIONS

6.1 The Council Plan aims to ensure the Council is able to continue to pursue its objectives, within the resources available and can monitor and manage use of those resources. An agreed Council Plan will assist in shaping budget decisions and enable clear priorities to be set for services. There are no direct financial or resource implications arising from this report.

7.0 RISK ASSESSMENT

7.1 The actions referred to in this report are covered by the scheme of delegation to officers and any necessary changes have been made in the relevant risk registers. Having well-defined priorities means that attention and resources can be effectively focussed on managing, monitoring and achieving the Council's core objectives and reduces the risk of not doing so. Monitoring and managing the priorities, actions and KPIs is therefore an essential part of delivering the plan.

8.0 HEALTH AND WELLBEING IMPLICATIONS

8.1 The Council Plan supports health and wellbeing within West Lancashire in a variety of ways. The priority *Everyone to be healthy, happy, safe and resilient* specifically outlines what we want and what we intend to do to achieve this. In addition, a positive impact on Health & Wellbeing will also be achieved through the wider work of the other priorities and actions of the plan.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

The decision does not have any direct impact on members of the public, employees, elected members and / or stakeholders. Therefore no Equality Impact Assessment is required.

Appendices

Appendix A: Proposed KPIs 2022/23

Appendix B: WLBC Council Plan 2020-2023

APPENDIX A: PROPOSED KPIs 2022/23

Performance Indicator	Results 2018/19-2020/21			Targets 2021-23		Notes	Reporting frequency	Corporate Priority	Service Lead
	2018/19	2019/20	2020/21	Annual target 2021/22	Proposed Annual target 2022/23				
	Value	Value	Value						
E01 % rent loss through empty commercial properties available to rent	N/A	N/A	N/A	10%	10%	Target considered prudent ; if properties are unavailable to rent due to e.g. undertaking re-roofing repairs or not meeting EPC rating they are not available and therefore not included in the count	Quarterly	S	FPCPS
WL150 Number of new participants engaged in health & wellbeing programmes/interventions	N/a	N/a	N/a	250	250	The Business Health Matters programme introduction may see numbers increase. There are delivery restrictions owing to budget availability. Face to face interventions are anticipated to rise when restrictions are lifted.	Quarterly	H	WLS
WL151a Number of new clients attending vocational training	N/a	N/a	N/a	38	50	Successful previous year and extension of MPT for a further 2 years however Kickstart programme will be winding down.	Quarterly	H	WLS
WL151b Number of new participants engaged to enhance employability, confidence, skills and qualifications	N/a	N/a	N/a	40	140	To better reflect current performance	Quarterly	H	WLS
WL153a No. of partners working with Wellbeing and Leisure Service	N/A	N/A	N/A	81	81	Evidencing the number of partners the team engage with to deliver and develop the services	Quarterly	H	WLS
WL157a No. visits to leisure facilities	N/A	N/A	N/A	573,800	480,000	The target is based on actuals year to date in 2021/2022 and reflects the fact that returns to activity have been encouraging in most areas however there is still room for growth with Health and Fitness activities	Quarterly	H	WLS
WL159 No. attending parks and countryside events and activities	41,265	63,547	0	5,500	15,000	This covers events that are run by the Ranger service and externally organised events and assumes that major events will not take place.	Quarterly	H	WLS
WL160 No. Green Flag Awards	N/A			2	2	Maintain existing awards	Annual	G	WLS
WL162 Effective use of resources	N/A	N/A	Yes	Yes	Yes	Target demonstrates auditor recognition of governance	Annual	S	FPCPS
WL163 Regulatory requirements met (financial statements)	N/A	N/A	Yes	Yes	Yes	Target demonstrates auditor recognition of governance	Annual	S	FPCPS
WL164 Savings within financial year	N/A	N/A	N/A	£750,000	Remove for 22/23	Proposal to delete - there is no savings requirement identified in the Medium Term Financial Strategy	N/A	S	FPCPS
NI 155 Number of affordable homes delivered (gross)	23	210	133	60	Data only	Although outcome is influenced using our enabling role to engage with: Our registered provider partners to encourage development in West Lancs; Homes England in support of grant applications for proposed developments in the Borough ; Private developers where affordable housing is required by virtue of a planning obligation, the Council doesn't have total control over the outcome so reported as data only.	Annual	C	GDS
NI 154 Net additional homes provided	351	622	458	335	335	Housing Requirement identified in adopted West Lancashire Local Plan	Annual	C	GDS
NI 159 Supply of ready to develop housing sites	103%	227%	224%	120%	120%	Use of 120% as an ongoing target will help to ensure Council plans for a reasonable, best practice buffer of housing supply in case delivery of housing should drop unexpectedly (e.g. because of recession) or the need should change (upwards).	Annual	C	GDS
WL144a Vacancy levels - Vacant units in Burscough	0%	N/A	4.40%	0%	2%	Contextual as not all within Council control. Keeping vacancy rates to zero, as previous years, will be challenging in light of economic changes arising from Covid. 2% strikes balance between 2018/19 levels, and 2020/21 (Covid) levels,	Annual	B	GDS
WL144b Vacancy levels - Vacant units in Ormskirk	9.40%	N/A	7%	9%	9%	in light of economic impact of COVID, as such targets involve keeping vacancy levels at 2018/19 levels. Reducing vacancy rates will be challenging in light of economic impact of COVID, as such targets for next year (22/23) involves keeping vacancy levels at 2018/19 levels.	Annual	B	GDS
WL144c Vacancy levels - Vacant units in Skelmersdale	18%	N/A	25.30%	18%	18%	As above	Annual	B	GDS

Performance Indicator	Results 2018/19-2020/21			Targets 2021-23		Notes	Reporting frequency	Corporate Priority	Service Lead
	2018/19	2019/20	2020/21	Annual target 2021/22	Proposed Annual target 2022/23				
R1 % of Council Tax collected	96.46%	96.29%	93.06%	97.10%	97.10%	Performance has dropped significantly due to decisions made by Council to cease recovery from April 20 to October 21, but with recovery recommenced now we aim to return next year to pre Covid performance outturns as customers get used to adjusting their budgets to start paying CT again, then improve on this in future years. It is anticipated that this PI target will be increased from 23/24	Quarterly	S	CCS
R3 % of Business Rates Collected (NNDR)	98.22%	98.02%	87.46%	97.20%	97.2	As above	Quarterly	S	CCS
BV8 % invoices paid on time (within quarter)	98.21%	98.34%	95.95%	98.75%	98.75%		Quarterly	B	CCS
B5 Time taken to process Housing Benefit new claims and change events (days) (ytd)	N/A	N/A	N/A	N/A	12	NEW. As outlined in quarterly performance reports a revised definition better reflects the ongoing performance within the Benefits Service.	Quarterly	H	CCS
B1 Time taken to process Housing Benefit/Council Tax Support new claims and change events (days) (ytd)	6.16	7.73	12	12	Delete/replace for 22/23	The Benefit Service will continue to record and monitor CTS separately but not use in a combined speed of processing PI as it does not give a true measure of service performance	To replace	H	CCS
ER07 Number of businesses signed up as Skelmersdale Ambassadors	28	N/A	N/A	40	Data only	At the moment the Business Engagement team focus is on the issuing of Business Grants and supporting the recovery of businesses due to the pandemic. The Ambassadors programme has been placed on hold. A review of the programme will be undertaken to reflect on the approach and inform any future targets once the detailed work on the Business Grants has been completed.	Quarterly	B	CCS
ER09 Number of businesses added value to via support i.e. property searches, skills and employment	11	9	109	Data only	Data only	Customer driven demand	Quarterly	B	CCS
WL148 Value of business support grants allocated and processed (million)	N/A	N/A	£39.70	Data only	Data only	Outturn based on the value of COVID related government grant schemes distributed to WL businesses	Quarterly	B	CCS
WL108 Average answered waiting time for callers to the contact centre (seconds)	250	121	43	145	145	Due to the pandemic the CSPs have been operating at a reduced level; the staff that would usually provide this face to face service have been handling calls. With effect from 01/03/22, the Revenues and Benefits call handling service will return to the Council and will be handled by the Customer Services team. Whilst resources have been recruited to support this work, this may have an impact on performance. It is therefore appropriate to retain the current call handling targets and to review this during the coming year as part of the redesign of the service.	Quarterly	E	CCS
WL90 % of Contact Centre calls answered	72.20%	85.90%	96.50%	88.00%	88%	As above	Quarterly	E	CCS
WL85a Website: no. visits	657,969	648,500	546,671	Data only	Data only		Quarterly	E	CCS
WL85c Website: No. of payments processed online	69,607	64,990	78,042	Data only	Data only		Quarterly	E	CCS
WL130 No. Service Now Customer Accounts	N/A	24,734	39,333	data only	data only		Quarterly	S	CCS
WL131 No. Social Media Followers (WLBC FB, Twitter)	N/A	9,567	13,715	data only	data only		Quarterly	E	CCS

Performance Indicator	Results 2018/19-2020/21			Targets 2021-23		Notes	Reporting frequency	Corporate Priority	Service Lead
	2018/19	2019/20	2020/21	Annual target 2021/22	Proposed Annual target 2022/23				
WL132-c19 FTE working days lost due to sickness absence per average FTE (COVID Inclusive)	N/A	10.46	8.64	8.08	8.08		Quarterly	S	CCS
WL161 Affordable Housing units via Tawd Valley Developments	N/A	N/A	N/A	44	TBC	Target will be taken from the TVD Business Plan due to be approved later in the year.	Quarterly	C	TVD
TS1a Rent collected from current and former tenants as a % of rent owed (excluding arrears b/f).	N/a	101.74	100.26	100.04	100	Based on the current average cash collection performance this would be a challenging target ; middle quartile for Housemark benchmark	Quarterly	S	HRS
TS52 No. tenants accessing money advice service	N/a	N/a	N/a	Data only	Data only	Data only for information linked to Financial Inclusion Strategy	Quarterly	H	HRS
TS53 No. tenants supported with Food Poverty advice	N/a	N/a	N/a	Data only	Data only	Data only for information linked to Financial Inclusion Strategy	Quarterly	H	HRS
TS54 No. people provided with money advice to help prevent homelessness (tenants & residents)	N/a	N/a	N/a	Data only	Data only	Data only for information linked to Financial Inclusion Strategy	Quarterly	H	HRS
TS55 No. tenants provided with fuel poverty advice	N/a	N/a	N/a	Data only	Data only	Data only for information linked to Financial Inclusion Strategy	Quarterly	H	HRS
HS14 % non-decent council homes	0.07%	0.03%	0.10%	0.10%	0.10%	Standards	Quarterly	H	HRS
HS27 % of properties with a valid Landlord Gas Safety Record (homes and buildings)	100.00%	100.00%	99.90%	100.00%	100.00%	Standards	Quarterly	H	HRS
HS28 % of properties with a valid Electrical Installation Condition Report (homes and buildings)	98.80%	97.60%	98.10%	100.00%	100.00%	Standards	Quarterly	H	HRS
HS29 % non-domestic that require an asbestos management survey/re-inspection	100.00%	100.00%	100.00%	100.00%	100.00%	Standards	Quarterly	H	HRS
HS30 % of non-domestic properties with fire risk assessment in place	100.00%	100.00%	100.00%	100.00%	100.00%	Standards	Quarterly	H	HRS
HS31 % of properties covered by water hygiene risk assessment (homes and buildings)	100.00%	100.00%	100.00%	100.00%	100.00%	Standards	Quarterly	H	HRS
TS11 % of rent loss through dwellings being vacant	0.94%	0.87%	1.45%	0.99%	1.10%	Proposed target has been set using comparative data from Housemark and previous performance since start of Wates contract. Median performance across peer group is 1.19%	Quarterly	H	HRS
ES19a % successful planned bin collections (grey)	N/A	N/A	N/A	96%	97%	Increase reflects continued stretch for greater effectiveness	Quarterly	C	ES
ES19b % successful planned bin collections (blue)	N/A	N/A	N/A	96%	97%	As above	Quarterly	C	ES
ES19c % successful planned bin collections (brown)	N/A	N/A	N/A	96%	97%	As above	Quarterly	C	ES
ES19d % successful planned bin collections (green)	N/A	N/A	N/A	96%	97%	As above	Quarterly	C	ES

Performance Indicator	Results 2018/19-2020/21			Targets 2021-23		Notes	Reporting frequency	Corporate Priority	Service Lead
	2018/19	2019/20	2020/21	Annual target 2021/22	Proposed Annual target 2022/23				
NI191 Kerbside residual household waste per household (Kg)	485.62	541.32	543.21	500	Remove for 22/23	The Council has limited control over the outturn of this. The data will continue to be monitored within service. As greater numbers of people work from home this has inevitably produced more waste for Council household collections and is likely to remain at higher than previous levels even with many people returning to work resulting in higher 'new normal' levels of household waste.	N/A	G	ES
NI192 Percentage of kerbside household waste sent for reuse, recycling and composting	43.76%	41.39%	46.90%	51.00%	47.8%	There are no plans to change the recycling offer. The target is therefore based on current outturns. The Environmental Bill outcome will impact on recycling in the future.	Quarterly	G	ES
ES01 No. grass cuts undertaken on the highway between April-October	N/A	7	8	8	8	Contractual year target of 8 cuts between April – October on highway verges/public open space. Q targets will be Q1 3 , Q2 7, Q3 8	Quarterly	G	ES
ES02 No. grass cuts undertaken in Sheltered Accommodation between April-October	N/A	9	9.6	10	10	Contractual year target of 8 cuts between April – October on sheltered accommodation. Q targets will be Q1 4 , Q2 9, Q3 10	Quarterly	G	ES
ES04 % locations inspected falling into categories A/B - Litter (cumulative)	N/A	99.15%	100.00%	95.00%	97.00%	Increase following previous performance	Quarterly	C	ES
ES06 % locations inspected falling into categories A/B - Dog Fouling (cumulative)	N/A	100.00%	100.00%	95.00%	97.00%	Increase following previous performance	Quarterly	C	ES
ES07 % locations inspected falling into categories C/D - Overflowing Litter Bins (cumulative)	N/A	10.53%	0.94%	10.00%	5.00%	Decrease following previous performance	Quarterly	C	ES
ES08 % locations inspected falling into categories A/B - grounds maintenance (includes grass and shrubbery) (cumulative)	N/A	92.53%	99.80%	90.00%	95%	Increase following previous performance	Quarterly	C	ES
ES11 % locations inspected falling into categories C/D - Detritus (cumulative)	N/A	4.16%	2.35%	7.00%	5%	Decrease following previous performance	Quarterly	C	ES
CIT01 % feel West Lancs is safe & secure to live	N/A	68%	N/A	Data only	Data only	Biennial Citizen & Stakeholder Survey was not carried out in 21/22 due to the priority work of the Customer Engagement Team being support to the VCFSE sector to help our communities recover from the impact of the pandemic. The survey is rescheduled for 2022/23.	Bi-ennial	C	CCS
CIT02 % satisfied with cleanliness of streets	N/A	52%	N/A	Data only	Data only	As above	Bi-ennial	C	CCS
CIT03 % satisfied with how WLBC runs things	N/A	51%	N/A	Data only	Data only	As above	Bi-ennial	E	CCS
CIT06 % satisfied with sports/leisure facilities	N/A	27%	N/A	Data only	Data only	As above	Bi-ennial	H	CCS
CIT07 % satisfied with parks and open spaces	N/A	49.00%	N/A	Data only	Data only	As above	Bi-ennial	G	CCS
CIT09 % residents who feel safe in local area after dark	N/A	60%	N/A	Data only	Data only	As above	Bi-ennial	C	CCS

Performance Indicator	Results 2018/19-2020/21			Targets 2021-23		Notes	Reporting frequency	Corporate Priority	Service Lead
	2018/19	2019/20	2020/21	Annual target 2021/22	Proposed Annual target 2022/23				
CIT10 % residents who feel safe in local area during the day	N/A	86%	N/A	Data only	Data only	As above	Bi-ennial	C	CCS
CIT16 % of residents feel that they belong to their local area	N/A	65%	N/A	Data only	Data only	As above	Bi-ennial	E	CCS
WL140 % of staff who understand how their role contributes to the vision and priorities	N/A	N/A	80%	Data only	Data only	Outturn from the Our People staff survey.	Annual	H	CCS
WL141 % staff who feel the Council is a good organisation to work for	78%	N/A	79%	Data only	Data only	Outturn from the Our People staff survey.	Annual	H	CCS

Corporate Priorities: B - Support businesses to adapt & prosper ; C - A clean, safe environment with affordable homes to buy or rent for everyone in West Lancs ; S - To be a financially sustainable Council by 2023;
H - Everyone to be healthy, happy, safe and resilient ; G - Become a Greener West Lancashire ; E - Create empowered, engaged and inclusive communities

Service Areas: ES - Environmental Services ; CCS - Corporate & Customer Services ; GDS - Growth & Development Services ; LWS - Leisure & Wellbeing Service ; FPCP - Finance, Procurement and Commercial Property Services ;

HRS - Housing & Regulatory Services

N/ A - not developed/recorded at this time

APPENDIX B : Council Vision and Priorities

Our Vision

West Lancashire together; the place of choice to live, work, visit and invest

Our priorities are:

Create empowered, engaged and inclusive communities

We want:

- Healthy resilient and engaged communities that work together to improve the places they live and work
- Everyone to have the same opportunities
- Thriving voluntary and community groups that support innovation and collaboration
- To work with partners for the good of local people
- Our citizens to access the benefits of being digitally engaged
- Councillors that are active and knowledgeable and support change at a local level
- To improve customer satisfaction

We will:

Work with partners to develop a meaningful offer to support citizens to become digitally included

Adopt a best practice model of consultation

Listen & provide feedback for how views improve services

Engage with communities for key decisions

Use Community Networks to gain views from hard to reach groups

Create innovative ways to listen to different community views

Use Councillors' existing reach and influence to provide community feedback to shape decision making

Develop (place based) neighbourhood plans with key partnerships committed to meeting the needs of our communities

Build on and develop strengths within local communities

Support businesses to adapt and prosper

We want:

- West Lancashire to be the place of choice to locate your business
- Our 3 towns to be thriving hubs for their communities
- To support our businesses to succeed and grow
- A strong rural business economy
- A vibrant and modern Ormskirk market that attracts visitors to the town centre

We will:

Develop a strong web presence which positively promotes West Lancashire

Promote West Lancashire as a place to invest through the Skelmersdale Place Board & Ambassadors

Support the recovery and growth of existing and new businesses

Signpost/support businesses to innovate/diversify

Develop the market offer and reinvigorate Ormskirk's Eastern gateway

Lead the regeneration of Skelmersdale Town Centre

Create enlivened town centres offering diverse leisure opportunities and night time economy

Adopt an inclusive procurement approach which supports local businesses to tender for opportunities

Become a Greener West Lancashire

We want:

- To become a Carbon Neutral Council by 2030
- Local business and citizens to embrace the green agenda
- Council housing stock to meet high standards of efficiency - insulation, design, technology
- To minimise waste disposal and improve recycling services to meet national targets
 - To embed green infrastructure into our thinking and planning for West Lancashire's future development and regeneration
- To safeguard the natural landscape and maintain our green environment

We will:

Optimise the Council fleet; increase route efficiency and maximise low emissions – **COMPLETE**

Be a role model and lead good practice; develop a Climate Change Strategy and action plan

Encourage local businesses and service providers to set their own targets for becoming carbon neutral and promote their achievements

Commit to maximising Council energy requirements from renewable sources

Ensure all council buildings are operating to highest efficiency standards - insulation, design, and technology

Maximise the use of solar panels on Council owned buildings and housing stock

Commit to maximising Council energy requirements from renewable sources

Optimise the development of solar/wind farm investment

Enhance green spaces promoting diverse leisure uses and explore the option of developing an Eco park

Use green credentials to form part of our procurement selection criteria

Use the supply chain to maximise energy efficiency, design out waste and reduce our carbon footprint

Reduce waste and improve recycling, implement a Waste strategy with a focus on sustainable solutions

Increase the use of environmentally friendly products

Support the development of green transport

Develop a local plan policy encouraging green developments – green space, energy efficiency, sustainable supply chains

Be a financially sustainable Council by 2023

We want:

- To be confident, capable and financially sustainable
- To continue to improve the efficiency and effectiveness of service provision
- To be able to invest in high priority service areas
- To maximise available government funding and generate income to reinvest in West Lancashire
- To provide value for money services

We will:

Optimise inward investment – **COMPLETE**

Continue the implementation of the Council's Sustainable Organisation Review – **COMPLETE**

Continuously develop, find better ways to do things and embrace new technology

Consider the merits of all service options to ensure value for money is achieved

Maximise commercial investment opportunities through a commercial strategy

Maximise the value from existing assets and focus on value for money

Make sure our internal financial and decision-making processes continue to be strong

Review fees and charges across all council services

Maximise the returns from Tawd Valley Development Company to reinvest in West Lancashire

Review existing contract savings and work with suppliers to achieve economies of scale

A clean, safe environment with affordable homes to buy or rent for everyone in West Lancashire

We want:

- To provide a cleaner physical environment to enhance the Borough
- West Lancashire to be safe for all citizens
- A Local Plan that supports quality growth and infrastructure in the Borough
- To provide quality and genuinely affordable homes

We will:

Identify strategic regeneration areas and investment plans – **COMPLETE**

Continue to drive forward the community safety agenda

Review WLBC/public estate land holdings

Develop homes to rent/buy/for shared ownership through Tawd Valley Development Company

Identify strategic regeneration areas and investment plans

Increase the supply of homes to bring cheaper private rents...

Get the right mix of properties...

Review our Housing Strategy

Lead estate regeneration creating attractive places where people want to live

Deliver high quality street cleansing services based on demand

Invest resources within services to achieve an improvement to the local environmental quality

Develop environment ward reports for members

Everyone to be healthy, happy, safe and resilient

We want:

- To help businesses in West Lancashire to thrive, grow and connect
- An engaged and motivated Council workforce
- To design services that help people stay healthy and independent
- To invest in sports and leisure services and facilities
- To protect, invest and continue to develop our green leisure spaces

We will:

Deliver our people strategy with Council staff that results in a continuously improving culture

Deliver our financial inclusion strategy and action plan

Deliver our food poverty strategy and action plan

Deliver our fuel poverty strategy and action plan

Deliver our health and wellbeing strategy embedding school initiatives

Work with partners to focus on prevention and reducing health inequalities

Develop a quality range of health, wellbeing and leisure facilities and services

Bring in additional money/services to support our most deprived areas

Everyone to be proud of their Council



CABINET: 8 MARCH 2022

**CORPORATE & ENVIRONMENTAL
OVERVIEW & SCRUTINY COMMITTEE:
10 MARCH 2022**

Report of: Corporate Director of Transformation and Resources

Relevant Portfolio Holder: Councillor I Moran

**Contact for further information: Ms A Grimes (Extn. 3211)
(E-mail: alison.grimes@westlancs.gov.uk)**

**SUBJECT:
QUARTERLY COUNCIL PLAN PERFORMANCE DELIVERY PLAN – Q3 2021/22**

Wards affected: Borough wide

1.0 PURPOSE OF THE REPORT

- 1.1 To present performance monitoring data for the quarter ended 31 December 2021.

2.0 RECOMMENDATIONS TO CABINET

- 2.1 That the Council's performance against the Council Plan for the quarter ended 31 December 2021 be noted.
- 2.2 That the call-in procedure is not appropriate for this item as the report will be submitted to the meeting of the Corporate & Environmental Overview & Scrutiny Committee on 10 March 2022.

3.0 RECOMMENDATIONS TO CORPORATE & ENVIRONMENTAL OVERVIEW & SCRUTINY COMMITTEE

- 3.1 That the Council's performance against the Council Plan for the quarter ended 31 December 2021 be noted and any agreed comments be forwarded to the Relevant Portfolio Holder and Corporate Director for consideration.

4.0 CURRENT POSITION

- 4.1 Members are referred to Appendix A of this report detailing the quarterly performance in delivery the Council Plan.

- 4.2 Due to quarter end dates and committee timescales this report is being presented to Cabinet ahead of Overview & Scrutiny. This is outside of the usual order of meetings to avoid excessive delay in Cabinet receiving the information.
- 4.3 The Council Plan was agreed by Members in October 2020. The Plan provides clarity of purpose for the Council allowing efficient communication of its strategic direction with the public, stakeholders and staff. This in turn allows effective planning and prioritisation of work and supports transparency and accountability.
- 4.4 Services developed and timetabled the actions (the "We Will..." statements) to meet those priorities over the three years of the Council Plan. This covers a large amount of work over several years across a broad spectrum of services. The suite of indicators to support evidencing delivery was agreed in March 2021.
- 4.5 Progress against the actions and supporting KPIs are summarised and provided as a Corporate Performance Delivery Plan in Appendix A. Action progress is intended to provide progress for those actions with activity of note or planned to conclude within the quarter or outstanding from previous quarters. KPIs reported quarterly are included.
- 4.6 To provide a focus on activity the information relating to actions refers to those with activity planned to conclude within the quarter or where it is outstanding from previous quarters. Where actions have been delayed this is addressed in the 'Focus on' section.
- 4.7 Delivery Plan at Appendix A refers to 46 items within the quarterly suite, 10 of which are 'data only' (no target). Of the 36 PIs with targets reported quarterly:
- 21 indicators met or exceeded target
 - 2 indicators narrowly missed target
 - 10 were 5% or more off target.
 - 3 have not been collected for the quarter due to validation of the data source.
- 4.8 Performance plans are prepared by service managers for those performance indicators where performance falls short of the target by 5% or more for this quarter. These plans (Appendix B) provide the narrative behind the outturn.

6.0 SUSTAINABILITY IMPACTS

- 6.1 The information set out in this report aims to help the Council achieve its priorities and vision and should contribute to the sustainability of services and the borough as a whole. There are no significant sustainability impacts associated with this report/update and, in particular, no significant impact on crime and disorder.

7.0 FINANCIAL AND RESOURCE IMPLICATIONS

- 7.1 There are no direct financial or resource implications arising from this report.

8.0 RISK ASSESSMENT

- 8.1 This item is for information only and makes no recommendations. It therefore does not require a formal risk assessment and no changes have been made to risk registers as a result of this report. Monitoring and managing performance information data helps the authority to ensure it is achieving its corporate priorities and key objectives and reduces the risk of not doing so.

9.0 HEALTH AND WELLBEING IMPLICATIONS

- 9.1 There are no health and wellbeing implications arising from this report. The Council Plan itself supports the improvement of health and wellbeing within West Lancashire.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

The decision does not have any direct impact on members of the public, employees, elected members and / or stakeholders. Therefore no Equality Impact Assessment is required.

Appendices

Appendix A: Quarterly Council Plan Delivery Plan Report
Appendix B: Performance Plans





APPENDIX A: Corporate Performance Delivery Plan

Quarter 3 (October-December) 2021/22







Be a financially sustainable Council by 2023


Be a financially sustainable Council by 2023 - Actions

In Quarter Activity

	Completed	1		Check Progress	0
	In Progress	6		Overdue	0







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To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Continue the implementation of the Council's Sustainable Organisation Review	Implementation has now been completed.			Finance
Make sure our internal financial and decision-making processes continue to be strong	Completed a review of budgets for 22/23 and incorporated the outcome of the local government finance settlement. Revised the Medium Term Financial Strategy to reflect the current position and a review of reserve balances and capital financing requirements has been undertaken. This will all form the basis of the report to February Council.			Finance
Optimise Inward Investment	See Solar Farm (Greener West Lancs)			Finance
Review fees and charges across all council services	Fees and Charges report prepared for submission to Council.			Finance
Consider the merits of all service options to ensure value for money is achieved	Great progress on the return of our Revenues & Benefits Customer Access Service from Lancashire County Council has been maintained with the project on track for the service to return back into West Lancs Customer Services from 1 March.			Finance
Maximise the returns from Tawd Valley Development Company to reinvest in West Lancashire.	TVD has continued to make good progress with its business plan and the completion of phase 1 schemes. An independent review by Local Partnerships has been undertaken and a full report will be taken to Council in 2022.			Finance




To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Continuously develop, find better ways to do things and embrace new technology	<p>Implemented new Me Learning Information Governance Platform to ensure we have an IG compliant workforce.</p> <p>Implemented upgrade to the Housing Management System allowing service delivery to be maintained and compliance to be adhered to within system compliance</p> <p>Preparation work for the move to Microsoft 365 continued. New intuitive Covid trackers produced and used to understand Omicron Covid position for WLBC to aid emergency planning</p>			Business Intelligence & Development








Be a financially sustainable Council by 2023 - KPIs

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Quarter KPI Status		
	OK (within 0.01%) or exceeded	3
	Warning (within 5%)	0
	Alert (by 5% or more)	4
	PIs awaiting data	0
	Data only	1
	'Data only' awaiting data	0

Out of the 10 total KPIs within the priority, 8 are reported quarterly.

Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
E01 % rent loss through empty commercial properties available to rent	N/A PI not developed/data recorded at this time			3.2	2.8	3.1	10	/		
R1 % of Council Tax collected	93.06%	80.21%	93.06%	27.39%	52.29%	79.08%	85.90%		Performance significantly impacted by Borough Council decision to suspend Statutory Recovery processes in March 2020. Reintroduction recommenced late October 2021. Plan attached at Appendix	





Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
									B1	
R3 % of Business Rates Collected (NNDR)	87.46%	69.49%	87.46%	17.29%	42.50%	69.40%	81.85%	↓	As above Plan attached at Appendix B2	
TS1a Rent collected from current and former tenants as a % of rent owed (excluding arrears b/f).	100.26	100.38	100.26	105.05	100.18	100.86	100.04	↑		
TS11% of rent loss through dwellings being vacant	1.45%	1.47%	1.45%	1.27%	1.38%	1.23%	0.99%	↑	Plan attached at Appendix B3	
WL130 No. Service Now Customer Accounts	39,333	37,031	39,333	42,384	44,811	46,500		↑		
WL132-c19 FTE working days lost due to sickness absence per average FTE (COVID Inclusive)	8.64	2.25	2.21	2.14	3.20	2.52	2.02	↓	Plan attached at Appendix B4	
WL164 Savings within financial year	N/A PI not developed/data recorded at this time			£250k	£250k	£187.5k,	£187.5k	/		



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Create empowered, engaged and inclusive communities







Create empowered, engaged and inclusive communities – Actions

In Quarter Activity














	Completed	0		Check Progress	0
	In Progress	2		Overdue	0

To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
<p>Work with partners to develop a meaningful offer to support citizens to become digitally included</p>	<p>Q3 marked the half way point of the digital training project delivered on behalf of the Council by "We are Digital". 52 hours of training sessions has been provided to residents. The training aims to improve residents digital skills and help overcome digital exclusion through free 1-2-1 digital skills sessions delivered remotely over the phone.</p> <p>The service has been promoted via press releases and flyers and continues to be promoted via social media and contact with community groups and foodbanks. WLBC staff have also been engaged to support those customers they have identified as needing additional digital support. We have also engaged with the CCG and VirginCare colleagues to refer residents they identify as needing additional support in accessing digital health services.</p>	<p>Continued drive to make direct contact with residents to promote take up of the service.</p>		<p>Customer & Business Engagement</p>
<p>Create innovative ways to listen to different community views</p> <p>Adopt best practice consultation</p> <p>Engage with communities for key decisions</p>	<p>The soft launch of the Council's new resident/customer 'Let's Talk West Lancashire' engagement platform began at the end of September 2021. The new platform is enabling us to engage, share information and support residents to provide feedback through different innovative and interactive methods.</p> <p>Local Plan Consultation launched in November as part of the 'soft launch'. There have been 124 new registrations in Q3 as part of the continued soft launch.</p>	<p>Q4 will see the hard launch of the platform, including a specific Tenant Hub, as well as an internal Staff Hub.</p>		<p>Customer & Business Engagement</p>

Create empowered, engaged and inclusive communities - KPIs

Quarter KPI Status		
	OK (within 0.01%) or exceeded	0
	Warning (within 5%)	1
	Alert (by 5% or more)	1
	PIs awaiting data	0
	Data only	3
	'Data only' awaiting data	0





Out of the 7 total KPIs within the priority, 5 are reported quarterly.






Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
Page 1694 WL85a Website: no. visits	546,671	124,761	104,707	104,979	79,765	157,060			Figures are higher in comparison to same period last year and attributed mainly to visits to Council Tax pages potentially due to recovery programme starting. Rise in visits to refuse and recycling pages are likely to be a result of checking Christmas period collections.	
WL85c Website: No. of payments processed online	78,042	14,605	13,415	27,984	15,365	15,860				
WL108 Average answered waiting time for callers to the contact centre (seconds)	43	23	35	148	133	154	145		Staff support of the COVID response reduced resource available for in customer services. ICT issues also had an impact. Performance Plan attached at Appendix B5	
WL90 % of Contact Centre calls answered	96.5%	97.5%	96.4%	86.7%	89.5%	87.7%	88.0%		As above	
WL131 No. Social Media Followers (WLBC FB, Twitter)	13,715	12,594	13,715	13,970	14,205	14,489			Social media followers increased 2% this quarter	

Become a Greener West Lancashire







Become a Greener West Lancashire - Actions

In Quarter Activity









	Completed	0		Check Progress	3
	In Progress	2		Overdue	0

To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Optimise the development of solar/wind farm investment	Discussions with Homes England have taken place regarding the business case for the solar farm at Junction 4. We have received a response from Homes England and have provided costings for the electrical connection.	We still await confirmation of the HE position regarding claw-back on the land.		Estates
Reduce waste & improve recycling, implement a Waste strategy with a focus on sustainable solutions	The Waste and Recycling Promotions Officer post was filled in November to help promote recycling in the borough.			Waste Services
Be a role model and lead good practice; develop a Climate Change strategy and action plan Commit to maximising Council energy requirements from renewable sources	Action on Climate Emergency Review report submitted to Cabinet for January 2022. To be reviewed at Corporate & Environmental Overview & Scrutiny Committee in September 2022.	The lead officer post for environmental strategy remains vacant. The proposed re-alignment of services would establish a Climate Change officer and support post to allow this area of work to make the progress required. Advertisement anticipated during quarter four.		Property Services
Encourage local businesses and service providers to set their own targets for becoming carbon neutral and promote their achievements.		On appointment of new Environmental Strategy Manager, the Business Engagement (BE) / Comms Team will work collectively to promote greener working initiatives to businesses. BE Team are currently exploring working with the Greener Tourism marque to support businesses become accredited.		Customer & Business Engagement
Enhance green spaces promoting diverse uses - countryside facilities and public open spaces	Improvement works at Hunters Hill completed providing new signage, path network, surfacing of bridleway.	Preliminary investigations into feasibility of new country park continue.		Wellbeing & Leisure

Become a Greener West Lancashire – KPIs

Quarter KPI Status		
	OK (within 0.01%) or exceeded	2
	Warning (within 5%)	1
	Alert (by 5% or more)	1
	PIs awaiting data	0
	Data only	0
	'Data only' awaiting data	0

Out of the 7 total KPIs within the priority, 4 are reported quarterly.





Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
ES01 No. grass cuts undertaken on the highway between April-October	8	8	8	3	7	8	8		Q3 target/outturn is annual outturn due to grass cutting period	
ES02 No. grass cuts undertaken in Sheltered Accommodation between April-October	9.6	9.6	9.6	3	8	10	10		As above	
NI191 Kerbside residual household waste per household (Kg)	543.21	138.83 ¹	137.99 ¹	133.5	126.17	128.02	125		As greater numbers of people are spending more time at home this inevitably produces more waste for Council household collections. This is likely to reduce as people return to workplaces but homeworking is likely to remain at higher than previous levels resulting in higher 'new normal' levels of household waste.	
NI192 Percentage of kerbside household waste sent for reuse, recycling and composting	46.90%	43.00% ¹	42.48%	47.80%	47.80%	42.54%	51.00%		As previously advised, with no immediate plans to change the recycling offer current levels of recycling are likely to remain broadly static other than annual variations or specific circumstances such as conditions for grass growth. No performance plan has therefore been prepared. Targets will be considered as part of the Council Plan refresh.	





¹ Following review of finalised figures data was restated and was originally published as: NI191 2020/21: Q3 138.83 (from 82.15); Q4 137.99 (from 87.08). NI 192 2020/21: Q3 43% (from 48.08%).

Support business to adapt and prosper

Support business to adapt and prosper - Actions

In Quarter Activity

	Completed	0		Check Progress	4
	In Progress	1		Overdue	0

To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Create enlivened town centres offering diverse leisure opportunities and night time economy	Christmas Lights Switch On event in Ormskirk town centre 21st November 2021 was a huge success and attracted similar footfall to the 2019 event despite being scaled down. A Halloween event organised for market day on 28th October 2021 attracted the highest footfall for that month.			Strategic Planning, Regeneration and Implementation
Develop the market offer and reinvigorate Ormskirk's Eastern gateway	The Market Review Report has been completed and discussed with Senior Management and Members. The report outlines a number of recommendations to both enhance the market and safeguard it to ensure the market remains economically sustainable and continues to be a regular visitor attraction for Ormskirk town centre for both local people and those travelling from outside the borough. Planning consent for Ormskirk Bus Station approved. Additional £300,00 secured from LCC. LCC tender completed. Works programmed to start February 2022	Complete LERG Agreement with LCC. LCC to appoint contractor and start works.		Strategic Planning, Regeneration and Implementation
Lead the regeneration of Skelmersdale Town Centre.	The preferred consultant has been identified. A pre-contract meeting has taken place.	The consultant will be appointed when the Lancashire Economic Recovery and Growth fund agreement with LCC has been completed.		Strategic Planning, Regeneration and Implementation
Promote West Lancashire as a place to invest through the Skelmersdale Place Board and Ambassadors		An internal review of the Ambassadors Programme is currently underway. Business engagement resource has been diverted to COVID business support grants limiting the amount of planned work that has taken place during the 2020/21 - 2021/22.		Customer & Business Engagement

To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Support recovery and growth of existing and new businesses Signpost and support businesses to innovate and diversify	The team have supported supported 254 businesses in relation to business support / covid grants	Business engagement resource has been diverted to COVID business support grants limiting the amount of planned work that has taken place during the 2020/21 - 2021/22.		Customer & Business Engagement

Support businesses to adapt and prosper - KPIs

Quarter KPI Status		
	OK (within 0.01%) or exceeded	0
	Warning (within 5%)	0
	Alert (by 5% or more)	1
	PIs awaiting data	0
	Data only	2
	'Data only' awaiting data	0





Out of the 7 total KPIs within the priority, 3 are reported quarterly.





Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
BV8 % invoices paid on time (within quarter)	95.95%	93.94%	95.39%	97.21%	90.92%	93.12%	98.75%		Outturn relates to just over 6K invoices processed. This will be monitored closely by service area.	
ER09 Number of businesses added value to via business support, property searches, skills and employment	109	29	26	16	27	254			The large increase is due to the number of Covid business grant applications received during this quarter.	
WL148 Value of business support grants allocated and processed (million)	£39.70	£39.70	£39.70	£39.70	£39.70	£39.76			Economic Recovery Scheme was launched in October and £63K payments have been made during November-December.	


A clean, safe environment with affordable homes to buy or rent for everyone in West Lancashire

A clean, safe environment with affordable homes to buy or rent for everyone in West Lancashire - Actions







In Quarter Activity

	Completed	0		Check Progress	2
	In Progress	3		Overdue	0









To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Continue to drive forward the community safety agenda	Domestic Abuse Act became law in April 2021. The Community Safety and Housing Strategy Team have engaged with and supported LCC colleagues where appropriate to ensure the requirements of the new duty are delivered. Using Government New Burdens, a potential part-time Domestic Abuse Coordinator post to assist with compliance with the new duty is being progressed to help strengthen the Council's involvement with this work.			Environmental & Community Protection
Get the right mix of properties for each community	Public consultation on the new Local Plan 'Scope, Issues & Options' began on 18 November 2021 for a period of 10 weeks (27 January 2022). Preparation has continued for the Plan's evidence base.			Strategic Planning, Regeneration and Implementation
Develop homes to rent/buy for shared ownership through Tawd Valley Development Company	Fourteen homes at Fairstead, Skelmersdale were completed and handed over to new residents. The energy-efficient homes, a mix of six semi-detached properties and eight apartments built from timber frame, benefit from dual zone heating, double-glazing and electric car charge points, as well as light and spacious accommodation. A further 15 of 17 at Brierfield were also hand over before Christmas.			TVDC
Prepare a new Housing Strategy for West Lancashire	Progress is reliant upon the completion of the Housing and Economic Development Needs Assessment (HEDNA) evidence that forms part of the preparatory work for a new Local Plan. Final draft HEDNA received and Local Plan Cabinet Working Group (CWG) Members have asked to	Once HEDNA is published and forms part of the Local Plan evidence base Housing Strategy development timescales will be reset to take account of the amended Local Plan delivery timetable approved		Strategic Planning, Regeneration and Implementation

To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
	scrutinise this document and comments have been sent back to the study consultants.	by Cabinet in September 2021, to ensure timing synergy between the two pieces of work.		
Develop Environment Ward Reports for members	Metrics for reporting determined.	Work continues to create appropriate data reports requiring minimal administration.		Environmental Services

A clean, safe environment with affordable homes to buy or rent for everyone in West Lancashire – KPIs

Quarter KPI Status		
	OK (within 0.01%) or exceeded	12
	Warning (within 5%)	0
	Alert (by 5% or more)	0
	PIs awaiting data	3
	Data only	0
	'Data only' awaiting data	0

Out of the 22 total KPIs within the priority, 15 are reported quarterly.

Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
ES04 % locations inspected falling into categories A/B - Litter (cumulative)	100.00%	100.00%	100.00%	95.83%	95.70%	100.00%	95.00%			
ES06 % locations inspected falling into categories A/B - Dog Fouling (cumulative)	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	95.00%			
ES07 % locations inspected falling into categories C/D - Overflowing Litter Bins (cumulative)	00.94%	01.06%	00.94%	N/A ³	00.00%	00.00%	10.00%			
ES08 % locations inspected falling into categories A/B - grounds maintenance (includes grass and shrubbery) (cumulative)	99.80%	99.79%	99.80%	N/A ³	100.00%	100.00%	90.00%			





Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
ES11 % locations inspected falling into categories C/D - Detritus (cumulative)	02.35%	02.21%	02.35%	N/A ³	02.20%	04.40%	07.00%	↓		✓
ES19a % successful planned bin collections (grey)	N/A PI not developed/data recorded at this time			99.2%	99.8%	98.9%	96%	/		✓
ES19b % successful planned bin collections (blue)	N/A PI not developed/data recorded at this time			99.05%	99.8%	99.82%	96%	/		✓
ES19c % successful planned bin collections (brown)	N/A PI not developed/data recorded at this time			97.94%	99.8%	99.68%	96%	/		✓
ES19d % successful planned bin collections (green)	N/A PI not developed/data recorded at this time			99.15%	99.7%	99.85%	96%	/		✓
HS27 % of properties with a valid Landlord Gas Safety Record (homes and buildings)	99.9%	99.9%	99.9%	100.0%	107.2%	100.0%	100.0%	↑		✓
HS28 % of properties with a valid Electrical Installation Condition Report (homes and buildings)	98.1%	98.0%	98.1%	98.1%	98.1%	100.0%	100.0%	↑		✓
HS29 % non-domestic that require an asbestos management survey/re-inspection	100.0%	100.0%	100.0%	100.0%	93.8%	N/A	100.0%	/	Surveys and validation of data is currently underway. Data will be provided for quarter 4.	/
HS30 % of non-domestic properties with fire risk assessment in place	100.0%	100.0%	100.0%	100.0%	100.0%	N/A	100.0%	/	As above	/
HS31 % of properties covered by water hygiene risk assessment (homes and buildings)	100.0%	100.0%	100.0%	100.0%	100.0%	N/A	100.0%	/	As above	/
WL161 Affordable Housing units via Tawd Valley Developments	N/A PI not developed/data recorded at this time			0	13	29	13	/	Six semi-detached and eight apartments were completed and handed over to residents at Fairstead (Skelmersdale). 15 at the Brierfield development site from a total of 17 were also handed over.	✓





³Insufficient area inspections were submitted to generate scoring through the Land Audit Management System quality inspection model due to the system refreshing at the beginning of the financial year and inspections not being able to be generated.

Everyone to be healthy, happy, safe and resilient

Everyone to be healthy, happy, safe and resilient - Actions







In Quarter Activity

	Completed	1		Check Progress	0
	In Progress	3		Overdue	0





To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
Develop a quality range of health, wellbeing and leisure facilities and services	A strategy for the procurement of a new Leisure Contract and the new Wellbeing and Leisure Hubs developed. Report to Council in December 2021. An options appraisal and consultation exercise has commenced in relation to Beacon Country Park and the Golf Course Consultation will be programmed to enable the Invest to Save scheme to be carried out at Burscough Racquets and Fitness Centre.			Leisure
Deliver our people strategy with Council staff that results in a continuously improving culture	Preparation for the Staff Awards to launch in January. The number of Kickstarts started in the Borough now stands at 204 and in 2020/2021 WLBC were the best performing council in the country against the public sector apprenticeship target metric with 6.7% new starts in that year.			HR & OD
Deliver our financial inclusion strategy and action plan	Working with the More Positive Together team to fund a bespoke role in Money Advice to manage referrals for tenants and potential tenant into the back into work program. Recruitment is now underway.	Work to introduce <i>Refernet</i> which will support electronic customer referrals across organizations and partners and provide a one contact approach to support services across the borough is expected to be in place by the end of March.		Housing
Work with partners to focus on prevention and reducing health inequalities	The Christmas Holiday Activity Fund (HAF) programme delivered 400 food parcels to families in receipt of free school meals to ensure families had food provisions over the Christmas period. Parcels were produced in partnership with Evermore Food Bank and Birchwood Centre, Shares Ltd. and 240 parcels were delivered by the WLBC Caretaking staff. All parcels were delivered to the children's			Leisure














To achieve this priority we will...	Delivered during the quarter	Requires focus	Status	Lead Service
	schools (last week of term) for collection and with a small number going to the Children Family Wellbeing Teams across the Borough. The activity programme enabled registered families to book on to a range of free activities including trips to the cinema, pantomime, physical activity sessions all inclusive of a hot meal for the whole family. West Lancs HAF Programme was the highest achieving over the Christmas period (in Lancs) through a range of engaging activities and communications. Given the rise in Omnicron the family uptake was very good.			


Everyone to be healthy, happy, safe and resilient - KPIs

Quarter KPI Status		
	OK (within 0.01%) or exceeded	4
	Warning (within 5%)	0
	Alert (by 5% or more)	3
	PIs awaiting data	0
	Data only	4
	'Data only' awaiting data	0

Out of the 14 total KPIs within the priority, 11 are reported quarterly.

Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
B1 Time taken to process Housing Benefit/Council Tax Support new claims and change events (days) (ytd)	12.00	15.00	12.00	20.00	22.00	19.00	12.00		Housing Benefit timescales alone stand at 5 days. Performance Plan attached at Appendix B6	
TS52 No. tenants accessing money advice service	N/A PI not developed/data recorded at this time			424	453	548		/	There has been a marked increase in case work this quarter. The intervention has supported the overall cash collection performance with an additional income of £176,368	

Performance Indicator	2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Q2 2021/22	Q3 2021/22	Current Quarter Target	Outturn vs same Q previous year	Comment	Quarter Status
	Value	Value	Value	Value	Value	Value				
TS53 No. tenants supported with Food Poverty advice	N/A PI not developed/data recorded at this time			56	78	66		/	All tenants referred for a foodbank voucher by Money Advice were offered food budgeting and a benefit health check	
TS54 No. people provided with money advice to help prevent homelessness (tenants & residents)	N/A PI not developed/data recorded at this time			13	4	8		/		
TS55 No. tenants provided with fuel poverty advice	N/A PI not developed/data recorded at this time			42	58	6		/	We are utilising the Household Support Fund for those in financial hardship. DEFRA grant managed through Citizen's Advice ended in September which affected the numbers referred into that service.	
WL150 Number of new participants engaged in health & wellbeing programmes/interventions	N/A PI not developed/data recorded at this time			29	58	130	70	/	Figures include new participants into the GP Obesity DES, Optimal Ageing, Chair Based sessions	
WL151a Number of new clients attending vocational training	N/A PI not developed/data recorded at this time			19	24	126	28	/	All Kickstart placements are provided with a vocational training package to run alongside the 6 month placement. The high numbers of Kickstart placements we have achieved in the last quarter alongside the outcomes from MPT has resulted in the high over achievement for this quarter .	
WL151b Number of new participants engaged to enhance employability, confidence, skills and qualifications	N/A PI not developed/data recorded at this time			78	94	118	30	/	The Kickstart scheme has continued to grow far beyond our original target of 60 at the outset of the project.	
WL153a No. of partners working with Wellbeing and Leisure Service	N/A PI not developed/data recorded at this time			69	78	87	40	/		
WL157a No. visits to leisure facilities	N/A PI not developed/data recorded at this time			76,190	116,787	137,467	140,072	/	Performance Plan attached at Appendix B7	
WL159 No. attending parks and countryside events and activities	0	0	0	838	1,877	208	1,500		Larger scale events were not allowed under covid guidance. Therefore no plan provided.	

PERFORMANCE PLAN				
Indicator	R1 - % Council Tax collected (current year)			
Quarter Target	85.9%	Quarter outturn	79.08%	
Reason(s) for not meeting target				
<p>Performance significantly impacted by Borough Council decision to suspend Statutory Recovery processes in March 2020 – only one batch of non statutory `softer` reminders agreed and issued in September 2020.</p> <p>Magistrate Court closures from March 2020 as a result of the Covid 19 pandemic, has also impacted on ability to recover outstanding monies.</p>				
Additional commentary / background				
<p>The current PI targets are based on those agreed throughout the previous 10 year Partnership contract with OCL then BTLs so may well not be reflective or realistic in terms of current economic conditions, statutory changes e.g. the introduction of the Council Tax Support in 2013 in respect of which WLBC set one of the highest reduction charges for applicants at 22% (the previous CTB Scheme paid 100% support) and also the Council Tax Empty Property Local Discounts schemes which in the main increased charges to Council Tax payers.</p> <p>Council Tax collection has been severely impacted as a result of the Covid-19 pandemic, and the decision to cease statutory recovery processes from March 2020. In an attempt to increase collection but taking into account the economic climate, in September 2020 a single batch of 'softer' non statutory reminders to Council Tax payers who had fallen behind on paying their instalments. Re-introduction of Statutory Reminder Notices commenced in October 2021. Customers continue to be signposted to claim CTS where appropriate.</p> <p>Annual Bills issued in March 2021 detailed any arrears balances brought forward from previous years, prompting customers to contact to make an arrangements on their account.</p> <p>Whilst the PI is under target, as at the end of December 21 the service have collected £59m of the £74m liability raised for 2021/22.</p>				
Action plan				
Tasks to be undertaken			Completion due date	
Review Performance Indicator target to reflect changing conditions			Year End	
Reinstate recovery post Liability Order – Monitoring customer feedback from Statutory Notices prior to progressing in this area			Will be reviewed around Q4.	
For example if customer does not contact to make a suitable				

arrangement we can send a direct Attachment to Benefits (fixed deduction per week), Attachment to Earnings (% based on) Issue 14 Day Enforcement Notices, Instruct Enforcement Agents to proceed on cases they were dealing with pre covid. As a last resort escalate cases to Enforcement Agents for collection.

Also Court Services have not yet resumed to full service and will impact the ability to progress cases post Final Notice.

Improvement expected:


Improvements in performance may not be reflective until Q4.

Resource implications

- Increase in Customer Contact will impact Customer Access Service taking calls
- Back office work trays will increase as a result of customer contact

Plan prepared by Revenues Manager

APPENDIX B2

PERFORMANCE PLAN				
Indicator	R3 - % Business Rates collected (current year)			
Quarter Target	81.85%	Quarter outturn	69.40%	
Reason(s) for not meeting target				
Performance significantly impacted by Borough Council decision to suspend Statutory Recovery processes in March 2020.				
Magistrate Court closures from March 2020 as a result of the Covid 19 pandemic, has also impacted on ability to recover outstanding monies.				
Additional commentary / background				
The current PI targets are based on those agreed throughout the previous 10 year Partnership contract with OCL then BTLs so may well not be reflective or realistic in terms of current economic conditions.				
Business Rates collection has been severely impacted as a result of the Covid-19 pandemic, and the decision to cease statutory recovery processes from March 2020.				
Due to the many complex changes in Business Grant/ Relief schemes announced by Central Government in response to the pandemic the service received an unprecedented volume of customer contact in response. The Revenues Team worked closely with the Business Grants				

team in order that customers were provided with all support available. However, the service are still corresponding with Businesses that fell outside of these schemes and as a result are advising that they are struggling with making payments on their account.

Annual Bills issued in March 2021 detailed any arrear balances brought forward from previous years, prompting customers to contact to make an arrangement on their account (volumes not recorded). Re-introduction of Statutory Reminder Notices commenced in October 2021.

Whilst the PI are under target, as at the end of December 2021 the service have collected circa £20m of the £28m liability raised for 2021/22.

Action plan

Tasks to be undertaken	Completion due date
Review Performance Indicator target to reflect changing conditions	Year end
<p>Reinstate recovery post Liability Order - Monitoring customer feedback from Statutory Notices prior to progressing</p> <p>For example if customer does not contact to make a suitable arrangement, we can send issue a 14 Day Enforcement Notice, Instruct Enforcement Agents to proceed on cases they were dealing with pre covid. As a last resort escalate cases to Enforcement Agents for collection</p> <p>Also Court Services have not yet resumed to full service and will impact the ability to progress cases post Final Notice.</p>	Will be reviewed around Q4.
<p>Design scheme to award relief to reduce chargeable amounts on 21/22 charge outstanding</p> <p>Central Government have announced a new Covid-19 Additional Relief Fund (CARF) to support business rate payers affected by the pandemic but that are ineligible for existing support linked to business rates. £2.2m has been allocated to West Lancashire. The Council is responsible for designing the discretionary relief scheme that is to operate in our area, however awards can only be made to reduce the chargeable business rates in 2021/22 (there are additional exceptions to the scheme).</p>	End of Q4


Improvement expected:


Improvements in performance may not be reflective until Q4.

Resource implications

- Increase in Customer Contact will impact calls into service
- Back office work trays will increase as a result of customer contact

Plan prepared by Revenues Manager

PERFORMANCE PLAN				
Indicator	TS11 - % rent loss through dwellings being vacant			
Quarter Target	0.99%	Quarter outturn	1.23%	
Reason(s) for not meeting target				
Due to COVID we have seen an impact on resources and resulting delays in the void process.				
Additional commentary / background				
Staffing resources, working arrangements due to localised risk assessments for COVID and power supplies have all impacted on the turnaround of properties.				
Actions				
<ul style="list-style-type: none"> • A joint Service Improvement plan has been developed with Wates, progress is reviewed in regular meetings. Concerns will be escalated to Senior Managers at Core Group. • Weekly meetings are held with Surveyors, Wates and Lettings staff to monitor progress of individual void properties. To agree and clarify progress. A series of internal meetings have been carried out in which we have mapped out the process to ensure it remains fit for purpose and identified processes which are not adding value or causing delays. Ongoing reviews will be complete to ensure efficient delivery of service. • A meeting is scheduled 21/01/22 for Property Services R&M Surveyors and Managers to review and agree on improvement actions for the final quarter. • A procurement exercise has been undertaken to select a suitable energy company to address the supply issues. 				
The Tenancy Services Team, the Property Services Team and the contractors will continue to work closely together to improve performance and reduce void loss.				
Future targets Void performance for properties are monitored and managed through the contract KPI's which are reported on a monthly basis.				
Action plan				
Tasks to be undertaken		Completion due date		
Monitor actions in Service Improvement Plan		Ongoing		
Resource implications – Currently experiencing material delays within supply chain which are causing some delays in completing works and some additional costs				

PERFORMANCE PLAN				
Indicator	WL132-c19 FTE working days lost due to sickness absence			
Quarter Target	2.02	Quarter outturn	2.52	
Reason(s) for not meeting target				
<p>The sickness figures for this quarter show a reduction from the previous quarter, but still indicate a higher than target level of sickness absence. This is, in part, due to sickness absence due to Covid related illness, in addition to normal sickness absence. This keeps the sickness figures slightly inflated. The data suggest that October and November saw a reduction in Covid cases, with December 2021 starting to rise again, in line with what is happening nationally and the fast spread of the Omicron variant of Covid across the country.</p>				
Additional commentary / background				
<p>The government guidance in relation of self-isolation for period of Covid symptoms for 10 days has now reduced to 7 days (subject to consecutive negative Lateral Flow tests on day 6 and day 7 for positive cases. This will assist in reducing the length of time staff are required to self-isolation and be record against sickness figures, going forward, for absences associated with Covid.</p> <p>The Council continues to mitigate these absences as far as possible by ensuring that those staff who suffer from Covid, can work from home were possible, and so are not recorded as sickness absences. However, in front facing services, this is not possible, and staff have no alternative other than to self-isolate and report in sick, even if they have had a mild case, and could possibly have worked through this illness in other circumstances.</p> <p>The 5 main cause of sickness absence in the Quarter 3 period were:</p> <ul style="list-style-type: none"> • 1.Musculoskeletal disorders • 2.Anxiety/Stress/Depression/Other Psychiatric Illness–Including Work Related • 3.Injury/Fracture • 4.Coronavirus (COVID-19) • 5.Surgery/Post-Operative Recuperation <p>You will note from the reasons, apart from COVID-19, all are serious longer-term health conditions, rather than persistent short-term absences.</p> <p>The analysis of the background to the muscular skeletal absences are under review at present. All Anxiety/Stress/Depression type absences are being managed with the Line Managers and supported, where possible from the resources we have available for signposting, including the provision of one-to-one counselling. Stress risk assessments are also undertaken, as required, as part of the return-to-work process. Coronavirus was the 4th most common reason for absence in the quarter, which is borne out in the reduction of incidents in October and November. Injury/Fracture and Surgery are managed, in line with advice from our Occupational Health provider. Assistance in an early return to work is often</p>				

difficult in injury/surgery cases, as they are often associated with known expected recovery periods. But Managers and HR business partners work together to keep these periods to a minimum, whilst ensuring that the staff health and wellbeing are not placed at risk.

To address mental ill health and wellbeing we have continued to reinforce the mental health and wellbeing support available within the Council's processes including access to mental health First Aiders, Able Futures, Zurich Counselling, and sign posting to other mental health support tools. These facilities are publicised regular in All staff emails to staff to ensure Staff are aware of the availability of them. The HR Business Partners also ensure Line Managers make staff aware of these facilities in appropriate sickness cases, through the case management process.

HR Business Partners continue to work closely with managers on absence and attendance management including advising on phased returns for staff who are recovering who may not be fully fit to return, but who may be able to shorten their absence if protective measures are provided. Occupational Health has been utilised to inform and support phased and full returns to work for staff. Additional short-term resource remains within the HR to assist with volume of absence resource required which is proving successful in moving cases forward to conclusion.

Action plan


Tasks to be undertaken	Completion due date
Outcome of review of the circumstances behind Muscular Skeletal absences and consider improved risk assessment if this is work related.	January 2022
Provision of regular monthly sickness data to Heads of Service so they can review with Line Managers and ensure appropriate actions are being taken.	January 2022

Improvement expected: Q1 April-June 2022

Resource implications.

We will endeavour to deliver this within existing resources; however this will remain a challenge as one HR Business Partner remains seconded onto organisational change support reducing the capacity of the remaining two generalist HR Business Partners having to cover additional areas. Short term support currently in place supporting absence management has recently been extended to the end of April 2022.

Plan prepared by Human Resources and Organisational Development Manager

PERFORMANCE PLAN				
Indicator	WL108 – average answered waiting time for callers to the			
Quarter Target	145 seconds	Quarter outturn	156 seconds	
Reason(s) for not meeting target <ul style="list-style-type: none"> • A significant increase in calls in relation to the national Test, Track and Trace service (Contact Tracing) that the Customer Services team support. • ICT issues affecting the ability for Customer Services staff to access the Contact Centre telephony platform during November. 				
Additional commentary / background <p>Test, Track and Trace Service The Customer Services team currently provide the Contact Tracing service on behalf of the National Contact Tracing service for the West Lancashire area. As part of this support, an additional member of staff was recruited which is funded via the Department of Health and Social Care (DHSC).</p> <p>During November and December, the number of positive cases in the area, due to the Omicron variant, increased significantly. This resulted in additional support needing to be provided by the wider Customer Services team to support with the increased level of outbound calls to positive cases. This was to ensure that those positive cases followed the national guidance in relation to self-isolation to reduce the spread of the virus and to also provide advice and assistance in relation to the support available. This therefore had an impact on the levels of staff available to handle inbound calls to the Customer Contact Centre.</p> <p>The local Contract Tracing service for new cases returned to the National Service on 14/01/22.</p> <p>It is important to note that whilst the majority of new cases have returned to the National Service, there are still a number of cases being presented to WLBC on a daily basis. Discussions are ongoing with the National Service to resolve this; however, these cases need to be addressed by WLBC.</p> <p>In addition, the local signposting support (food/medication support) and the issuing of the test and trace support payments to those residents who are required to isolate, will remain with the Local Authority.</p> <p>January 2022 has seen a significant increase in the number of applications for the Test and Trace Support Payment, with the highest level of applications being received since the scheme went live.</p> <p>ICT Issues During November there were two separate ICT incidents within a week, that prevented the Customer Services team from handling inbound calls. This resulted in increased wait times for customers.</p>				
Action plan				
Tasks to be undertaken				Completion due date
Total return of cases to the National Case Tracing service.				Mid-February 2022
Recruitment of an additional temporary member of staff via agency to support the continued increase in Test and Trace Support payments (funded via the Test and Trace admin fund provided by DHSC).				End of February 2022

Work with LCC Digital to ensure additional contingency measures are in place to support the Customer Services team, to handle calls during periods of unplanned "system downtime" to minimise the impact on customers and performance. We have been given assurance that any issues will be immediately escalated to a high priority given the impact on the customer and our performance.

Completed December 2021

Improvement expected:


We anticipate seeing some improvement during Q4, however this will depend on the level of cases and whether these continue to rise. The return of the Case Tracing service will support with this, however as detailed an additional resource is required to support the increase in Test and Trace support payments.

Resource implications

An additional resource is required to further support the Test and Trace Support payment applications. This will be funded via the monies allocated by the Department of Health and Social Care.

Plan prepared by: Customer Experience Manager / Contact Centre Manager

APPENDIX B6

PERFORMANCE PLAN				
Indicator	B 1 - Events Speed of Processing			
Quarter Target	12	Quarter outturn	19	
Reason(s) for not meeting target				
Significant increase in Universal Credit Council Tax Support Changes in Circumstances received by our Benefits Service due to changing economic conditions and impact of COVID pandemic.				
Additional commentary / background				
The Events Speed of Processing PI measures the speed of processing Housing Benefit and Council Tax Support new claims and changes in circumstances by the Benefits Service. The current target of 12 days was originally set based on the previous combined national Housing and Council Tax Benefit system in place prior to April 2013. From April 2013 the Council Tax Benefit element of the national Scheme was ceased by Central Government and a local Council Tax Support scheme implemented by WLBC.				
Over time due to the changing economic conditions locally and nationally, the introduction of the national Universal Credit Scheme and then the impact of the COVID pandemic, the Service has experienced a significant increase in the amount of Council Tax Support changes in circumstances received. This can be 12 changes within 12 months for each working age customer claim and which have significantly increased since the Covid pandemic as there has been a large increase in Universal Credit claims.				

It is important to note at that CTS has already been awarded to the Council tax Bill and the changes received can result in a mixture of minor, adjusted or no change to the award.

Comparative claim received volumes over recent years confirm these dramatic increases:

2018/19 transactions 15,661
2019/20 transactions 20,214
2020/21 transactions 31,155
2021/22 32,208 to date

The % increase over three years, a result of which has seen the times taken to process these higher volumes increase. impacting on our performance outputs.

The same impact on performance has been experienced across our colleagues in other Lancashire and national local authority Benefit Services.

Improvement expected:

We have prioritised LCTRs which has now reduced the backlog to x weeks as at the end of December. After the budget announcement of changes being made to Universal Credit taper I expect more LCT transactions going forward.

Its important to note that the events data for Housing Benefit only is 5 days


Resource implications

Prioritising LCTR will Impact on Housing Benefit speed of processing stats. Customers changes in circumstances and new claims not dealt with promptly could result in complaints and an intervention from DWP PDT (Performance development team)

The introduction of Universal Credit full service has reduced the amount of staff that work within Benefits as the HB caseload reduced, however the workload on CTS has significantly increased.

Action plan

Tasks to be undertaken	Completion due date
Review Performance Indicator to reflect changing conditions	Year End
Plan prepared by <i>Benefits Manager</i>	

PERFORMANCE PLAN				
Indicator	WL157a – Number of visits to Leisure facilities			
Quarter Target	157,739	Quarter outturn	137,467	
<p>Reason(s) for not meeting target</p> <p>While visits are still below the overall target there is still a trend of growth across the year. Q3 visits have increased by 21,000 in comparison with Q2</p> <p>Usage in relation to childrens swimming lessons, swimming, outdoor pitch use and exercise classes exceeds pre lockdown levels.</p> <p>The biggest challenge currently relates to fitness suite membership where numbers are currently 30% lower than before the pandemic. WLBC officers continue to work with Serco to develop promotional and marketing initiatives</p> <p>It should be noted also that December is a traditionally quiet month across the Leisure sector where usage tends to drop. Increases in membership are expected in January</p>				
<p>Additional commentary / background</p> <p>WLBC Officers continue to work with West Lancashire Community Leisure Trust and Serco to return activities to normal following lockdown and to develop marketing campaigns to further grow usage</p>				
Action plan				
Tasks to be undertaken			Completion due date	
Black Friday membership sale			December 2021 completed	
January membership promotion			31 January 2022	
<p>Improvement expected: Officers continue to work with Serco to develop growth. It would be expected that increases in membership will be noted in Q4</p>				
<p>Resource implications Resources for the above are picked up as part of the Income and Expenditure in the Leisure Contract</p>				
Plan prepared by Strategic Partnership Development Manager				



**EXECUTIVE OVERVIEW & SCRUTINY
COMMITTEE: 24th February 2022**

CABINET: 8th March 2022

Report of: Head of Finance, Procurement & Commercial Services

Relevant Portfolio Holder: Councillor A Yates

**Contact for further information: Rebecca Spicer (Extn. 5098)
(E-mail: rebecca.spicer@westlancs.gov.uk)**

SUBJECT: RISK MANAGEMENT FRAMEWORK UPDATE & KEY RISK REGISTER

Wards affected: Borough wide

1.0 PURPOSE OF THE REPORT

- 1.1 To set out details of the operation of the Risk Management Framework over the last twelve months.
- 1.2 To recommend changes to the current Risk Management Policy & Toolkit.
- 1.3 To set out details on the key risks facing the Council and how they are being managed.

2.0 RECOMMENDATIONS TO EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE

- 2.1 That the continuing effective operation of the Risk Management Framework as detailed in the Annual Report 2021 (Appendix A) be noted.
- 2.2 That the proposed amendments to the Risk Management Policy & Strategy (Appendix B) and Toolkit (Appendix C) be considered and agreed comments be forwarded to Cabinet for consideration.
- 2.3 That the progress made in relation to the management of the risks shown in the Key Risk Register (Appendix D) be considered and agreed comments be forwarded to Cabinet for consideration.

3.0 RECOMMENDATIONS TO CABINET

- 3.1 That the continuing effective operation of the Risk Management Framework as detailed in the Annual Report 2021 (Appendix A) be noted.

- 3.2 That, subject to consideration of the agreed comments of the Executive Overview & Scrutiny Committee, the proposed amendments to the Risk Management Policy & Strategy (Appendix B) and Toolkit (Appendix C) be approved.
- 3.3 That subject to consideration of the agreed comments of the Executive Overview & Scrutiny Committee, the progress made in relation to the management of the risks shown in the Key Risk Register (Appendix D) be endorsed.
-
-

4.0 BACKGROUND

- 4.1 The Council continues to recognise the importance of identifying, evaluating and managing all key and service risks that could affect the achievement of its priorities, objectives and activities. Risk management is fundamental to the Council's governance and contributes greatly to the successful delivery of services and the key priorities.
- 4.2 Dealing with risk is very much a management activity but there is clear responsibility and accountability for Members in the operation of the Council business which directly involves issues of risk management. This report provides Members with an oversight of the effectiveness of the risk management framework and enables Members to seek assurance about the effectiveness of control arrangements.
- 4.3 Central to the operation of an effective framework are the Council's risk management policy and toolkit. These documents are reviewed annually, and changes made to improve the documents where appropriate. Members are requested to approve both documents on an annual basis.
- 4.4 Within this report is a summary of the management of the corporate key risks so that Members may satisfy themselves that the risks are being adequately managed. The Key Risk Register is reported to Members on a biannual basis.

5.0 ANNUAL RISK REPORT

- 5.1 The 2021 Annual Report (Appendix A) highlights the positive improvements to risk management that have been made over the last 12 months. These include a new policy and toolkit, a suite of training webinars, the introduction of risk impact categories, and a quarterly risk newsletter.
- 5.2 The Annual Report highlights the aims and objectives for 22/23 which include conducting a risk maturity review to benchmark the council's current risk maturity, to further develop the risk culture, and to strengthen joined up working across service areas.

6.0 CHANGES TO THE RISK MANAGEMENT POLICY & TOOLKIT

- 6.1 The Risk Management Policy (Appendix B) and Toolkit (Appendix C) continue to be reviewed to ensure that they reflect best practice, new developments, and organisational change. The updated documents were endorsed by the Audit and Governance Committee on 26th January 2022.

- 6.2 Both documents have been reviewed and improvements have been made to ensure that they remain fit for purpose and user friendly. The term 'Corporate Risk Register' has been replaced with 'Key Risk Register' as it was found that the term 'corporate' led to confusion with regards to whether the risk was a key risk or a cross service risk. The documents have been condensed and text represented with images where possible to aid understanding.
- 6.3 The policy has been renamed policy and strategy, and includes a detailed strategy outlining the aims of risk management within the Council which focus on further embedding risk management in all aspects of the Council's operations.

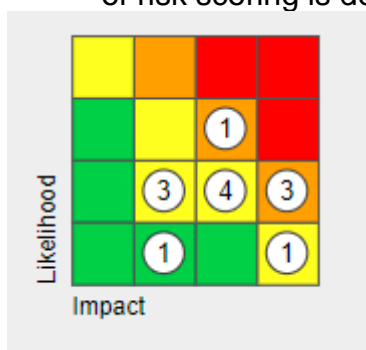
7.0 KEY RISK REGISTER

- 7.1 It is considered good practice to include an update to Members periodically on progress against key risks. This monitoring should summarise general direction of travel in order to clearly demonstrate the progress being made on specific risk items (see section 6.7). If all is well then no discussion may be required; if all is not well then it is easy to identify the issues to pursue. As part of the Council's risk management framework, key risks are reviewed quarterly by CMT.
- 7.2 Service risks are reviewed quarterly by Heads of Service. It is not necessary for Cabinet to know about every risk but rather to know what the key risks are, whose job it is to deal with them, and that they are being actively managed.
- 7.3 Key risks are those risks which if they occur would have the greatest impact on the Council, the achievement of its priorities, objectives and activities. They are strategic high-level Council risks. The Key Risk Register (Appendix D) gives a summary of these risks, the residual risk score and the work that is being undertaken to mitigate them, although many of these risks will have already been the subject of separate committee reports. In addition, more detailed information regarding each of the key risks, the scoring and internal controls that mitigate the risk are contained on the Council's Pentana system.
- 7.4 The assessment methodology used to score the risks is detailed in the Risk Management Policy (Appendix B) at section 24, pages 14-15.
- 7.5 Two new risks have been added to the register since it was last presented, a risk relating to external funding uncertainty and a risk regarding recruitment and retention of key staff.
- 7.6 No risks have been removed from the register since it was last presented.
- 7.7 Unless detailed in the table below the scoring of the risks on the Key Risk Register remains unchanged from the last report presented 6 months ago.

Title of Risk	Previous Risk Score	Current Risk Score	Reasoning
Potential Treasury Management Investment Losses	8 Concerned	4 Cautious	The pessimistic economic forecast predictions are that interest rates will increase materially and therefore the yields will follow suit

Achieving a balanced General Revenue Account Budget Position	8 Concerned	6 Cautious	The recent GRA midyear outturn forecast and the previous year's financial performance both have reduced the perceived budget gap significantly.
Failure to deliver Skelmersdale Town Centre phase 1 retail development	4 Cautious	2 Comfortable	There was no procurement challenge made therefore the likelihood of the risk materialising is reduced.
COVID -19	6 Cautious	4 Cautious	There is an increased protection offered against the disease from vaccinations.

7.8 There are currently no key risks that fall into the "critical" category. An overview of risk scoring is detailed in the diagram below.



8.0 SUSTAINABILITY IMPLICATIONS

8.1 There are no significant sustainability impacts associated with this report and, in particular, no significant impact on crime and disorder.

9.0 FINANCIAL AND RESOURCE IMPLICATIONS

9.1 The successful management of the key risks facing the Council will ensure that resources are used effectively and efficiently.

10.0 RISK ASSESSMENT

10.1 The continued review of the risk management framework is essential to ensure the successful achievement of the Council's objectives, demonstrate effective provision of its services and the maximisation of opportunities. If we are unable to maintain an effective framework, we could endanger the achievement of our vision and priorities. By continually monitoring and reviewing the risk management framework it should continue to improve, develop and meet best practice requirements.

11.0 HEALTH AND WELLBEING IMPLICATIONS

11.1 There are no health and wellbeing implications arising from this report.

Background Documents

There are no background documents (as defined in section 100D(5) of the Local Government Act 1972) to this report.

Equality Impact Assessment

The decision does not have a direct impact on members of the public, employees, elected members and / or stakeholders, therefore no Equality Impact Assessment is required.

Appendix

- Appendix A – Risk Management Annual Report 2021
- Appendix B – Updated Risk Management Policy & Strategy
- Appendix C – Updated Risk Management Toolkit
- Appendix D – Key Risk Report



West Lancashire
Borough Council

Annual Risk Management Report

Produced by Rebecca Spicer, Risk Management & Insurance Officer

Dated: 30th November 2021.

Annual Risk Management Report 2021 - Summary



-Updated Policy
-New 4x4 Matrix
-Formalised Risk Appetite Statement



Updated Key & Service Risk Registers with detailed internal controls



Updated Methods of Reporting

Improvements have been made to the risk management framework to ensure that there is a clear, consistent, and embedded approach to risk management across the Council. Improvements include:

- An updated risk management policy
- A formalised risk appetite statement
- A new 4x4 risk matrix
- Reviewed and updated key and service risk registers

In order to strengthen the risk framework, efforts have been made to ensure that there is accessible and updated information and tools available to officers. These include:

- A risk management tool kit
- 9 risk impact categories to support accurate risk



New Risk Management Toolkit



9 Risk Impact Categories



ALARM Membership



Risk Identification Workshops



Pentana Training



6 Training Webinars

To develop the risk culture and maturity of the organisation, a range of mechanisms have been developed to increase risk engagement, knowledge, skills, and officer's confidence when discussing risk. These include:

- Mandatory induction risk training sessions for all members of staff
- Refresher risk and Pentana training for all staff
- Risk webinars and toolbox talks available to all members of staff
- Refresher training for Members
- 6 monthly "lunch and learn" sessions on different risk topics
- A range of risk identification and support workshops



Quarterly Risk Newsletter: 'Risk Round Up'

Annual Risk Management Report 2021

The Risk Management Annual Report is a summary of the key risk management activities, outcomes, performance highlights and challenges which have occurred over 2021. The report draws upon key findings from the last year established through consultation activity, benchmarking activity, and review work.

Overview

The Council undertook an internal strategic risk management review during 2021 which looked at the risk management framework with particular emphasis on risk structures, processes, and reporting. The purpose of the review was to ensure that the Council is in the best possible position to identify and respond to risk and that all components of the risk management framework are aligned with best practice. Consequently, several changes to the risk management framework and process have been made to improve methods of recording, assessing, and reporting strategic risk.

The council went "back to basics" and introduced a new policy, risk matrix and formulated the risk appetite. Understanding of the new framework was accompanied by a series of internal and external live training sessions, webinars and a toolkit which explains risk management and the council's process.

There has been considerable work carried out to scan the horizon for potential risks. Surveys and workshops took place with the assistance of an external risk consultant. The Risk Management Officer will continue to monitor global and national risk trends, intelligence from risk organisations and lessons learnt from other local authorities as well as internal lessons learnt to assist in feeding this back into service delivery. Ongoing development work to progress the risk culture includes webinars, training sessions and workshops to ensure that officer's knowledge, confidence, and awareness of risk is strengthened at all levels. Framework reviews, a risk maturity review and training will remain focal point of risk activity throughout 2022, enabling officers to confidently identify emerging threats and opportunities and manage these as effectively as possible.

Areas for Improvement

The Risk & Insurance Officer has considered the risk framework, strategy, reporting structure and risk culture such as how risk awareness is communicated across the Council and how risk management differs in individual service areas. Although risk registers are in place for individual service areas and some projects, a consistent use of Pentana and regular risks discussions is not consistent across service areas. Mechanisms to strengthen joined up working across services areas could be improved.

Risk Management Survey Responses

A risk survey was distributed to all staff to identify areas of weakness in the current framework. Those areas requiring improvement will be included in a 12-month work plan.

- 155 responses were received
- 15.48% of officers stated they were unsure or did not know where they could access the Risk Management Policy & 31% were unsure or did not know how they could access the Risk Management Toolkit
- 37% did not know or were unsure of who their Risk Management Champion is
- 33.2% had not read the Risk Round Up
- Key themes include the confusion of health and safety risks with strategic risk, Officers wanting a simplified framework, further training on both risk and Pentana being required, and that further work is required to improve the risk culture.

Risk Management Framework

The Risk Management Policy is a key document that provides a basis for a structured and coherent approach for the Council's risk management and includes its risk appetite, its methodology for identifying threats and opportunities and the long-term improvement plan for developing risk maturity.

- **Risk Management Policy & Strategy** An updated risk management policy has been developed with the view to ensuring that officers have a clear and comprehensive suite of documents which support risk management at all levels. The risk management policy contains a formalised risk appetite statement and risk strategy.
- **Risk Impact Categories:** The challenges associated with measuring risk accurately in complex environments has presented the requirement for a flexible and nuanced way to measure risk. A set of risk impact categories has been designed to guide officers when measuring risk. In addition, risk impact categories allow the council to more accurately assess the impact of a risk to ascertain whether, for example, the impact is financial, reputational, or environmental. It also allows for the grouping together of similar risks.
- **Key & Service Risks:** Risks have been reviewed to ensure that the key risk register and service risk registers are reflective of the current threats which face the Council. The relevant review work has been completed through workshops and discussions. Internal controls have been updated and scored to ensure that they are reflective of current activity being undertaken to reduce each risk.

Tools and Techniques

In order to improve the consistency of risk management across service areas and ensure that interdependencies are identified and tracked effectively, several changes have been made throughout the year.

- **Risk Matrix:** A new 4x4 risk matrix was developed to force a decision to be made on risks as too many risks were sitting in the middle ground of the previous 5x5 risk matrix.
- **Risk Management Toolkit:** A risk toolkit has been developed to support the risk management policy. The document includes key descriptive information about the risk framework, process and roles and responsibilities. The toolkit has been developed to ensure officers have accessible and clear information to use when progressing through the risk management process.
- **Risk Reporting:** The risk reporting format has been updated to include regular reporting of Key and Critical risks to CMT.
- **Risk Identification & Horizon Scanning Workshops:** Several risk workshops have been facilitated at both a corporate and service level enabling risk focused discussions to support the identification of emerging risk. A horizon scanning survey and workshop took place with the assistance of an external consultant to make sure that as far as reasonably practicable the council has considered new and emerging threats and opportunities and has updated risk registers accordingly.

Risk Communication & Awareness

- **Risk Training Sessions & Webinars:** A series of live internal and external training sessions have been delivered. There have been bespoke team training workshops, a series of risk webinars and live and pre-recorded Pentana training sessions. 6 monthly risk "lunch time learning" sessions are offered to all staff. For those staff without internet access a risk management toolbox talk is available. Risk management training has formed a mandatory part of the induction process.
- **Risk Newsletter:** A quarterly risk newsletter "Risk Round Up" is circulated to all Members and staff with the aim of sharing important news stories, risk trends and updates.
- **Risk Discussion at DMTs:** Risk is now a mandatory agenda item at service DMTs.
- **Risk & Procurement:** The Early Procurement Engagement Form has been amended to include a section in which the risks of are encouraged to be added to Pentana.
- **Risk Management Intranet Page:** Houses all risk webinars, details of service risk management champions, newsletters, and key risk documents.

1. Key Activities & Performance Highlights

2. Audit Comments

The overall assessment of risk management arrangements cited in the Head of Internal Audit's Annual Report and Opinion 2021 is as follows:

The Council has launched its new Risk Management Policy and Toolkit and staff and Members have received training by the Risk and Insurance Officer and a representative from the Council's Insurer. The launch of this new policy and toolkit will ensure that Risk Management is embedded throughout the Council. All Council risks are in the process of being uploaded on to the Pentana Risk system by Senior Managers and Heads of Service which will allow for routine monitoring, implementation of mitigations and report

The Risk Management & Insurance Officer has been working collaboratively with internal audit and has built on recommendations referenced by Internal Audit in their 2019 audit report. Not only has significant progress been made to address elements of the risk management framework arising from previous Internal Audit activity, but development work is also being driven from a staff risk management survey. A detailed 12-month plan will be developed with the aim of strengthening those areas of weakness identified in the survey.

A robust and effective risk management framework is an essential underpinning of risk-based auditing and current activity will allow for internal audit activity to be appropriately positioned relative to the Council's 3 lines of defence. Risk management is a critical part of corporate governance, and this is acknowledged by the

3. Aims & Objectives for 2022-23

There are several aims for the 2022-23 period that the Risk Management & Insurance Officer is working to progress.

- **12 Month Risk Management Work Plan:** Based on information from the staff risk survey, areas of weakness in the framework will be identified and a 12-month risk work plan put in place to remedy this.
- **Risk Maturity Review:** An external consultant will carry out a review of the authority's risk maturity and any areas of weakness will be worked into the work plan. The council will aim to become more mature in its risk management with each year that progresses.
- **Risk Workshops & Horizon Scanning:** The Risk Management Officer will continue to promote risk horizon scanning workshops to service areas and assist in providing training sessions on carrying out these workshops so that services are confident in performing risk horizon scanning. Information, trends, and intelligence from a range of global and national risk sources will be communicated to teams so that this can be fed back into service delivery.
- **E-learning Package:** The development and implementation of an eLearning package is in the initial planning stages. Webinars will be moved from the intranet to the Learning Pool platform which will allow the Risk Officer to monitor the number of staff completing training. Officers will be required to pass a 5-question test to complete the training module.
- **Data and Performance Monitoring:** Where relevant, the Risk Management Officer will continue to align the monitoring of risk with performance indicators to strengthen risk management.
- **Risk Culture:** We will continue to embed the importance of risk management at every level of the authority and encourage staff not to view risk management in silos, but to understand how a risk in their service area may affect other services and the council's achievement of its overall aims, objectives, priorities, and vision. Work will be carried out with Risk Management Champions so that they fully appreciate the benefit that their role brings to the organisation and how critical they are to the risk management process.
- **Joined up working:** Mechanisms to strengthen joined up working across service areas could be improved. Consideration will therefore be given to implementing specific working groups with the aim of sharing more information between departments



Risk Management Policy & Strategy

Version 2: January 2022

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1. Risk Management Policy Statement

This Policy Statement outlines the Council's commitment to managing risk which it acknowledges is fundamental to effective Corporate Governance. It should be read in conjunction with the Council's Risk Management Toolkit (separate document).

We recognise risk management as a vital activity that underpins and forms part of our vision, values and strategic objectives, (including operating effectively and efficiently), as well as providing confidence to our community. Risk is present in everything we do, and it is our policy to identify, assess and manage key areas of risk on a proactive basis. We seek to embed risk management throughout the operation, and in the development of West Lancashire Borough Council.

Risk management needs to be embedded throughout all processes, projects and strategic decisions. This includes procurement and contracting, and we will aim to ensure partnerships and third-party relationships are fully compliant with the risk management policy and strategy of the Council.

The aim of our risk management framework is to be fit for purpose, reflect our size and the nature of our various operations, and use our skills and capabilities to the full. Risk management is most effective as an enabling tool, so we need a consistent, communicated and formalised process across West Lancashire Borough Council.

It is important to define the level of risk exposure that the Council considers acceptable. This creates a clear picture of which risks will threaten the ability of West Lancashire Borough Council to achieve its objectives. This results in our risk appetite.

The risk management policy statement and supporting documentation form an integrated framework that supports us in managing risk effectively. In implementing our risk management framework, we provide assurance to all stakeholders that risk identification and management plays a key role in the delivery of our strategy and related objectives.

We will involve, empower, and give ownership to all staff to identify and manage risk. Risk management activity will be regularly supported through discussion and appropriate action by senior management. This will include a thorough review of significant risks, evaluating mitigation controls and where required, establishing supporting actions to reduce them to an acceptable level.

Managing risks will be an integral part of both strategic and operational planning and the day to day running, monitoring, development and maintaining of the Council.

Jacqui Sinnott-Lacey

Chief Operating Officer

West Lancashire Borough Council

Date: January 2021

2. Our Strategy

The purpose of the Risk Management Framework is to enable us to effectively manage potential opportunities and threats to us achieving our objectives.

Our aims are to:

- Have a robust framework in place to identify, assess and manage the risks facing the Council.
- Minimise the impact and/or likelihood of risks occurring and to minimise the total cost of risk.
- Have the ability to anticipate and respond to various changes.
- Make risk management an integral part of the planning and decision making processes of the Council, so that it is used as a component in all critical decisions.
- View risk management as not solely a compliance issue, but rather a way of viewing our strategy and operations with a significant impact on long-term viability.
- Develop a risk aware culture ensuring that employees understand the benefits of risk management and that they have the knowledge, skills and tools to embed risk management processes.
- Develop a more integrated risk management approach by identifying risk at all levels of the Council. In order to do this we must ensure that all staff, at all levels, operate with a greater understanding of the importance of risk mitigation in the fulfilment of their duties.
- Develop the use of risk management in our dealings with third parties such as through partnerships, contracts, and other new service delivery models.

In order to move towards a more formal, integrated and embedded approach, we recognise that such fundamental changes in approach and mind-set cannot be achieved 'overnight'.

It is acknowledged that fundamental to the success of risk management is that an according level of training is provided.

3. Risk Assessment

Risk can arise directly or indirectly from every action that we take, project that we deliver and contract that we enter. Risk assessment is therefore an integral part of all Council activity.

It is the Council's policy that all substantive activities should be subject to risk assessment. This includes all significant projects, for example, financial developments, legislative developments, human resource initiatives, health and safety, communication upgrades, partnerships and IT developments.

The Council's Risk Management Process, detailed in the Risk Management Toolkit, should be followed. The risk assessment part of the process requires the impact of each appropriate

classification category to be scored and plotted against the likelihood of the risk occurring. This is plotted on the Council's Corporate Risk Matrix to determine the risk score.

The score determines whether the risk sits within the Council's Risk Appetite and consequently the action that is required to be taken. The risk is then monitored and reviewed, and further action taken as appropriate.

4. Service Risk Registers

Services risks are operational risks which are faced in the day-to-day delivery of services. They are risks that could have an effect on the successful achievement of the service priorities, objectives, and activities. Managers are responsible for ensuring that all significant risks are included in service risk registers. Risks are entered onto the service register using Pentana, the Council's risk management information system. The risk register describes the risk event, identifies who the risk has been assigned to, who is responsible for managing the risk, potential effects, internal controls and an inherent, current and target risk assessment. Risks are deactivated when the risk no longer presents, and new risks added as soon as they are identified. Service risks are not deactivated without approval from the appropriate line manager.

5. Key Risk Register

This records those risks which if they occur, would have the greatest impact on the Council, the achievement of its priorities, objectives and activities. They are strategic high-level Council risks.

Key risks cannot be added or deactivated without agreement from the appropriate Head of Service.

6. Risk Ownership and Management

Every risk is assigned to an officer who has day to day responsibility of the risk and for updating the risk register, they are the risk owner. The risk manager is the designated member of staff (or management group) who carries the ultimate responsibility for ensuring that the risk is being effectively managed by the risk owner. The risk manager along with the risk owner is responsible for agreeing and delivering the action plan to control the risk and monitoring progress against it. This is a key element in the risk management process as it is crucial that risks are not just identified and assessed but that they are also effectively controlled and monitored.

Internal control is key to effective risk management and plays a significant part in the management of risks. Actions, procedures, and operations undertaken to transfer, terminate, tolerate or treat a risk are detailed on the Risk Register. Internal controls are scored as to their effectiveness and allocated to a control owner. Risk mitigation actions are referenced in the Service Action Plan.

7. Risk Reporting and Monitoring

Monitoring reports on risks are produced on a six-monthly basis for the consideration of Cabinet and Executive Overview and Scrutiny, and on a quarterly basis for the consideration of CMT.

Heads of Service are responsible for monitoring their service risk registers on a quarterly basis. They are also responsible for making sure that any key risks within their Service are added to and, when appropriate, removed from the key risk register.

8. Risks and the Decision-Making Process

Risks need to be addressed at the point at which decisions are being taken. Where Members and officers are asked to make decisions, they should be advised of the risks associated with the recommendations being made. Consequently, the Council needs to be able to demonstrate that it has taken reasonable steps to consider the risks involved in a decision.

All reports requiring key decisions, including new and amended policies and strategies, must include a section to demonstrate that risks have been addressed. This does not guarantee that decisions will always be right, but the important point is to demonstrate that risks have been considered and to have evidence that will support this.

9. Role of CMT & Members

- Approve the risk management policy & strategy, and framework.
- Review the key risks to the Council and the controls in place to manage those risks.
- Regularly review the risk management policy and toolkit to ensure it underpins the organisation's strategy and objectives.
- Agree on the risk appetite of the Council.
- Review the key risks across the Council, consider their importance against strategic objectives and action further controls.
- Allocate sufficient resources to address significant risks.
- Create an environment and culture where risk management is promoted, facilitated, and appropriately undertaken.
- Champion risk management activities and raise awareness of the benefits of managing risk effectively.

10. Role of Heads of Service

- Implement policies on risk management within their Service including ensuring that up to date risk registers are maintained.
- Review their service risk registers, as a minimum, on a quarterly basis to satisfy themselves that adequate controls for risks are in place.
- Review their service risk registers and ensure that key risks are added to and removed from the key risk register when appropriate.
- Review the risk management system to ensure that it is functioning effectively and that any further actions required are detailed in service action plans.
- Embed the importance of risk management within their Service and ensure that strategic risks are communicated to employees and that day-to-day operational risks are communicated to senior management.
- Determine the nature and extent of the principal risks we are willing to take in achieving our strategic objectives.
- Implement risk management systems to identify the risks we are facing and to make a robust assessment of the most significant risks.
- Determine how significant risks should be managed or mitigated to reduce the likelihood of their incidence and / or their impact.
- Carry out service risk assessments as part of service action planning.
- Ensure risk management processes and risk reporting procedures are completed.
- Monitor the key risks in their area of responsibility.
- Monitor and review the effectiveness of the actions.

11. Role of Senior Managers

- Manage risk effectively in their area of responsibility.
- Complete the risk management process as per the Council's Framework.
- Complete, track and monitor the progress of action plans and performance indicators.

12. Role of the Risk Manager

- Coordinate the organisation's risk management activity.
- Develop and maintain the risk management framework and tools.
- Highlight any significant new or worsening risks to the corporate management team for review and action.
- Assist in the delivery of the risk management process across the organisation.
- Provide risk management guidance, training and advice.
- Provide the link between risk management and other related disciplines
- Promote and share best practice risk management across the organisation.

13. Role of the Risk Management Working Group (RMWG)

Although every member of staff carries some responsibility for the management of risk, the Council identifies the Risk Management Working Group (RMWG) as responsible for maintaining and developing the Risk Management Framework. Heads of Service nominate Risk Management Champions to represent each service area on the RMWG.

The RMWG meets twice yearly and more frequently if required, to consider the following;

- Issues and improvements to the Risk Management Framework
- Risk management training requirements
- Risks facing the Council
- Disseminating good practice requirements for risk management,
- How to further improve and embed risk management culture within the Council, to support its decision-making process, strategies and operations.

14. Role of Risk Management Champions

The Risk Management Champion is responsible for maintaining and developing the Risk Management Framework within their Service, supported by the RMWG. The Risk Management Champion's role is to:

- Attend meetings of the RMWG or nominate a suitable substitute when unable to attend.
- Disseminate information discussed at the RMWG to their Service and feedback to the group accordingly.
- Support their Head of Service in implementing the Risk Management Framework within their Service.
- Raise any issues regarding risk management with the Risk and Insurance Officer.
- Advise the Risk and Insurance Officer if any risk management or Pentana training is required within their service.
- Give advice and guidance to managers/officers within their Service on preparing risk assessments for committee reports.
- Provide advice and guidance to those updating risks on the Pentana system.
- Help to promote and embed Risk Management within their Service to engage staff in the management of risk.
- Communicate the benefits of risk management across operational areas.

15. Role of Employees

Each employee has a role to take in the Risk Management Process and should;

- Be familiar with, understand, accept, and implement the Risk Management Framework.
- Report inefficient, unnecessary, or unworkable controls.
- Report loss events and near-miss incidents.
- Cooperate with management on incident investigations.
- Ensure that visitors and contractors comply with procedures.
- Monitor work on an ongoing basis to identify new and emerging risks and escalate as required.

16. Role of Audit

Internal Audit evaluate risk management processes continuously to provide assurance to Members and Senior Management that significant risks are being managed appropriately and that the Risk Management and Internal Control Framework is operating effectively. Our External Auditors may also conduct separate, independent reviews of the Risk Management Framework from time to time. The findings from this work will be included in the annual report to the Audit and Governance Committee.

17. Governance Arrangements

The Authority's Risk Management Framework is critically important in the context of governance and the Audit and Governance Committee has responsibility for ensuring that the Framework operates effectively.

The purpose of the Audit and Governance Committee is to support the Council's Corporate Governance responsibilities and to provide independent assurance in relation to internal control, risk management and governance. The Audit and Governance Committee has a strong focus on risk and internal control as well as on good financial management.

An annual report is produced for Cabinet, Audit & Governance and Executive Overview and Scrutiny Committee on the operation of the Risk Management Framework so that they can assess its effectiveness.

18. Skills, Expertise and Guidance

Having established roles and accountabilities for risk management, the Council must ensure that it has the necessary skills and expertise to deliver this Framework. This will be accomplished through an on-going programme of risk management training and development.

All documents relevant to Risk Management are available via the Council intranet <http://intranet.westlancsdc.local/rules-and-regulations/risk-management.aspx> which contains appropriate guidance to assist officers in carrying out their duties effectively.

A Risk Management Toolkit provides practical examples of how to apply the Risk Management Process.

Risk Management Training is mandatory for all Council employees and is included in the list of 'essential/required' training for Members.

19. Making Others Aware of Risk Management

The Council recognises the potential for benefits and rewards from partnership working and it also recognises the risks involved. Whilst this risk can be managed by the Council through formal contracts and partnership agreements that clearly allocate risks to the appropriate parties, failure by either or any one of those parties to manage their risks can have serious consequences for the other(s).

Consequently, before entering the partnership, joint working or business contract arrangements, prospective partners and contractors should be asked to state their approach to risk management and to provide certain minimum evidence to support their response.

It is recommended that when entering partnerships, joint working or contracts with outside agencies that a project risk register is created and is maintained on the Pentana System until all associated risks are realised.

20. Maintenance and Development of the Risk Management Framework

This Risk Management Policy along with the Toolkit are reviewed on an annual basis. The results of this review will initially be reported to the Audit and Governance Committee and Executive Overview & Scrutiny Committee in January of each year for detailed consideration before being submitted to Cabinet for formal approval in March.

21. Risk Management Process

The Council's Risk Management Process has 6 key stages:



- 1. Risk / Opportunity Identification** - Officers carry out risk / opportunity identification and examine all identified risks and link them to the appropriate Council, Service or project objectives and outcomes.
- 2. Risk Analysis** – The size of the risk is analysed according to the likelihood of the risk occurring and the impact that the risk could have if it did occur. The purpose of risk analysis is to comprehend the nature of risk and its characteristics including, where appropriate, the level of risk. It involves a detailed consideration of uncertainties, risk

sources, consequences, likelihood, events, scenarios, and control effectiveness. The Council recognises that an event can have multiple causes and consequences that can affect multiple objectives.

3. **Risk Evaluation** - Officers compare the results of the risk analysis with the Council's risk appetite to determine if and what additional action is required. This leads to a decision about treatment of the risk. The Council recognises that risk evaluation is critical to supporting decisions.
4. **Risk Treatment & Management** – Officers select and implement options for addressing risk. Risk treatment involves an iterative process of formulating and selecting risk treatment options, planning and implementing risk treatment, assessing the effectiveness of that treatment, deciding whether the remaining risk is acceptable and if not taking further treatment.
5. **Reporting & Recording** - The risk management process and its outcomes are documented and reported through appropriate mechanisms.
6. **Monitor & Review** - The purpose of monitoring and review is to assure and improve the quality and effectiveness of process design, implementation, and outcomes. It takes place in all stages of the process. Monitoring and review includes planning, gathering and analysing information, recording results and providing feedback.

Detailed information and guidance on each of these stages is documented in the Risk Management Toolkit.

22. Performance Management

The Council measures risk management performance against key performance indicators, which are periodically reviewed for appropriateness. It periodically measures progress against, and deviation from, the risk management plan and reviews the effectiveness of the risk management framework.

The success of the risk management framework is measured by a review of the risk maturity of the Council, with an aim to becoming gradually more mature.

23. Risk Appetite Statement

The Council defines Risk Appetite as the amount of risk it is willing to pursue or retain in pursuit of its objectives. The purpose of Risk Appetite is to set out the Council's attitude to risk and to provide consistency in the decision-making process. It details how much risk is acceptable and assists in identifying those risks that need to be managed.

Risk Appetite levels range on a scale from low to high depending on our willingness to accept either Inherent or Residual Risk. Inherent Risk is "the exposure arising from a specific risk before any action has been taken to manage it". Residual Risk is "the exposure arising from a specific risk after action has been taken to manage it and making the assumption that the action is effective". The Risk Appetite helps us to determine our tolerance to individual initiatives, projects or programmes, which enable the delegation of risk management responsibilities, with clear responsibility thresholds and escalation paths.

Each risk is considered against the Risk Appetite for a number of categories. These Appetite Levels are defined in the Council's Risk Appetite Statement.

West Lancashire Borough Council Risk Appetite Statement

Key

Risk Type	Risk Appetite
Reputational	3
Legislative / Regulatory / Compliance	2
Financial	3
People	3
Health & Safety	1
Operational	2
Environmental	3
Physical Systems & Assets	3
Political	2

Ratings	Risk Appetite	Meanings
1	Low	Residual risk only acceptable in extreme situations (e.g. where the risk has a very low impact and likelihood)
2	Medium	Residual risk is managed down on a cost-benefit basis. A medium amount of risk is acceptable however, on balance, control is weighted higher than acceptance.
3	Significant	Residual risk is accepted to significant levels. Significant implies a pure cost-benefit approach.
4	High	Residual risk is accepted to high levels

The Council operates within a medium to significant overall risk range. The council's lowest risk appetite relates to Health & Safety risk, including employee health and safety, with a higher risk appetite towards its reputational, financial, people, environmental and physical systems and asset risks. This means that in general risks will be considered on a cost benefit analysis unless they involve health and safety, legislation, and compliance, political or operational risks where control is weighted higher than acceptance of the risk.

Reputational

The 'reputational' category refers to the risk of a significantly adverse or damaging perception of the Council by the general public and West Lancashire Borough residents.

Risk Appetite: The Council has a concerned approach with regards to any project or activity that would seriously threaten its reputation. It understands however that not all stakeholders will have the same opinion on projects, programmes of work and service delivery and so each project/ programme will be considered with regards to its reputational impact.

Legislative / Regulatory / Compliance

The "legislative / regulatory / compliance" category refers to the risk of successful legal action being taken against the Council, or of the Council breaching law in its activities and operations, and is also the risk of losses, possibly fines, and other sanctions arising from non-compliance with laws and regulations.

Risk Appetite: The Council is committed to a high level of compliance with relevant legislation, regulation, sector codes and standards as well as internal policies and sound corporate governance principles. Identified breaches of compliance will be remedied as soon as practicable. The Council has no appetite for deliberate or purposeful violations of legislative or regulatory requirements.

Financial

The "financial" category relates to the risk of financial pressures affecting the Council's ability to provide services.

Risk Appetite: The Council is willing to take calculated financial risks in order to achieve its objectives, subject to legislation being complied with.

People

The "people" category relates to the risk of the Council's ability to attract and retain competent and motivated staff to achieve its objectives.

Risk Appetite: The Council is committed to investing in strategies to attract, manage, motivate, develop and retain competent staff to achieve its strategic goals. Activities that threaten to diminish its ability to meet this commitment require careful consideration.

Health & Safety

The "health & safety" category refers to the risk of hazards that can lead to the harm, injury, death, or illness of staff or citizens.

Risk Appetite: The Council has zero tolerance for risk being taken with regards to health & safety.

Operational

The "operational" category refers to the risk of not being able to provide Council services and the effect that this has on customer satisfaction. It also relates to the risk of fraudulent activity occurring.

Risk Appetite: The Council places great importance on ensuring that its activities and services operate efficiently and effectively. There is a low appetite for any business interruptions that may jeopardise its standards of services, operations or could lead to a loss of satisfaction by its citizens, customers and stakeholders.

Fraud could arise from either internal or external parties who attempt to defraud the Council by circumventing its processes and controls, including those operated by our third-party providers (e.g. within our outsourced activities).

The Council has a commitment to high ethical standards and a desire to prevent and deter harm to its stakeholders. It seeks to limit the risks associated with fraud, particularly internal fraud and has a zero appetite for any fraud.

Environmental

The "environmental" category refers to the risk of an impact of any function, service, operation, project and programme upon the environment.

Risk Appetite: The Council has a strong interest in protecting and preserving the environment. There is a low appetite for activities which will significantly degrade the environment

Physical Systems & Assets

The “physical systems and assets” category refers to the risk to physical structures (buildings, facilities, locations, equipment, etc.) and systems e.g. IT, which ultimately support the provision of services.

Risk Appetite: In pursuing its objectives, the Council is open to taking a moderate degree of risk, and is prepared to accept major changes, upgrades, projects and programmes where these are intended to bring significant improvements to property, assets, facilities or services.

Political

The "political" category refers to the risk of disruption to objectives leading to intervention by political members and the impact of this upon political structures.

Risk Appetite: The Council has a low appetite to the disruption of any objective that would lead to the involvement of political members and cause political instability.

24. Corporate Risk Assessment

Impact

Score	What is the worst that could happen?
Low	Minor loss, delay, inconvenience or interruption, very minor damage to reputation and very minor health & safety issues. Opportunity to innovate/make minor improvements to performance missed/wasted. Short to medium term effect.
Medium	Waste of time and resources. Good opportunity to innovate/improve performance missed/wasted. Moderate impact on operational efficiency, output and quality. Minor health & safety risk, short term damage to reputation. Medium term effect which may be expensive to recover from.
Significant	Major impact on costs and objectives. Substantial opportunity to innovate/improve performance missed/wasted. Significant impact on output and/or quality. Significant damage to reputation and moderate health & safety consequences. Medium to long term effect and expensive to recover from.
High	Severe / Critical impact on the achievement of objectives and overall performance. Critical opportunity to innovate/improve performance missed/wasted. Huge impact on costs and/or sustained damage to reputation. Major health & safety issues. Very difficult to recover from and possibly requiring a long term recovery period.

Likelihood

Score	Descriptors
Certain	Almost certain, is expected to occur in most circumstances. Greater than 80% chance.
Probable	Likely, will probably occur in most circumstances. 50% - 80% chance.
Possible	Possible, might occur at some time. 20% - 50% chance.
Unlikely	Unlikely, but could occur at some time. Less than a 20% chance.

WLBC Impact / Likelihood Matrix

		Impact			
		Low	Medium	Significant	High
Likelihood	Certain	4	8	12	16
	Probable	3	6	9	12
	Possible	2	4	6	8
	Unlikely	1	2	3	4

Level of Concern	Action Required
Critical	Urgent attention required at highest level to ensure risk is reduced to an acceptable level. Action planning should start without delay. Progress on actions should be reported to the Chief Operating Officer and / or the Leader.
Concerned	Requires mitigation and a contingency plan. Report on progress to CMT.
Cautious	Acceptable level of risk however the risk requires mitigation /consideration. Reviewed at Head of Service level.
Comfortable	Acceptable level of risk. Keep under review but no action required unless changes occur.



West Lancashire Borough Council

Risk Management Tool Kit

Version 2: January 2022

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1. Foreword



As Chief Operating Officer I am responsible for enabling the efficient and effective governance of significant risks, and related opportunities across West Lancashire Borough Council.

As we face increasing uncertainty and challenging times it is of increasing importance that we have robust management and can make difficult decisions over resource priorities. It is important that the maximum amount of resources can be channelled into achieving the Councils vision and priorities for West Lancashire.

Central to the ability to do this is the need for efficient and effective risk management which allows us to

take advantage of more opportunities and make decisions that pay full regard to risk consideration.

The Council is risk aware not risk averse, it needs to take full advantage of opportunities for improving services. Therefore, it needs to be pro-active and prepared in the way that it manages risk.

Risk Management is recognised as a key element in the management of the Council. By all staff having a better understanding of the importance and implementation of risk management it will make a huge contribution to improving overall corporate governance. In addition, it will assist in ensuring that mandatory rules, regulations, and obligations are complied with.

Better identification of risks and their management will result in better use of resources. If we all use the resources available to us more efficiently and effectively then the service to our customers can only improve.

Risk Management needs to be embedded in all our activities and it's important that we align risk management activities with other policies, procedures, and strategies to ensure effective operations and service delivery.

This toolkit has been developed to allow officers to identify risks which would prevent them from achieving their objectives (including failing to take advantage of opportunities) and to provide information and guidance on how these risks can be managed.

Jacqui Sinnott-Lacey

Chief Operating Officer

West Lancashire Borough Council

Date: January 2022

2. Introduction

Risk management is about making the most of opportunities by making informed decisions and about achieving objectives once those decisions are made. It is about being risk aware and not risk averse.

The Council accepts that some level of risk is inevitable if it is going to achieve its objectives. It is important, however, that these risks are actively controlled, managed and monitored. One of the biggest risks that could face WLBC would be to not identify the risk in the first place and take no action at all.

The risk management process has been made as simple as possible, and jargon has been kept to a minimum. There may be some terms that you may not be familiar with; therefore, a list of the more common terms has been included at Section 16, (key definitions) for your guidance.

This toolkit is a working document for managers and staff to use in maintaining the documentation required to support their Service and the Council's Key Risk Register. Although risk owners will be tasked with updating risk registers and managing risks, risk management is the responsibility of all Council employees.

This toolkit should be read in conjunction with the Council's Risk Management Policy & Strategy.

3. Attitude to and Principals of Risk Management

Effective risk management enhances:

- the likelihood of us delivering our objectives
- our reputation
- our financial sustainability
- our planning and decision-making activities
- our leadership, management and governance
- our ability to innovate

The approach adopted to risk management ensures that our risk management activities are:

- Proportionate to the level of risk that we are prepared to accept
- Aligned with other Council activities
- Comprehensive, systematic and structured
- Embedded within the Council and our procedures
- Dynamic and responsive to emerging and changing risks.

4. Benefits of Risk Management

When applied appropriately, risk management can be very beneficial. It can help us to achieve our stated objectives and deliver on intended outcomes. It can also help managers to demonstrate good governance, better understand their risk profile and better mitigate risks (particularly uninsurable risks). Externally it can help us to enhance community support and satisfy stakeholders' expectations on internal control. This results in:

- Improved efficiency in the delivery of services
- Enhanced risk reporting
- More satisfied stakeholders
- Better management of change programmes
- Support for innovation
- Fewer complaints
- Greater control of insurance costs
- The provision of evidence to support Assurance Statements
- Better information available for decision making
- Enhanced ability to justify actions taken
- Protection and enhancement of our reputation
- Reduced risk of mistakes
- Conformance with Council policies across all areas of risk
- Improved management performance (good risk management is good management)
- Consistent approach avoiding potentially damaging errors
- Compliance with legislation, rules and regulations
- Securing funding (funding bodies including the government are increasingly interested in the effective management of risk)
- Improved contingency arrangements as set out in our business continuity plan
- A reduction in the risk of fraud and corruption
- Enhanced ability to identify new opportunities and the challenges associated with current opportunities
- Being able to anticipate the risks that could affect performance and put in place actions to minimise disruption
- Better assessment of overall resource needs
- The ability to quickly foresee and respond to change.

The above list is not exhaustive, and all these benefits are achievable as long as we all embrace our risk management responsibilities.

5. Risk Management Policy & Strategy

Our Risk Management Policy including our Strategy support our corporate aims and objectives.

The Council has a clear vision for West Lancashire:

West Lancashire together; the place of choice to live, work, visit and invest

Our priorities are:

- Create empowered, engaged and inclusive communities
- Support businesses to adapt and prosper
- Become a Greener West Lancashire
- Be a financially sustainable Council by 2023
- A clean, safe environment with affordable homes to buy or rent for everyone in West Lancashire
- Everyone to be healthy, happy, safe and resilient
- Everyone to be proud of their Council

Robust risk management will help to support delivery of this vision and associated priorities.

The Risk Management Policy & Strategy sets out the Council's risk management aims and objectives and how these will be achieved. This document is subject to annual review to ensure that it remains up-to-date and continues to reflect our approach to risk management.

It is vital that we develop the use of risk management in our dealings with third parties such as through partnerships, contracts, and other new service delivery models.

While these areas contain significant risks for the Council, they also have the potential to provide significant opportunities if well managed. The use of risk management to mitigate risks while also exploring opportunities is key to ensuring that these working arrangements contribute positively to service delivery.

6. Key Responsibilities

The Risk Management Policy & Strategy details all risk management responsibilities however some of the key responsibilities are highlighted in the following diagram.

CMT & Members	<ul style="list-style-type: none"> • Determine the risk appetite of the Council • Determine the nature and extent of the principal risks we are willing to take in achieving our strategic objectives • Ensure that the risks on the Key Risk Register fit within the definition of a key risk
Heads of Service	<ul style="list-style-type: none"> • Ensure that key risks are added to and removed from the Key Risk Register as appropriate • Carry out live reviews of Service Risk Registers on a quarterly basis. • Implement the Risk Management Framework and disseminate best practice throughout the Council.
Senior Managers	<ul style="list-style-type: none"> • Manage risk effectively in their area of responsibility. • Complete the risk management process as per the Council's Framework. • Complete, track and monitor the progress of action plans
Risk Management Officer	<ul style="list-style-type: none"> • Develops and maintains the risk management framework • Provides training and advice
Risk Management Champions	<ul style="list-style-type: none"> • Support their Head of Service in implementing the Risk Management Framework within their Service. • Promotes and embeds Risk Management within their Service to engage staff in the management of risk.
Audit & Governance Committee	<ul style="list-style-type: none"> • Review, scrutinise and challenge current and proposed risk management procedures and processes, including progress against planned actions
Executive Overview & Scrutiny Committee	<ul style="list-style-type: none"> • Review, scrutinise and challenge current and proposed risk management procedures and processes, including progress against planned actions
Cabinet	<ul style="list-style-type: none"> • Approve the risk management policy, strategy and related documents • Approve content of key risk register and proposed risk mitigation plans, and monitor implementation
Control Owners	<ul style="list-style-type: none"> • Communicate the effectiveness of controls to risk owners.
All Employees	<ul style="list-style-type: none"> • Be familiar with, understand, accept and implement the Risk Management Framework. • Monitor work on an ongoing basis to identify new and emerging risks and escalate as required.
Internal Audit	<ul style="list-style-type: none"> • Evaluate risk management processes continuously to provide assurance to Members and Senior Management that significant risks are being managed appropriately and that the Risk Management and Internal Control Framework is operating effectively.

7. Three Lines of Defence Model

The Council operates a Three Lines of Defence Model which provides assurance that Risks are being actively managed and controlled. By having the three lines of defence in operation it allows us to safeguard against breakdowns in risk management. It also emphasises that risk management is everyone's responsibility.

The Three Lines of Defence model distinguishes among three groups (lines) involved in effective risk management:

- Functions that own and manage risks.
- Functions that oversee risks.
- Functions that provide independent assurance.

First Line of Defence Chief Operating Officer, Heads of Service, Managers and Employees	Second Line of Defence Risk & Insurance Officer and the RMWG	Third Line of Defence Internal Audit
<ul style="list-style-type: none"> • Responsible for identifying risk • Responsible for managing and escalating risks • Responsible for mitigating the risks within each Section/ Service Area / Department • Responsible for implementing and processing adequate internal controls. 	<ul style="list-style-type: none"> • Responsible for Maintaining and developing the Risk Management Framework • Responsible for Reporting to CMT, Cabinet & Committees • Advisor to the first line of defence 	<ul style="list-style-type: none"> • Independent Assurance • Reporting to the COO, CMT and appropriate Committees • Advisory role to improve processes

In addition to the three lines of defence there are then a further two functions:

4th Line of Defence - External auditors will be required to confirm and attest to the accuracy of financial records.

5th Line of Defence – Certain regulators will require compliance with the rules and regulations within their scope.

Our risk and control processes are structured effectively in accordance with the Three Lines of Defence model in that;

- Each line of defence is supported by appropriate policies, role definition and training.
- There is coordination among the separate lines of defence to foster efficiency and effectiveness.
- Risk and control functions operating at the different lines share knowledge and information to assist all functions in better accomplishing their roles in an efficient manner.
- Lines of defence are not combined or coordinated in a manner that compromises their effectiveness.

A more detailed breakdown of the roles and responsibilities of each line is detailed in the Risk Management Policy & Strategy.

8. The Risk Management Process

Our risk management processes has 6 key stages:



8.1 Risk / Opportunity Identification

The purpose of risk identification is to generate a comprehensive inventory of risks based on events that might create, prevent, accelerate or delay the achievement of our objectives. It is important that all risks are identified at each level of the Council e.g., CMT, services, departments, and teams.

The starting point for the identification of risks and opportunities should be to examine the Councils, directorate, service or project's objectives and required outcomes. It is important that officers carry out risk identification and examine all identified risks and link them to the appropriate Council, Service or project objectives and outcomes where possible.

It is mandatory that risk management features on the agenda of quarterly DMT meetings and therefore senior managers should be aware of emerging risks or changing risk context.

It is important that all members of staff are involved in the risk management process. Managers should ensure that there is a process in place for employees to actively report any risks as and when they arise, and for them to report when the extent of the risk changes.

Officers assigned to risks i.e., risk owners should update Pentana with new risks that have been identified and continue to keep risks updated with real time updates.

Some risks will be identified on an on-going basis but will be rectified almost immediately and will therefore not form part of the formal risk register e.g., a missing sign on an emergency exit should not be included but should be rectified as soon as possible. If, however, it was noted that emergency exit signs were being stolen on a regular basis, this fact should be recorded.

A variety of techniques and methods can be used to identify risks

- Experience
- Horizon Scanning
- Checklists and questionnaires
- Inspections of premises
- Audits (Internal e.g. internal audit, health & safety or external)
- Accessing relevant national reports, technical briefings, specialists (including internal experts) and guidance.
- Equality analysis
- Directorate / service / team meetings
- Workshops and brainstorming
- Internal control processes
- Day to day operations
- Local / national or social media
- Alterations to legislation
- Performance Indicators
- Service Action Plans
- Insurance claims / losses information

The list that follows is provided as a guide and is not designed to be all encompassing but is intended to prompt thought to assist as a starting point to identify risk(s). The risk identification stage should be repeated regularly to ensure that new risks arising are identified and brought into the risk profile as appropriate.

<p>Cultural</p> <p>The cultural environment in which the Council is operating</p>	<ul style="list-style-type: none"> • Cultural diversity of the local area and the Councils ability to ensure everyone is catered for. • Services are no longer in demand due to changing behaviours.
<p>Environmental</p> <p>Environmental events as well as increased environmental awareness or regulation can all impact public service organisations</p>	<ul style="list-style-type: none"> • Nature of environment • Waste disposal and recycling issues • Pollution issues, e.g. fly tipping, • Growing environmental, social and governance agenda • Severe weather or public health emergency increases demand on services • Flooding and other severe weather and the need for investment in counter measures
<p>Financial risks</p> <p>Issues arising from the budgetary, financial planning and control framework</p>	<ul style="list-style-type: none"> • Financial situations such as areas of significant over or under spending • Flexibility to allocate budgets to address areas where control weakness is identified • Level of reserves and budgetary control • Monitoring and reporting systems • Fraud / mal-administration and corruption • Changes in government priorities and fiscal policies that can influence the need for alternative revenue streams • Changing international economic relationships that can impact local businesses and the support they require • Push towards engaging partnering/ outsourcing to the private sector
<p>Health & Safety Risks</p> <p>The need to provide a safe environment for staff, citizens and all stakeholders</p>	<ul style="list-style-type: none"> • Commitment to health, safety and well-being of staff, partners and the community.

	<ul style="list-style-type: none"> • Potential physical hazards such as monitoring the condition of trees on WLBC owned land or pathways, and slips and trips on WLBC owned land
<p>Legislative / Regulatory/ Compliance</p> <p>The legal and regulatory framework in which the Council exists</p>	<ul style="list-style-type: none"> • Preparedness for new, and compliance with existing, legislation and regulations including European law / regulations • Exposure to regulators - e.g. auditors / inspectors • Changes to the litigation environment
<p>Operational risks</p> <p>The need to effectively deliver services which meet the needs and expectations of customers and residents</p>	<ul style="list-style-type: none"> • Why is service delivery not effective? • Do residents, taxpayers, businesses and partners receive the services they require when they need them? Are expectations being managed? • Extent and nature of consultation with / involvement of community, e.g. community groups, local businesses, focus groups, resident's panels, etc.
<p>Partnership / Contractual</p> <p>Key strategic partners from public, private and third sectors, County strategic partnerships, joint ventures and outsourced services</p>	<ul style="list-style-type: none"> • The delivery of services • Investment of time, money and expertise • Meeting organisational objectives • Fair procurement • Risk of financial and reputational risk.
<p>People</p> <p>The need to be managerially and professionally competent and for staff to be satisfied</p>	<ul style="list-style-type: none"> • Professional / managerial standing of key officers • Stability of officer structure - particularly at the top • Turnover, absence, stress levels, illness • Workforce planning • Equalities issues • Managing major changes
<p>Physical risks to Systems & Assets</p> <p>Physical hazards associated with systems, property, vehicles, plant and equipment.</p>	<ul style="list-style-type: none"> • Nature and condition of assets e.g. buildings and other property owned, dilapidation of leased property • Testing of systems to ensure efficiency
<p>Political</p> <p>Political decisions can impact on many areas in public service organisations.</p>	<ul style="list-style-type: none"> • Central Government initiatives impacting on Local Government • Changes to devolution and powers of councils • Political uncertainty and changing priorities of local and national groups • Pressure to become more commercial and provide support for local businesses
<p>Sociological</p> <p>Changes in social trends can dramatically impact public service organisations, both on service demand and supply.</p>	<ul style="list-style-type: none"> • An ageing population increases pressure on certain services • The impact of social media on patient or public activism is a potential opportunity as well as a threat • Changing expectations of the local community
<p>Technological</p> <p>New technologies create new products and new processes that can impact service providers and end users.</p>	<ul style="list-style-type: none"> • Impact on reputation and services of not implementing new technologies • Need to invest in provision of quality telecommunications to all communities • Effective communication is essential.

8.2 Risk Analysis

In the risk analysis phase, we analyse the size of risk based on the likelihood of the risk occurring and the impact that the risk may have if it did occur.

Risk analysis involves a detailed consideration of uncertainties, risk sources, consequences, likelihood, events, scenarios, controls and their effectiveness. An event can have multiple causes and consequences and can affect multiple objectives.

Measures of Likelihood

Score	Descriptors
Certain	Almost certain, is expected to occur in most circumstances. Greater than 80% chance.
Probable	Likely, will probably occur in most circumstances. 50% - 80% chance.
Possible	Possible, might occur at some time. 20% - 50% chance.
Unlikely	Unlikely, but could occur at some time. Less than a 20% chance.

Measures of Impact

Score	What is the worst that could happen?
Low	Minor loss, delay, inconvenience or interruption, very minor damage to reputation and very minor health & safety issues. Opportunity to innovate/make minor improvements to performance missed/wasted. Short to medium term effect.
Medium	Waste of time and resources. Good opportunity to innovate/improve performance missed/wasted. Moderate impact on operational efficiency, output and quality. Minor health & safety risk, short term damage to reputation. Medium term effect which may be expensive to recover from.
Significant	Major impact on costs and objectives. Substantial opportunity to innovate/improve performance missed/wasted. Significant impact on output and/or quality. Significant damage to reputation and moderate health & safety consequences. Medium to long term effect and expensive to recover from.
High	Severe / Critical impact on the achievement of objectives and overall performance. Critical opportunity to innovate/improve performance missed/wasted. Huge impact on costs and/or sustained damage to reputation. Major health & safety issues. Very difficult to recover from and possibly requiring a long term recovery period.

The first time that a risk is assessed the likelihood and impact of the risk against the Council's risk impact categories will need to be considered as if no controls exist; this will give the inherent risk.

The likelihood and impact of the current risk is then assessed, this is an assessment of the risk with all current controls in place. This step is then repeated for all future assessments.

There will need to be consideration of what the target risk is. This is the level of risk that you are aiming to manage the risk down to, over time. This will need to be considered at each future assessment.

Risks must be assessed against each appropriate impact category.

The following table gives examples of how the **impact** score can be determined for each category.

Risk Type/ Category	Low	Medium	Significant	High
Reputational	Single adverse article in local media or specific professional journal that is not recirculated (e.g.: through social media). WLBC may be one of a number of agencies referred to.	A number of adverse articles in regional media mentioning WLBC. Some circulation via social media. Single request for senior officer / Member to be interviewed on local TV or radio. Adverse reaction by West Lancs residents in social media / online forums. Short term reduction in public confidence.	Series of front page / news headlines in regional or national media. Wider recirculation via social media. Sustained adverse reaction by West Lancs residents in social media. Repeated requests for senior officer / Member to be interviewed on local TV or radio. Long term reduction in public confidence	Sustained adverse publicity in regional media and / or national media coverage. Extensive / prolonged recirculation via social media channels. Repeated requests for Leader / Chief Operating Officer to be interviewed on national TV or radio. Possible resignation of senior officers and or elected members. Total loss of public confidence.
Legislative / Regulatory Compliance	Failure to meet internal standards.	Minor breach of statutory legislation / regulation. Breach of best practice requirements.	Single breach in statutory duty. Challenging external recommendations / improvement notice.	Several breaches in statutory duty. Enforcement action and improvement notices. Critical report. Censure by regulator; breach of legal or contractual obligation.
Financial	Impact on in year budget pressures to be resolved within Service.	On-going financial pressures which require corporate resolution and should be addressed through the budget setting process.	Significant financial pressures leading to alternative approaches to service delivery.	Inability to continue as a going concern and leading to potential external intervention.
People	Short term low staffing level that temporarily reduces service quality. Some minor staff dissatisfaction	Medium term low level / insufficient experienced staff to deliver quality service. Low staff morale.	Late delivery of key objective / service due to lack of experienced staff. Very low staff morale.	None delivery of key objective / service due to lack of experienced staff.
Health & Safety	Minor injury requiring no first aid treatment or medication.	Short lived / minor injury or illness that may require first aid or medication. No overnight hospitalisation.	Injury that requires short term hospitalisation. Small number of work days lost.	Injury that requires medium to long term hospitalisation. Fatalities and / or incidences of permanent disability or ill health. Risk of prosecution from enforcement agencies.

Risk Type/ Category	Low	Medium	Significant	High
Operational	Some short term disruption to a non-critical service to citizens / customers. No significant effect on customer satisfaction. Low chance of fraudulent activity occurring.	Short term disruption to a critical service or prolonged disruption to a non-critical service. Noticeable to customers and affecting their satisfaction with the service provided. Medium chance of fraudulent activity occurring.	Sustained disruption to a critical service or more than one non critical service. Circumstances defined in the Business Continuity Plan as requiring notification of the Emergency Planning Officer. Customer satisfaction seriously affected. High chance of fraudulent activity occurring.	Inability to perform critical services. Events leading to Central Government intervention in running of a WLBC Service. Very High chance of fraudulent activity occurring.
Environmental	Superficial impact on environment with cosmetic remediation.	Environmental damage with short term remediation. Less than 3 months.	Environmental damage with medium term remediation.	Major environmental damage, reversible with long-term remediation.
Physical Systems & Assets	Minor property, asset or facilities damage and minor disruption to systems.	Significant but temporary damage or disruption to assets, property, facilities or systems.	Sustained damage to property, assets, facilities or systems. Repair or replacements lasting more than 1 month.	Long term or permanent loss or disruption to critical property, assets, facilities and systems.
Political	Minor disruption to service provision which leads to need to notify political members for awareness.	Moderate disruption to service provision and / or objective delivery, leading to regular involvement of political member responsible for the Service.	Major impact on costs and objectives of service delivery, leading to regular review by Members Committee and constant updates to Lead Member for the Service	Critical disruption to delivery of objectives leading to resignation of political members elected position within the Council leading to elections process, delay in achievement of objectives whilst vacant roles filled.

All risk impact categories must be considered but there will be few, perhaps no, risks you identify that will have a quantifiable impact across all categories. You need only consider against those categories where the risk may impact.

Carrying out risk assessments using agreed risk impact categories will allow us to identify accumulations and interdependencies of risk.

Once the likelihood and impact for each appropriate category is scored on Pentana an overall risk score will be generated.

If for example you have a risk with a potential high environmental risk, but only a low financial impact this does not mean that Pentana will average the overall impact to medium. There can be no trade-off of impacts. The Council has decided that each of the risk impact categories is individually scored independently of how they affect others. For example, a high reputational impact is not made more acceptable by the Council not having suffered a financial loss to get to that point. Your impact score will be equivalent to the highest score you have assessed in any single domain, which will then also act as a guide to where you may best focus your risk treatment (see Section 8.4).

To determine the likelihood, you could:

- look at past records
- consider personal relevant experience (and intuition)
- look at industry-relevant experience of the risk
- consult published literature on the risk
- do some testing or experiments (for example, market research)
- use economic or statistical models to make forecasts
- use experts in the area of that risk to make judgements.

8.3 Risk Evaluation

The purpose of risk evaluation is to support decision making. Risk evaluation involves comparing the results of the risk analysis with the Council's risk appetite to determine where additional action is required. This can lead to a decision to:

- do nothing further
- consider risk treatment options
- undertake further analysis to better understand the risk
- maintain existing controls
- reconsider objectives

The Council's full risk appetite statement is set out in pages 10-13 of the Risk Management Policy and summarised in the following chart.

Key

Risk Type	Risk Appetite
Reputational	3
Legislative / Regulatory / Compliance	2
Financial	3
People	3
Health & Safety	1
Operational	2
Environmental	3
Physical Systems & Assets	3
Political	2

Ratings	Risk Appetite	Meanings
1	Low	Residual risk only acceptable in extreme situations (e.g. where the risk has a very low impact and likelihood)
2	Medium	Residual risk is managed down on a cost-benefit basis. A medium amount of risk is acceptable however, on balance, control is weighted higher than acceptance.
3	Significant	Residual risk is accepted to significant levels. Significant implies a pure cost-benefit approach.
4	High	Residual risk is accepted to high levels

Once the inherent risk has been classified it is mapped onto the Councils corporate risk matrix. The colours are a “traffic light” system that denotes the risk appetite of the Council.

The mapping is repeated to record the current risk as this will show how controls in place have influenced the level of risk e.g., the inherent risk could place a risk within the red zone as a critical risk, but because controls in place are evaluated as being effective and consistently applied the current risk could fall within the green (comfortable) zone. The mapping should be repeated to record the target risk to provide a view of how much further it is aimed to reduce the level of risk to.

We are more concerned with whether the current risk is within our risk appetite than how it scores. What really matters is that we can clearly identify what else we need to do to reduce the risk so that it falls within our accepted risk appetite level. Ask yourself is the current risk tolerable? Evaluation of the risk will lead to decisions regarding the treatment of risk.

WLBC Impact / Likelihood Matrix

		Impact			
		Low	Medium	Significant	High
Likelihood	Certain	4	8	12	16
	Probable	3	6	9	12
	Possible	2	4	6	8
	Unlikely	1	2	3	4

Level of Concern	Action Required
Critical	Urgent attention required at highest level to ensure risk is reduced to an acceptable level. Action planning should start without delay. Progress on actions should be reported to the Chief Operating Officer and / or the Leader.
Concerned	Requires mitigation and a contingency plan. Report on progress to CMT.
Cautious	Acceptable level of risk however the risk requires mitigation /consideration. Reviewed at Head of Service level.
Comfortable	Acceptable level of risk. Keep under review but no action required unless changes occur.

8.4 Risk Treatment & Management

The purpose of risk treatment is to select and implement options for addressing risk.

Risk treatment involves an iterative process of:

- formulating and selecting risk treatment options
- planning and implementing risk treatment and controls
- assessing the effectiveness of that treatment / control
- deciding whether the remaining risk is acceptable
- if not acceptable, taking further treatment

Controls are methods used by managers to assure them that they are achieving their aims, meeting service objectives and delivering the outcomes required, and that the service is being provided in the most efficient and effective way. The cost and robustness of existing or additional controls is a key consideration and needs to be balanced against the potential consequences if the event occurred. The cost of implementing and operating a control should not normally exceed the maximum potential benefit.

Risk action planning or risk treatment should only address those risks considered to be at an unacceptably high level, so requiring additional treatment.

For risks requiring additional treatment, there are four primary responses, these are known as the 4T's.

1. **Tolerating** risks means that you intend to manage the risk within your existing management routines. Risks should only be accepted where officers believe that the current risk is tolerable i.e. the risk falls within the green (comfortable) or yellow (cautious) category of the matrix.

Risks may also have to be tolerated where there is no option but to tolerate a risk associated with delivering an essential public service. In this case it is recommended that a contingency plan is put in place to deal with the risk should it occur.

2. **Treating** risk means that you identify additional action(s) to be taken that will reduce the likelihood and / or impact if the event occurs. Controls can be:
 - **Preventative** which are designed to limit the possibility of an undesirable outcome being realised. Examples include, physically restricting access to hazardous chemicals, insisting on two signatories, ensuring segregation of duties exist within a system, implementing authorisation limits, or restricting levels of access on IT systems. These controls will help reduce risk levels from the outset.
 - **Corrective** which are designed to limit the scope for loss and reduce any undesirable outcomes that have been realised. They may also provide a route of recourse to achieve some recovery against loss or damage. Examples include barriers should hazardous chemicals escape, rotation of staff, passwords and other access controls.
 - **Directive** which are designed to ensure that a particular outcome is achieved. They are based on giving directions to people on how to ensure that losses do not occur. Examples include procedure manuals, guidance notes, instructions and training. Such controls advise on how to carry out processes safely but if they are not adhered to, they will not prevent risk events occurring. Insurance and contracts are also examples of directive controls.

- **Detective** which are designed to identify occasions when undesirable outcomes have been realised. Their effect is, by definition, 'after the event' so they are only appropriate when it is possible to accept that the loss or damage has occurred. Examples include health monitoring and screening, audit reviews and reconciliations.
3. **Transferring** risk means using an insurer or other third party to cover all or part of the cost or losses should a risk materialise. However, care needs to be taken to accurately specify the risks to be covered. Making arrangements with others such as joint working, partnerships or contracting out to provide services could also be used to transfer/ share risks. However, other risks can arise from these arrangements and the responsibility of providing the service could remain with the Council. When transferring or sharing risks with other parties, ensure that risk registers detail where liability and accountability lies between parties.
 4. **Terminating** risk means ceasing to carry out the activity because modifying it or controlling it would not reduce the risk to an acceptable level.

It may however be impossible to terminate some risks i.e., the delivery of essential public services. In this case the action you need to take is to ensure that we have a contingency plan in place so that should the risk occur, we can deal effectively with the consequences. See section 12 below for information on business continuity management.

8.5 Reporting and Recording

It is imperative that risks are recorded on the appropriate risk registers on the Pentana Risk System, the Council's corporate risk management software. Risks must continue to be regularly monitored and actively managed until they are realised.

Every risk should be assigned to a risk owner who is identified on the risk register. The risk owner (the officer named in the "assigned to" category) is the designated member of staff who carries the ultimate responsibility for agreeing and delivering the action plan to control the risk and for monitoring progress against it.

It is the responsibility of the risk owner to ensure that their risk is on Pentana, that it is kept updated and that the risk is escalated through the appropriate channels when necessary. It is also their responsibility to make sure that their risk is linked to their service action plan and performance indicators if appropriate.

The Council's risk register has several key elements to it and officers are expected to record those elements detailed below on their service risk register. Whilst the following information summarises the steps that need to be taken, all officers using Pentana risk should watch the [Pentana Risk Webinar](#) available on the intranet before inputting any risks into Pentana

Officers should also consult the flowchart for permissions required to add a risk to Service and Key Risk Registers at Section 10.

Code & Title	<p>Code: This is a unique identification number used to identify and track the risk in the risk register e.g. Insurance Risks have the prefix INS, then the first risk identified in this category has a unique ID of 01. Create an appropriate code for your risk.</p> <p>Title: A brief description of the potential risk. It should include the cause and trigger of the risk. The cause is our what and our where, it's the situation or event that exposes us to the risk. The trigger is our how and our why. Include the event that could or has occurred that results in a negative impact on the objectives being achieved.</p>
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Notes, Owners & Profile Tab

Risk Ownerships	<p>Ensure that all ownerships in the section are assigned.</p> <p>Assigned to - Assign the risk to the risk owner, i.e. the officer who has day to day responsibility for managing the risk. The risk is the responsibly of the assigned officer. They are the risk owner.</p> <p>Managed by - The person ultimately responsible for managing the risk, agreeing and delivering the action plan to control the risk and monitoring progress against it.</p> <p>Risk Champion – Allocate to the Risk Management Champion for your area. A list of Risk Champions is available on the risk management page of the intranet.</p>
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Corporate Priority	Select the appropriate priority from the dropdown box.
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Potential Effect	<p>Refers to any effect associated with an action that is possible, in certain circumstances. The effect may refer to a threat or damage that may be caused to or by the Council e.g. bad publicity, loss of income, negative effect on local residents/stakeholders and staff.</p> <p>It may also refer to the potential opportunities that the risk may create e.g. jobs, facilities for local residents, income generation, opportunities for staff development.</p> <p>The potential effect is the consequence of the risk. What is the effect of the risk, how bid and how bad could it be? What's our worst-case scenario as it currently stands?</p>
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Year Identified	The year that you first became aware of the risk.
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Notes	<p>Note any details that you wish to note in this section. Examples include:</p> <ul style="list-style-type: none"> • Why a risk category was not scored • Reasons for changes in scoring • Detail briefly the current position of the risk e.g. has a report gone to Cabinet / Council, has a report been approved, is a periodic review about to take place, has a project manager been appointed, is the risk being audited.
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Internal Controls Tab

Internal Controls	<p>Controls are activities designed to prevent, reduce or eliminate the risk from occurring (see section 8.4).</p> <p>Detail the controls that are in place to reduce the inherent risk score to the current risk score and detail who the controls are assigned to, i.e. the control owner.</p> <p>Record the further controls that are required to reach the target risk and detail who the controls will be assigned to.</p> <p>Individual controls should be scored as not effective, partially effective or fully effective.</p> <p>The control should state whether it reduces the impact and / or likelihood of the risk.</p> <p>Enter a description to detail more information about the specific control and a note to explain why the internal control has been scored at its current level of effectiveness. If appropriate record where the evidence that the controls are operating effectively can be found.</p> <p>As actions are taken to move a control from not effective to partially or fully effective, remember to refresh the control detail.</p> <p>Controls must be allocated to a control owner to enable us to identify the responsibility for a control.</p> <p>Once internal controls are entered summarise them in the summary section and tick the "internal controls ok" box if you believe that adequate controls are in place.</p>
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Related To Tab

Actions	<p>Once risks have been updated on Pentana consider whether your Service Action Plan needs to be amended to take account of the work that still needs to be carried out to bring the risk down to an acceptable level. The aim is to shift the risk from critical to comfortable in the prioritisation matrix, at a reasonable cost.</p> <p>Action plans and risks should be linked on the Pentana system and it is recommended that where appropriate, or where the risk is a key risk that it is linked to an action and vice versa.</p>
Performance Indicators	<p>Performance indicators can assist in providing feedback for the risk management process. This has the advantage of helping to prioritise actions.</p> <p>Linking risk management to performance indicators assists in ensuring risk management is embedded in the Council.</p> <p>Performance indicators that fall short of expectations or target can indicate the effect of risk events or slowly operating control failures.</p>

Risks	Link to any other appropriate risks
Assignment of a risk to a risk category	<p>Key Risks should be allocated to the Key Risk Register by assigning them to category "KR Key Risks".</p> <p>You should discuss the risk with your Head of Service to ensure that they agree with allocating the risk to the Key Risk Register. (See Section 10)</p> <p>Project Risks should be assigned to a specific project risk register.</p> <p>If you require a new risk category to be set up, then please contact the Risk and Insurance Officer</p>

More Tab

Management	<p>Select how controlled the risk is</p> <ul style="list-style-type: none"> • Uncontrolled - no controls in place that reduce the impact or likelihood of the risk occurring • Control Pending - controls considered but action not yet taken to implement them • Controlled – controls in place are reducing the impact and/or likelihood of the risk occurring. • Over Controlled – the controls in place are disproportionate to the level of risk.
Approach	For risks requiring additional treatment, there are four primary responses, these are known as the 4T's (see section 8.4). Select one of the 4Ts of risk management: tolerate, terminate, treat and transfer.

Risk Assessments

Current Risk Review Date	The date that you reviewed the risk. Even if no change is required to the risk this date should be updated so that those looking at the register can see that the risk has recently been considered and remains unchanged.
Inherent Risk Matrix	This will be completed the first time you score a risk. Consider the Council's risk matrix and where the inherent risk sits in relation to likelihood and the impact of all categories then plot the score.
Current Risk Matrix	Consider the Council's risk matrix and where the residual risk i.e. the current risk sits in relation to likelihood and the impact of all categories then plot the score. The score should illustrate how the risk scored at the time of the review.
Target Risk Matrix	What we can do further to reduce the risk down to an acceptable level? Use the Council's risk assessment to calculate the likelihood and impact score.

8.6 Monitor and Review

The purpose of monitoring and review is to assure and improve the quality and effectiveness of the risk management process design, implementation and outcomes. Ongoing monitoring and periodic review of the risk management process and its outcomes takes place, and the results are incorporated in our performance management, measurement and reporting activities.

In addition, monitoring and review should take place in all individual stages of the process. It is necessary to monitor the risks, controls and any documented actions and to regularly report on the progress being made in managing risks, or taking advantage of opportunities, so that the achievement of the Council's aims and objectives is maximised and losses are minimised.

There needs to be an assessment of the effectiveness of risk management actions put in place to reduce the likelihood / impact of adverse risk events occurring. Alternative action will need to be taken if the initial action has proved ineffective.

Reviews of risk registers to ensure they remain up-to-date and relevant should also be carried out as;

- Few risks and risk action plans remain static; risks change, priorities change, actions are completed, risk responses that were once effective may become irrelevant.
- Some may become less of a hazard, for example once all the affected staff have been trained. Others may become more likely if a key milestone is approaching, such as the end of a funding stream.
- It may become necessary to escalate a risk if the situation has changed or the initial assessment has proven to be inaccurate. Conversely it may be possible to downgrade a risk.
- New risks identified or opportunities arising will need to be added.
- It may be appropriate to deactivate risks.

Monitoring progress and reviewing the risk registers should take place on at least a quarterly basis, and more frequently if there are many changes or the project is progressing rapidly.

Documenting the review of the risk register, service action plans and performance indicators is also necessary, but need not be onerous. The fact that the review has been carried out should be recorded on Pentana along with a note of any changes made. The Corporate Risk Matrix provides a mechanism for escalating risks or highlighting changes that more senior management needs to be aware of.

Deactivation of Risks (See flowchart at Section 11)

When a risk is realised it may be deactivated from the Pentana system however risks should never be deleted so that an audit trail of the management of the risk exists.

It is important that risks are not deactivated until we are satisfied that the risk no longer presents.

Before risks are deactivated from Service Risk Registers the risk owner must obtain their line managers permission to deactivate the risk. Text should be entered into the notes section advising who deactivated the risk, who approved the risk for deactivation and the reason(s) why the risk was deactivated.

Before risks are deactivated from the Key Risk Register the risk owner must obtain permission from their Head of Service to deactivate the risk. Risk owners must also make the Risk and Insurance Officer aware that the risk is being deactivated so that this can be reported to the

appropriate Cabinet & Committees. Text should be entered into the notes section advising who deactivated the risk, who approved the risk for deactivation and the reason why the risk was deactivated.

9. Risk at DMT Meetings

It is a mandatory requirement that risks are discussed at least quarterly at DMT meetings.

Although the exact process used will differ between management teams, the following questions can be used as a guide to promote discussion.

1. Are there any risks missing from the risk register that should be included?
2. Have any of the risks in the risk register changed significantly in terms of impact and/ or likelihood and require additional mitigation efforts?
3. Do any of the risks now require escalation?
4. Are service action plans and performance indicators still appropriate for the risks?
5. Is there anything planned in the next 12 months that may give rise to service or key risks?
6. Can any risks be removed from the register?
7. How might the risks on the key risk register impact the service?

10. Flowchart Procedure for Adding Risks to Risk Registers



11. Flowchart Procedure for Removing Risks from Risk Registers



12. Business Planning & Budget Setting

One of the keys to successfully embedding risk management is ensuring that it is explicitly linked to business planning. In a properly embedded process, remedial action should take place to mitigate those risks which managers believe are insufficiently controlled, i.e. where the current risk exceeds the Council's risk appetite. Managing under-controlled risks can require changes to the way services are delivered or structured, and this may require the allocation of additional resources.

Effective management of risks can only be achieved through the effective management of resources. Where control weaknesses are identified which create an unacceptable exposure to risk, resources should be allocated to 'plugging the gap'. This can take a variety of forms, depending upon the nature of the risk, the existing controls, and impact of the exposure.

Those controls currently in place may require strengthening, or new ones may need introducing. For example, it could be that an ICT solution is required to improve efficiency or enable additional monitoring; or possibly the feasibility of the service being provided by a partner instead of directly by the Council. These examples have a cost, some of which may be financial, some of which may have an opportunity cost. As a result, it is important that managers retain flexibility in their service and financial planning to enable developing risks to be managed. Of course, the converse may also apply; the risk process could identify risks which are over-controlled. Savings may be achieved by reducing the control environment, saving money and / or enabling the re-direction of staff to other areas to improve service delivery.

The risk register and service action plan should be used to record these responses. The agreed actions can be logged on both documents, with more detail added on the action plan. This could also include a discussion of where the resources to fund the strengthening will come from. The result will be a concise analysis of the nature of the risk exposure, the response to the problem and the financing of the solution. Where budget variances occur as a result of the additional expenditure, a concise and robust explanation should be available to support this.

It is important to use the knowledge we have acquired through management of our risks to inform and shape our future actions. Action plans should be updated with the results of risk assessments which have been previously undertaken. Risk management should not be viewed in isolation but should be used as an important tool in informing the business planning process. What we learn now should help us identify what we will do in the future, how we will achieve it, and the problems we may encounter. This will ensure that the risks and mitigations already identified are considered and included in subsequent action and business continuity plans. The benefit will be that business and service action plans are as relevant and accurate as possible and contribute effectively to the achievement of objectives and the delivery of the outcomes and services required.

13. Annual Report & Annual Governance Statement

There is an Annual Report & Annual Governance Statement (which includes a statement on internal control) signed off by the Leader of the Council and the Chief Operating Officer. These are published by July following the financial year end. The Annual Governance Statement is included within the Council's Financial Accounts.

Directors and Service Heads are specifically asked about risk management within the assurance statements they complete which provide supporting evidence for the Annual Governance Statement. Using risk management will assist Directors in completing other aspects of their directorate assurance statements.

Although the arrangements for preparing the directorate assurance statements are well established, it is imperative that the process continues to be driven down the organisation.

It is important that we encourage and where necessary demand the wider use of statements across directorates, to assist in demonstrating compliance and accountability.

14. Training

The Council acknowledges that risk management training for staff and Members is crucial to the effectiveness of embedding Risk Management. It strives to ensure that all employees have a basic understanding of risk management and how the Council's Risk Management Framework operates.

Employees undertake risk management training as a mandatory part of the induction process. Two presentations are available, one for Senior Management and Risk Coordinators and one for all staff. New employees should watch the appropriate presentation. If appropriate they should also watch the presentation on how to use the Pentana Risk System. These presentations may also be watched by any member of staff who requires refresher training.

A risk management toolbox talk should be given to those members of staff who do not have intranet access.

Training for Officers will be arranged and provided annually by the Council's Risk and Insurance Officer. Such training may be outsourced or provided in house.

Training for Members will be arranged and provided every two years by the Council's Risk and Insurance Officer. Such training may be outsourced or provided in house. In addition, a risk management webinar is available and forms part of Members essential induction training. This webinar can also be viewed as refresher training.

Frequent "lunch and learn" sessions are run on a variety of risk management topics. These are recorded and are made available on the intranet for all officers to view.

The quarterly risk newsletter "The Risk Round Up" is a good source of risk information and is circulated to all staff and Members. It highlights training sessions that are available, digests risk disasters and lessons that can be learnt from other organisations and covers appropriate risk management topics.

The Risk & Insurance Officer welcomes the opportunity to attend DMT and service meetings to discuss risk and to act as a critical friend in reviewing the service risk register.

Please contact the Risk and Insurance Officer if any risk management training needs are identified within your department and training will be provided.

15. Useful Contact Points / Information

Head of Finance, Procurement and Commercial Services - James Pierce

Risk and Insurance Officer - Rebecca Spicer

Head of Internal Audit – Jacqueline Pendleton

Partnership & Performance Officer - Alison Grimes

16. Definitions

Word / Term	Definition
Assurance	A positive declaration, given by a Director, that the risks within their service area are being managed effectively.
Control Owner	A control owner is accountable for implementing and maintaining the effectiveness of specific controls as recorded in a risk register, in a position description or in organisational policies and procedures. Control owners may also be responsible for designing or modifying controls to improve their effectiveness.
Cost	Of activities, direct and indirect, involving any negative impact, including money, time, labour, disruption, goodwill, and political and intangible losses.
Event	An incident or situation, which occurs in a particular place, during a particular interval in time.
Hazard	A source of potential harm or a situation with a potential to cause loss.
Impact	The probable effect on the Council if the risk occurs or the opportunity is not taken.
Inherent Risk	The likelihood and impact of the risk if no action is taken or existing actions cease.
Key Risk Register	This records those risks which if they occur would have the greatest impact on the Council, the achievement of its priorities, objectives and activities. They are strategic high-level Council risks.
Likelihood	How often a risk is expected to materialise
Loss	Any negative consequences, financial or otherwise.
Management Assurance	The opinion given by managers, based on evidence they have obtained from reviewing and improving the controls in place, regarding the adequacy of the management of risks and the achievement of service objectives within their area of responsibility.
Monitor	To check, supervise, observe critically, or record the progress of an activity, action or system on a regular basis in order to identify change.
Objective	A fundamental service delivery aim.

Residual Risk	The remaining level of risk after effective mitigating action has been taken to manage the likelihood and or impact of the risk. Often referred to as the current risk.
Risk	An event / series of events happening, or action(s) taken that will prevent the Council from achieving its planned objectives, in part or in full. A risk can also be the failure to take advantage of opportunities to optimise the Council achieving its planned objectives.
Risk Acceptance	An informed decision is taken to accept the impact and the likelihood of a particular risk.
Risk Analysis	A systematic use of available information to determine how often specified events may occur and the magnitude of their consequences.
Risk Appetite	The amount of risk that the Council is prepared to accept, tolerate or be exposed to - see the Council's Risk Appetite Statement.
Risk Avoidance	An informed decision not to become involved in a risk situation.
Risk Capacity	The capability of the organisation to take risk.
Risk Control	That part of risk management that involves the implementation of policies, standards, procedures and physical changes to eliminate or minimise negative risk.
Risk Exposure	How much is actually at risk
Risk Evaluation	A decision point in which we decide whether to respond or not to respond to the risk.
Service Risk Register	Records operational risks which are faced in the day to day delivery of services. Service risks are those that could have an effect on the successful achievement of the service priorities, objectives and activities
Stakeholder	An individual, group or organisation that can affect, be affected by, or perceive itself to be affected by risk.
Virement	Movement of funds between budget codes within the financial year.

17. Risk Management Work Cycle

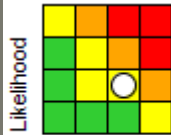
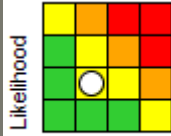
	Risk Management Policy (including Strategy & Risk Appetite Statement) & Toolkit	Service Action Planning	"Real Time" Review of Service Risk Registers by Heads of Service	Risk Monitoring by CMT	Cabinet Report / Update	Executive Overview & Scrutiny	Training	Risk Management Working Group Meetings
April		SAPs agreed and implemented		Risk Reporting to CMT			*Training for Members & Officers	
May								
June			Service Registers reviewed					RMWG Meeting
July				Risk Reporting to CMT (approval prior to Cabinet & Exec O&S)				
August								
September			Service Registers reviewed		Risk Register reported to Cabinet	Risk Register reported to Executive O&S		
October	Reviewed and updated if required. Endorsed by CMT			Risk Reporting to CMT				
November		SAP guidance issued						
December			Service Registers reviewed					RMWG Meeting
January	Reported to Audit & Governance and Executive Overview & Scrutiny			Risk Reporting to CMT (approval prior to Cabinet & Exec O&S)				
February						Risk Register reported to Executive O&S		
March	Approval by Cabinet	Proposed SAPs finalised	Service Registers reviewed		Risk Register reported to Cabinet		Review & Update On Line Training Sessions	

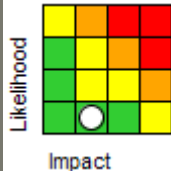
* Training for staff is provided annually and Members provided every two years

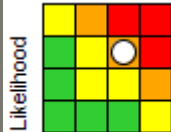
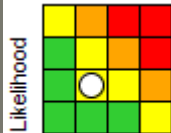
Key Risk Report



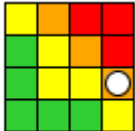
Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Finance, Procurement & Commercial Services 01773	Potential Treasury Management Investment Losses.	Volatility in financial markets can create risks on investments, which means there is the potential that significant sums of money could be lost.	<p>Treasury management policy and strategy in place.</p> <p>Well trained staff make investments with the guidance of brokers and treasury advisors</p> <p>Investments can only be made in top rated UK based institutions or other local Authorities.</p>	The GRA and HRA midyear outlook estimates show that this volatility is in evidence and could result in material shortfalls in investment returns. The increase in interest rates in response to the inflationary situation in the UK in anticipated to have a favourable interest in Treasury Management returns in 22-23.	<p>Likelihood</p> <p>Impact</p>	4 Cautious
Finance, Procurement & Commercial Services	Achieving a balanced General Revenue Account budget position	On-going reductions in Government funding and other financial pressures will need to be addressed to meet the statutory requirement to set a balanced budget.	<p>Regular Review and update of medium-term financial forecast</p> <p>Review of any savings requirement & delivery in order to close any budget gap</p> <p>Provision of regular monthly financial monitoring. This is conducted by the finance team to budget holders.</p> <p>Regular review and update of reserves</p>	The latest iteration of the Medium-Term Financial Strategy indicates an improved financial position over the medium term and a balanced budget position being achievable over the next three years.	<p>Likelihood</p> <p>Impact</p>	6 Cautious
Finance, Procurement & Commercial Services	External Funding Uncertainty	Impact on delivery of strategic projects and priorities	<p>Medium Term Financial Strategy in place. Regularly updated with changes and assumptions revisited</p> <p>Ensure commercial strategy is fit for purpose. Ensure that all our investments generate a positive financial return for the Council.</p>	The commercial strategy has been updated to reflect changes in the PWLB rules (the inability to invest purely for yield purposes). This does not affect development within the Borough. An independent review has been undertaken of TVDL by Local	<p>Likelihood</p> <p>Impact</p>	6 Cautious

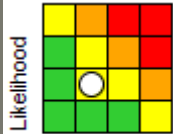
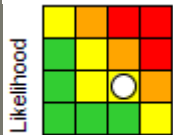
Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
			<p>To manage and grow our development company</p> <p>To ensure our development company continues to generate a profit through its business activities.</p>	Partnerships and a report is expected shortly that will be presented to Members.		
Finance, Procurement & Commercial Services	Failure to deliver a successful Our Future Our Place Project.	This project is designed to improve economic efficiency and effectiveness across Council Services and support the sustainable financial position of the Council.	<p>A best practice project management framework is in place to identify scope, outcomes, resources, accountability, and timescales.</p> <p>The Our Futures Organisation and Our Futures Place Program boards meet and feed into the Our Future Our Place Transformation Board. A detailed risk register is in place to ensure the effective mitigation of the main risks associated with the project.</p>	<p>Key resources and project groups are established to ensure the progression and delivery of all agreed projects.</p> <p>Monthly meetings of the two boards and the Our Future Our Place Transformation Board monitors progress in line with expectation.</p>		6 Cautious
Growth & Development Services	Delays in preparation of new Local Plan	The preparation of a Local Plan is a complicated and lengthy process involving various different parties and so a number of factors can potentially cause delay. Should the preparation of a new Local Plan be delayed, the existing adopted Local Plan becomes more out-of-date over time, potentially weakening the ability of the Council to defend decisions based upon it. New	<p>Timetabling. Set a realistic timetable taking into account resources, constraints, and linked timetables (e.g., Committee cycles).</p> <p>Project management. Ensure strong programme / project management.</p> <p>Communication - Statutory Consultees. Advise necessary bodies (e.g., Planning Inspectorate) of intentions at the earliest possible time.</p> <p>Member engagement. Engage with Members (e.g., via Cabinet Working Group) to seek cross-party consensus</p> <p>Communication - Members. Share information early with Members to reduce the likelihood of late amendments</p> <p>Budgetary provision. Obtain adequate budgetary provision for required consultancy support</p> <p>Staffing. Maximise flexibility across the</p>	<p>The draft new Local Plan was published for its 'Scope, Issues and Options' consultation on 18 November (until 27 January 2022), meeting the first major stage of preparation on time.</p> <p>Approval is being sought from Cabinet in March 2022 to revise the Local Development Scheme (i.e. the official timetable for preparing the Local Plan). The revised LDS moves the next consultation stage back from autumn 2022 to summer 2023 to reflect</p> <p>a) Extra work to be incorporated into this next stage (i.e. the writing of Local Plan policies), and</p> <p>b) Departures of staff and the need to recruit replacement staff.</p> <p>Meeting the LDS timetable will depend upon the timely recruitment of replacements for the Local Plan team</p>		4 Cautious

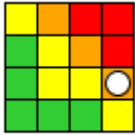
Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
		opportunities for development may be restricted and may come forward on an ad hoc, unplanned basis. There is potential for Government to intervene in plan-making if insufficient progress is being made.	<p>Service so that planning officers from other teams can help with workload. Ensure quick replacement of any vacant posts.</p> <p>Joint working. Explore opportunities for joint working and service sharing. Liaise with external bodies and seek their agreement early. Establish clear working arrangements with partners when working jointly.</p> <p>Legal / policy compliance. Ensure procedures, Acts and Regulations are complied with. Closely monitor and follow national policy and guidance.</p> <p>Follow best practice. Monitor key planning decisions nationwide to ascertain correct and best practice. Make use of such resources as the PAS Local Plan toolkit and 'Critical Friend'.</p>	leader, principal planning officer, and senior planning officer.		
Growth & Development Services	Failure to deliver Skelmersdale Town Centre phase 1 retail development	Material impact on wellbeing of local community	<p>Delivery of town centre retail scheme by St Modwen. Weekly risk meetings and monthly progress meetings with design team, Contractor, St Modwen and WLBC. Heads of Terms have been agreed for the one vacant unit and Solicitors have been instructed. An update report was taken to the October Council meeting.</p> <p>Procurement Challenge. No challenge was made before 4th July 2021.</p> <p>Financial performance of Phase 1 project. Although this project should be considered as a regeneration project as well as an investment, a report was taken to October Council comparing the financial forecast in October 2019 to the current financial forecast.</p>	<p>The original forecast completion date of 6 December 2021 has not been achieved due to delays in United Utilities connecting the new water main and LCC requiring an enhanced specification to allow the public realm works to be adopted.</p> <p>Options are being explored to allow the retailers early occupation of their units so they can be fitted out thereby allowing an opening in June 2022.</p> <p>Weekly risk management meetings are held and monthly team meetings supplement this</p>		2 Comfortable

Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Wellbeing & Leisure Services	Not agreeing on and delivering a sustainable and affordable leisure provision	If we are not able to deliver this there will be a continued need to subsidise existing buildings and the inability to develop new provision.	<p>Project Governance.</p> <p>Internal project team in place comprising financial, procurement and legal representatives.</p> <p>Regular meetings with CMT and Cabinet.</p> <p>Working Group to progress sustainable and affordable options</p>	<p>The Councils current Leisure Contract with West Lancashire Community Leisure Trust and Serco expires on 31st March 2022.</p> <p>A report was approved by Council in late 2021 which gave authority to commence a procurement exercise to procure a new Leisure Operator. The procurement exercise is likely to take 9 to 12 months and as such interim option is being put in place from April 2022 that will involve an extension of current arrangements with Serco.</p> <p>Officers also continue to explore affordable solutions in relation to the provision of new Wellbeing and Leisure Hub facilities in Ormskirk and Skelmersdale.</p>		9 Concerned
Housing & Regulatory Services	COVID-19	Business continuity, staff and supplier disruption.	<p>PCR Testing. A single fixed testing site (LTS) (Westgate) remains within the Borough. The Council continues to support the provision of mobile testing units (MTU).</p> <p>LFD Testing. A shortage of LFDs due to omicron variant remains but is easing. The Council is not expected to deliver any further testing aside from liaising with businesses and affected sectors of the community in partnership with LCC public health - particularly if involved in outbreaks.</p> <p>Surge testing. Solely, as a contingency, the Council retains equipment should surge plans require quick mobilisation.</p> <p>Local Contact Tracing. The surge in cases due to the omicron variant has swamped all local authority resources. Moreover, increased community spread and reduced national controls means that the impact the Council</p>	<p>Whilst numbers are decreasing [at time of writing], infection remains high. The increased protection offered through vaccination is enduring. Hospitalisation / critical care impacts therefore appear to be reduced, but there is an impact on social / medical care in the community when cases are ill and require care, but away from hospital. There are also significant business continuity risks for all sectors and Council services.</p> <p>Govt has confirmed the end of Plan B restrictions on 26/03/22 and a potential end to self-isolation by March 2022. As the disease moves from pandemic to endemic there are associated medium/long service issues and risks that will need to be</p>		4 Cautious





Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Page 1777			can make through local calls is very limited.	addressed nationally, regionally, and locally. The Council remains in close contact with all relevant agencies accordingly.		
			Vaccine coordination. WLCCG are the lead organisation. The ongoing offer designed to target hard to reach groups will be an evergreen offer provided by the NHS. The booster programme will likely extend into March 2022. The Council has a strong working relationship with WLCCG to continue to identify low uptake areas and also support mobile deployments. This will include routine comms to support vaccine uptake.			
			Communications. There will be an ongoing need to promote vaccines, boosters and testing so our comms team will continue to plan periodic campaigns which will continue until March 2022.			
			Isolation Support. MOP are still required to isolate with a positive PCR test until March 2022 (unless brought forward by the Govt). The Council maintains its capability to provide support through established pathways despite local contact tracing coming to an end.			
			Internal meetings. The omicron variant has led to a resurgence of meetings within the LRF and within the Council. However, this frequency is decreasing at time of writing. CIMT will continue to meet at a frequency to match LRF RCG meetings.			
Housing & Regulatory Services	Landlord Compliance & Regulatory Requirements (Health & Safety)	Injury or death to tenants, resident or visitors. Significant adverse publicity. Regulatory impact.	There are robust processes in place to ensure the required inspection cycles are met relating to the 5 key risk areas for statutory compliance relating to: Gas Safety / Fire Safety/ Asbestos Management / Water Management and Electrical Safety. Review of the processes and procedures is incorporated into the internal audit programme. Migration to system driven management is underway.	The compliance team continue to ensure the ongoing testing, servicing and repairs are completed on the council's stock to ensure compliance with current legislation and for the safety of residents and staff.		8 Concerned

Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate & Customer Services Page 17 of 28	Failure or Prolonged Loss of ICT	<ul style="list-style-type: none"> Data Integrity Issues with one or more systems Security Breaches including System Attack (hacking, malware and virus injection) Infrastructure Failure (hardware or software) Inadequate Resilience (Infrastructure Hardware or Systems) Inadequate Measures against theft or unauthorised removal of ICT equipment Lack of Resource (Staffing) due to high absence levels <p>Possible consequences of any of the above</p> <ul style="list-style-type: none"> Loss of ICT (Systems, Data, Access or Connectivity) Inability to provide business critical systems or services 	<p>West Lancs Borough Council</p> <ul style="list-style-type: none"> Information Security Policies (WLBC) Corporate sign-off of critical systems (WLBC Need to assess and keep up to date a Critical Systems List) Business continuity arrangements for services (WLBC) Insurance (WLBC) <p>o Lancashire County Council – Digital Service</p> <ul style="list-style-type: none"> ICT Security Strategy (LCC Digital) <p>Failover testing of power and infrastructure (LCC Digital)</p> <ul style="list-style-type: none"> Maintain fit for purpose ICT provision (LCC Digital) Ongoing infrastructure upgrade programme (LCC Digital) Annual Infrastructure Refresh Programme SLA for 99.8% availability for priority ICT systems (LCC Digital) Formal ICT change management process (LCC Digital) Annual network penetration testing and PSN audit (LCC Digital) Annual PSN Compliance Checks, Remediation Plan and Mitigations. <p>o Lancashire County Council and West Lancs Borough Council</p> <ul style="list-style-type: none"> Internal audit assessments and reviews (LCC Digital and WLBC) Third party support contracts (LCC Digital and WLBC) 	<p>WLBC have entered into a Collaboration agreement with LCC to deliver of ICT service as of 1st April 2021.</p> <p>The staff transferred with the service are experienced in supporting the ICT needs of WLBC.</p> <p>Quarterly Service Review meetings take place between senior officers from WLBC & LCC.</p> <p>Strategy sessions are planned for March/April 2022 to develop the future delivery programme in line with WLBC priorities.</p> <p>Disaster recovery and business continuity plans will be reviewed to ensure the needs of WLBC are adequately covered.</p>	 <p>Likelihood</p> <p>Impact</p>	8 Concerned

Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
		(i.e. contact centre, planning) etc. <ul style="list-style-type: none"> • Loss of reputation • Loss of productivity 				
Corporate & Customer Services	Recruitment and Retention of Key Staff	Adverse impact on services could place pressure on existing staff. Difficulties in recruiting, unable to compete in open market.	Developing Coaching Apprenticeships to increase the level of management coaching available to build internal talent and strengthen leadership skills. Development of Manager and aspiring manager apprenticeships to assist with growing our own talent. The Matrix contract has been retendered and the contract amended to ensure it can provide an agency supply into key service areas in a more effective way, enabling Managers to seek agency staff outside of the Matrix framework if necessary. Workforce planning processes are integrated into Council main annual business planning processes. This means that workforce requirements and resources are identified at an early stage in the business planning process. Structures and services are reviewed at the event of each vacancy to ensure adequate consideration is given to changes that could be made. New Organisational Change restructure currently being consulted upon. Consultation closed on 24 December 2022. The proposed implementation of the new structure is due 1.4.22. It is anticipated that this organisational change will address some challenges identified following the previous organisational restructure.	The risk remains. However, recruitment and selection are an issue Nationally in some key service areas. The Council is continuously reviewing the best way to fill any vacancies, including the potential use of recruitment agencies for specialist, senior or hard to fill posts.		4 Cautious
Corporate & Customer Services	Significant failure to comply with General Data Protection Regulation (GDPR and Data Protection	The GDPR and Data Protection Act 2018 brought considerable changes to the	Discussion for IG Committee. Discussion to take place with the IG Committee around this risk Engaging Internal Audit. Engaging Internal Audit	Significant progress has been made as part EDM phase 1 and 2 with the action plan performance managed via Internal Audit and the IG Committee. Most of the original development areas		6 Cautious

Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Page 1780	Act 2018).	current data protection framework and the Council must deliver its services in accordance with it. There are substantial enhancements to the current requirements as well as some new elements. Compliance had significant resource implications in terms of budget, IT, Governance and communications. There are a range of sanctions for breaches including fines and damages. Failure to report a breach would result in a fine as well as a fine for the breach itself.	Mandatory IG/UK GDPR Training, Data Protection Impact Assessments NHS Data Security & Protection Toolkit annual submission Robust IG Policies and Protocols Internal and GDPR / IG Audits IG Committee Appointed SIRO and DPO	on the back of the last GDPR audit have been completed now with the remaining scheduled to be delivered before March 2022. If there are any actions left to be completed, this will be taken up via the IG Committee and followed up.		
	Failure for Tawd Valley Developments to deliver the Business Plan agreed by Council.	Tawd Valley Developments offers opportunities of generating income from developments however, volatility in development / financial markets can create risks on investments, which means there is the potential that	Approval of the annual business plan. Council review and approve the company's annual business plan. Any changes during the year to this will require Council approval. Company risk management strategy. The Company Directors have an agreed risk management strategy which is reviewed at board meetings Company Directors monitor delivery of the business plan. Performance against the delivery of the business plan is overseen by	The five schemes included in phase 1 of the business plan are all on site or delivered. The latest forecast for phase 2, subject to planning approvals is for 111 affordable homes and 3 for open market sale against the BP forecast of 132. The Council has initiated an independent review of TVDL, and the		8 Concerned

Responsible Service	Title of Risk	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Page 1781		significant sums of money could be lost.	the Company Directors	outcome of this review will determine the future direction of the company and the delivery of future phases of delivery.		
			TVD Shareholder Cabinet Working Group established to monitor performance against the business plan and make recommendations to the COO on the exercise of her delegation as Shareholder for the Company			
			Quarterly member's update. Member's update reported to Corporate Overview & Scrutiny			
			Gateway approval process. TVD carry out site appraisals and detailed analysis to determine viable schemes. Company directors approve scheme progression at various stages using gateway approval process			
			Change tenure. The Council has the ability to change the scheme tenure to mitigate risk of market sale			
			Reserved matters. Reserved matters are signed by Company Directors and set out decisions and matters which are reserved for the Council as shareholder.			

Risk Status	
	Critical
	Concerned
	Cautious
	Comfortable



**CABINET:
8 MARCH 2022**

**AUDIT AND GOVERNANCE
COMMITTEE
24 MAY 2022**

Report of: Legal and Democratic Services Manager

Relevant Portfolio Holder: Councillor I Moran, Leader

Contact for further information: K Lovelady (Ext 5075)

(E-mail: kay.lovelady@westlancs.gov.uk)

Mrs J C Williams (Extn. 3264)

(E-mail: judith.williams@westlancs.gov.uk)

**SUBJECT: REGULATION OF INVESTIGATORY POWERS ACT – ANNUAL
SETTING OF THE POLICY**

Wards affected: Borough Wide Interest

1.0 PURPOSE OF THE REPORT

1.1 To report on the Council's use of its powers under the Regulation of Investigatory Power's Act (RIPA) and to present the RIPA Policy document for approval.

2.0 RECOMMENDATIONS TO CABINET

2.1 That the Council's RIPA activity and the RIPA Policy at Appendix 1, be noted.

3.0 RECOMMENDATIONS TO AUDIT AND GOVERNANCE COMMITTEE

3.1 That the Council's RIPA activity and the RIPA Policy at Appendix 1, be noted.

4.0 BACKGROUND

4.1 The Regulation of Investigatory Powers Act 2000 (RIPA) came into force in 2000. Both the legislation and Home Office Codes of Practice strictly prescribe the situations in which and the conditions under which councils can use their RIPA powers.

5.0 MONITORING OF RIPA ACTIVITY

- 5.1 The Council has not had cause to use its powers under RIPA during the last 12 months.
- 5.2 The Senior Responsible Officer proactively seeks to ensure that the use of covert surveillance in this authority is well regulated. Applications for authorisation to use covert surveillance must be rejected when the Authorising Officer is not satisfied that the surveillance is necessary or proportionate and legal advice should be sought by Authorising Officers in appropriate cases.

6.0 THE RIPA POLICY

- 6.1 The RIPA Policy is presented to Cabinet for approval each year as required by guidance (Section 4.47 of the Home Office Covert Surveillance and Property Interference Code of Practice of August 2018 and Section 3.30 of the Home Office Covert Surveillance Human Intelligence Sources Code of Practice of August 2018). Officers ensure the use of RIPA is consistent with the Council's Policy and regularly report on activity, again as is required.
- 6.2 The Council's current RIPA Policy is annexed at Appendix 1. This contains (in Appendix 3 of the policy) the current RIPA management structure. The current policy has been considered in the light of government guidance and best practice and no changes are considered necessary to the policy at this time.

7.0 SUSTAINABILITY IMPLICATIONS

- 7.1 There are no significant sustainability impacts associated with this report and, in particular, positive impacts on crime and disorder will be achieved by adhering to RIPA and the RIPA Policy.

8.0 FINANCE AND RESOURCE IMPLICATIONS

- 8.1 There are no significant financial and resource implications arising from this report.

9.0 RISK ASSESSMENT

- 9.1 The Council could be in breach of the relevant legislation if it does not follow the procedures set out in the RIPA Orders and Codes. This could result in the inadmissibility of evidence.

10.0 HEALTH AND WELLBEING IMPLICATIONS

- 10.1 There are no health and wellbeing implications envisaged from this report.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

This will be considered in relation to any particular authorisation.

Appendices

1. Appendix 1 – RIPA Policy

WEST LANCASHIRE BOROUGH COUNCIL

RIPA POLICY

The Regulation of Investigatory Powers Act 2000

In respect of

Directed Surveillance, Use of Covert Human Intelligence Sources and Accessing Communications Data

Version : No.10 - 2021

RIPAPOLICYVERSION10-2021

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1 INTRODUCTION

- 1.1. The Regulation of Investigatory Powers Act 2000 (the 2000 Act) regulates covert investigations by a number of bodies, including local authorities. It was introduced to ensure that individuals' rights are protected consistent with the obligations under The Human Rights Act 1998, while also ensuring that law enforcement and security agencies have the powers they need to do their job effectively.
- 1.2. West Lancashire Borough Council is therefore included within the 2000 Act framework with regard to the authorisation of Directed Surveillance, the use of Covert Human Intelligence Sources (CHIS) and the obtaining of communications data through a single point of contact (SPOC).
- 1.3 The purpose of this guidance is to:

- explain the scope of the 2000 Act and the circumstances where it applies
- provide guidance on the authorisation procedures to be followed.

This continues to be a developing area of law and the Courts are yet to fully define the limits of the powers. This should be borne in mind when considering this Guide.

- 1.4 The Council has had regard to the Codes of Practice on covert surveillance, CHIS and accessing communications data produced by the Home Office in preparing this guidance and each Service should hold copies to which staff can refer. These documents are available at www.homeoffice.gov.uk/ripa.
- 1.5 In summary the 2000 Act requires that when the Council undertakes "directed surveillance", uses a "covert human intelligence source or accesses communications data (defined below at paragraphs 2, 3 and 4 below) these activities must only be authorised by an officer with delegated powers when the relevant criteria are satisfied.
- 1.6 The Chief Operating Officer, Corporate Director of Place and Community and, Corporate Director of Transformation and Resources can authorise these activities (in relation to communications data, they shall be known as Designated Persons and shall seek the advice of the SPOC, see further paragraphs 4 and 5.1.3 below). Such nomination permits officers to grant authority for any purpose under the terms of the 2000 Act across all Council Services and service areas.
- 1.7 **Once an authorisation is granted for the use (or renewal) of directed surveillance, or acquisition of communications data, or covert human intelligence source it cannot take effect without an order approving the grant (or renewal) being obtained from a single Justice of the Peace (Magistrate, District Judge) (under amendments made by the Protection of Freedoms Act 2012, to s.32A and s.32B of the 2000 Act). This order must be sought from the Magistrates' Court, but when the Court is not in session. The arrangements for seeking the order will be made in consultation with Legal Services.**
- 1.8 Authorisation under the 2000 Act gives lawful authority to carry out surveillance and the use of a source. Obtaining authorisation helps to protect the Council and

its officers from complaints of interference with the rights protected by Article 8(1) of the European Convention on Human Rights, i.e. the right to respect for private and family life which is now enshrined in English law through the Human Rights Act 1998. This is because the interference with the private life of citizens will be “in accordance with the law”. Provided activities undertaken are also “reasonable and proportionate” they will not be in contravention of Human Rights legislation.

- 1.9 Authorising Officers and investigators within the Local Authority are to note that the 2000 Act does not extend to powers to conduct intrusive surveillance. Investigators should familiarise themselves with the provisions of Sections 3, 4 and 5 of the Code of Practice on Directed Surveillance to ensure a good understanding of the limitation of powers within the 2000 Act.
- 1.10. Deciding when authorisation is required involves making a judgment **and assessing whether specific conditions apply to the investigation target**. Paragraph 3.4 explains this process in detail. If you are in any doubt, seek the advice of an Authorising Officer, if they are in doubt they will seek advice from the Legal and Democratic Services Manager/Senior Responsible Officer. However, in those cases where there is doubt as to the need for an authorisation it may be safer to consider seeking/granting an authorisation: a broader reading of the application of the Act’s requirements is encouraged.
- 1.11. In the case of CHIS authorisations for vulnerable people or juveniles, or where surveillance involves communication subject to legal privilege, confidential personal information or confidential journalistic material authorisation must be obtained from the Chief Operating Officer only, **together with the necessary application for an order giving effect to authorisation from a Justice of the Peace**.
- 1.12 The Chief Operating Officer should be requested to authorise directed surveillance involving the covert filming of any Council member or employee to the extent that this falls within RIPA.

2. DIRECTED SURVEILLANCE

2.1 **The Council must apply to a Justice of the Peace for an order that gives effect to the authorisation for the use of directed surveillance prior to undertaking the activity.**

2.2 What is meant by Surveillance?

"Surveillance" includes:

- a) monitoring, observing or listening to persons, their movements, their conversations or their other activities or communication;
- b) recording anything monitored, observed or listened to in the course of surveillance; and
- c) surveillance by or with the assistance of a surveillance device.

2.3 When is surveillance directed?

Surveillance is 'Directed' for the purposes of the 2000 Act if it is covert, but not intrusive and is undertaken:

- a) for the purposes of a specific investigation or a specific operation.
- b) in such a manner as is likely to result in the obtaining of private information about a person (whether or not one is specifically identified for the purposes of the investigation or operation); and
- c) otherwise than by way of an immediate response to events or circumstances the nature of which is such that it would not be reasonably practicable for an authorisation to be sought for the carrying out of the surveillance.

2.4 In certain circumstances, use of social media sites such as Facebook, or using the internet in other ways could need authorisation as directed surveillance. The Office of Surveillance Commissioners has given guidance on when the use of social media and the internet might need authorisation on RIPA. The guidance can be read at appendix 4.

2.5 Surveillance Threshold

2.5.1 Before directed surveillance can be undertaken and the requisite order from a Justice of the Peace applied for, the Council must be satisfied that they are investigating a criminal offence that carries a maximum sentence of 6 months or more imprisonment.

2.5.2 The exception to the 6 month sentence threshold is specific offences of sale of alcohol or tobacco to an underage person which does not fall within the Council's range of regulatory activities.

2.5.3 During the course of an investigation, should the Council become aware that the criminal activity under investigation falls below the 6 month sentence threshold, then use of directed surveillance should cease.

2.5.4 This 6 month sentence threshold does not apply to use of covert human intelligence or communications data techniques.

2.6 The Council cannot undertake intrusive surveillance.

2.6.1 Surveillance becomes intrusive if the covert surveillance:

- a) is carried out in relation to anything taking place on any "residential premises" or in any "private vehicle"; and
- b) involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device; or
- c) is carried out by means of a surveillance device in relation to anything taking place on any residential premises or in any private vehicle but is carried out without that device being present on the premises or in the vehicle, where the device is such that it consistently provides information of

the same quality and detail as might be expected to be obtained from a device actually present on the premises or in the vehicle.

2.7 Before any officer of the Council undertakes any surveillance of any individual or individuals they need to assess whether the activity comes within the 2000 Act. In order to do this the following key questions need to be asked.

2.7.1 Is the surveillance covert?

Covert surveillance is that carried out in a manner calculated to ensure that subjects of it are unaware it is or may be taking place.

If activities are open and not hidden from the subjects of an investigation, the 2000 Act framework does not in general apply. However, if there is any doubt in respect of this matter, an officer must consider whether it may be appropriate to seek a RIPA authorisation.

2.7.2 Is it for the purposes of a specific investigation or a specific operation?

For example, are Civic building CCTV cameras which are readily visible to anyone walking around the building covered?

The answer is not if their usage is to monitor the general activities of what is happening in the car park. If that usage, however, changes, the 2000 Act may apply.

For example, if the CCTV cameras are targeting a particular known individual, and are being used in monitoring his activities, that has turned into a specific operation which may require authorisation.

2.7.3 Is it in such a manner that is **likely** to result in the obtaining of private information about a person?

"Private information" is any information relating to a person's private or family life and aspects of business or professional life.

For example, if part of an investigation is to observe a member of staff's home to determine their comings and goings then that would be covered.

If it is likely that observations will not result in the obtaining of private information about a person, then it is outside the 2000 Act framework. However, the use of 'test purchasers' may involve the use of covert human intelligence sources (see later).

If in doubt, it is safer to consider getting authorisation.

2.7.4 Is it undertaken **otherwise than by way of an immediate response to event or circumstances where it is not reasonably practicable to get authorisation?**

The Home Office gives the example of an immediate response to something happening during the course of an observer's work, which is unforeseeable.

However, if as a result of an immediate response, a specific investigation subsequently takes place that brings it within the 2000 Act framework.

2.7.5 Is the Surveillance Intrusive?

Directed surveillance turns into intrusive surveillance if it is carried out involving anything that occurs on residential premises or any private vehicle and involves the presence of someone on the premises or in the vehicle or is carried out by means of a (high quality) surveillance device.

If the device is not on the premises or in the vehicle, it is only intrusive surveillance if it consistently produces information of the same quality as if it were.

Commercial premises and vehicles are therefore excluded from intrusive surveillance. **The Council is not authorised to carry out intrusive surveillance.**

2.7.6 Does the offence under investigation meet the 6 month threshold?

3 COVERT USE OF HUMAN INTELLIGENCE SOURCE (CHIS)

3.1 A person is a Covert Human Intelligence Source if:

- a) he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph b) or c).
- b) he covertly uses such a relationship to obtain information or provide access to any information to another person; or
- c) he covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.

3.2. A purpose is covert, in relation to the establishment or maintenance of a personal or other relationship, if and only if the relationship is conducted in a manner that is calculated to ensure that one of the parties to the relationship is unaware of that purpose.

3.3. The above clearly covers the use of professional witnesses to obtain information and evidence. It is not Council practice to use such witnesses. It can also cover cases such as a Council officer making a test purchase when there is a need to cultivate a relationship with the seller, which would not usually be the case.

3.4. There is a risk that an informant may be, or become, a CHIS. A member of the public giving information will be a CHIS if the information which he covertly passes to the authority has been obtained in the course of (*or as a consequence of the existence of*) a personal or other relationship. See paragraph 2.24 of the CHIS Code of Practice. Also consider paragraph 270 of OSC Procedures and Guidance 2011, which refers to the risk of "status drift". When an informant gives repeat information about a suspect or about a family, and it becomes apparent that the informant may be obtaining that information in the course of a family or neighbourhood relationship, alarm bells should begin to ring. It probably means that the informant is in reality a CHIS, to whom a duty of care is owed if the information is then used. In such circumstances officers should refer any such instance for legal advice before acting on the information received from such an informant.

3.5 In this context (of authorising CHIS) ANY information (ie not confined to private information alone) to be gained by the covert manipulation of a relationship will

require authorisation.

3.6 The Council must apply to a Justice of the Peace for an order that gives effect to the authorisation for the use of covert human intelligence source (see 1.7 above).

3.7 In certain circumstances, use of social media sites such as Facebook, or using the Internet for research in other ways could need authorisation as the use of a covert human intelligence source. The guidance can be read at appendix 4.

4 COMMUNICATIONS DATA

4.1 The Council may also access certain communications data under the 2000 Act, provided this, like all other surveillance, is **for the purpose of preventing or detecting crime**.

4.2 Following the passage of the Data Retention and Investigatory Powers Act 2014 the Home Office has revoked all accreditation which enabled local authority staff to acquire communications data with effect from 1 December 2014. The Council is now required to use the National Anti-Fraud Network's (NAFN's) Single Point of Contact (SPOC) services to acquire communications data under RIPA, if approved by a magistrate. The Acquisition and Disclosure of Communications Data Code of Practice shall be followed at all times. Council staff are not permitted to obtain telecommunications and internet use data other than as provided for by the Act.

4.3 The Council must apply to a Justice of the Peace for an order giving effect to the authorisation of the use of communications data.

4.4 The accredited SPOCs at NAFN will scrutinise the applications independently. They will provide advice to applicants and designated persons ensuring the Council acts in an informed and lawful manner.

5. AUTHORISATIONS, RENEWALS AND DURATION

5.1 The Council must apply to a Justice of the Peace for an order that gives effect to the authorisation for the use of directed surveillance, communications data and covert human intelligence source (see 1.7 above).

5.1.1 The Conditions for Authorisation

5.1.2 Directed Surveillance

5.1.1.3 For directed surveillance no officer shall grant an authorisation **and make an application to a Justice of the Peace** for the carrying out of directed surveillance unless he believes:

- a) that an authorisation is necessary for the purpose of preventing or detecting crime and
- b) the authorised surveillance is proportionate to what is sought to be achieved by carrying it out.

- 5.1.1.4 The onus is therefore on the person authorising such surveillance to satisfy themselves it is:
- a) necessary for the ground stated above and;
 - b) proportionate to its aim.

5.1.1.5 In order to ensure that authorising officers have sufficient information to make an informed decision **about whether to make an application to a Justice of the Peace for an order to give effect to any authorisation**, it is important that detailed records are maintained. As such the forms in the Appendix and the accompanying Guidance on Completing RIPA Authorisation Forms are to be completed where relevant.

It is also sensible to make any authorisation sufficiently wide enough to cover all the means required as well as being able to prove effective monitoring of what is done against that which has been authorised.

An Authorising Officer may partially approve or partially refuse an application for authorisation. If an Authorising Officer does not authorise all that was requested, a note should be added explaining why.

5.1.2 Covert Use of Human Intelligence Sources

5.1.2.1 The same principles as Directed Surveillance apply. (see paragraph 5.1.1.3 above)

5.1.2.2 The conduct so authorised is any conduct that:

- a) is comprised in any such activities involving the use of a covert human intelligence source, as are specified or described in the authorisation;
- b) relates to the person who is specified or described as the person to whose actions as a covert human intelligence source the authorisation relates; and
- c) is carried out for the purposes of, or in connection with, the investigation or operation so specified or described.

5.1.2.3 In order to ensure that authorising officers have sufficient information to make an informed decision it is important that detailed records are maintained. As such the forms attached are to be completed where relevant.

It is also sensible to make any authorisation sufficiently wide enough to cover all the means required as well as being able to prove effective monitoring of what is done against that is authorised.

5.1.3 Communications Data

Section 22(4) of RIPA allows the Council to request “communications data” from Communication System Providers (CSPs). The access allowed under these powers is limited to telephone, postal and email subscriber and billing information. Any access must be obtained through the use of an authorised single point of contact (SPOC). (See Communications Data Code of Practice paragraphs 4.4 –

4.9.) The Council does not have the right to obtain the content of the communication, but can obtain details of the source and destination of a message. The only ground for Local Authorities is the prevention or detection of crime. CSPs must be provided with a Notice Requiring Disclosure of Communications Data, which must have been duly authorised. The only officers who are allowed to authorise such requests are those accredited by the Home Office (the “Designated Persons” (DPs)). The DP is an individual at the level of Chief Operating Officer and Corporate Director and will scrutinise all applications for Communications Data.

The authorisation or grant of a notice to obtain communications data require judicial approval on each occasion.

5.2 Further Requirements of the 2000 Act

5.2.1 An application must be made to the Justice of the Peace for an order that gives effect to the authorisation for the use of Directed Surveillance, Communications Data and CHIS. This process is in addition to the Council’s existing authorisation procedure (see 1.7 above).

5.2.2 In light of the changes to the regime applications for urgent grants or renewal, must be in writing. In the Guidance on Completing RIPA Authorisation Forms document which accompanies this Guide are standard forms, which must be used. Officers must direct their mind to the circumstances of the individual case with which they are dealing when completing the form.

5.2.3 Although it is possible to combine two authorisations in one form the Council’s practice is for separate forms to be completed to maintain the distinction between Directed Surveillance and the use of a CHIS.

5.2.4 Authorisations lapse, if not renewed:

- 12 months - if in writing/non-urgent - from date of last renewal if it is for the conduct or use of a covert human intelligence source or
- in all other cases (ie directed surveillance) 3 months from the date of their grant or latest renewal.

5.2.5 Any person entitled to grant a new authorisation can renew subject to judicial approval being obtained an existing authorisation in the same terms at any time before it ceases to have effect.

But, for the conduct of a covert human intelligence source, an Authorised Officer should not renew **or make an application to a Justice of the Peace to renew** unless a review has been carried out and that person has considered the results of the review when deciding whether to renew or not. A review must cover what use has been made of the source, the tasks given to them and information obtained.

5.2.6 The benefits of obtaining an authorisation are described in paragraph 7 below.

5.2.7 Factors to Consider (see further guidance the Guidance on Completing Forms

document)

Any person giving an authorisation should first satisfy him/herself that the authorisation is necessary on particular grounds and that the surveillance is proportionate to what it seeks to achieve. The proportionate test involves balancing the intrusiveness of the activity on the target and others who might be affected by it against the need for the activity in operational terms. The activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means. All such activity should be carefully managed to meet the objective in question and must not be arbitrary or unfair.

5.2.8 Particular consideration should be given to collateral intrusion on or interference with the privacy of persons other than the subject(s) of surveillance. Such collateral intrusion or interference would be a matter of greater concern in cases where there are special sensitivities, for example in cases of premises used by lawyers or for any form of medical or professional counselling or therapy.

5.2.9 An application for an authorisation should include an assessment of the risk of any collateral intrusion or interference. The authorising officer will take this into account, particularly when considering the proportionality of the surveillance and whether measures to avoid can be stipulated.

5.2.10 Those carrying out the covert surveillance should inform the Authorising Officer if the operation/investigation unexpectedly interferes with the privacy of individuals who are not the original subjects of the investigation or covered by the authorisation in some other way. In some cases the original authorisation may not be sufficient and consideration should be given to whether a separate authorisation is required.

5.2.11 Any person giving an authorisation will also need to be aware of particular sensitivities in the local community where the surveillance is taking place or of similar activities being undertaken by other public authorities which could impact on the deployment of surveillance.

Home Surveillance

5.2.12 The fullest consideration should be given in cases where the subject of the surveillance might reasonably expect a high degree of privacy, for instance at his/her home (NB. the Council cannot undertake intrusive surveillance) or where there are special sensitivities.

Spiritual Counselling

5.2.13 No operations should be undertaken in circumstances where investigators believe that surveillance will lead them to intrude on spiritual counselling between a Minister and a member of his/her faith. In this respect, spiritual counselling is defined as conversations with a Minister of Religion acting in his/her official capacity where the person being counselled is seeking or the Minister is imparting forgiveness, or absolution of conscience.

Confidential Material

5.2.14 The 2000 Act allows in exceptional circumstances for authorisations to gather 'confidential material' (see the definitions in Appendix 1). Such material is particularly sensitive, and is subject to additional safeguards under this code. In cases where the likely consequence of the conduct of a source would be for any person to acquire knowledge of confidential material, the deployment of the source should be subject to special authorisation (by the Chief Operating Officer).

5.2.15 In general, any application for an authorisation which is likely to result in the acquisition of confidential material should include an assessment of how likely it is that confidential material will be acquired. Special care should be taken where the target of the investigation is likely to be involved in handling confidential material. Such applications should only be considered in exceptional and compelling circumstances with full regard to the proportionality issues this raises.

5.2.16 The following general principles apply to confidential material acquired under authorisations:

- Those handling material from such operations should be alert to anything that may fall within the definition of confidential material. Where there is doubt as to whether the material is confidential, advice should be sought from the Legal and Democratic Services Manager/Senior Responsible Officer before further dissemination takes place;
- Confidential material should not be retained or copied unless it is necessary for a specified purpose;
- Confidential material should be disseminated only where an appropriate officer (having sought advice from the Legal and Democratic Services Manager/Senior Responsible Officer) is satisfied that it is necessary for a specific purpose;
- The retention or dissemination of such information should be accompanied by a clear warning of its confidential nature. It should be safeguarded by taking reasonable steps to ensure that there is no possibility of it becoming available, or its content being known, to any person whose possession of it might prejudice any criminal or civil proceedings related to the information;
- Confidential material should be destroyed as soon as it is no longer necessary to retain it for a specified purpose;
- Any covert surveillance concerning premises on which legal consultations take place are to be regarded as intrusive surveillance and may not be undertaken by the Council.

Combined authorisations

5.2.17 Although it is possible to combine two authorisations in one form the Council's practice is for separate forms to be completed to maintain the distinction between Directed Surveillance and the use of a CHIS.

5.2.18 In cases of joint working with other agencies on the same operation, e.g. by a Housing Benefit Investigator authority for directed surveillance should be given by the lead agency.

5.2.19. On occasion, several Council Services may be included in the same investigation. One authorisation from the Lead Service should cover all activities.

Handling and disclosure of product

5.2.20 Authorising Officers are reminded of the guidance relating to the retention and destruction of confidential material as described in paragraph 5.2.16 above.

5.2.21 Authorising Officers are responsible for ensuring that authorisations undergo timely reviews and are cancelled promptly after directed surveillance activity is no longer necessary.

5.2.22 Authorising Officers must ensure that the relevant details of each authorisation are sent to the Legal and Democratic Services Manager/Senior Responsible Officer as described in paragraph 9 below.

5.2.23 The originals of applications for authorisations, reviews, renewals and cancellations for directed surveillance and the use of a CHIS should be submitted to and thereafter retained by the RIPA Co-ordinator, for a period of 3 years and at least between inspections. Copies are to be retained by the authorising officer for a commensurate period. Where it is believed that the records could be relevant to pending or future criminal proceedings, they should be retained for a suitable further period, commensurate to any subsequent review.

5.2.24 Any personal data collected during the course of a covert surveillance operation must be stored as per data protection guidelines set out in the Council's Data Protection Policy below.

- Analysis of data from the operation must be carried out by the officers who carried out the investigation and should be done in a private office to avoid personal material being accessible to other council employees.
- The authorising officer may also be included in analysis of the data collected.
- Data must be kept in a secure environment with limited access.
- Data must be labelled with the reference of the case and the date of collection.
- Data collected which is not appropriate or useful as evidence in the investigation and subsequent formal action must be deleted as soon as this fact is determined or when the case is closed, whichever is the sooner. Consideration of whether or not this material should be destroyed is the responsibility of the senior authorising officer. Care must be taken in this respect, as it must be considered that even if this information is not to be used as evidence, it may be "unused material" for the purposes of criminal proceedings.

- If there is any reason to believe that the data obtained during the course of an investigation might be relevant to that investigation, or to another investigation, or to pending or future civil or criminal proceedings, then it should not be destroyed but retained in accordance with established disclosure requirements and may be disclosed.

5.2.25 There is nothing in the 2000 Act that prevents material obtained through the proper use of the authorisation procedures from being used in other investigations. However, the use outside the Council, of any material obtained by means of covert surveillance and, other than in pursuance of the grounds on which it was obtained, should be authorised only in the most exceptional circumstances.

5.3 **The Use of Covert Human Intelligence Sources**

5.3.1 The Council will not normally use an external or professional source for the purpose of obtaining information. It is not the Council's usual practice to seek, cultivate or develop a relationship through an external or professional source although this may occur where circumstances require it. In these circumstances appropriate authorisations must be obtained. It is potentially possible, though highly unlikely, that the role of a Council employee may be that of a source, for example, as contemplated in paragraph 3.3 above, please cross refer for detail.

5.3.2 Nothing in the 2000 Act prevents material obtained by an employee acting as a source being used as evidence in Court proceedings.

5.3.3 The Authorising Officer must consider the safety and welfare of an employee acting as a source, and the foreseeable consequences to others of the tasks they are asked to carry out. A risk assessment should be carried out before authorisation is given. Consideration from the start for the safety and welfare of the employee, even after cancellation of the authorisation, should also be considered.

5.3.4 The Authorising Officer must believe that the authorised use of an employee as a source is proportionate to what it seeks to achieve. Accurate and proper records should be kept about the source and tasks undertaken.

5.3.5 The Council's practice is not to use an employee acting as a source to infiltrate existing criminal activity, or to be a party to the commission of criminal offences, even where this is within the limits recognised by law.

5.3.6 Before authorising the use of an employee as a source, the authorising officer should believe that the conduct/use including the likely degree of intrusion into the privacy of those potentially affected is proportionate to what the use or conduct of the source seeks to achieve. He should also take into account the risk of intrusion into the privacy of persons other than those who are directly the subjects of the operation or investigation (collateral intrusion). Measures should be taken, wherever practicable, to avoid unnecessary intrusion into the lives of those not directly connected with the operation.

5.3.7 Particular care should be taken in circumstances where people would expect a high degree of privacy or where, as a consequence of the authorisation,

“confidential material” is likely to be obtained.

5.3.8 Additionally, the Authorising Officer should make an assessment of any risk to an employee acting as a source in carrying out the proposed authorisation.

6. REVIEWS

6.1. The Home Office Code of Practice for Covert Surveillance and Property Interference makes specific reference to reviews at paragraph 4.34. It recommends regular reviews be undertaken to see if the need for the surveillance is still continuing. Results of reviews should be recorded in a central record of authorisations (see paragraph 8.1). Reviews should be more frequent when access to confidential information or collateral intrusion is involved. Review frequency should be as often as the authorising officer deems necessary or practicable.

6.2. Similar provisions appear at paragraphs 8.9 – 8.11 of the code of practice for CHIS, save that tasks given to the source and information obtained should also be included.

6.3. Each authorising officer will therefore determine in each case how often authorisations should be reviewed. They will ensure records of the review will be supplied on the relevant form in Section 9 and send copies to the RIPA Co-ordinator to keep the central register up to date. Good practice requires that this should be done monthly at least.

7. RENEWALS

7.1. An authorising officer may renew an authorisation before it would cease to have effect if it is necessary for the authorisation to continue for the purpose for which it was given. **An application for a renewal to the Justice of the Peace is also required (see above).**

7.2. The Home Office Code of Practice for Covert Surveillance and Property Interference at paragraph 5.16 - 5.18 refers. A renewal of the authorisation in writing can be made for 3 months. Applications for renewal should detail how many times an authorisation has been renewed; significant changes to the original application for authority; reasons why it is necessary to renew; content and value of the information obtained so far and results of regular reviews of the investigation or operation.

7.3. Similar provisions apply in the code of practice for CHIS except that a renewal here can last for a further 12 months, a review must have been carried out on the use of the source and an application should only be made to renew when the initial authorisation period is drawing to an end. Applications to renew a CHIS also should contain use made of the source and tasks given to the source during the previous authorised period.

7.4. Each application to renew should be made at least 7 days before the authorisation is due to expire on the relevant form in Appendix 2. A record of the renewal should be kept within the applying service and supplied centrally to the Legal and Democratic Services Manager/Senior Responsible Officer - see Section 8 of the Home Office Code of Practice for Covert Surveillance and Property Interference -

to update the central register of authorisations.

8. CANCELLATIONS

- 8.1. All authorisations, including renewals should be cancelled if the need for the surveillance is no longer justified. This will occur in most cases where the purpose for which the surveillance was required has been achieved.
- 8.2. Requesting officers should ensure they inform authorising officers if this is the case before the next review. If, in the opinion of the authorising officer at the next review, the need for surveillance is no longer justified, it must be cancelled.
- 8.3. The cancellation forms at Appendix 2 will be used to record a cancellation; the original will be sent to the RIPA Co-ordinator to update the central register of authorisations and the authorising officer will retain a copy - see Section 8.
- 8.4. The Home Office Codes of Practice for both directed surveillance and CHIS make it clear that authorisations must be cancelled if the original authorising criteria are not met. With CHIS, it must be cancelled if satisfactory arrangements for the source no longer exist. Consideration for the safety and welfare of a source continues after cancellation of any authorisation.

9. CENTRAL REGISTER OF AUTHORISATIONS

- 9.1. The Codes of Practice under the 2000 Act require a central register of all authorisations to be maintained. The Senior Responsible Officer or nominated representative shall maintain this register.
- 9.2. Whenever an authorisation is granted renewed or cancelled the Authorising Officer must arrange for the following details to be forwarded by e-mail to the Senior Responsible Officer or nominated representative. Receipt of the e-mail will be acknowledged.
 - Whether it is for Directed Surveillance or CHIS ;
 - Applicants name and Job Title (manager responsible);
 - Service and Section;
 - Applicant's address and Contact Number;
 - Identity of 'Target';
 - Authorising Officer and Job Title; (in line with delegation scheme)
 - Date of Authorisation.
 - A unique reference number for the investigation or operation
 -
 - Whether confidential information is likely to be reviewed as a consequence of the investigation /operation.
 - The date the authorisation was cancelled

Details should be provided to the Senior Responsible Officer in respect of when an authorisation is refused.

See Appendix 2 for the Form of Notification

The original of the authorisation should also be provided; the authorising officer should retain a copy. The Chief Operating Officer will review authorisations every 6 months. It is suggested that authorising officers supply these directly.

- 9.3. The original authorisations shall be securely retained within the RIPA Co-ordinator's Service. It is each Service's responsibility to securely retain all copy authorisations within their Service. Authorisations should only be held for as long as it is necessary. Once the investigation is closed (bearing in mind cases may be lodged some time after the initial work) the records held by the Service should be disposed of in an appropriate manner (e.g. shredded).

10 CODES OF PRACTICE

There are Home Office codes of practice that expand on this guidance. All relevant Services hold a copy.

The codes do not have the force of statute, but are admissible in evidence in any criminal and civil proceedings. As stated in the codes, "if any provision of the code appears relevant to a question before any Court or tribunal considering any such proceedings, or to the tribunal established under the 2000 Act, or to one of the commissioners responsible for overseeing the powers conferred by the 2000 Act, it must be taken into account".

Staff should refer to the Home Office Codes of Practice for supplementary guidance. These should be available to all relevant officers (see earlier).

11 BENEFITS OF OBTAINING AUTHORISATION UNDER THE 2000 ACT.

11.1 Authorisation of surveillance and human intelligence sources

The 2000 Act states that

- if authorisation confers entitlement to engage in a certain conduct and
- the conduct is in accordance with the authorisation, then
- it shall be "lawful for all purposes".

Part II of the 2000 Act does not impose a requirement on public authorities to seek or obtain an authorisation where, under the 2000 Act, one is available (see section 80 of the 2000 Act). Nevertheless, where there is an interference by a public authority with the right to respect for private and family life guaranteed under Article 8 of the European Convention on Human Rights, and where there is no other source of lawful authority, the consequence of not obtaining an authorisation under the 2000 Act may be that the action is unlawful by virtue of section 6 of the Human Rights Act 1998.

Public authorities are therefore strongly recommended to seek an authorisation where the surveillance is likely to interfere with a person's Article 8 rights to privacy by obtaining private information about that person, whether or not that person is the subject of the investigation or operation. Obtaining an authorisation will ensure that the action is carried out in accordance with law and subject to stringent safeguards against abuse.

- 11.2 The 2000 Act states that a person shall not be subject to any civil liability in relation to any conduct of his which -
- a) is incidental to any conduct that is lawful by virtue of authorisation; and
 - b) is not itself conduct for which an authorisation is capable of being granted under a relevant enactment and might reasonably be expected to have been sought in the case in question

12. SCRUTINY AND TRIBUNAL

- 12.1. To effectively "police" the 2000 Act, Commissioners regulate conduct carried out thereunder. The Investigatory Powers Commissioner will keep under review, among others, the exercise and performance by the persons on whom powers are conferred or imposed, the powers and duties under the Act. This includes authorising directed surveillance and the use of covert human intelligence sources.
- 12.2. A tribunal has been established to consider and determine complaints made under the 2000 Act if it is the appropriate forum. Complaints can be made by persons aggrieved by conduct e.g. directed surveillance. The tribunal hears applications on a judicial review basis. Claims should be brought within one year unless it is just and equitable to extend that.

The tribunal can order, among other things, the quashing or cancellation of any warrant or authorisation and can order destruction of any records or information obtained by using a warrant or authorisation, and records of information held by any public authority in relation to any person. The Council is, however, under a duty to disclose or provide to the tribunal all documents they require if:

- A Council officer has granted any authorisation under the 2000 Act.
- Council employees have engaged in any conduct as a result of such authorisation.
- A disclosure notice requirement is given.

- 12.3 The Senior Responsible Officer will ensure that a report is submitted to the Council's Audit and Governance Committee on a regular basis and that an annual report is submitted to Cabinet. The reports will include details of the overall number and type of authorisations granted and the outcome of the case, where known. In addition, the reports will provide a breakdown of the same information by service or groups of services, as appropriate. In order to comply with General Data Protection Regulation and Code of Practice requirements, no specific details of individual authorisations will be provided.
- 12.4 The RIPA Co-ordinator will maintain and check the central register of all RIPA authorisations, reviews, renewals, cancellations and rejections. It is the responsibility of the authorising officer, however, to ensure the RIPA Co-ordinator receives the original of the relevant forms as soon as possible and in any event within 1 week of authorisation, review, renewal, cancellation or rejection. The authorising officer should retain copies.

12.5 The management structure for RIPA is set out in Appendix 3.

Definitions from the 2000 Act

- **“2000 Act”** means the Regulation of Investigatory Powers Act 2000.
- **“Confidential Material”** consists of:
 - a) matters subject to legal privilege;
 - b) confidential personal information; or
 - c) confidential journalistic material.
- **Matters subject to legal privilege”** includes both oral and written communications between a professional legal adviser and his/her client or any person representing his/her client, made in connection with the giving of legal advice to the client or in contemplation of legal proceedings and for the purposes of such proceedings, as well as items enclosed with or referred to in such communications. Communications and items held with the intention of furthering a criminal purpose are not matters subject to legal privilege (see Note A below)
- **“Confidential Personal Information”** is information held in confidence concerning an individual (whether living or dead) who can be identified from it, and relating:
 - a) to his/her physical or mental health; or
 - b) to spiritual counselling or other assistance given or to be given, andwhich a person has acquired or created in the course of any trade, business, profession or other occupation, or for the purposes of any paid or unpaid office (see Note B below). It includes both oral and written information and also communications as a result of which personal information is acquired or created. Information is held in confidence if:
 - c) it is held subject to an express or implied undertaking to hold it in confidence; or
 - d) it is subject to a restriction on disclosure or an obligation of secrecy contained in existing or future legislation.
- **“Confidential Journalistic Material”** includes material acquired or created for the purposes of journalism and held subject to an undertaking to hold it in confidence, as well as communications resulting in information being acquired for the purposes of journalism and held subject to such an undertaking.
- **“Covert Surveillance”** means surveillance which is carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place.
- **“Authorising Officer”** means a person designated for the purposes of the

2000 Act to grant authorisations for directed surveillance. (see the Regulation of Investigatory Powers (Prescription of Offices, Ranks and Positions) Order) SI 2000/2417.

Note A. *Legally privileged communications will lose their protection if there is evidence, for example, that the professional legal adviser is intending to hold or use them for a criminal purpose; privilege is not lost if a professional legal adviser is properly advising a person who is suspected of having committed a criminal offence. The concept of legal privilege shall apply to the provision of professional legal advice by any agency or organisation.*

Note B. *Confidential personal information might, for example, include consultations between a health professional or a professional counsellor and a patient or client, or information from a patient's medical records.*

Notification to Central Register of Authorisations under RIPA

Whether it is for Directed Surveillance or CHIS	
Applicants name and Job Title (manager responsible)	
Service and Section	
Applicant's address and Contact Number	
Identity of 'Target'	
Authorising Officer and Job Title; (in line with delegation scheme)	
Date of Authorisation	
Whether confidential information is likely to be reviewed as a consequence of the investigation/operation	
The date the authorisation was cancelled	
Whether the authorisation is renewed.	

A copy of the authorisation shall also be sent (See above, Paragraph 9.2).

A unique reference number for the investigation or operation will be allocated by the Legal and Democratic Services Manager upon receipt of this notification. This reference must be used in subsequent correspondence regarding this authorisation.

APPENDIX 3

**Chief Operating Officer
Head of Paid Service
and Returning Officer**

Jacqui Sinnott-Lacey **

**Corporate Director
of Place and
Community**

Heidi McDougall *

**Corporate Director
of Transformation
and Resources**

Chris Twomey *

**Legal and
Democratic
Services Manager
Monitoring
Officer**

**Senior
Responsible
Officer**

Kay Lovelady

Supported by

**Assistant Solicitor
RIPA
Co-ordinator and
SPOC
Co-ordinator**

Judith Williams

* Authorising Officer

** Authorisations when knowledge of confidential information likely to be acquired or vulnerable individual or juvenile is to be used as a source.

The Office of Surveillance Commissioner's Guidance

Covert surveillance of Social Networking Sites (SNS)

The fact that digital investigation is routine or easy to conduct does not reduce the need for authorisation. Care must be taken to understand how the SNS being used works. Authorising Officers must not be tempted to assume that one service provider is the same as another or that the services provided by a single provider are the same.

Whilst it is the responsibility of an individual to set privacy settings to protect unsolicited access to private information, and even though data may be deemed published and no longer under the control of the author, it is unwise to regard it as "open source" or publicly available; the author has a reasonable expectation of privacy if access controls are applied. In some cases data may be deemed private communication still in transmission (instant messages for example). Where privacy settings are available but not applied the data may be considered open source and an authorisation is not usually required. Repeat viewing of "open source" sites may constitute directed surveillance on a case by case basis and this should be borne in mind.

Providing there is no warrant authorising interception in accordance with section 48(4) of the 2000 Act, if it is necessary and proportionate for a public authority to breach covertly access controls, the minimum requirement is an authorisation for directed surveillance. An authorisation for the use and conduct of a CHIS is necessary if a relationship is established or maintained by a member of a public authority or by a person acting on its behalf (i.e. the activity is more than mere reading of the site's content).

It is not unlawful for a member of a public authority to set up a false identity but it is inadvisable for a member of a public authority to do so for a covert purpose without authorisation. Using photographs of other persons without their permission to support the false identity infringes other laws.

A member of a public authority should not adopt the identity of a person known, or likely to be known, to the subject of interest or users of the site without authorisation, and without the consent of the person whose identity is used, and without considering the protection of that person. The consent must be explicit (i.e. the person from whom consent is sought must agree (preferably in writing) what is and is not to be done).



AGENDA ITEM:

**EXECUTIVE OVERVIEW & SCRUTINY
COMMITTEE:** 24 February 2022

CABINET: 8 March 2022

Report of: Corporate Director of Place and Community

Relevant Portfolio Holder: Councillor Gaynar Owen

Contact for further information: Ms Heidi McDougall (Extn. 5191)
(Email: heidi.mcdougall@westlancs.gov.uk)

SUBJECT: UPDATE TO LOCAL DEVELOPMENT SCHEME

Wards affected: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To consider an updated Local Development Scheme for West Lancashire, reflecting changes in the timetable for preparing the Local Plan, and the inclusion of two additional planning policy documents in the Local Development Scheme.

2.0 RECOMMENDATIONS TO EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE

2.1 That the Committee consider the content of the Update to Local Development Scheme report, and the March 2022 Local Development Scheme within Appendix A, and that the agreed comments of Executive Overview and Scrutiny Committee be passed to Cabinet for their consideration.

3.0 RECOMMENDATION TO CABINET

3.1 That Cabinet, having regard to the content of this report and to the agreed comments of Executive Overview & Scrutiny Committee, approve the updated March 2022 Local Development Scheme within Appendix A.

4.0 BACKGROUND

- 4.1 The Local Development Scheme (LDS) is essentially a timetable / project plan for preparing the West Lancashire Local Plan and other important planning policy documents for the Borough. The most recent LDS for West Lancashire was approved by Cabinet in September 2021.
- 4.2 The proposed updated March 2022 LDS provided at Appendix A includes an amended timetable for the preparation of the new West Lancashire Local Plan 2023-2040, as follows:

Issues & Options Consultation ('Regulation 18')	Completed early 2022
Policies, Development Requirements & Site Allocations Consultation	Summer 2023
Publication / Pre-Submission ('Regulation 19')	Summer 2024
Submission to Planning Inspectorate	October 2024
Examination in Public (including Hearings)	October 2024 – Summer 2025
Adoption	July 2025

'Regulations' refer to the Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended).

- 4.3 Overall, this represents a delay in the adoption of the new Local Plan compared with the LDS approved by Cabinet in September 2021. The primary reason for the revised timetable being necessary is due to current vacancies within the team. Whilst every effort is being made to recruit to the vacant posts, it is inevitable that delays will be incurred whilst these vacancies are filled. The above Local Plan timetable will be reviewed once the team is fully staffed and, if possible, a revised timetable proposed.
- 4.4 The March 2022 LDS also includes two additional elements that were not included in the September 2021 LDS. The first of these is a new Supplementary Planning Document (SPD) on a Recreation Mitigation Strategy for West Lancashire and the Liverpool City Region which is being prepared jointly with the six Liverpool City Region Councils and the Liverpool City Region Combined Authority. This new SPD is needed to provide information to assist individuals and developers submitting planning applications to meet requirements under the Conservation of Habitats and Species Regulations 2017 (as amended) ('the Habitats Regulations as amended'). The SPD is likely to include an optional per-dwelling tariff for new residential development and an implementation framework for managing and improving designated European habitats sites or alternative greenspaces.

- 4.5 The reasons for West Lancashire Borough Council joining the joint Liverpool City Region Recreation Mitigation Strategy have been set out in previous reports, comprising a Record of Decision (September 2021) and a Members Update (no.3, November 2021) which are available on the Council's website. In summary, it is a requirement that plans and projects (which include local plans and planning applications) provide mitigation for disturbance to designated European habitats sites (which include Martin Mere and the Ribble Estuary in West Lancashire and the nearby Sefton Coast outside the Borough) as a result of recreation arising from new residential development. If new residential development is proposed without an agreed mitigation solution, irrespective of the effect on scheme viability, then the plan or project cannot be lawfully permitted.
- 4.6 The second additional element is a revision to the Community Infrastructure Levy (CIL) Charging Schedule. This is the subject of a separate Cabinet report. The CIL Charging Schedule, once adopted, sets out how much CIL will be charged on new development in the Borough, and charges may vary with proposed use, location and development size. The stages of preparing a CIL Charging Schedule are set out in the Government's CIL Regulations 2010 (as amended). The work is a significant undertaking and would involve commissioning expert consultants to undertake a viability assessment of Local Plan policies, consultation with developers and other interested parties, and an examination in public.
- 4.7 The current CIL Charging Schedule was adopted in July 2014, following the adoption of the West Lancashire Local Plan in 2013. As the CIL Charging Schedule now approaches its eighth year of operation, and as the Council prepares the new Local Plan against a backdrop of changing financial burdens and policy requirements, it is considered appropriate and timely to undertake a review of the CIL Charging Schedule in conjunction with the preparation of the new Local Plan. For example, the likely financial impact of proposed new Local Plan policies on such matters as biodiversity net gain, affordability of housing, and energy efficiency can be evaluated and the viability evidence can be used iteratively to help decide whether / by how much CIL charges should change.

5.0 SUSTAINABILITY IMPLICATIONS

- 5.1 There are no direct implications for sustainability from the recommendations in this report.

6.0 FINANCIAL AND RESOURCE IMPLICATIONS

- 6.1 The new Local Plan will be produced by the Council's (currently named) Strategic Planning, Regeneration & Implementation Team. However, a document as wide-ranging as a Local Plan will inevitably involve input from various parts of the Council (as well as external stakeholders and partners).
- 6.2 The costs of preparing the Local Plan will be covered by existing general revenue budgets together with the previously agreed contribution from Council Reserves

for the costs of additional evidence studies and the Examination of the Local Plan.

- 6.3 For further detail, please see chapter 4 of the LDS at Appendix A, which covers the issue of resources for the preparation of the Local Plan.

7.0 RISK ASSESSMENT

- 7.1 Please see chapter 5 of the LDS at Appendix A, which covers the issue of risk assessment for the Local Plan and sets out a number of possible risks and mitigation measures. This includes a risk assessment associated with the impact any further restrictions related to Covid 19 (or similar matters) may have on Local Plan preparation, and with further changes to staff within the Strategic Planning team.

- 7.2 One risk worth flagging is the impact that changing national policy can have on the preparation of a Local Plan, sometimes causing considerable delays while whole sections or policies are re-written to reflect new national guidance. This is perhaps a significant risk for Members to note as we prepare the new West Lancashire Local Plan because of the proposals in the Government's Planning for the Future White Paper (August 2020). Whilst a local plan would still be central to such a system, what goes into a local plan could be considerably different as a result of any changes the Government proposes over coming months.

8.0 HEALTH AND WELLBEING IMPLICATIONS

- 8.1 There are no direct implications for health and wellbeing from the recommendations in this report.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

This report does not have any direct impact on members of the public, employees, elected members and / or stakeholders. Therefore, no Equality Impact Assessment is required.

Appendices

Appendix A – Local Development Scheme March 2022



Local Development Scheme

West Lancashire Borough Council

March 2022

Heidi McDougall BSc(Hons) MBA

Corporate Director of Place and Community

West Lancashire Borough Council

Contents

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Chapter 1 Introduction

- 1.1 The Local Development Scheme (LDS) is a project plan for the preparation of the Local Plan for West Lancashire and any associated Supplementary Planning Documents or Neighbourhood Plans. The production of an LDS is a requirement on Local Planning Authorities arising from the Planning and Compulsory Purchase Act 2004, as amended by Section 111 of the Localism Act 2011. Furthermore, the Council's adherence to the timescale it sets itself within the LDS will be used as a performance measure.
- 1.2 This Local Development Scheme provides the project plan for the preparation of a new Local Plan for West Lancashire that it is anticipated will cover the period 2023-2040. This version of the LDS replaces that previously produced in March 2021. It includes the following Chapters:
- Chapter 1 provides an introduction and offers a background to why the Council has prepared an LDS and what its purpose is, as well providing a list of the current set of local planning policy documents;
 - Chapter 2 identifies the topics that we envisage will make up a new Local Plan for West Lancashire and the likely timescale for preparing the Local Plan;
 - Chapter 3 looks at the evidence base that will underpin the production of the Local Plan;
 - Chapter 4 identifies the resources available to the Growth and Development¹ Service of the Council to support the preparation of a new Local Plan; and
 - Chapter 5 considers the risks that exist which could slow progress on the Local Plan and some of the mitigation measures which can be put in place.

Background

- 1.3 The current West Lancashire Local Plan 2012-2027 was adopted in October 2013 and whilst there remains five years of its period to run, the context surrounding planning and development is constantly changing and national planning policy is evolving with it. This means that local planning policy, such as Local Plans, can quickly become out of date if they are not reviewed and updated accordingly. In particular, the National Planning Policy Framework (NPPF) was revised in July 2021, and paragraph 33 of this requires that local planning authorities review their Local Plan policies at least once every five years, and then update them as necessary.

¹ This service is to be reorganised / renamed in 2022; a future LDS can reflect this if necessary.

- 1.4 To this end, when the national requirement for a five-yearly review was introduced, the Council had already embarked on a 'Local Plan Review' (which was effectively a review and an update, under the terminology of paragraph 33 of the NPPF), although this Local Plan Review was ceased by a decision of Cabinet in September 2019. In December 2019, a formal review of the West Lancashire Local Plan 2012-2027 was undertaken, in line with guidance and best practice associated with paragraph 33 of the NPPF. This review, reported to Cabinet in January 2020, demonstrated that a full update of the Local Plan is required, i.e. that it is most appropriate to prepare an entirely new Local Plan for the Borough.
- 1.5 Such an update is necessary because an out-of-date Local Plan can have two main negative consequences. Firstly, an out-of-date Local Plan can stymie necessary growth, both economically and in terms of providing the right kind of development in the right place in a timely fashion. Secondly, if local planning policy is out of date, it can be ineffective in managing and guiding where appropriate development should take place, and can lead to a situation where the Council has less control or choice in its planning decisions.
- 1.6 Therefore, while the current adopted Local Plan for West Lancashire still has five years to run, the Council considers it necessary to begin work on a new Local Plan that will bring the planning policies that guide development in the Borough up-to-date and consistent with the most recent evidence. While the new Local Plan is being prepared, all policies in the current, adopted Local Plan will remain effective and a part of the Development Plan for the Borough until they are replaced by new policies in a newly adopted Local Plan. The only deviation from the adopted Local Plan policy will be to use the standard Local Housing Need calculation to set the housing requirement for West Lancashire until a new Local Plan is adopted (in accordance with paragraph 74 of the NPPF) for the purposes of the Housing Delivery Test and for calculating the five-year housing land supply in West Lancashire.
- 1.7 Producing any Local Plan is a major project that requires significant resources. A project management approach is vitally important to enable the Plan's production within a given timescale. The Council views the LDS as a key project management tool in the production of its Local Plan. The LDS has three main purposes:
- To inform people of how the Local Plan will be prepared and the likely timescale involved;
 - To establish work priorities and enable work programmes to be formed; and

- To set a timescale for the monitoring and review of the Local Plan and associated documents.

1.8 This LDS provides a project plan for preparing a new Local Plan for West Lancashire. Future iterations of the LDS may include project plans for new Supplementary Planning Documents (as is the case with this March 2022 LDS update) or Neighbourhood Plans, should any need to be prepared, and for which the Council is responsible. Minerals and Waste matters are the responsibility of Lancashire County Council, and so the preparation of the relevant development plan documents (DPDs) related to those matters do not form part of this LDS.

Current Local Planning Policy documents

1.9 The current adopted Development Plan for West Lancashire is made up of four documents:

- The West Lancashire Local Plan 2012-2027 DPD (October 2013);
- The Joint Lancashire Minerals and Waste Development Framework Core Strategy DPD (February 2009);
- The Joint Lancashire Minerals and Waste Local Plan: Site Allocation and Development Management Policies DPD (September 2013); and
- The Burscough Parish Neighbourhood Plan (July 2019) (affecting planning decisions in the parish of Burscough only).

1.10 In addition, one policy from the West Lancashire Replacement Local Plan 2001-2016 (WLRLP) was saved at the time of the adoption of the current Local Plan. WLRLP policy DE4 – Caravan Sites for Gypsies and Travelling Show People – is saved, and therefore is currently still part of the Development Plan for West Lancashire.

1.11 The Council has several Supplementary Planning Documents (SPDs) that are current and several Supplementary Planning Guidance documents (SPGs) that have been retained and are still relevant:

- [Development in the Green Belt SPD](#) (October 2015)
- [Yew Tree Farm, Burscough Masterplan SPD](#) (February 2015)

- [Provision of Public Open Space in New Residential Developments SPD](#) (September 2014)
- [Skelmersdale Town Centre Masterplan SPD](#) (September 2008)
- [Design Guide SPD](#) (January 2008)
- [Accommodation for Temporary Agricultural Workers SPG](#)
- [Affordable Housing SPG](#)
- [Design Guide for Shop Fronts SPG](#)
- [Natural Areas and Areas of Landscape History Importance SPG](#)
- [Trees and Development SPG](#)
- [Site Planning - Layout and Design SPG](#)
- [Dalton Village Design Statement SPG](#)
- [Whalleys Housing and Mixed-Use Sites SPG](#)
- [Whitemoss Business Park SPG](#)
- [Land West of Stanley Industrial Estate SPG](#)

1.12 The Council also has a **Statement of Community Involvement** (SCI), adopted in September 2020. The SCI sets out whom the Council will consult on various aspects of planning, and what methods the Council will use.

Community Infrastructure Levy (CIL)

- 1.13 CIL is not technically local planning policy, or a matter that is required to be reported in the LDS, but it is inextricably linked to local planning, being a levy that is placed on new development at the time planning permission is granted. A CIL Charging Schedule must ensure that the CIL charge is set at the correct level, based on viability evidence which must also consider, reflect and incorporate all other policy requirements. Therefore, given the West Lancashire CIL Charging Schedule is now approaching eight years old, and the viability of a local CIL charge is inexorably linked to local planning policies, the preparation of a new Local Plan provides an appropriate opportunity for a review of the CIL Charging Schedule. Whilst the review of the CIL charges should be done iteratively with the Local Plan, the most appropriate timescale for this review, and in particular the nature and timing of its Examination, are still to be determined. The CIL Charging Schedule Examination could be alongside the Local Plan Examination, subject to notifying the Secretary of State (CIL Regulation 22), or it could take place following the adoption of the Local Plan.
- 1.14 There is also the possibility that, in the future, CIL will adapt into a more general Infrastructure Levy. Whilst the Planning for the Future White Paper (August 2020) suggests an Infrastructure Levy will be a national obligation on all councils, it is likely that rates will need to continue to be set locally and so any work on viability should not be abortive. Central Government have advised that until such time as they announce details of the new Levy, local authorities should continue to progress CIL review work as under current requirements (as is the case for Local Plan preparation).
- 1.15 The principle of approving a review to the CIL Charging Schedule is therefore included in this March 2022 Local Development Scheme, but details of timescales and programming are not set out as yet, and will need to be determined in the future.

Chapter 2 Updating the Local Plan – a timetable

2.1 The timetable for the preparing a new Local Plan is set out in the chart on the following page, and this chapter seeks to explain a little more about key stages in preparing the new Local Plan.

The New Plan Period

2.2 Given the timetable below, which would see the new Local Plan adopted by the end of 2024, and the fact that paragraph 22 of the NPPF requires that '*strategic policies* [in a new Local Plan] *should look ahead over a minimum 15 year period from adoption*', it is proposed that the period for the new Local Plan should be from 1st April 2023 to 31st March 2040.

Regulation 18 consultation and Preparation of Evidence

- 2.3 Regulation 18 of the Town and Country Planning (Local Planning) (England) Regulations 2012 requires that, when preparing a new Local Plan, the Council must consult on the 'subject' of a Local Plan that it is proposing to prepare, and what it 'ought to contain'. As such, the Council carried out a Regulation 18 consultation from 18 November 2021 to 27 January 2022 on the potential content of the new West Lancashire Local Plan 2023-2040. This consultation was more than a year later than originally planned due to the COVID-19 pandemic and associated lockdowns (which delayed preparation as planning officers were redeployed to frontline services to help support the response to the pandemic in West Lancashire), as well as a significant change in senior staff within the Council's Growth & Development Service in 2021.
- 2.4 This Regulation 18 consultation also identified the key issues the Council believes the Local Plan needs to address, options for how planning policies might address those issues, and gave an indication of the Council's preferred option for the approach Local Plan policies might take to deal with the issues (based on the best available evidence and best practice at that time). The Council hosted the Regulation 18 consultation on an online consultation platform, designed to make it as easy as possible to learn more about / provide helpful feedback on the issues, options and preferred policy approaches identified by the Council.
- 2.5 The chart on the following page shows the intended timetable for preparing the new Local Plan.

Stage of Preparation	Q1 2020 – Q3 2021	Q4 2021	Q1 2022	Q2 2022	Q3 2022	Q4 2022	Q1 2023	Q2 2023	Q3 2023	Q4 2023	Q1 2024	Q2 2024	Q3 2024	Q4 2024	Q1 2025	Q2 2025	Q3 2025
Preparation of Evidence																	
18 Public Consultation on Scope, Issues & Options		*	*														
Preparation of Policies & Site Allocations Consultation																	
Public Consultation on Policies & Site Allocations								*									
Preparation of Pre-Submission Local Plan																	
Publication / Pre-Submission Consultation													*				
Submission to Planning Inspectorate														*			
Examination in Public																	
Receipt of Inspector's Report																	*
Adoption of Local Plan																	*

- 2.5 Gathering evidence to better understand key planning issues is an essential part of preparing a new Local Plan as this evidence must directly inform new local planning policy. Given that the Council had, until September 2019, been working on a Local Plan Review for West Lancashire, a great deal of evidence is already available, and much of this will be of use as the new Local Plan is prepared. However, some issues will require more up-to-date evidence, particularly in relation to the key issues of need and demand for new housing and economic development. Some evidence studies will also be needed to assess the specific proposals in a new Local Plan. As a result, the evidence collation stage will happen throughout the Local Plan preparation process right up until the Publication / Pre-Submission document has been prepared (see below). Preparation of evidence is covered in greater detail in the next chapter.
- 2.6 The above timetable for the Local Plan includes a public consultation on the proposed development requirements for West Lancashire over the Plan period, the proposed site allocations necessary to meet those requirements, and draft wording of new policies. This consultation would be an additional consultation under Regulation 18, and would enable specific engagement on the Council's consideration of the issue of development needs, site allocations, and policies before it finalises the Local Plan document that it wants to submit for Examination.

Publication of the Pre-Submission Local Plan, and Submission for Examination

- 2.7 Following the initial Regulation 18 consultation in winter 2021/22, and taking into account the feedback received through that process, the Council will draw up the actual new Local Plan document, which will include a series of planning policies (strategic and non-strategic), site allocations and a Policies Map. The proposed additional consultation on development requirements and site allocations will also feed into this process. This culminates in the publication of what is known as the Pre-Submission version of the Local Plan (covered by Regulation 19 of The Town and Country Planning (Local Planning) (England) Regulations 2012).
- 2.8 This Pre-Submission version of the Plan is essentially the 'final draft' which the Council wishes to submit for examination. It is published to give members of the public and other stakeholders the opportunity to make formal representations on the Pre-Submission version of the Local Plan. These representations are then submitted, along with the Local Plan, to the Secretary of State, ready for the Plan's examination.

- 2.9 Any representations (comments) made at this Publication / Pre-Submission stage need to be made formally through a specific form, using a set format prescribed by the Planning Inspectorate to ensure all comments relate to the 'Tests of Soundness', and / or whether the Plan has been prepared in accordance with all relevant legal requirements. This is because those representations are passed directly to the Planning Inspector appointed to examine the proposed new Local Plan once the Council decides to submit the Local Plan, and the Inspector will consider those representations as he / she examines the proposed new Local Plan.
- 2.10 Compared to the previous (September 2021) LDS, the stage of preparing the Pre-Submission Local Plan for Regulation 19 has been elongated in the above timetable. This is because of the desire to incorporate an additional stage of consultation on the development requirements and site allocations (see 2.6 above), and also to allow more time given anticipated changes to national guidance on preparation of Local Plans that may need to be incorporated (following on from the proposals in the Planning White Paper).

Examination and Adoption of the Local Plan

- 2.11 Once the Local Plan is submitted, it is in the hands of the Planning Inspectorate to appoint an Inspector to undertake the Examination and to write a report concluding whether or not the Local Plan is 'sound', outlining any changes that are necessary to make it sound. The Examination will include public hearing sessions facilitated by the Planning Inspector, designed to help the Inspector better understand all aspects of, and concerns about, the proposed new Local Plan. If there are significant changes to the Plan proposed by the Inspector (known as 'main modifications') there may need to be a further stage of public consultation during the Examination, with all responses ultimately being considered by the Inspector. Once the Local Plan has been found sound by the Inspector, the Council can adopt it.

Summary of Planning Policy documents to be produced

West Lancashire Local Plan 2023-2040													
Document Details	<p>Role & Content: Sets out the main planning context of the Borough, the development strategy for the Borough and priority locations for development, development management policies and site allocations;</p> <p>Status: Development Plan Document (DPD);</p> <p>Chain of Conformity: The Local Plan should conform with the National Planning Policy Framework (NPPF). Any additional DPDs or SPDs, and any Neighbourhood Plans, should conform with the Local Plan;</p> <p>Geographic Coverage: Whole Borough.</p>												
Timetable	<table border="0"> <tr> <td>Regulation 18 Consultation</td> <td>November 2021 - January 2022</td> </tr> <tr> <td>Policies, Development Requirements & Site Allocations Consultation</td> <td>July – September 2023</td> </tr> <tr> <td>Publication / Pre-Submission</td> <td>July – September 2024</td> </tr> <tr> <td>Submission to Planning Inspectorate</td> <td>October 2024</td> </tr> <tr> <td>Examination in Public (incl. Hearings)</td> <td>October 2024 – June 2025</td> </tr> <tr> <td>Adoption</td> <td>July 2025</td> </tr> </table>	Regulation 18 Consultation	November 2021 - January 2022	Policies, Development Requirements & Site Allocations Consultation	July – September 2023	Publication / Pre-Submission	July – September 2024	Submission to Planning Inspectorate	October 2024	Examination in Public (incl. Hearings)	October 2024 – June 2025	Adoption	July 2025
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Examination in Public (incl. Hearings)	October 2024 – June 2025												
Adoption	July 2025												
Arrangements for Production	<p>Prepared by Strategic Planning & Implementation Team with support from wider Growth and Development Service;</p> <p>Input from other Council services and partner organisations as required;</p> <p>Input / approval from Members principally via Cabinet and the Local Plan Cabinet Working Group, also from Executive Overview & Scrutiny Committee and, for submission and adoption, via Council;</p> <p>Adequate staffing resource necessary within Department for production.</p>												
Progress	<p>Preparation commenced January 2020 but work was delayed due to the COVID19 pandemic as staff were redeployed to frontline services to support the Council's response to the pandemic in West Lancashire. In addition, changes in staff within the Growth & Development Service have impacted / are impacting the resources available to prepare the Local Plan.</p> <p>The Regulation 18 consultation on Scope, Issues & Options took place from November 2021 to January 2022. Overall, there will be a delay in the timetable through to Submission of the Local Plan for Examination in October 2024.</p>												

Community Infrastructure Levy (CIL) Charging Schedule Revision											
Document Details	<p>Role & Content: Sets the charge for CIL in relation to different types of development in different parts of the Borough;</p> <p>Status: Charging Schedule;</p> <p>Chain of Conformity: The justification for charging CIL must be demonstrated by the need for funding for new infrastructure as a result of the development proposed in the Local Plan DPD;</p> <p>Geographic Coverage: Whole Borough.</p>										
Timetable	<table border="0"> <tr> <td>Preparation of evidence</td> <td>Spring 2022 onwards</td> </tr> <tr> <td>Consultation on Draft Charging Schedule</td> <td><i>To be confirmed</i></td> </tr> <tr> <td>Submission</td> <td><i>To be confirmed</i></td> </tr> <tr> <td>Examination Period</td> <td><i>To be confirmed</i></td> </tr> <tr> <td>Adoption</td> <td><i>To be confirmed</i></td> </tr> </table>	Preparation of evidence	Spring 2022 onwards	Consultation on Draft Charging Schedule	<i>To be confirmed</i>	Submission	<i>To be confirmed</i>	Examination Period	<i>To be confirmed</i>	Adoption	<i>To be confirmed</i>
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Submission	<i>To be confirmed</i>										
Examination Period	<i>To be confirmed</i>										
Adoption	<i>To be confirmed</i>										
Arrangements for Production	<p>Prepared by Strategic Planning & Implementation Team with input from the wider Growth and Development Service and other Council services and partner organisations as required. A comprehensive viability assessment of Local Plan policies (prepared as part of the Local Plan evidence base) will be a key part of the evidence base for the CIL Charging Schedule review;</p> <p>Input / approval from Members via Cabinet, Local Plan Cabinet Working Group, Executive Overview & Scrutiny Committee and Council;</p> <p>Adequate staffing resource necessary within Department for production.</p>										
Progress	<p>To be prepared alongside the West Lancashire Local Plan 2023-2040 ('WLLP'). Precise timing, in particular for Examination, and how this would relate to the WLLP Examination, to be confirmed.</p>										

Joint Merseyside and West Lancashire Recreation Mitigation Strategy SPD									
Document Details	<p>Role & Content: This is an SPD covering West Lancashire and the Liverpool City Region. It is needed to provide information to assist applicants to meet requirements under the Conservation of Habitats and Species Regulations 2017 (as amended). It is likely to include an optional per-dwelling tariff for new residential development and an implementation framework for managing and improving designated European habitats sites or alternative greenspaces.</p> <p>Status: Supplementary Planning Document (SPD);</p> <p>Chain of Conformity: The SPD should conform with the West Lancashire Local Plan as well as the NPPF and Habitats Regulations (as amended);</p> <p>Geographic Coverage: West Lancashire Borough and also Liverpool City Region.</p>								
Timetable	<table border="0"> <tr> <td>Commencement, Scoping and Preparation (includes Strategic Environmental Assessment & Habitats Regulations Assessment Screening)</td> <td>March 2022 – December 2022*</td> </tr> <tr> <td>Consultation on draft SPD</td> <td>February 2023 – April 2023*</td> </tr> <tr> <td>Consider representations and amend SPD</td> <td>May 2023 – July 2023*</td> </tr> <tr> <td>Adopt SPD</td> <td>September 2023*</td> </tr> </table> <p>*Note the above timetable is indicative and subject to change as it will require agreement and co-ordination between West Lancashire Borough Council, the six Liverpool City Region authorities and the LCR Combined Authority.</p>	Commencement, Scoping and Preparation (includes Strategic Environmental Assessment & Habitats Regulations Assessment Screening)	March 2022 – December 2022*	Consultation on draft SPD	February 2023 – April 2023*	Consider representations and amend SPD	May 2023 – July 2023*	Adopt SPD	September 2023*
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Arrangements for Production	<p>To be prepared jointly by WLBC, the six Liverpool City Region authorities and the LCR Combined Authority;</p> <p>Input from other Council services and partner organisations as required;</p> <p>Input and approval from Members via Cabinet;</p> <p>Adequate staffing resource necessary within Department for production.</p>								
Progress	Preparation commencing Spring 2022.								

Chapter 3 The Evidence Base

3.1 The preparation of a new Local Plan requires an extensive evidence base covering a wide range of topics. This section provides a summary of what evidence the Council has collected, or intends to collect, to inform this process. This list could well change, especially if feedback from consultation with stakeholders identifies a gap in the proposed evidence base. All published versions of the various evidence base studies (whether in draft or as a final version) are available on the Council's website at:

<https://www.westlancs.gov.uk/planning/planning-policy/the-local-plan/the-local-plan-2023-2040/evidence-base.aspx>

- **Liverpool City Region Strategic Housing and Employment Land Market Assessment (SHELMA)**

The Council worked with the Liverpool City Region Authorities on the preparation of a SHELMA from 2016 to 2019. The SHELMA identifies the objectively-assessed need (OAN) for housing and employment land across the City Region and by individual Authority to 2037. Part 2 investigates the potential supply of sites for large-scale B8 to meet the need identified in the SHELMA for large-scale B8 across the LCR and West Lancashire. The SHELMA will be superseded by the West Lancashire HEDNA 2022 once this study is published.

- **Affordable and Specialist Housing Needs Study (ASHNS)**

The ASHNS (February 2018) looks specifically at the local need for affordable housing in its various forms (social rent, affordable rent, shared ownership, etc.), as well as the need for housing for the elderly, and for people living in houseboats in caravans (non-travellers). The ASHNS will be superseded by the West Lancashire HEDNA 2022 once this study is published.

- **Housing and Economic Development Needs Assessment (HEDNA)**

A fresh HEDNA study is required to update the evidence informing all aspects of employment and housing need and demand in the Borough. Preparation of the HEDNA started in early 2020, paused while work on the Local Plan was delayed due to COVID-19 and continued in 2021.

Once published, this new study will replace the SHELMA (insofar as it considers West Lancashire's needs), the ASHNS and the previous (2017) HEDNA and Housing Growth Scenarios work, and so will bring this evidence up-to-date for the new Local Plan. The study considers:

- What economic and employment growth (by sector) is anticipated;
- What overall housing growth is therefore needed (demographic growth plus any as a result of economic / employment growth); and
- What specific affordable and specialist housing needs there are in the Borough.

This study will also inform the preparation of a new Economic Development Strategy and a new Housing Strategy for West Lancashire.

- **Strategic Housing and Employment Land Availability Assessment (SHELAA)**

The SHELAA has two functions:

- 1) to enable all sites that are potentially available for development to be brought to the attention of the Council and ultimately be assessed as to their suitability for development, and
- 2) to identify the 5, 10 and 15-year supply of sites in the SHELAA that are currently, in principle, policy-compliant with the current, adopted Local Plan.

The SHELAA is generally updated each year. A fresh Call for Sites was issued in early 2020 which was used to inform the 2020/21 SHELAA Update (available on the Council website) and also to inform the Local Plan Regulation 18 public consultation.

- **Traveller Needs Assessment**

A Gypsy and Traveller Accommodation Assessment was undertaken by consultants in 2013/14 for Merseyside and West Lancashire. The Government changed the definition of 'Traveller' in 2016. A 2017 West Lancashire Traveller Needs Assessment provides an updated figure for accommodation needs for the travelling community in the Borough, taking into account this new definition. The study is available on the Council's website. This study will be updated as necessary later in 2022/23 to inform the new Local Plan.

- **Retail and Commercial Leisure Study**

This Study identifies future retail and leisure floorspace requirements for the Borough with a view to informing the allocation of sites for future town centre uses in the Local Plan, undertaking health checks of Burscough, Ormskirk and Skelmersdale town centres and identifying future strategies for each of these centres. The study was completed in June 2018. This study is to be updated as necessary later in 2022/23 to inform the new Local Plan.

- **Traffic / Transport Impact Assessment**

The Council appointed consultants to prepare an assessment identifying the additional traffic flows that were considered likely to be created by new sites proposed in the Local Plan Review Preferred Options, and how that traffic would affect the existing Key Route Network and Strategic Route Network. Whilst the Local Plan Review was ceased, this study highlighted the need to undertake a closer look at how new developments and new transport-related proposals may affect how people use the Borough's highway network. Lancashire County Council (LCC) has commissioned highways modelling for the Borough's highway network. This will allow the Borough Council, in close consultation with LCC and National Highways (formerly Highways England), to consider where improvements may be required on particular routes / junctions to mitigate for additional flows, as proposals for new site allocations, or for new transport infrastructure, are prepared and tested.

- **Local Plan Viability Assessment**

A Viability Assessment will be prepared in 2022/23 by suitably qualified consultants to assess and inform the proposed policies and allocations of the new Local Plan, to ensure they will enable viable developments to come forward in West Lancashire. This very important study will also inform the proposed review of the CIL Charging Schedule.

- **Infrastructure Delivery Plan (IDP)**

The Council published a draft IDP alongside the Local Plan Review Preferred Options consultation in 2018. As a new Local Plan is prepared, the IDP will be updated in consultation with Infrastructure Providers to consider how the existing infrastructure in the Borough will be able to cope with the additional demands

placed upon it by any new development proposals, and to identify any improvements that will need to be made to infrastructure to meet any increased demand from the new Local Plan. A final IDP will be published alongside the Pre-Submission version of the Local Plan at the Publication stage.

- **Sustainable Settlement Study**

The Council prepared a Sustainable Settlement Study in 2017 to consider how 'sustainable' each town and village in West Lancashire is, considering access to key services. This has been updated in 2021 to inform the preparation of the new Local Plan and is available on the Council's website. The Study guides the setting of an appropriate settlement hierarchy in the new Local Plan and informs deliberations over which settlements should be the focus for new development.

- **Playing Pitch Strategy (PPS) Review**

The PPS considers a range of sports including football, rugby, cricket, hockey and bowls and identifies future needs for pitches. It recommends a number of priority projects for pitches and associated facilities such as changing rooms, and will be used to identify which pitches and facilities should be protected and where any new provision should be made. The PPS was refreshed in 2018 in accordance with Sport England's Playing Pitch Strategy Guidance for keeping a strategy robust and up to date. It is intended to update this strategy in 2022/23.

- **Open Space Study**

The Open Space Study identifies local open space needs, audits local site provision, sets local open space standards and applies those standards to identify surpluses and deficiencies in different types of open space across the Borough. The 2018 Study developed a strategy, identifying where and how open space should be protected and enhanced, and where future new provision should be created. This will be used to determine open space designations and planning policies in the new Local Plan.

- **Strategic Flood Risk Assessment (SFRA)**

The primary purpose of the SFRA is to provide information on flood risk from all sources in the Borough and inform decision-making in the emerging Local Plan in terms of the allocation of land and drafting of policies to manage flood risk.

The Council consulted on a draft Level 1 SFRA between March and April 2017. A preliminary draft Level 2 SFRA was also prepared and published alongside the Local Plan Review Preferred Options consultation in 2018.

The Level 1 and Level 2 SFRAs were updated in light of comments received during consultation. Consultants JBA were appointed in spring 2020 to prepare a more detailed Level 2 SFRA to assess site allocations proposed in the Local Plan Review Preferred Options which may impact on flood risk. This SFRA is available on the Council's website, but an updated SFRA will be prepared as necessary in 2022/23 to inform the preparation of the new Local Plan.

- **Green Infrastructure and Cycling Strategy**

The Council prepared a Green Infrastructure and Cycling Strategy and adopted it in September 2017. The Strategy sets out the Council's aspirations for new Green Infrastructure and cycling infrastructure across West Lancashire, in particular the proposed Linear Parks and the 'West Lancs Wheel'. As such, the Local Plan will be prepared with regard to how parts of the Strategy might be delivered alongside (or by) new development.

- **Low Carbon and Renewable Energy Study**

The Council appointed consultants Wood to prepare a study that assessed the potential capacity of West Lancashire to provide Renewable Energy or Low Carbon Developments, taking into account constraints that would impact on the suitability of such developments in a given location. The study identifies areas which are most suitable for particular types of Renewable Energy developments, and this will inform any policy on Renewable Energy developments in the new Local Plan. This study is available on the Council's website.

- **Technical, Thematic and Spatial Evidence Papers**

The Council has prepared a range of evidence papers to summarise the available evidence, data, and information on particular topics and to help explain how proposed policies in the new Local Plan were drawn up.

- **Sustainability Appraisal / Strategic Environmental Assessment**

A Sustainability Appraisal / Strategic Environmental Assessment (SA/SEA) is a legal requirement as part of a Local Plan preparation. The SA/SEA assesses the sustainability merits and environmental impacts of the Local Plan and the alternative options that have been considered. As such, it is an integral part of the evidence and preparation / decision-making process on the Local Plan. The SA/SEA also considers health as part of the appraisal process.

- **Habitats Regulations Assessment (HRA)**

A HRA is another legal requirement; it considers the impacts that the Local Plan may have on internationally-designated nature sites, such as Martin Mere and the Ribble Estuary. The HRA must first do a 'scoping exercise' to determine whether impacts are potentially likely. If impacts are likely, an Appropriate Assessment of those impacts is carried out, to identify any issues which the Local Plan must address, or mitigation required to minimise the impacts of new development.

- **Equality Impact Assessment**

Many aspects of new development and the way a place functions can have impacts on a population and can have different effects on different groups of the population. As such, the Council will prepare an Equality Impact Assessment of the Local Plan in order to identify ways in which the Local Plan can be improved, to ensure that no particular group in society is prejudiced by the proposals.

Chapter 4 Resources

- 4.1 The new Local Plan will be produced by the Council’s Strategic Planning & Implementation Team, but a document as wide ranging as a Local Plan will inevitably involve input from various parts of the Council as well as from external partners.
- 4.2 The Strategic Planning & Implementation Project Manager² will take the lead role in developing the new Local Plan, project managing the process and the preparation of a new Local Plan and all other local planning policy and CIL documents.
- 4.3 The Strategic Planning & Implementation Team will liaise closely with both frontline and support services across the Council in developing the Plan, including:
- The Development, Heritage & Environment Team (who will use the Local Plan to make decisions on planning applications and advise on design, heritage, trees, and landscaping)
 - The Building Control and Technical Services Teams (who will advise on flooding, drainage and other engineering matters, and on how policies may best inter-relate with the Building Regulations)
 - The Wellbeing, Regeneration, and Leisure Service (on leisure / public open space, regeneration and public health matters)
 - Regulatory Services on environmental protection matters
 - The Housing Service
- 4.4 In addition, the Strategic Planning & Implementation Team will undertake the following:
- Preparation of all other local planning policy documents, including assisting with any Neighbourhood Plans;
 - Responding to new Government planning policies, and other Government strategies and plans related to Planning;
 - Engaging with adjacent authorities and other agencies on planning, economic development and housing strategy matters, including inputting on key strategies and projects prepared by those other authorities and agencies (e.g. Transport Strategies);

² Title of this post to be confirmed pending Council reorganisation; similarly with other teams and posts mentioned in this section.

- All monitoring required to prepare the Annual Monitoring Report and Housing Land Supply position;
 - The ongoing maintenance of the Infrastructure Delivery Plan, Infrastructure Delivery Schedule and Infrastructure Funding Statement (these link into CIL and Section 106 expenditure);
 - Administration of the Community Infrastructure Levy and how it is spent;
 - Implementation of key projects to help deliver the proposals within the Local Plan and other documents, particularly transport and infrastructure related;
 - Advising the Council's Development Management Team on the interpretation of planning policies and, where necessary, attending planning appeals.
- 4.5 Given that West Lancashire Borough Council is a two-tier Authority with Lancashire County Council, the Strategic Planning & Implementation Team will also continue to liaise closely with the County Council, especially on issues of highways and transportation, as well as having reference to the County's planning policy work on Minerals and Waste and their role as Education Authority. On the issue of strategic planning and transport, the Strategic Planning & Implementation Team also liaise with Liverpool City Region Combined Authority (as the authors of the LCR Strategic Development Strategy and as Merseytravel, the public transport executive for Merseyside, extending into parts of West Lancashire) and the Greater Manchester Combined Authority (including Transport for Greater Manchester).
- 4.6 Resources have also been, and will continue to be, saved through effective partnership working with neighbouring Local Authorities. The Strategic Planning & Implementation Team are working closely with their peers in Merseyside, Lancashire and Greater Manchester in order to deliver 'joined-up' cross-border planning on many issues that are not restricted by local authority boundaries. This helps to fulfil the Duty to Co-operate introduced by the Localism Act 2011, and will include a range of Statements of Common Ground with neighbouring authorities where necessary (including the existing first iteration of the LCR Spatial Planning Statement of Common Ground which is available on the Council's website).
- 4.7 The Strategic Planning & Implementation Team will also continue to liaise closely with a wide range of infrastructure providers to ensure that development is located where infrastructure is already in place, or to consider how new or improved infrastructure can be provided over the Local Plan period to meet the needs created by development in the new Local Plan.

Chapter 5 Risk Assessment

- 5.1 The planning system requires effective project management techniques to ensure, as far as possible, that stated timetables are adhered to for the preparation of the Local Plan, and other local planning policy documents. Using such techniques, the Strategic Planning Implementation Team, once fully staffed, will endeavour to ensure that progress is kept 'on track', in accordance with the dates set out within this LDS. However, there is a variety of circumstances which alone, or in combination, can conspire to delay the preparation process.
- 5.2 It is important that the Council, the local community and all other stakeholders in the planning process, be aware of the possible risks to preparation. This is so that the risks can be minimised, or mitigation measures put in place in the case of delays being occasioned. The following table identifies some of the more likely risks that could prejudice Local Plan preparation and the mitigation measures that could be employed.

Risk	Mitigation
<p>Legislation / Government Guidance</p> <p>Publication of national planning policy statements can generate new issues that the Local Plan, or its preparation, must address, sometimes causing delays.</p>	<p>Maintain close liaison with latest national guidance and its preparation.</p> <p>Revise Local Plan timetable if necessary.</p> <p>Obtain adequate budgetary provision for consultancy support if required.</p>
<p>Planning Inspectorate</p> <p>Delays could be caused if the Local Plan or other documents take longer than expected in the Examination process.</p>	<p>Keep in touch with Planning Inspectorate and advise them of requests for Examinations at the earliest possible time.</p> <p>The Council will have regard to Inspectors' decisions elsewhere to seek to ensure the Council is following best practice.</p>
<p>Legal / Soundness</p> <p>The Local Plan could fail the Tests of Soundness which would significantly delay the process.</p> <p>Legal challenge to document could see Local Plan, or part of it, quashed.</p>	<p>Ensure a robust evidence base and use the PAS Local Plan toolkit.</p> <p>Draw on external expertise where necessary to ensure evidence and approach to policy is robust.</p> <p>Ensure procedures, Acts and Regulations are complied with.</p>

Risk	Mitigation
<p>Other External Bodies</p> <p>The planning system involves complex arrangements for co-operation, consultation, engagement and evidence gathering. Failure on the part of other bodies to respond on time or to provide adequate responses (which require subsequent clarification) could cause significant delay to work programmes.</p>	<p>Contact external bodies at the earliest opportunity and communicate clearly and regularly with them to minimise risk of no / poor responses and therefore delays.</p>
<p>Joint Working</p> <p>There can be challenges in achieving joint working with other local authorities on evidence base and ensuring that the Duty to Co-operate is fulfilled because each authority is working to its own programme and may have its own particular concerns with regard to areas of evidence. As such, projects / evidence studies can take longer when joint working is involved.</p>	<p>Establish clear working arrangements with other local authorities and ensure strong programme / project management.</p>
<p>Staffing</p> <p>Individual absences due to leave, personnel changes or sickness can cause delays in document production.</p> <p>Staff could leave the authority and could be difficult to replace, therefore causing delays to document production while the team is under-strength.</p>	<p>The Local Plan timetable should be set on a realistic basis taking into account the staff resources available.</p> <p>Aim for quick replacement of staff wherever possible.</p> <p>Flexibility of staff within the Growth and Development Service may enable opportunities for planning officers from other teams in the Service to help with workload.</p> <p>Where there is financial resource available, some elements of work can be undertaken by consultants.</p>
<p>Political Direction / Management</p> <p>Members requiring late amendments to proposed documents or not being willing to approve a document for consultation / submission / adoption may cause delays.</p>	<p>Early consultation and information sharing with Members should reduce the likelihood of late amendments being required or documents being rejected.</p>
<p>Reduced Council Resources</p> <p>In the current climate of austerity and declining Council budgets, it is possible the resource available to the Growth and Development Service could be reduced, affecting the speed at which a Local Plan can be prepared.</p>	<p>Explore all opportunities for joint working and service sharing.</p> <p>Maximise flexibility across the Service.</p> <p>Revise the Local Plan timetable if necessary.</p>

Risk	Mitigation
<p>Evidence Base</p> <p>The Evidence Base behind a Local Plan can become out-of-date over time.</p> <p>The Planning Inspectorate provides guidance on how recent some of the key evidence needs to be to be considered up-to-date for Local Plan preparation.</p> <p>If preparation of a Local Plan takes too long, the evidence base may need reviewing, thereby creating further delays in the delivery of the Local Plan (as well as additional cost for the Council).</p>	<p>Ensure Members are aware of the time implications associated with their decisions on the Local Plan, to help keep the preparation process to schedule.</p>
<p>COVID-19</p> <p>Further delays due to COVID-19, or any equally significant future pandemic, may create further delays in the preparation of the Local Plan. This could affect the Local Plan preparation by redirecting key staff to other frontline services and by limiting opportunities for public consultation.</p>	<p>The relevant services of the Council for the Local Plan are now set up to work effectively from home with minimal disturbance to work programmes. However, staff within those services may have to be redirected to other frontline services as necessary to help deal with the situation in a pandemic.</p> <p>In such circumstances, there is little the Council can do without incurring significant additional cost to keep the Local Plan preparation progressing, and a further delay in preparation could consequently be inevitable.</p>



Report of: Corporate Director of Place and Community

Relevant Portfolio Holder: Councillor Gaynar Owen

Contact for further information: Heidi McDougall (Extn. 5191)
(Email: Heidi.mcdougall@westlancs.gov.uk)

SUBJECT: USE OF SECTION 106 FUNDS IN UP HOLLAND

Wards affected: Up Holland

1.0 PURPOSE OF THE REPORT

- 1.1 To consider a proposal to authorise the use of Section 106 (S106) monies to deliver improvements to cycle infrastructure in Up Holland.

2.0 RECOMMENDATION TO CABINET

- 2.1 That the use of £72,000 of S106 monies be approved to enable improvements to be made to cycle infrastructure in Up Holland.
- 2.2 That delegated authority is granted to the Director of Place and Community, in consultation with the Portfolio Holder for Planning, to consider and authorise any reasonable changes to the details of this project that may be necessary to facilitate its subsequent delivery.
-

3.0 BACKGROUND & PROPOSALS

- 3.1 Planning permission 2012/0809/OUT was granted in September 2012 for a residential development at Chequer Lane, Up Holland. A S106 Agreement was attached to it, requiring the developer to pay a commuted sum of £72,000 to be used for the provision of sustainable transport measures in accordance with The Planning Obligations in Lancashire policy.
- 3.2 An Officer working group is in effect between West Lancashire Borough Council (WLBC) and Lancashire County Council (LCC), as the transport and highways authority, to identify and prepare proposals for the use of S106 transport monies. Appropriate proposals are then put to Cabinet for a final decision.

4.0 CURRENT POSITION

- 4.1 In response to the available £72,000 of S106 monies, which must be used to fund sustainable transport measures in Up Holland, LCC have identified a scheme to deliver improvements along the public footpath between Castlehey, Skelmersdale and Chequer Lane, Up Holland, which crosses Stannanought Road (A577). The monies would be used improve cycling infrastructure by funding resurfacing improvements to the existing footpath, replacing damaged kerbs and edgings and installing new street lighting to illuminate the path.
- 4.2 The total cost of the project is quoted at c.£67,200 (excluding VAT), allowing for a 20% change in overhead costs given the current volatility in material and labour prices. Whilst this cost falls below the available £72,000, minor changes to the scheme may also arise during the delivery of the project and so an allocation of the full £72,000 towards this project is proposed to help address any necessary contingencies and their related costs – for example, any additional works that may be needed once existing overgrowth has been cut back and the condition is better known. LCC have advised that further works, including lining and signage, could be delivered with any remaining funding. Once scheduled, LCC have indicated that the works could be delivered across four weeks.
- 4.3 There are associated ongoing discussions in relation to anti-social behaviour barriers which are currently in situ to prevent motorcycles being ridden along the existing footpath, and whether or not these could be removed to facilitate better cycle and pedestrian access. Whilst the barriers do not directly form part of this proposal, LCC Highway officers will continue to liaise with Lancashire Police and WLBC Crime and Safety officers as to whether or not it would be appropriate to, temporarily or permanently, remove the barriers to support this scheme.
- 4.4 The proposed project would therefore help improve cycle accessibility and connectivity between Dignumoor and the south of Up Holland, thereby supporting greater opportunities for active travel. LCC advise that in the east of Skelmersdale and into Up Holland, cycling infrastructure is extremely limited to advisory cycle lanes along the A577 (Parliament Street) whilst the Dean Brook valley, M58 and lack of 'quiet' off-road alternatives can create a major barrier to safe, comfortable cycling in the area. However, there is a dense network of footpaths straddling the M58 corridor south of Up Holland, and it is this network, combined with the existing pedestrian bridge over the M58, that provide the most direct, off-road route options from the south-east of Skelmersdale and the west of Wigan borough. Using the available S106 monies to improve the surfacing of an existing footpath, to better support cycling, would therefore help improve both pedestrian and cycle accessibility between Dignumoor and the south of Up Holland, and link closely to the Chequer Lane development (which the S106 monies stem from).

Future opportunities

- 4.5 As outlined above, Skelmersdale has a dense network of off-road foot/cycle-paths, but cycling infrastructure is more limited in the east of the town and into Up Holland. In particular, the east and south-east of Up Holland has a lack of adequate cycling and walking infrastructure which could link the area to the adjacent Wigan area (Orrell). Whilst there are some existing footpaths, many are

currently overgrown and unsuitable for everyday journeys. LCC have, however, identified potential opportunities to create a new strategic active travel route between the east of Skelmersdale and the west of Wigan, utilising existing public rights of way. Such a route could be delivered in a series of phases, and funded using CIL monies, subject, of course, to favourable assessments for funding and Council priorities at that time. As Up Holland Parish Council are also in receipt of significant amounts of Neighbourhood CIL, they could also consider helping fund such active travel opportunities.

- 4.6 Council officers will continue to work with LCC in respect of developing any suitable opportunities, and will liaise, as relevant, with relevant Members and the Parish Council. Such proposals will be taken through the appropriate processes at the necessary times, but an outline of the wider strategic potential is provided here to indicate how this S106 proposal could eventually form part of wider, strategic active travel routes as well as providing immediate improvements to an existing route.

5.0 SUSTAINABILITY IMPLICATIONS

- 5.1 The improvement of cycling infrastructure would help improve accessibility and connectivity and support opportunities for active travel. This would further the Borough Council's aims of improving the health and wellbeing of its local community.

6.0 FINANCIAL AND RESOURCE IMPLICATIONS

- 6.1 The proposals will be funded through Section 106 funding as per the recommendation at 2.1 above. There are sufficient S106 sums available.
- 6.2 Future maintenance will be the responsibility of Lancashire County Council as they are the highways and transport authority.

7.0 RISK ASSESSMENT

- 7.1 There is a limited risk for the scheme's delivery, associated for the Council with a decision in line with the recommendation at paragraph 2.1 above, given it is utilising Section 106 monies that the Council is already in receipt of.
- 7.2 The relevant monies must be spent or committed by September 2022. Should the S106 monies remain unspent or uncommitted beyond this date then there is a risk that the Council would need to return the monies to the developer. However, as a scheme has been identified, with delivery expected in 2022, it is considered that there is a very minimal risk of return should Cabinet agree to the allocation and thereby 'commit' S106 monies to this project.

8.0 HEALTH AND WELLBEING IMPLICATIONS

- 8.1 The improvement of a cycling infrastructure, through this proposal, will have positive health and wellbeing implications for local people by better supporting active travel.

Background Documents

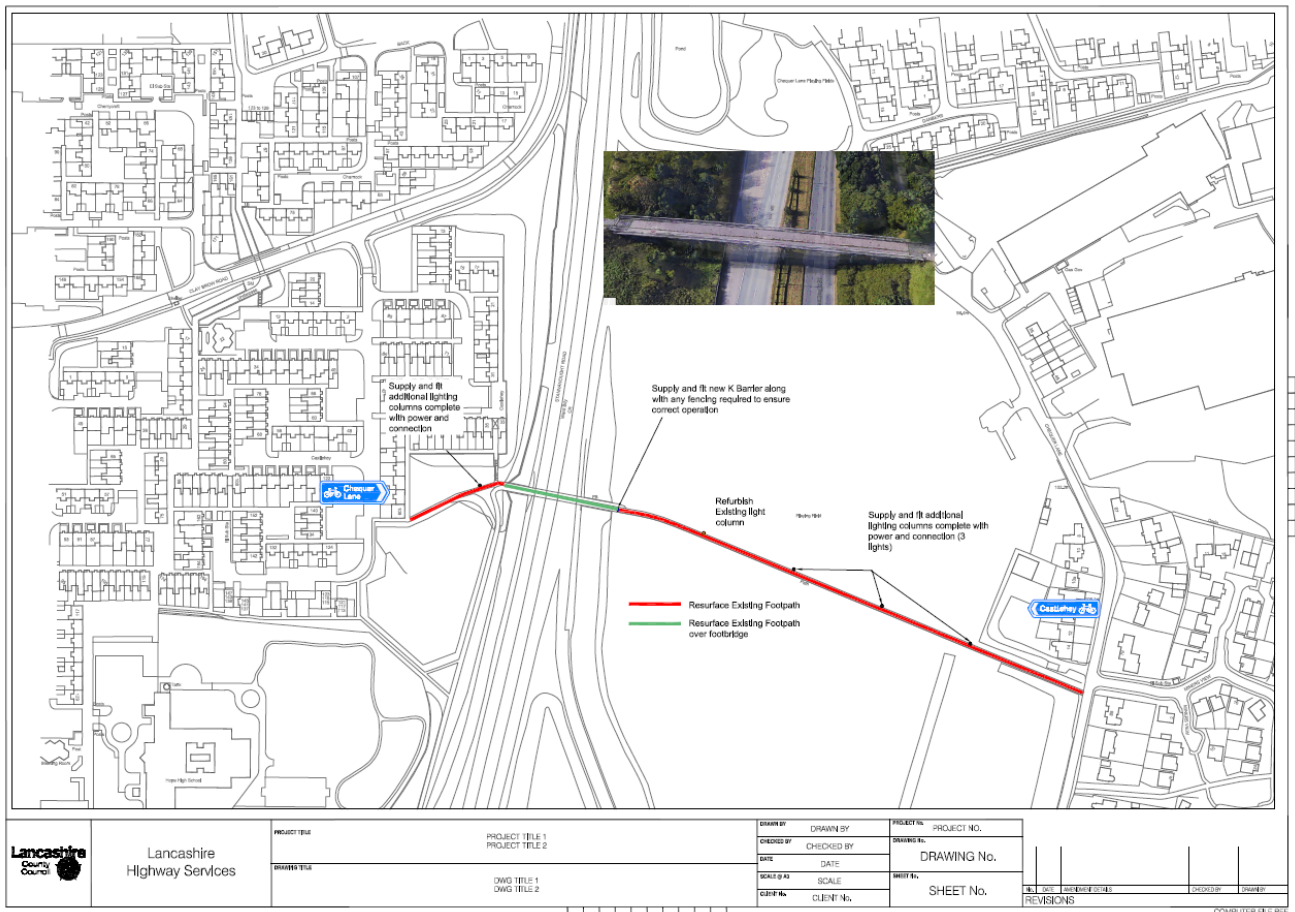
There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

There is a direct impact on members of the public, employees, elected members and / or stakeholders, therefore an Equality Impact Assessment is required. A formal equality impact assessment is attached as an Appendix to this report, the results of which have been taken into account in the Recommendations contained within this report.

Appendices

1. Proposed stretch of path improvements between Castlehey and Chequer Lane
(Source: LCC)



2. Equality Impact Assessment

Equality Impact Assessment Form



Directorate: Growth & Development Services		Service: Strategic Planning, Regeneration & Implementation	
Completed by: Helen Hatch		Date: 4 January 2022	
Subject Title: Use of Section 106 funds in Up Holland			
1. DESCRIPTION			
Is a policy or strategy being produced or revised:	No	<i>*delete as appropriate</i>	
Is a service being designed, redesigned or cutback:	No		
Is a commissioning plan or contract specification being developed:	No		
Is a budget being set or funding allocated:	Yes		
Is a programme or project being planned:	Yes		
Are recommendations being presented to senior managers and/or Councillors:	Yes		
Does the activity contribute to meeting our duties under the Equality Act 2010 and Public Sector Equality Duty (Eliminating unlawful discrimination/harassment, advancing equality of opportunity, fostering good relations):	Yes		
Details of the matter under consideration:	The approval of the use of S106 funds on improvements to cycle path provision in Up Holland		
<p><i>If you answered Yes to any of the above go straight to Section 3</i></p> <p><i>If you answered No to all the above please complete Section 2</i></p>			
2. RELEVANCE			
Does the work being carried out impact on service users, staff or Councillors (stakeholders):	Yes	<i>*delete as appropriate</i>	
If Yes , provide details of how this impacts on service users, staff or Councillors (stakeholders): <i>If you answered Yes go to Section 3</i>	The project will deliver improvements to cycle path provision in Up Holland		
If you answered No to both Sections 1 and 2 provide details of why there is no impact on these three groups: <i>You do not need to complete the rest of this form.</i>	-		
3. EVIDENCE COLLECTION			
Who does the work being carried out impact on, i.e. who is/are the stakeholder(s)?	The project will deliver improvements to cycle path provision in Up Holland. This will deliver improvements for all.		

<p>If the work being carried out relates to a universal service, who needs or uses it most? (Is there any particular group affected more than others)?</p>	<p>The project will deliver improvements to cycle path provision in Up Holland. This will deliver improvements for all.</p>
<p>Which of the protected characteristics are most relevant to the work being carried out?</p> <p>Age Gender Disability Race and Culture Sexual Orientation Religion or Belief Gender Reassignment Marriage and Civil Partnership Pregnancy and Maternity / Paternity</p>	<p style="text-align: right;"><i>*delete as appropriate</i></p> <p>No No No No No No No No No</p>
<p>4. DATA ANALYSIS</p>	
<p>In relation to the work being carried out, and the service/function in question, who is actually or currently using the service and why?</p>	<p>Cycle path provision – available to all.</p>
<p>What will the impact of the work being carried out be on usage/the stakeholders?</p>	<p>Improvement to cycle opportunities for all.</p>
<p>What are people’s views about the services? Are some customers more satisfied than others, and if so what are the reasons? Can these be affected by the proposals?</p>	<p>It would be expected that stakeholders would be in support of improvements.</p>
<p>What sources of data including consultation results have you used to analyse the impact of the work being carried out on users/stakeholders with protected characteristics?</p>	<p>None. S106 funds must be spent or risk being returned to developers. Therefore, it is important that the council utilise the monies on an infrastructure scheme to improve sustainable transport in Up Holland.</p>
<p>If any further data/consultation is needed and is to be gathered, please specify:</p>	<p>-</p>
<p>5. IMPACT OF DECISIONS</p>	
<p>In what way will the changes impact on people with particular protected characteristics (either positively or negatively or in terms of disproportionate impact)?</p>	<p>Provision of improved infrastructure can only benefit all parts of the community, including those with protected characteristics.</p>
<p>6. CONSIDERING THE IMPACT</p>	
<p>If there is a negative impact what action can be taken to mitigate it? (If it is not possible or desirable to take actions to reduce the impact, explain why this is the case (e.g. legislative or financial drivers etc.).</p>	<p>No negative impacts have been identified.</p>
<p>What actions do you plan to take to address any other issues above?</p>	<p>No actions.</p>

	<i>If no actions are planned state no actions</i>
7. MONITORING AND REVIEWING	
When will this assessment be reviewed and who will review it?	Not applicable



AGENDA ITEM:

**EXECUTIVE OVERVIEW & SCRUTINY
COMMITTEE:** 24 February 2022

CABINET: 8 March 2022

Report of: Corporate Director of Place and Community

Relevant Portfolio Holder: Councillor Gaynar Owen

Contact for further information: Heidi McDougall (Extn. 5191)
(Email: Heidi.mcdougall@westlancs.gov.uk)

**SUBJECT: REVIEW OF THE COMMUNITY INFRASTRUCTURE LEVY (CIL)
CHARGING SCHEDULE**

Wards affected: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To seek approval for officers to commence work on a review of the Community Infrastructure Levy (CIL) Charging Schedule.

2.0 RECOMMENDATIONS TO EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE

2.1 That the Committee consider the content of this report and that the agreed comments of Executive Overview and Scrutiny Committee be passed to Cabinet for their consideration.

3.0 RECOMMENDATION TO CABINET

3.1 That Cabinet, having regard to the contents of this report and to the agreed comments of Executive Overview and Scrutiny Committee, give approval for officers to commence work on a review of the West Lancashire Community Infrastructure Levy Charging Schedule.

4.0 BACKGROUND

- 4.1 Almost all development in the Borough either benefits from infrastructure or influences the need for infrastructure, services and amenities. It is only fair, therefore, that new development should contribute towards the cost of the infrastructure that it uses / its occupants use, and that some of the financial gain arising from the granting of planning permission should be shared with the communities affected by that development. Requiring contributions from new development can thereby help fund some of the infrastructure needed to make growth sustainable. These 'developer contributions' typically take the form of Planning Obligations (or 'Section 106 Agreements') and / or the Community Infrastructure Levy.
- 4.2 The Community Infrastructure Levy (CIL) is a planning charge, introduced by the Government through the Planning Act 2008, to help local authorities in England and Wales fund the delivery of infrastructure to support the development of their areas. It came into force on 6 April 2010 through the Community Infrastructure Levy Regulations 2010 (as amended). CIL was designed to give developers greater certainty about what monies they will be expected to contribute, and to enable Councils to use the resulting revenue on infrastructure to support sustainable communities. Charging is made possible through the production and adoption of a CIL Charging Schedule, which sets out the charges for the local authority area. These charges can be based on development type, location and size.
- 4.3 When deciding the Levy rates, a local authority must strike an appropriate balance between the additional investment needed to support new development and the potential effect of the Levy on the viability of developments. This balance is at the centre of the charge-setting process. The process for preparing a Charging Schedule is similar to the process for preparing relevant plans and ideally should support strategic thinking – linking the use of the Levy to planning for new development (i.e. the Local Plan).
- 4.4 The CIL Regulations prescribe the requirements and stages to introduce a CIL Charging Schedule. These involve a series of formalised processes, including collection of a range of evidence, community consultation for at least 4 weeks on a draft Charging Schedule, and an Examination in Public undertaken by a Government-appointed Planning Inspector. Subject to a favourable recommendation by the Inspector, and following adoption by the Council, the CIL Charging Schedule then becomes a standard charge, consistently applied to qualifying new development, with no negotiation permitted between the Local Authority and developer to reduce the charge.

The 2014 West Lancashire CIL Charging Schedule

- 4.5 The Council originally agreed to pursue the introduction of a CIL charge in 2011; viability evidence was procured in 2012; a Charging Schedule was developed (prepared, consulted upon, and submitted) in 2013; and a public examination and adoption of the Schedule by the Council took place in 2014. CIL took effect on all qualifying new developments from 1 September 2014.

- 4.6 Between 1 September 2014 and 31 March 2022, the Council has collected almost £15 million of CIL monies from new developments across the Borough – over half of that stemming from sites allocated in the current Local Plan. As a result, CIL has clearly demonstrated itself to be a financially important tool for supporting the delivery of infrastructure and, with it, the ability of the Council to meet its wider objectives in improving local communities.

Preparing a new CIL Charging Schedule

- 4.7 Charging Schedules should be consistent with, and support the implementation of, up-to-date relevant plans - in this Council's case, the West Lancashire Local Plan. CIL, by its very nature, is inextricably linked to local planning as its very purpose is to help fund infrastructure required to support growth identified within the Local Plan. Whilst Charging Schedules are not formally part of the relevant plan, charging schedules and relevant plans should inform and be generally consistent with each other. Where practical, it is beneficial to undertake infrastructure planning for the purpose of plan-making and setting the Levy at the same time.
- 4.8 This relationship – between the Local Plan and CIL charging rates – is clearly of key relevance as West Lancashire Borough Council continues to progress with a new Local Plan to 2040. CIL charging rates must be carefully and considerately set, based on economic viability testing of different development types in different locations across the Borough so as to understand the level of financial contributions that are viable for each Use Class and location. This viability testing will be significantly influenced by policies within the Local Plan and the financial burdens resulting from the policies.
- 4.9 Since the adoption of the current Local Plan in 2013, there has been a range of changing policy requirements at national level – for example, new requirements for biodiversity net gain and the need to address the climate emergency – and ever-pressing issues to address in local policy, including affordable housing and energy efficiency in new buildings.
- 4.10 All of these competing demands, policy obligations, and financial obligations need to be carefully assessed and balanced to ensure viability. For example, if CIL rates are too high, this may act as a disincentive to developers resulting in less new housing being built, Local Plan housing targets not being met and potential income from the New Homes Bonus being reduced. Viability testing and evidence are key to ensuring CIL rates are set correctly; this will ultimately be tested by the Planning Inspector at the CIL Charging Schedule Examination.
- 4.11 In addition to viability considerations, when setting or reviewing a CIL Charging Schedule, local authorities need to collect an evidence base relating to the infrastructure required to deliver the proposed growth (of the relevant plan). In doing so, the Charging Authority should have regard to the actual and expected cost of infrastructure, other actual or expected sources of funding for infrastructure, and the actual and expected administrative expenses in connection with the Levy. Local authorities must identify what funding is available from existing sources to pay for the required infrastructure and then identify any subsequent 'gaps' in funding that CIL then be anticipated to fill, at least in part.

5.0 CURRENT POSITION

- 5.1 The Council prepared information on infrastructure needs, costs and a funding gap for the current CIL CS, in connection with supporting the current Local Plan, and has continued to maintain a list of required infrastructure schemes and their costs, where known, through the Infrastructure Delivery Schedule (IDS).
- 5.2 As the emerging Local Plan progresses, a new Infrastructure Delivery Plan (IDP) will need to be prepared, as part of the Plan's evidence base, in order to identify the existing infrastructure capacity, opportunities and constraints in relation to the growth proposed in the new Local Plan. As part of that, the IDS will continue to be maintained and updated in relation to all new infrastructure requirements so as to provide evidence of any continuing funding gap.
- 5.3 At Examination, the Charging Authority should use its Infrastructure Funding Statement to set out the projects or types of infrastructure that are proposed to be funded in whole or in part by the Levy. The list of projects or types of infrastructure may already have been examined through a plan examination, in which case the purpose of providing it for the CIL Examination should be only to provide evidence of the infrastructure funding gap, not to re-examine the list.
- 5.6 The details of the timing for the CIL Charging Schedule Examination (i.e. the latter stage of the process) still need to be determined. The Examination could be held alongside the Local Plan Examination, subject to notifying the Secretary of State (in accordance with CIL Regulation 22), or it could be held following an adoption of the Local Plan. This decision is for Senior Officers and Members to make, most likely once departmental reorganisation is confirmed and implemented and staffing resources are determined and in place.
- 5.7 There is also the possibility that, in the future, CIL will adapt into an Infrastructure Levy. Whilst the Planning for the Future White Paper (August 2020) suggests an Infrastructure Levy will be a national obligation on all councils, it is likely that rates will need to continue to be set locally and so any work on viability should not be abortive. Central Government has advised that until such time as it announces details of the new Levy, local authorities should continue to progress CIL review work as under current requirements (the same is the case for Local Plan preparation).
- 5.8 To summarise:
- A CIL Charging Schedule must ensure that a CIL charge is set at the correct level, based on (a) viability evidence which must also consider, reflect and incorporate all other policy requirements, and (b) evidence on infrastructure needs / costs which are necessary to support the growth set by the relevant Plan.
 - As the viability of a CIL charge is inexorably linked to local planning policies, the preparation of a new Local Plan provides an appropriate and timely opportunity to review the CIL Charging Schedule. The principle of undertaking a review of the CIL Charging Schedule alongside the preparation of a new Local Plan is thus established.

- This report therefore seeks Cabinet approval for officers to begin an 'in principle' review of the CIL Charging Schedule, to ensure it can be appropriately considered and viability tested against emerging Local Plan policies and growth / infrastructure requirements as the new Plan takes shape. However, the programming details of the CIL Charging Schedule review (in particular the timing of the Examination) will need to be determined in future once resources are confirmed. These details can be then reported to / agreed by Members at that time.

6.0 SUSTAINABILITY IMPLICATIONS

- 6.1 There are no direct implications for sustainability from the recommendations in this report. Ultimately, setting an appropriate CIL charge(s) should help deliver sustainable development in West Lancashire.

7.0 FINANCIAL AND RESOURCE IMPLICATIONS

- 7.1 The new Local Plan will be produced by the Council's Strategic Planning, Regeneration & Implementation Team (or its successor following the planned Council reorganisation). A review of the CIL Charging Schedule will require a robust viability study to be prepared by suitably qualified consultants; it will also require an Examination in Public (both at cost to the Council). Input from various sections of the Council (as well as external stakeholders and partners) will also be needed.
- 7.2 The costs of preparing a budgets of the CIL Charging Schedule will be covered by existing general revenue budgets.

8.0 RISK ASSESSMENT

- 8.1 A new CIL Charging Schedule will ultimately be subject to an Examination in Public to ensure that all the correct procedures have been followed in preparing the document. The Examination will also assess whether the document can be considered "reasonable" or not. In the event that the Council elects not to pursue a review of the CIL CS, there is a risk that CIL rates will be set at an inappropriate level with the effect of limiting the amount of infrastructure that may be funded and delivered in the future through development, with subsequent impacts on the sustainability of the Borough's communities. Failing to have appropriately-set CIL rates could also impact on development viability and hamper the Council's ability to deliver its housing requirements. By commencing a review of the CIL Charging Schedule at this point, the above risks can be minimised.

9.0 HEALTH AND WELLBEING IMPLICATIONS

- 9.1 There are no direct implications for health and wellbeing from the recommendations in this report.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

This report does not have any direct impact on members of the public, employees, elected members and / or stakeholders. Therefore, no Equality Impact Assessment is required.

Appendices

None.



**EXECUTIVE OVERVIEW
AND SCRUTINY
COMMITTEE: 13 January 2022**

PLANNING COMMITTEE: 9 February 2022

CABINET: 8 March 2022

Report of: Corporate Director of Place & Community

Relevant Portfolio Holder: Cllr G Owen

**Contact for further information: Heidi McDougall (Extn. 5191)
(Heidi.mcdougall@westlancs.gov.uk)**

SUBJECT: PLANNING SERVICES REVIEW UPDATE REPORT

Wards Affected: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To outline the proposed actions and update members on progress with implementing the recommendations of the planning services review.

2.0 RECOMMENDATIONS TO EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE

2.1 That the Committee consider the report and that the agreed comments of the Executive Overview and Scrutiny Committee on the Planning Services Review Update Report be forwarded to Cabinet for consideration.

3.0 RECOMMENDATIONS TO PLANNING COMMITTEE

3.1 That the Committee consider the report and that the agreed comments of Planning Committee be forwarded to Cabinet for consideration.

4.0 RECOMMENDATIONS TO CABINET

4.1 That the agreed comments of the Executive Overview & Scrutiny Committee (Appendix 2) and Planning Committee (Appendix 3) be considered and the Summary Level Project Plan, attached at appendix 1 be noted and endorsed.

5.0 BACKGROUND

5.1 In June 2021, Cabinet agreed to the implementation of the recommendations from the Planning Services Review Report.

5.2 A working group was established, made up of representatives from across the council including the planning service, the business intelligence team, IT, the communication and digital team and planning support, led by the Corporate Director of Place and Community to drive forward the implementation of the recommendations.

5.3 It was also agreed that Red Quadrant would continue to be involved in taking forward a number of the recommendations to create capacity and drive forward implementation.

5.4 Throughout June and July 2021, the working group reviewed all the recommendations made by Red Quadrant. Each recommendation was grouped according to the following themes; the steps required to accomplish each of the recommendations were then outlined and documented:

- Enforcement
- Pre-application Process
- Interface with Business Support
- Complaint Handling
- Customer Self-Service
- Workforce Planning

These themes are dependent on the outcome of the Planning white paper, financial constraints, and staff resources. At the heart of each theme will be the use of technology to both make processes more efficient and enable customers to self-serve, improving communication and engagement and delivering a range of training for officers and members.

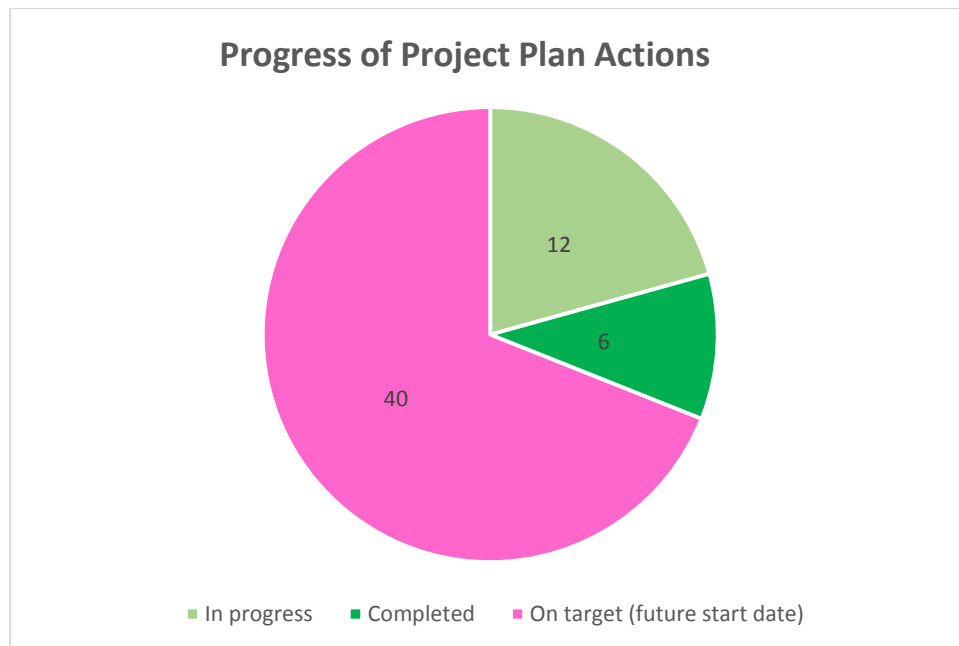
5.5 In September 2021, the action plan containing all the recommendations, sub tasks and timescales was agreed, albeit feedback was received requesting that future updates include specific implementation dates of future actions.

6.0 CURRENT POSITION

6.1 The Planning Review Implementation Project officially commenced in October 2021; the current expected completion date is November 2022. 81 recommendations were made by Red Quadrant, across 11 areas of focus. These were organised into a formal project plan, covering 56 main actions, further sub-divided into 210 individual tasks and approximate completion dates have been included. These are target dates only and will require flexibility in delivery, due to the constraints on resources currently being experienced.

- 6.2 In order to release experienced members of the team to devote time to project delivery, the recruitment of two temporary Planning Officers was approved under delegation. The Planning Service have a statutory workload, which is currently operating with a backlog of applications, due to non-project-related vacancies within the team, and the impact of COVID-19.
- 6.3 The two temporary project posts were advertised and subsequently recruited to from within the Planning Service, promoting two Planning Officers to Senior Planning Officers providing them with value experience of dealing with more challenging applications. The two temporary Planner Officer posts (backfill positions) have been re-advertised; however, it should be noted that there is a significant lack of available Planning Officers, both locally, and nationally. This means that recruiting suitable candidates remains a challenge and it is highly likely that other options, incurring additional costs, will need to be considered, such as use of agency workers or market supplement payments to ensure that sufficient resources are secured.
- 6.4 Despite the challenges with resources, the team have made good progress in carrying out the project tasks. A copy of the updated project plan is attached at Appendix 1, which shows that the following activities have been completed:
- The quick wins have been completed, including reviewing information currently available on the website, and developing a new appointment booking system for members who wish to speak directly with Planning Officers. The appointment system was launched on 10 January 2022.
 - A review of the Enforcement Process has commenced; a full end-to-end process map detailing the steps taken by the Planning Service and the Planning Support Team (within Business Support Services) was developed; a workshop was held with Red Quadrant to discuss the Enforcement Charter; discussions have commenced regarding the interaction with Legal Services; a first draft of the new Enforcement Charter has been drafted by Red Quadrant and is currently being reviewed by the team.
 - The Pre-App process has commenced; a full end-to-end process map detailing the steps taken by the Planning Service and the Planning Support Team (within Business Support Services) was developed; opportunities and barriers were discussed and captured and are being worked through to develop a more streamlined service.

6.5 Of the 58 main actions derived from the Red Quadrant recommendations:



- 31% are in progress or completed.
- 69% are on target with scheduled future start dates. See the project plan attached in appendix 1.

6.6 The team are approximately a quarter of the way through the project lifecycle; 31% demonstrates that the project is on target and actions are progressing at a good pace.

7.0 NEXT STEPS

7.1 The working group will continue to meet on a regular basis and monitor the delivery of the actions. Progress will also be reported into the Our Future; Our People Transformation Programme Board, Cabinet, Executive Overview & Scrutiny Committee and Planning Committee as required.

7.2 The focus over the next three months will be on reviewing the Enforcement Charter, providing feedback to Red Quadrant and agreeing a final version through the appropriate committee. A workshop will be held with Legal Services to develop a Service Level Agreement and review resource. Opportunities to improve and streamline the Enforcement internal process and the Pre-App service will be examined and future processes will be mapped out and steps identified to enable implementation.

8.0 SUSTAINABILITY IMPLICATIONS

8.1 The recommendations look to modernise and make the service more efficient whilst maximising income opportunities and providing a clear offer for customers making the service more sustainable and improving customer satisfaction.

8.2 This report has no significant impacts upon crime and disorder.

9.0 FINANCIAL AND RESOURCE IMPLICATIONS

9.1 The additional costs associated with recruiting temporary planning staff will be met from vacant posts and the reserve.

10.0 RISK ASSESSMENT

10.1 The risk of not taking forward the recommendations will continue to impact on service delivery. Regular monitoring will enable progress to be mapped and resources reviewed.

10.2 The risk of not recruiting to the vacant planning posts will affect service delivery and progress with implementing the review. The posts will be advertised and other options considered to ensure that sufficient resource is available.

11.0 HEALTH AND WELLBEING IMPLICATIONS

11.1 If additional staff resources are not provided to manage the current vacancies, daily workloads, backlog of cases and the recommendations of the review, the quantity of work could have a direct impact on the health and wellbeing of the current staff. The addition of extra resources into the team will help to create some capacity to manage this work moving forward.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

There is no direct impact on members of the public, employees, elected members and / or stakeholders by virtue of this report. Therefore an Equality Impact Assessment is not required.

Appendices

Appendix 1 – Planning Service Review Summary Level Project Plan

Appendix 2 – Minute of Executive Overview & Scrutiny Committee (Planning & Cabinet only)

Appendix 3 – Minute of Planning Committee (Cabinet only)

REF.	MAIN ACTION RAG STATUS	RED QUADRANT RECOMMENDATION	KEY TASKS FOR DELIVERY	PROGRESS RAG STATUS	SHORT/ MEDIUM/ LONG TERM	PREDICTED DELIVERY CYCLE	START DATE	PLANNED TARGET END DATE
PLANNING ENFORCEMENT								
ENFORCEMENT 001	In progress	Produce an up to date outward focused Planning Enforcement Charter with KPI's.	Hold initial meeting to discuss the task with Red Quadrant	Completed	Short	Cycle 1	01/10/2021	28/10/2021
			Agree process with Red Quadrant for assistance with undertaking the task, in consultation with Officers & Members. Hold initial workshop.	Completed	Short	Cycle 1	01/10/2021	28/10/2021
			Red Quadrant to produce report for comment.	In progress	Short	Cycle 1	01/10/2021	31/12/2021
			Team to create opportunity to involve others and create synergy with Enforcement Charter	In progress	Short	Cycle 1	01/10/2021	31/01/2022
			Link with communications- branding; design; website.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Red Quadrant to present to members in advance of scrutiny meetings.	On target	Short	Cycle 2	01/02/2022	31/03/2021
			Signed off at Planning Committee; Cabinet & Council.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
ENFORCEMENT 002	In progress	The Planning Service, Enforcement Team and Legal Services conduct a workshop exercise to produce an SLA based on mutual undertakings and obligations. The SLA should include KPI's, fee structure and minimum documentation requirements.	Impartial facilitator to conduct workshop with Legal Services for discussion of issues.	In progress	Short	Cycle 1	01/10/2021	31/01/2022
			Consideration of current pay re-charge for legal services and limited resources in legal for planning matters.	On target	Short	Cycle 1	01/02/2022	31/01/2022
			Conduct benchmarking exercise to compare process and practice with other authorities.	On target	Short	Cycle 1	01/02/2022	31/01/2022
			Identification of solutions.	On target	Short	Cycle 2	01/02/2022	28/02/2022
			Development of SLA once Legal and Democratic Services Manager and Monitoring Officer in place.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Present final progress report to the Our Future Transformation Programme Board and Cabinet.	On target	Short	Cycle 2	01/02/2022	31/03/2022
ENFORCEMENT 003	On target	An Annual Report on Enforcement activities be submitted to the appropriate committees. Consideration be given to a six monthly review.	Determine the key criteria and information that will be included within the report (including key improvements made to service and tree enforcement information).	On target	Medium	Cycle 3	01/03/2022	30/04/2022
			Utilise existing template (used previously) as a starter for ten to update and further develop.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
			Include Annual Enforcement Report on Forward Plan of meetings.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
			Issue annual report to ONS in May of each year and Cabinet in June, with the first report issued in May 2022.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
			Circulate report (by email) to all members as a Member update following Cabinet endorsement.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
ENFORCEMENT 004	In progress	The Planning Service consider if capacity and risk issues can be resolved via the delegation "down" to Enforcement Officers for writing non expedient reports and reports for action.	Conduct benchmarking exercise to compare process and practice with other authorities.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Develop process mapping of current and potential future process. (DUPLICATE OF 005.)	In progress	Short	Cycle 1	01/10/2021	31/01/2022
			Impartial facilitator (Red Quadrant/ Donald?) to conduct workshop for discussion of final process maps to finalise new approach.	On target	Short	Cycle 2	01/02/2022	31/03/2022
		The "traditional" approach to the management of Enforcement be replaced with greater accountability placed on Enforcement Officers and changes to management oversight.	Develop a standard pre-populated template as a starter for ten for Officers to further develop, as appropriate.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Consider changing job descriptions of Enforcement Officers to include as a key task of the role.	On target	Short	Cycle 2	01/02/2022	31/03/2022
ENFORCEMENT 005	In progress	The Planning Service and Council consider whether the absence of a seamless service is in the best interests of the Council, the planning service and the citizens and stakeholders of West Lancs.	Determine how the team currently operates and communicates with the customer (including multiple customers and wider stakeholders). Process mapping.	Completed	Short	Cycle 1	01/10/2021	31/12/2021
			Undertake customer journey mapping exercise to process map the current 'as is' and the potential 'to be'.	Completed	Short	Cycle 1	01/10/2021	31/01/2022
			Investigate complaints etc. through service now and develop a single system/ approach for communication.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Proactively encourage a shift to move customers to self-serve (i.e. online) rather than ringing up for advice.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Investigate opportunities to utilise different technology.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Finalise approach for managing expectations of customers- including all stakeholders.	On target	Short	Cycle 2	01/02/2022	31/03/2022
ENFORCEMENT 006	In progress	The Planning Service consider how best Building Control officers and others can support Enforcement Officers gather and corroborate evidence when carrying out site visits.	Explore as part of wider process mapping.	In progress	Short	Cycle 1	01/10/2021	31/01/2022
			Explore capacity of role of officers to undertake the task.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Develop recommendations to implement a revised approach and embed new process, if appropriate.	On target	Short	Cycle 2	01/02/2022	31/03/2022
PRE-APPLICATION ADVICE SERVICE								
PRE-APP 001	In progress	a) The level of charging fees for Planning Services be updated from 2016 to 2021. b) A mechanism be introduced using a variety of criteria to provide an annual review and justify of charges as part	Link to wider corporate project for fees and charges.	Completed	Short	Cycle 1	01/11/2021	31/01/2022
			Produce benchmarking information to determine current national average for fees and charges.	Completed	Short	Cycle 1	01/11/2021	30/11/2021

		to provide an annual review and upirt or charges as part of normal business in setting the Council's budget.	Once determined implement new fees and charges, including publicising revised changes to customers.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Annually increase fees, in line with corporate approach, moving forward.	On target	Short	Cycle 2	01/02/2022	31/03/2022
PRE-APP 002	On target	The turnover of planning applications from all categories for an agreed period be utilised as a base line for predicting income generation against the costs of the fee based service.	Determine time period for assessing turnover of planning applications.	On target	Short	Cycle 2	01/02/2022	28/02/2022
			Apply formula to turnover of planning applications X proposed charging fees to determine baseline for predicting income.	On target	Short	Cycle 2	01/02/2022	28/02/2022
			Utilise baseline for predicting income to tailor processes, service structure and approach to service delivery to meet income expectations.	On target	Short	Cycle 2	01/02/2022	28/02/2022
			Undertake evaluation/ analysis on a minimum of an annual basis to assess appropriateness of fees and charges.	On target	Short	Cycle 2	01/02/2022	28/02/2022
PRE-APP 003	In progress	Financial and Planning Service include in their internal KPI financial transactions received and paid for online linked to the Validation Process.	Liaise with Finance colleagues to determine most appropriate approach to gathering and analysing financial transactions received.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Undertake process mapping (where appropriate) to determine current 'as is' process and consider new 'to be' process.	In progress	Short	Cycle 1	01/11/2021	31/01/2022
			Re-assess current set of KPI's and include new financial KPI's	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Continue to monitor new financial KPI's to influence continuous service improvement and influence performance.	On target	Short	Cycle 2	01/02/2022	31/03/2022
PRE-APP 004	On target	a) Financial and Planning Services evaluate the costs and benefits of utilising the Planning Portal only as a means of processing offline payments as against the current range of payment options. b) The Councils Planning Web Portal be reviewed and decisions made as to which elements of planning processes should be provided solely via the governments sponsored Planning Portal.	Undertake workshop to determine scope in terms of costs and benefits.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Utilise benchmarking information i.e. approach of Warrington.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Look to streamline the range of payment options to online only (with the caveat of phone payment etc. in circumstances where appropriate)	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Devise approach to channel customers to the portal payment only.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Monitor revised process to determine effectiveness.	On target	Short	Cycle 2	01/02/2022	31/03/2022
PRE-APP 005	On target	A precise explanation be provided on council documentation explaining that charges are for professional services provided by the Planning Service.	Draft statement to be produced.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Gain approval of draft statement through appropriate channels.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Publicise approved statement on relevant documentation and relevant WLBC website pages.	On target	Short	Cycle 2	01/02/2022	31/03/2022
PRE-APP 006	In progress	The Planning Service devise a consistent way of working for all planning staff that provides clarity to officers, elected members and applicants as to the limits of preliminary advice prior to it becoming a chargeable service.	Develop process maps to determine approach to be taken for preliminary advice and limits prior to becoming a chargeable service.	In progress	Short	Cycle 1	01/11/2021	28/02/2022
			Develop standardised approach to working practices for implementation.	In progress	Short	Cycle 1	01/11/2021	28/02/2022
			Communicate standardised approach to all stakeholders via appropriate channels of engagement.	On target	Short	Cycle 2	01/02/2022	28/02/2022
			Provide officers with necessary training and 'permissions' to challenge stakeholders if revised process is not followed/ trying to be by-passed.	On target	Short	Cycle 2	01/02/2022	28/02/2022
PRE-APP 007	On target	Planning Officers apply their time within this criteria and ensure this is recorded on Idox/Uniform for charging and management purposes.	Time recording system to be investigated. Use benchmarking information where appropriate.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Revised time recording system to be approved.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Revised time recording system to be implemented across the service, facilitating engagement and buy-in form all staff.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Monitor appropriateness and effectiveness of new time management system and re-evaluate if not creating desired results.	On target	Short	Cycle 2	01/02/2022	31/03/2022
COMPLAINTS PROCESS								
COMPLAINTS 001	On target	The Planning Service affirm or otherwise that it is content that current council policy statements are sufficient reassurance to Officers who are the recipient of complaints alleging corruption and malpractice.	Review the existing process. Ensure input received from NP & JP.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Explore opportunity to develop a feedback process, include both compliments and complaints.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Develop new robust process to support and reassure Officers.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Create opportunities to showcase positive feedback received.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Link to Annual Report and utilise for continuous improvement for further service development.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
COMPLAINTS 002	On target	The Planning Service affirm or otherwise that appropriate HR support is available should it be sought under such circumstances.	Review the existing process. Ensure input received from HR.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Develop new robust process to strengthen current procedures.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Further utilise the WLBC website to manage stakeholder expectations.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Explore opportunity to develop a feedback process, include both compliments and complaints.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
		The Planning Service carry out an annual and sixth monthly review of complaints to identify any learning	Undertake process mapping to revise the process for monitoring of complaints and compliments to analyse the quantitative and qualitative responses received.	On target	Medium	Cycle 4	01/04/2022	30/06/2022

COMPLAINTS 003	On target	Monthly review of complaints to identify any learning opportunities (and/or gain reassurance) from complaints that may help both the planning service and corporate entity improve service delivery and reputation.	Link to EDM Project for issuing of FOI responses online.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Link to Annual Report and utilise for continuous improvement for further service development.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
STAKEHOLDER ENGAGEMENT & CONSULTATION								
ENGAGEMENT 001	On target	The Planning Service breakdown its weekly Planning List by Ward to enable councillors to readily become aware of planning applications.	Establish capabilities of UNIFORM to breakdown to Ward level.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Establish small working group between Planning Service and Planning Support to investigate opportunities for a new approach.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Determine clear ward boundaries for development of reports.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Begin issuing of new style reports.	On target	Long	Cycle 6	01/08/2022	30/09/2022
ENGAGEMENT 002	On target	The survey data on home working be evaluated to inform best practice working and collate any issues that impact on the planning service that may have implications for service delivery.	Undertake analysis of staff survey results.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Undertake analysis of Red Quadrant survey results.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Conduct a workshop to explore opportunities for different styles of working/ agile working.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Link with health and safety at work policies, including developing procedures to lone working on sites etc.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Link with health and wellbeing agenda, including issues surrounding mental health.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Develop a standardised approach to determine best practice and set boundaries as a team to determine flexibilities.	On target	Long	Cycle 6	01/08/2022	30/09/2022
ENGAGEMENT 003	On target	a) The Planning Service with Customer Services, Business Support and Legal Services engage in a workshop to assess process transfer and case monitoring to the first point of contact via the case management system and greater use of templates.	Conduct workshop to investigate the process and associated performance and determine what can be streamlines and/or automated.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
			Process maps to be conducted. Determine use of templates; automation to be determined. Multiple channels for customer contact - look to streamline and control this process.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
		b) The Planning Service review its case management processes and expectations to ensure all elements of the Planning resource have a formal responsibility and ability to respond to internal and external enquiries thereby enhancing the ability to manage case load in a seamless way.	Develop case management process with Legal Services, to track progress.	On target	Medium	Cycle 3	01/03/2022	30/04/2022
ENGAGEMENT 004	On target	The Planning Service with support from Customer Services initiate periodic customer experience interviews.	Implement sample survey approach and determine frequency of sample survey.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Undertake workshop with customer services to determine scope and availability.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Implement revised feedback process, including compliments and complaints. Promote and feedback results of analysis in a variety of formats, including Annual Report to Elected Members.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Create a customer journey based on planning perspective- not just customers itself.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Further utilise the WLBC website to manage stakeholder expectations.	On target	Long	Cycle 7	01/09/2022	31/10/2022
CONSULTATION PROCESS								
CONSULTATION 001	On target	The Parish Councils be encouraged where they have staff to accept the responsibility as the first point of contact for the promotion of awareness of local planning applications.	Engage with Parish Council's to determine their future requirements and current capabilities.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Determine whether Parish Council's have the resources and willingness to undertake this.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Determine opportunities to link with existing member training i.e. at the Parish Council Liaison Meeting.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Utilise exiting learning and development tools to strengthen our approach i.e. e-learning; Design Guide.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Be more pro-active in 'handholding' parish councils from the outset. Invest time at early stages. NOTE: Risk of high turnover and therefore wasted time of Officers.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Implement preferred approach to revise processes and support Parish Councils' through learning and development.	On target	Long	Cycle 7	01/09/2022	31/10/2022
CONSULTATION 002	On target	The Planning Service engage with developers and council partners on major applications to persuade them to deploy a wider range of tools including Planning for Real sessions that are interactive thereby promoting a greater understanding of their objectives.	Investigate opportunities to conduct 'Planning For Real' exercises.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Investigate a range of interactive tools for deployment within the service and provide recommendations for approval.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Conduct benchmarking exercise to compare process and practice with other authorities.	On target	Long	Cycle 7	01/09/2022	31/10/2022
			Escalate recommendations through approval process for implementation.	On target	Long	Cycle 7	01/09/2022	31/10/2022
ORGANISATIONAL STRUCTURES IN PLANNING								
ORGANISATIONAL 001	On target	The senior managers of the Planning Service produce a joint position statement in relation to the opportunities for change and service delivery within the context of proposals contained in the current White Paper for the Corporate Management Team.	Keep abreast of White Paper development and anticipate changes that potentially may impact the service.	On target	Long	Cycle 8	01/11/2022	30/11/2022
			Determine timescales for White Paper implementation and further develop scope for change and service delivery.	On target	Long	Cycle 8	01/11/2022	30/11/2022
			Determine if Chief Officer for design and place making is to be a requirement in the Bill.	On target	Long	Cycle 8	01/11/2022	30/11/2022

		Corporate management team.	Begin to scope 'look and feel' of what potential structure and future service will look like.	On target	Long	Cycle 8	01/11/2022	30/11/2022
ORGANISATIONAL 002	On target	The Planning Service anticipate the changes in the White Paper and review operational work practices to identify potential latent capacity and digital platforms for delivery of the service without disruption.	Keep abreast of White Paper development and anticipate changes that potentially may impact the service.	On target	Long	Cycle 8	01/11/2022	30/11/2022
			Determine timescales for White Paper implementation and further develop scope for change and service delivery.	On target	Long	Cycle 8	01/11/2022	30/11/2022
			Consult with colleagues/ partners from neighbouring authorities to share best practice and develop consistency.	On target	Long	Cycle 8	01/11/2022	30/11/2022
ORGANISATIONAL 003	On target	a) The Planning Service adopt an integrated approach to work flows and operational practices that place the responsibility for customer engagement with all elements of the Service to support a seamless service delivery and promote resilience. b) The Planning Service engage in an internal divisional workshop to consider how daily operational practices for customer engagement and satisfaction can be enhanced by all elements of planning contributing to managing the customer engagement process including telephony contact and case management. c) A business workshop exercise be conducted between the Planning service, Telephony and Business Support to identify service transfer opportunities and the means by which they can be delivered to provide a seamless service.	Undertake joint workshop with Planning Support Team to determine revised workflows and operational practices to improve service delivery.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Develop and undertake necessary workflows and customer journeys to identify the 'as is' and the 'to be'.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Create process whereby Planning Officers upload documentation to the system instead of planning support to create more efficient use of resource. New process to include development of a consistent labelling system that is clear to all.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Explore possibility of online booking service. Develop and implement as appropriate.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Develop and implement an integrated approach that is seamless for the customer.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
ORGANISATIONAL 004	On target	a) The Planning Service and HR consider pathways to promotion and development thresholds for career development based on work experience and qualifications. b) The Planning Service and HR review with trade unions and staff the range of acceptable qualifications and type of work experience relevant to becoming a Planner or career development within the Service.	Hold discussion with HR to scope potential for alternative thresholds for career development within the service. Include discussion with Trade Unions when appropriate.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Re-assess criteria and requirements within existing grading structure, with the intention to streamline and strengthen (removing unnecessary barriers to career progression).	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Benchmark with other Local Authorities to learn from best practice and determine whether the career grading thresholds at West Lancashire are fit for purpose.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Develop a range of approaches which seek to retain people within the organisation, including exploring the opportunity for a career graded system based on qualification and experience. Gain approval and implement as appropriate.	On target	Long	Cycle 6	01/08/2022	30/09/2022
ORGANISATIONAL 005	On target	The Planning Service enable staff to gain experience across all divisions and develop a mutual exchange programme with other LA's.	Continue current internal programme whereby a range of staff are gaining experience in other areas of the service and expand programme where appropriate.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Create template to showcase which staff have gained experience in which areas.	On target	Long	Cycle 6	01/08/2022	30/09/2022
			Long term objective to develop in conjunction with other authorities in the local area.	On target	Long	Cycle 6	01/08/2022	30/09/2022
ORGANISATIONAL 006	Completed	Financial Services and the Planning Service review the processes, audit tracking mechanisms for determining the level of CIL/infrastructure payments to be paid and collected.	Confirm with Finance that the new 2021-22 mechanism for determining the level of CIL/ infrastructure payments is in place and working effectively.	Completed	Short	Cycle 1	15/09/2021	07/10/2021
			Review the mechanisms if required.	Completed	Short	Cycle 1	01/10/2021	07/10/2021
BUSINESS SUPPORT & CUSTOMER SERVICES								
BUS SUPPORT 001	On target	A subject and volume analysis of back office calls to Planning including failed attempts be carried out.	Determine whether the data required is currently available and if not determine approach to begin to gather it.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Undertake analysis of calls via statistics gathered, based on subject and volume.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Undertake process mapping to re-assess work flows to full capacity in Uniform.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Investigate the 'failed attempts' of calls to analyse why and develop an appropriate solution.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
BUS SUPPORT 002	On target	The council consider carrying out a full business mapping process exercise of a planning process that focuses on complexity, risk , customer pathways and income generation.	Investigate current customer pathways to analyse the quantity and journey made. Look at the high level journeys to showcase opportunities to improve service delivery.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Focus on re-developing the high level journeys to showcase opportunities to further improve service delivery.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Identify simple ways to improve service to customers.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
IT INFRASTRUCTURE								
IT INFRASTRUCTURE 001	Completed	West Lancs should if possible novate the contract with IDOX from BTLs in order to benefit from a more direct contractual relationship	Check with Chris Walker if the contract has been novated. The contract was novated on 1st April.	Completed				
			Check the date of contract renewal (3 year contract until 31/03/2024).	Completed				
IT INFRASTRUCTURE 002	On target	Engage with IDOX to undertake a full audit of the use of the planning system as well as provide a cost/benefit analysis of on premise v hosted delivery.	Via the user group - discuss with other councils which options work best (on premise or hosted delivery.)	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Produce a report with the current issues and possible options, including undertaking full audit (if required)	On target	Medium	Cycle 5	01/05/2022	31/07/2022

IT INFRASTRUCTURE 003	On target	Establish a user group of district councils that utilise the same systems to provide collective leverage that focuses on sharing operational practices; intelligence, problems and workaround solutions to system applications, pilot test updates and sign off regardless of whether the management of IT systems are externalised.	Discuss with user group if possible to jointly procure IDOX. Investigate practicalities of developing a system that works for everyone.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 004	On target	a) Following the audit, West Lancs should commission a formal programme of training on the Uniform system for all planning and planning support staff. b) Identify lead officers from within other LA's who are familiar with IDOX Uniform and commission them to provide regular training for planners on a regional or bespoke basis.	Understand what tasks need to be completed in Uniform and the full range of functionality of Uniform. Consider both planning support and planning use of Uniform/IDOX.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Undertake training gap analysis (Kate Turner has access to both and the level of skills required.)	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Identify super users for the service, with advanced training (medium term goal)	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Explore arranging a training session - joint training session between planning support and planning.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Create "how to" training guides with consistent indexing system used by planning support.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 005	In progress	WLBC should consider the need to upgrade display screen equipment for planning staff and within environments used for planning committee meetings	Obtain views of officers about what they require.	In progress	Short	Cycle 1	01/01/2022	31/03/2022
			Identify what equipment is currently being used.	In progress	Short	Cycle 1	01/01/2022	31/03/2022
			Identify who would like additional equipment.	In progress	Short	Cycle 1	01/01/2022	31/03/2022
			Identify what equipment is needed for onsite visits for planning committee and planning officers	On target	Short	Cycle 1	01/01/2022	31/03/2022
			Identify budget for the equipment.	On target	Short	Cycle 1	01/01/2022	31/03/2022
			Identify who is responsible for planning committee equipment (screens in the committee room and hand held devices)	On target	Short	Cycle 1	01/01/2022	31/03/2022
IT INFRASTRUCTURE 006	On target	IT facilities and access to the Idox case management system should be reviewed to enable Planning Support and Customer services to provide a wider range and deeper level of service	Identify which staff/teams can access planning systems and what they use it for	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Investigate if customer services could get basic access to view information to support phone call enquiries.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Investigate how customers can get access to updates on where their case is up to. Provide instructions on how to use the system to find out information.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 007	On target	The look and feel of the Planning service web planning portal (Council webpage) requires fundamental change to facilitate the promotion of the Planning Service as part of the One Council Vision and to enhance customer access and understanding.	Scoping exercise - see what the functionality is on the current webpage and compare with other LA's.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Hold workshop to look at the different options and which areas planning officers would like to implement/take forward.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Identify a web champion within planning.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 008	On target	a) IT systems should support the easy uploading of large files. b) The capacity of software and hardware be reviewed to enable easy downloads for large plans.	Produce/reinforce communications about the acceptable file types that can be submitted. Suggestion of the files being flattened before sending.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Link this with the action around asking people to submit applications via the planning portal.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Contact Legal Services to see if there are any issues with asking people only to submit through planning portal.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 009	On target	The Planning Portal (MHLG) function, templates and financial transaction services should be assessed by Planning and Finance to determine which links may offer efficiency savings in monetary and work load transfer terms.	Ensure clear signposting toward the portal on our website.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Explore the options for different types of payment.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Assess whether only to allow BACS payments for payments over a certain value.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Discuss with Service Now how this could be used for pre-apps and have an interface with IDOX.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Investigate if Planning/Planning Support can procure or be allocated Service Now licences.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 010	On target	a) The Council ensure that IT can support virtual site assessments and presentations to the Planning Committee. b) The Planning Service ensure its IT capabilities enable virtual site assessments to support Enforcement, Development and Policy review.	Ensure that microphones and screens work correctly in the chamber.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Look at what technology is required for members to use and arrange procurement.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Ensure that members are trained in the use of their IT equipment.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
IT INFRASTRUCTURE 011	In progress	An appointment system be introduced for Members enquiries with casual attendance at the planning office discouraged.	Coordinate a standardised approach for an appointment booking system with all planning officers.	Completed	Short	Cycle 1	15/09/2021	30/11/2021
			Produce communications to explain the new appointment booking process. To include comms to members and team.	In progress	Short	Cycle 1	15/09/2021	31/12/2021
			Comms with the team to ensure the new approach works.	In progress	Short	Cycle 1	15/09/2021	31/12/2021
			Implement the new standardised booking system approach.	In progress	Short	Cycle 1	01/12/2021	31/01/2022
			Implement and monitor new process	In progress	Short	Cycle 1	15/09/2021	31/12/2021
IT INFRASTRUCTURE 012	On target	The hardware available to Members and Officers with particular reference to visual presentations be reviewed.	Engagement to find out what the members would appreciate in terms of equipment.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Obtain costings and look at the different options for equipment.	On target	Medium	Cycle 5	01/05/2022	31/07/2022

IT INFRASTRUCTURE 013	On target	a) The issues around IT and understanding of its capabilities and limitations be addressed as outlined below. b) Given the current challenges impeding site visits the Planning Service consider how an interactive technical solution can be provided to Members and on line to the public.	Check what is required by law for information shown on drawings.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Look at the validation process - update instructions/advice for submitting plans - to include measurements.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			For more complex schemes agents to submit more detailed drawings.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
PLANNING PORTAL (WLBC WEBSITE)								
PORTAL 001	Completed	The Planning Service remove all redundant documents from the Web Portal and validate that embedded links actually function.	Currently two validation checklists on website. Old version to be removed.	Completed	Short	Cycle 1	15/09/2021	07/10/2021
			SPD's to be reviewed and old ones removed/ archived as appropriate.	Completed	Short	Cycle 1	15/09/2021	07/10/2021
PORTAL 002	Completed	The SCI's role as a critical tool for community engagement, education and promotion of the Councils reputation be reflected in the Planning Web Portal with an appropriate explanation that is more than a short link.	Appropriate explanation of the SCI's role developed and uploaded to Portal.	Completed	Short	Cycle 1	15/09/2021	07/10/2021
COMMUNICATIONS								
COMMS 001	In progress	The Planning Service consider how the current West Lancs website referencing Enforcement links can be improved to reflect the Councils Vision and Values, public access, understanding and external sources of advice including links to the Planning Portal.	Review the enforcement content on the website and the contact details that are provided.	Completed	Short	Cycle 1	15/11/2021	15/12/2021
			Benchmark against other websites from LAs.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Design the new content.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			When new policies/information are developed ensure this is uploaded.	On target	Short	Cycle 2	01/02/2022	31/03/2022
COMMS 002	On target	The Planning Service and Corporate Communications engage in a plain English review and communication strategy for Enforcement within the context of the law, planning policy and the Council's Vision and Priorities mission statement.	Look at how other LAs explain and communicate the key messages.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Comms campaign to stress that WLBC will enforce planning regulations. Zero tolerance on abuse of officers. On website and all external communication. Review the current statement on the website regarding vexatious complaints.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Create link to the Corporate Complaints Policy - complaints about decisions do not come under the Corporate Complaints Procedure.	On target	Short	Cycle 2	01/02/2022	31/03/2022
COMMS 003	On target	The Planning Service and Corporate Communications devise a periodical promotional campaign of the benefits of the Pre Application Advice Service.	Identify budget for the campaign.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Devise promotional campaign using a range of measures - website, Parish Councils, posters in key venues, such as DIY stores etc.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
COMMS 004	In progress	The Planning Service ensure that embedded links in web documents actually function.	Check links associated with planning are functioning.	Completed	Short	Cycle 1	15/09/2021	07/10/2021
			Explore feasibility of a digital request to LCC to create a table of contents page. Obtain costs/timescales.	Completed	Short	Cycle 1	07/10/2021	28/10/2021

			Resolve any issues with links in website documents that are identified.	Completed	Short	Cycle 1	01/12/2021	31/01/2022
			Identify top 10 most used planning webpages on our website.	On target	Short	Cycle 2	01/02/2022	31/03/2022
			Review and update top 10 most used planning webpages on our website.	On target	Short	Cycle 2	01/02/2022	31/03/2022
COMMS 005	Completed	All out-dated planning documents be removed from the councils Web Portal and time of last review dates be placed on all documents as a matter of course.	Remove outdated validation check lists from the website. Quick win.	Completed	Short	Cycle 1	15/09/2021	15/10/2021
			Add updated guidance notes on the pre-app process (along with fee schedule) and the enforcement documents. Link to the Pre-app and Enforcement actions. This is a duplicate and covered under PRE-APP 005 SO WILL BE CLOSED AND COVERED UNDER THE ABOVE ACTION.	Completed	Short	Cycle 2	N/A	N/A
COMMS 006	On target	The Planning Service and Corporate Communications reflect on how best to promote in the public eye the integrity of the Planning Service.	Create an FAQ document	On target	Medium	Cycle 5	01/05/2022	31/07/2022
COMMS 007	Completed	It is good practice in relation social media sites where Council Officers and Members are maligned to demand the Administrator remove the postings.	When this happens, look to see if the person should be directly contacted, or sent to the service manager to comment.	Completed	Short	Cycle 1	01/12/2021	31/01/2022
			Take the communication away from social media to have direct conversation.	Completed	Short	Cycle 1	01/12/2021	31/01/2022
COMMS 008	On target	The three service areas agree thresholds of access to case management systems to enable enhanced communications with the public on progress and annotations recording contact and response.	This action would be led by development management, business support and customer services. DEPENDENCY - availability of a suitable back office system.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
ELECTED MEMBER TRAINING								
MEMBER TRAINING 001	On target	a) Member Training be provided on the Enforcement Process with particular reference to prosecutions and retrospective applications. b) Democratic Services amend the Council's Constitution following agreement with Members to make formal training a condition of serving on the Planning Committee. c) A workshop training module be developed for elected members and officers that covers the Pre-Application Advice Service Charging and Validation process. d) The Planning Service in conjunction with the Planning Committee prioritise key areas of training that are essential to their role including the role of Officers in presenting Reports and recommendations.	Identify what the annual training includes.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Undertake gap analysis to find out what the training should include.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Design bitesize courses for members.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Develop a booklet/guide on the planning process/ FAQs - link with the enforcement plan	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Organise one training session which covers this criteria and Elected Member 002.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Take the suggestion to member development commission (beginning of July).	On target	Medium	Cycle 4	01/04/2022	30/06/2022
MEMBER TRAINING 002	On target	a) The Council's Constitution be amended to ensure newly elected or appointed Members to the Planning Committee may attend with Observer Status until training is provided. b) Party Leaders consider whether training for all members on Planning be mandatory.	Benchmark against other local authorities e.g. Wigan Council.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Terms of reference for the planning committee would need to be amended to say that training is mandatory.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Terms to reference taken to member development	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Taken to planning committee	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Pre-meet with the Leaders prior to any reports being submitted to Cabinet.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
			Take to Council for approval.	On target	Medium	Cycle 5	01/05/2022	31/07/2022
MEMBER TRAINING 003	On target	Democratic Services build into Members Annual diary provision for several training modules including Enforcement, Pre-Application Advice and Validation on Planning for all Members.	Planning Team to determine the possible dates.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Once training identified liaise with Member Services to get the dates built in.	On target	Medium	Cycle 4	01/04/2022	30/06/2022
			Prior to training session, an email to be sent out to all members.	On target	Medium	Cycle 4	01/04/2022	30/06/2022

73 **PLANNING SERVICE REVIEW - UPDATE**

Consideration was given to the report of the Corporate Director of Place and Community as contained on pages 1373 to 1386 of the Book of Reports, which outlined the proposed actions and updated Members on progress with implementing the recommendations of the Planning Services Review.

The Corporate Director of Place and Community outlined the report and explained that Red Quadrant had been involved in taking forward the Planning Service Review. The Working Group reviewed 81 approved recommendations which were grouped into 'themes'. These were organised into a Project Plan, covering 58 main actions and further sub-divided into 210 individual tasks.

She explained that the target dates require some flexibility in delivery, due to the constraints on resources currently being experienced. She informed that despite this, good progress has been made, with 31% of the actions in progress or completed. Some of these, included reviewing information currently on the Council website; developing a new appointment booking system for Members who wish to speak directly with Planning Officers; review of the Enforcement and Pre-App process; reviewing the Enforcement Charter, a final version of which will be brought to the appropriate Committee.

In discussion questions and comments were raised in respect of:

- Planning restructure - request to possibly have an input at Overview & Scrutiny Committee / Members have input through budget process / delay to the process could be damaging
- Loss of Senior Posts / will Members see breakdown of Senior post job description and remit
- Restructure is same capacity as previously with two additional posts within existing budget through delegated authority
- Booking system for Members – Members to agree a suitable date/time with Case Officer.
- It was noted that there are 58 main actions and not 56 as stated in paragraph 6.1 of the report

The Chairman and Members of the Committee expressed their thanks for the update and all that has been achieved.

RESOLVED:

- A. That the Committee considered and noted the report on the Planning Services Review and that the Report be forwarded to Cabinet for their consideration.

B. That a progress update report be presented to Executive Overview and Scrutiny Committee in Autumn 2022.

Minute of Planning Committee – 9 February 2022

114. PLANNING SERVICES REVIEW UPDATE REPORT

Consideration was given to the report of the Corporate Director of Place and Community as contained on pages 783 to 787 of the Book of Reports the purpose of which was to outline the proposed actions and update members on progress with implementing the recommendations of the planning services review.

RESOLVED: That the agreed comments below be reported back to Cabinet:-

- (i) That it was felt that the proposed structure needed to be reconsidered with regard to Planning and Regulatory Services.
- (ii) That the Head of Planning and Regulatory Services should be a qualified Planner.
- (iii) That all members of the Council should receive planning training before either becoming a member of Planning Committee or acting as a substitute.



EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE:
24 February 2022
CABINET: 8 March 2022

Report of: Corporate Director of Transformation & Resources

Relevant Portfolio Holder: Councillor Y Gagen

Contact for further information: Name Sharon Lewis (Extn. 5027)
(E-mail: sharon.lewis@westlancs.gov.uk)

SUBJECT: EQUALITY, DIVERSITY & INCLUSION STRATEGY AND EQUALITY OBJECTIVES 2022-2026

Wards affected: Borough wide

1.0 PURPOSE OF THE REPORT

1.1 To present the Equality, Diversity & Inclusion Strategy and the Equality Objectives for the period 2022 to 2026.

2.0a RECOMMENDATIONS TO EXECUTIVE OVERVIEW & SCRUTINY COMMITTEE

2.1a That the Equality, Diversity & Inclusion Strategy for the Council and the Equality Objectives 2022-2026 be considered and agreed comments before forwarded to Cabinet for consideration.

2.0b RECOMMENDATIONS TO CABINET

2.1b That, having regard to the agreed comments of the Executive Overview & Scrutiny Committee, Cabinet approve the Equality, Diversity & Inclusion Strategy for the Council and the Equality Objectives 2022-2026.

2.2b That the Equality Objectives form part of the relevant Head of Service, Service Action Plan targets.

3.0 BACKGROUND

3.1 As a Public Sector organisation the Council has a public sector equality duty (PSED) in accordance with the requirements of the Equality Act 2010. This

means the Council must, in the exercise of all our functions, have **due regard** to these three aims:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

3.2 The Equality Act 2010 explains that the second aim (advancing equality of opportunity) involves, in particular:

- Removing or minimising disadvantages suffered by people due to their protected characteristics. Taking steps to meet the needs of people with certain protected characteristics where these are different from the needs of other people.
- Encouraging people with certain protected characteristics to participate in public life or in other activities where their participation is disproportionately low.

4.0 CURRENT POSITION

4.1 To assist the Council in fulfilling its Public Sector Equality Duty (PSED) it is required to have Equality Objectives as a public sector organisation. The last set of equality objectives in place for the Council were developed to complement the key priorities adopted by the Council in the Council Plan 2015-2018.

4.2 Equality Objectives should be refreshed at least every four years. A refreshed set of equality objectives, which align to the current Council's vision and priorities, has been developed and incorporated into an Equality, Diversity & Inclusion Strategy which summarises the Council's legal responsibilities as set out in the Equality Act 2010 in relation to the protected characteristics of **sex, gender reassignment, disability, race, age, marriage and civil partnership, religion or belief, pregnancy and maternity and sexual orientation**.

4.3 Consequently a new Equality, Diversity & Inclusion Strategy has been developed which incorporates a set of revised Equality Objectives and is attached at Appendix 1. These refreshed objectives align with some of the key priorities for the Council and establish key actions to be taken to achieve those objectives. The Heads of Service responsible for each particular objective have been identified as the lead officer in each case.

4.4 The Strategy document and Objectives have been brought together following consultation with each service within the Council, who have put forward representatives to an Equality, Diversity & Inclusion Working Group.

4.5 It is proposed that the Equality, Diversity & Inclusion Strategy and Objectives are approved for adoption by the Council. Once adopted, the Equality Objectives will then form part of the Service Action Plans for the relevant Head of Service to be monitored and delivered.

- 4.6 More detailed action plans for achieving the objectives will be developed locally to demonstrate how the objectives are being met.
- 4.7 Progress against the objectives will be reported to CMT and Cabinet on a quarterly basis.

5.0 SUSTAINABILITY IMPLICATIONS

- 5.1 The information set out in this report aims to help the Council improve its commitment to fulfilling its Public Sector Equality Duty (PSED). There are no significant sustainability impacts associated with this report.

6.0 FINANCIAL AND RESOURCE IMPLICATIONS

- 6.1 There are no significant financial or resource implications arising from this report.

7.0 RISK ASSESSMENT

- 7.1 The actions referred to in this report are covered by the scheme of delegation to officers and any necessary changes will be made in the relevant risk registers.

8.0 HEALTH AND WELLBEING IMPLICATIONS

- 8.1 The proposal will provide measurable equality objectives for the Council to work towards achieving. It is anticipated that the successful achievement of these objectives will *maximise positive and minimise negative impacts in the following areas:*

- Promote good health and wellbeing and enable people to flourish
- Empower people in vulnerable, deprived and disadvantaged communities to realise their full health potential
- Encourage and enable all people to take a role in identifying and addressing barriers to improve health and wellbeing
- Increase people's independence throughout their life course and ability to lead full active lives

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

There is a direct impact on members of the public, employees, elected members and / or stakeholders, therefore an Equality Impact Assessment is required. A formal equality impact assessment is attached as an Appendix to this report, the results of which have been taken into account in the Recommendations contained within this report

Exempt Information (*To be included only on those reports covered by Schedule 12A i.e. Exempt Information*)

In all the circumstances of the case, the public interest in maintaining the exemption under Schedule 12A, outweighs the public interest in disclosing the information.

Appendices

1. Equality, Diversity & Inclusion Strategy and Equality Objectives 2022-2026 and appendices
2. Equality Impact Assessment



EQUALITY, DIVERSITY & INCLUSION STRATEGY 2022 - 2026

WEST LANCASHIRE BOROUGH COUNCIL

EQUALITY, DIVERSITY & INCLUSION (EDI) STRATEGY 2022 – 2026

1. INTRODUCTION

West Lancashire is one of 12 districts in Lancashire and has a diverse community. In 2020, the district had a population of 114,496 and is made up of several small towns, villages, and rural farmland.

We recognise that people who provide and use our services come from varied backgrounds and have different experiences. We value this diversity and the ways in which it contributes to the richness of life and the character of the community we serve.

The Equality, Diversity, and Inclusion Strategy 2022 to 2026, sets out our commitments and objectives for the next 4 years and will build upon what we have already accomplished and details our renewed commitment to achieve even more.

This EDI Strategy is aligned to our corporate objectives and ambitions and our vision for a fully embedded, diverse, and inclusive culture within West Lancashire.

2. OUR COMMITMENT

Our priority is to develop, commission and deliver services that will help to overcome discrimination and disadvantage and remove barriers to access and opportunities in the Borough.

We will use our position and influence to promote equality in all aspects of community life and equality and diversity underpins our overall council strategy, our policies and procedures and our corporate vision and values.

We want to create an inclusive workplace that reflects the communities we serve, where everyone feels valued and respected because of their differences.

This strategy applies to all our functions and activities including employment, service delivery, budget setting, procurement, and regulatory functions.

3. OUR EQUALITY STATEMENT

We want every resident and visitor to West Lancashire to be treated fairly and with dignity regardless of age, sex, disability, race, belief, and sexual orientation and with respect to their marriage and civil partnership, pregnancy and maternity or gender reassignment status. We also acknowledge that in December 2016, the UK Government formally adopted the International Holocaust Remembrance Alliance working definition of anti-Semitism.

We will use our position and influence to promote equality in all aspects of community life.

Everyone that works or has a role at West Lancashire Borough Council will:

- Promote and maintain an atmosphere in which people of all backgrounds feel welcome, valued, and respected
- Understand that equality is not about treating everyone the same but about recognising and addressing the specific needs, experience, and background of individuals
- Treat each person as an individual and find out what their needs are rather than making assumptions
- Be prepared to take a flexible approach, ensuring all service users can access our services
- Be aware of the behaviours and barriers that can form discrimination and understand the negative impact these can have on service users, visitors, and staff
- Speak out and report if they witness, become aware of or are a victim of any form of discrimination, bullying, unfair treatment or harassment
- Not victimise, or attempt to victimise, anyone who has made complaints on discrimination or provided information on discrimination
- Be aware of and take account of the Council's policies

We will regularly monitor and report on the progress we make in addressing discrimination and disadvantage in our Borough and this progress will be evaluated regularly by our senior managers and elected members.

4. OUR VISION

'West Lancashire together; the place of choice to live, work, visit and invest'.

4.1 Our Priorities are:

- Create empowered, engaged, and inclusive communities
- Support businesses to adapt and prosper
- Become a Greener West Lancashire
- Be a financially sustainable Council by 2023
- A clean safe environment with affordable homes to buy or rent for everyone in West Lancashire
- Everyone to be healthy, happy, safe, and resilient
- Everyone to be proud of their Council

4.2 We have a set of Employee Core behavioural standards for everyone that works or has a role at West Lancashire Borough Council

- Putting Customers first - Understanding customers and putting customers at the heart of everything we do
- We will Do what we say we will do when we say we will do it
- Being Positive and Adaptable - Responding positively to change, being optimistic in finding solutions to challenges and operating with honesty and integrity
- Taking Responsibility and Achieving Results - The ability and willingness to focus on achieving individual and organisational goals
- Working Together - Working together across teams, services and with partners to achieve the objectives of the Council

4.3 Everyone that works or has a role at West Lancashire Borough Council is expected to:

- Promote and maintain an atmosphere in which people of all backgrounds feel welcome, valued, and respected
- Understand that equality is not about treating everyone the same but about recognising and addressing the specific needs, experience, and background of individuals
- Treat each person as an individual and find out what their needs are rather than making assumptions
- Be prepared to take a flexible approach, ensuring all service users can access our services
- Be aware of the behaviours and barriers that can form discrimination and understand the negative impact these can have on service users, visitors, and staff
- Speak out and report if they witness, become aware of or are a victim of any form of discrimination, bullying, unfair treatment or harassment
- Not victimise, or attempt to victimise, anyone who has made complaints on discrimination or provided information on discrimination
- Be aware of and take account of the Council's policies

5. OUR PRINCIPLES

5.1 Equality

Equality is about ensuring a fairer society where individuals or groups of people are not treated less favourably, and where everyone can participate and have the same opportunity to fulfil their potential.

5.2 Diversity

Diversity is about recognising the value of difference. It means considering and appreciating all the unique characteristics that make people who they are. This includes, but not limited to, national origins, language, race, colour, disability, ethnicity, gender, age, religion, sexual orientation, gender identity, socioeconomic status, and family structure. Diversity also encompasses diversity of thought and life experiences.

5.3 Inclusion

Inclusion is about creating and maintaining a culture where people feel welcomed and valued for who they are as an individual or group.

Equality, Diversity, and Inclusion are tangible and are critical to our success as a Council. They are outcomes and they are measurable. The combination of the three give greater impact and change that can be established on our EDI journey.

6. LEGISLATIVE CONTEXT

As a public body, West Lancashire Borough Council is subject to the requirements of the Equality Act 2010 and the Public Sector Equality Duty (PSED).

6.1 The Equality Act

Under the Equality Act 2010 we have certain duties which we must have regard for when going about our business to advance equality:

- Removing or minimising disadvantages suffered by people due to their protected characteristics

- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low

The 9 Protected characteristics identified within the Act are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Further information on the protected Characteristics and the current statistics for West Lancashire are detailed in Appendix 1.

6.2 The Public Sector Equality Duty (PSED)

States we must, in the exercise of all our functions, have due regard to the following three aims:

1. Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act
2. Advance equality of opportunity between people who share a protected characteristic and those who do not
3. Foster good relations between people who share a protected characteristic and those who do not

Under the duty we must publish:

- Equality objectives at least every 4 years that are specific and measurable
- Information on an annual basis to showing how our employees and citizens who share a protected characteristic are affected by our services and functions

The Council also publishes information regarding the equality profile of its workforce annually which can be found on the Intranet via the link : [What our duties are - West Lancashire Borough Council \(westlancs.gov.uk\)](https://www.westlancs.gov.uk/what-our-duties-are)

7. OTHER INEQUALITIES

Whilst not protected characteristics under the Equality Act, the Council considers the following as important issues to address equality, diversity and inclusion and further information is available in Appendix 2.

- Modern Day Slavery Act
- Socio-economic inequality
- Antisemitism
- Islamophobia
- Neurodiversity
- Human Rights
- Hate Crimes and Incidents
- Menopause
- Carers

8. OUR ACHIEVEMENTS TO DATE

7.1 Groups

We have a Cabinet Member with responsibility for equality within the Transformation and Resources portfolio.

We have established our EDI Working Group from representatives from each service area. The main duties and responsibilities of the working group members are:

- To design and develop Equality, Diversity, and Inclusivity Objectives, linked the to the Corporate Priorities for the Council
- To recommend these objectives to CMT and Cabinet for adoption by the Council
- To promote, facilitate and monitor the delivery of the Council's equality objectives and report progress to CMT and Cabinet on a quarterly basis
- To design and develop a Corporate Equality, Diversity, and Inclusivity Strategy, linked the to the Corporate priorities and the EDI objectives for the Council
- To recommend the Corporate Strategy to CMT and Cabinet for adoption by the Council
- To promote, facilitate and monitor the delivery of the Council's equality, diversity and inclusivity strategy and report progress to CMT and Cabinet on a quarterly basis
- To review local and corporate policies and procedures about Equality, Diversity & Inclusivity as necessary
- To support local services to undertake Equality Impact Assessments for all policies changes and decision making
- To support local services to deliver the actions required as part of the Equality, Diversity & Inclusivity Objectives and Strategy.
- To update local service management teams on corporate equality activities
- To support the Council in meeting its Public Sector Equality Duty (PSED)
- To promote awareness of Equality, Diversity & Inclusivity in local service DMT's and Team meetings
- To encourage the take up and assist in the delivery of training, support and guidance on Equality, Diversity & Inclusivity within their own service area
- To assist and advise on effective communication with staff and stakeholders both corporately and locally on progress made on EDI objectives and actions
- To undertake regular training and receive updates
- To produce reports to CMT and cabinet on a quarterly basis on the working groups activities, including recommending and requesting approval for actions

7.2 Benchmarking

- We are a Disability Confident Employer, level 1 Committed, and we will use this tool to make improvements and learn from our submitting partners.

7.3 Equality Impact Assessment (EIA)

- We use EIAs as a policy and service improvement tool to help us to identify what we need to do to better meet our community's needs and provides us with an opportunity to consider how we can further promote equality, diversity, inclusion in everything that we do.
- The Council's approach to Equality Impact Assessments (EIAs) has been integrated into the organisation's decision-making process with all proposals requiring one.

7.4 Learning

- Equality, Diversity, and Inclusion is covered during induction and is embedded in all training
- We have a series of Equality Training modules available online for all staff including a guide to reasonable adjustments, unconscious bias, and communication with deaf and hearing-impaired customers. The full suite of Equality Training available on our E-learning system is detailed in Appendix 2
- Equality training is an essential mandatory training provision, and an understanding of equality and diversity matters is addressed annually during the staff development Appraisal process
- We provide specific Equality, Diversity & Inclusivity online training for Councillors with links to support documentation

7.5 Management Information and monitoring

- We have employee data on equality and diversity, that enables us to look at trends and report progress
- We recognise that equality monitoring is central to its principle of operating fairly and equitably in terms of both employment practices and service design and delivery. We need information about the characteristics of our community, staff, and service users, if we are to understand people's needs and to monitor whether we are meeting them
- Quarterly reports will be considered by CMT and Cabinet that show where we are in relation to progress against our equality objectives

9. OBJECTIVES & HOW WE WILL ACHIEVE THESE

The following outlines our key EDI objectives that are aligned to our Corporate Priorities. A separate EDI action plan will be developed to outline the specific actions, who is responsible for each activity, the deadline for completion and the measurement of success. See Appendix 3 for Equality Objectives.

The Equality Objectives in summary are:

- To support the delivery of an improved leisure facilities, offer within the Borough, in collaboration with partner organisations, that is open and accessible to all.
- To encourage all citizens within the Borough, to live active and healthy lifestyles, that improves the life chances of residents and have a positive impact on West Lancashire by promoting Health and Wellbeing in the community.
- To support the continued development of the digital inclusion, offer to improve access to the Council's services across all sectors of the borough's residents, to improve the overall wellbeing of citizens of the Council
- To support the continued development of Service particularly with the Community Connector team, to improve the health and wellbeing of citizens of the Council
- To encourage a diverse range of applicants for recruitment into our workforce, that reflects the population of West Lancashire

10. HOW WILL WE MEASURE SUCCESS?

Data

- We will use our employee diversity data to measure our progress on increased recruitment, retention, and staff development of those from underrepresented groups
- We will work together with Services to monitor and improve the use of equality data already collected and encourage the increase in obtaining quality data that can help with better decision making
- We will compare our data to external sources to evidence how reflective we are of the communities we serve

Feedback

- Our employee surveys will include EDI indicators which will give a baseline measurement and better understanding of employee experiences; allowing us to identify if we are making progress
- Our customer surveys will include EDI indicators which will give a baseline measurement and better understanding of their experiences; allowing us to find out if people feel that we are making progress

External Standards

- We will build on our Disability Confident Employer status from level 1 to level 2

11. WHERE ARE WE NOW?

We recognise that we are on a journey, and we have established a 4-step evaluation process to assess how successful we are with our EDI implementation:

11.1 Level 1

As required by the Equalities Act 2010. Reporting of statistics and Equality documentation and policies and procedures publicly available.

Achieved

11.2 Level 2 - Awareness and understanding

Leadership and management recognise and are committed to the benefits of EDI to our overall success. Data readily available and Equality Impact Assessments undertaken.

Achieved

11.3 Level 3 Integrated EDI

Implementation of EDI strategies and actions across all activities to promote and support positive and inclusive behaviours in the delivery of functions and services

Working towards

11.4 Level 4 Sustained EDI

EDI forming part of our overall Council strategy and will impact on our success, with role models being visible at all levels of the organisation.

Ambition to achieve.

12. LINKS TO OTHER DOCUMENTS

This strategy supports and influences other key documents such as the Equality pages on the external website, Equality in employment statement, People Strategy, Access to information, Access to translation services and on the internal intranet such as Dignity at work policy, HIV and AIDs policy, Equality Impact Assessment Guide, Working Practices on religion and belief in the workplace, gender identity and gender reassignment, People Strategy, Access to information, Access to translation services and employee behavioural standards. Further details and links are listed in Appendix 4.

13. EVALUATION & REPORTING

We will monitor and report on the progress we make in addressing discrimination and disadvantage in West Lancashire in relation to the equality objectives and this progress will be evaluated regularly by our senior managers and Elected Members. These quarterly updates will include equality data, as well as providing a general account of our progress in relation to our objectives.

This is a working document that will be reviewed and updated on a regular basis to make sure it meets the needs of our customers, colleagues, and partners.

APPENDIX 1

THE PROTECTED CHARACTERISTICS AND WEST LANCASHIRE STATISTICS

Age

People of all ages are protected. Older people, particularly in rural areas, can face social isolation and can feel cut off from the wider community. Young people can often feel socially excluded and marginalised within their communities. We try to engage with people of all ages to empower them to participate in their local communities.

In 2020, the age profile of the Borough compared to the Northwest and English Authorities was:

Age	Percentage of the population	North West	UK authorities
Under 18	19.4%	21.3%	21.4%
18 to 64	58.3%	59.9%	60.1%
65+	22.3%	18.8%	18.5%

The borough is home to Edge Hill University which has more than 13,000 students most of whom live in the area. West Lancashire has a generally ageing population and 2.8% are aged over 80 and has on average more of the population of pensionable age than for the Northwest or England Authorities.

Disability

A person is disabled if they have a physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day to day activities, when carrying out our functions, we will try to:

- promote positive attitudes towards people with disabilities
- encourage participation by people with disabilities in public life
- promote equality of opportunity between people with or without disabilities
- eliminate disability-related harassment
- eliminate unlawful discrimination; and
- take steps to meet the needs of people with disabilities, even if this requires treatment that is more favourable

The 2011 Census showed that more than 20% of West Lancashire residents consider that their day-to-day activities are limited to some extent by a long-term health problem or disability, which is significantly higher than the national average.

Almost 12,000 residents have a hearing impairment and just short of 2,000 adults have a visual impairment. More than 2,000 resident adults have a learning disability. 12% of the population (12,682) are found to have a common mental health disorder including depression and anxiety.

Gender reassignment

Gender Reassignment includes anyone who is proposing to undergo, is undergoing or completed a process (or part of process) to reassign their sex. The Equality and Human Rights Commission notes that the preferred umbrella term is “trans” which encompasses different forms of gender identity, such as people who identify as non-binary. We understand and respect that there can be differences between assigned sex and gender identity and expression, and we value all our staff and customers, including individuals who identify outside of the gender binary.

At the present time we do not have any data for the population that are transgender but, based on a national estimate of 20 per 100,000 head of population, we might expect to have around 20 residents who had a different gender at birth. We hope that when future Census data is available this will inform our practices and decision making.

We do have a working practice statement on Gender Identity and Gender Reassignment available on our intranet.

Marriage and civil partnership

People who are married or in civil partnerships are protected from discrimination. However, single people are not protected.

Within West Lancashire 46.6% of people are married (Census 2011), 34.6% single, 0.2% same sex civil partnership, 2.7% separated, 9% divorced and 6.9% widowed.

Pregnancy and maternity

There are specific provisions of the Equality Act relating to employment rights for women who are pregnant or have recently given birth.

Pregnancy and maternity-related discrimination can also occur outside of the workplace if a woman is treated unfavourably because of her pregnancy or because she has given birth (within the past 26 weeks) and because she is breastfeeding.

Data on the numbers are not available to us but, we report annually on the staff numbers relating to this characteristic.

Race

In the Equality Act, race can mean someone’s colour, or their nationality (including citizenship). It can also mean their ethnic or national origins, which may not be the same as their current nationality. For example, a person may have Chinese national origins and be living in Britain with a British passport. Race also covers ethnic and racial groups. This means a group of people who all share the same protected characteristic of ethnicity or race.

Public authorities must promote race equality and ensure that employment and services (including services provided through other organisations on their behalf) are fair and accessible for everyone.

Both institutional and individual racism “can be seen or detected in processes, attitudes and

behaviour which amounts to discrimination through unwitting prejudice, ignorance, thoughtlessness, and racist stereotyping which disadvantages ethnic minority people.” We recognise that institutional racism can exist, and that no organisation is immune.

In the 2011 census, the following were the recorded backgrounds of the population, and these are compared to the averages in the North West Region and English Authorities:

Race	Percentage of the population	North West	UK Authorities
White	98.1%	90.2%	85.4%
Asian/Asian British	0.8%	6.2%	7.8%
Black/Black Asian	0.2%	1.4%	3.5%
Mixed Race	0.8%	1.6%	2.3%
Other	0.1%	0.6%	1%

Religion or belief

This characteristic covers any religion or any religious or philosophical belief, including a lack of religion or belief. Faith groups have a positive impact on our local communities. They bring opportunities to create face-to-face dialogue, which supports a greater understanding of shared values, appreciation of distinctiveness and for side-by-side collaborative social action. Employees and job seekers are protected if they have a faith or if they have no faith.

The religious make up at the last census was Christian 76.2%, Buddhist 0.1%, Hindu 0.2%, Jewish 0.1%, Muslim 0.2%, Sikh 0.1%, Other 0.2%, No religion 17.2% and Religion not stated 5.7%.

We have a working practice statement on our intranet, working practice statement 100 Religion and Belief in the Workplace.

Sex

In the Equality Act, sex can mean either male or female, or a group of people like men or boys, or women or girls and you should not be discriminated against because:

- you are (or are not) a particular sex
- someone thinks you are the opposite sex (this is known as discrimination by perception)
- you are connected to someone of a particular sex (this is known as discrimination by association)

We report on our gender pay gap for our employees annually in line with legal requirements. We will take any actions we decide are appropriate should the pay gap information highlights any concerns.

The gender of the borough is relatively balanced overall with 52% of the population identifying as female.

Sexual orientation

The Equality Act 2010 says you must not be discriminated against because:

You are heterosexual, gay, lesbian, or bisexual

- someone thinks you have a particular sexual orientation (this is known as discrimination by perception)
- you are connected to someone who has a particular sexual orientation (this is known as discrimination by association)

In the Equality Act, sexual orientation includes how you choose to express your sexual orientation, such as through your appearance or the places you visit.

Data on the sexual orientation of the residents of West Lancashire is not available. Estimates at a national level vary from 1.5% to 5% which would mean between 1,700 and 5,600 residents of our borough are lesbian, gay, or bisexual.

Data Sources:

Office for National Statistics - Census 2011

Office for National Statistics - Mid-Year Population Estimates:

Components of Change Office for National Statistics - Mid-year estimate

Appendix 2

OTHER INEQUALITIES

Whilst not protected characteristics under the Equality Act, the Council considers the following as important issues to address equality and diversity.

Modern Day Slavery Act 2015

Legislation requires us to prepare a slavery and human trafficking statement each financial year and to publish on our website and to tackle slavery wherever we find it. We recognise the responsibility to understand any potential modern slavery risks related to our services, and to explore what steps we can take to ensure there is no slavery or human trafficking in our business or supply chains.

Socio-economic inequality

By socio-economic disadvantage we mean the state of being disadvantaged in life. This applies in terms of getting on, getting educated, getting a job. It is influenced by one or more of a range of external factors. Poverty is one such factor, but it can also be about the complex interplay of factors such as health, housing, education, and family background, and the resulting lack of ambitions and expectations, that so often combine to keep people in poverty, and limit their chances of upward social mobility.

Antisemitism

The Council has adopted the International Holocaust Memorial Alliance (IHRA) definition of antisemitism and its examples¹. The definition states: "Antisemitism is a certain perception of Jews, which may be expressed as hatred toward Jews. Rhetorical and physical manifestations of antisemitism are directed toward Jewish or non-Jewish individuals and/or their property, toward Jewish community institutions and religious facilities".

Islamophobia

Islamophobia is rooted in racism and is a type of racism that targets expressions of Muslimness or perceived Muslimness.

Neurodiversity

Being neurodivergent means that an individual may think and learn in a different way to others. Neurodiversity has a wide spectrum that covers a range of hidden neurological conditions, such as but not limited to Autism Spectrum, Dyslexia, Dyspraxia, Tourette's, and social anxiety.

It is estimated that around 1 in 7 people (more than 15% of people in the UK) have neurodevelopmental differences. This means that many organisations and businesses already have a neurodiverse workforce. We will assist neurodivergent people within the workplace and in the community to create an inclusive and neurodivergent friendly community.

Human Rights

Human Rights are about our basic needs as human beings - the core rights we are all entitled to so that we can develop our potential and live our lives with fairness dignity and

respect. The Council has legal duties as a public authority to act compatibly with UK law in the Human Rights Act, along with the related duties in relation to equality and anti-discrimination laws.

Hate Crimes and Incidents

A hate incident is any incident which the victim, or anyone else, thinks is based on someone's prejudice towards them because of their race or perceived race; religion or perceived religion; sexual orientation or perceived sexual orientation; disability or perceived disability; or motivated by hostility or prejudice against a person who is transgender or perceived to be transgender. Hate incidents cause alarm, distress, or harassment. Not all hate incidents will amount to criminal offences, but those that do become hate crimes. The Council has a Hate Crime and Incident Procedure (see link to the Intranet - <https://www.westlancs.gov.uk/more/community-safety/hate-crime.aspx>), which outlines how the Council will respond to report of hate crimes or incidents.

Menopause

There is currently no standalone jurisdiction under which an individual may claim discrimination or other detriment on the grounds of the menopause. ACAS however state that Menopause discrimination is predominantly covered under three protected characteristics of age, disability, and sex. The Council has a Menopause Policy for its staff.

Carers

Carers UK defines carers as people who provide unpaid care by looking after someone who is older, disabled or seriously ill. A carer is anyone, including children and adults who looks after a family member, partner or friend who needs help because of their illness, frailty, disability, a mental health problem or an addiction and cannot cope without their support. There is no standalone jurisdiction under which an individual may claim discrimination or other detriment on the grounds of being a Carer. Any discrimination would be covered under the protected characteristics and by association.

Appendix 3 - Equality Objectives 2022/26

Council Priority and Key activity	Equality Objective	What we will do	Lead Officer
<p>Everyone to be heathy Happy safe and resilient</p> <p>We will:</p> <p>Develop a quality range of health, wellbeing and leisure facilities and services</p> <p>Page 1897</p>	<p>To support the delivery of an improved leisure facilities offer within the Borough, in collaboration with partner organisations, that is open and accessible to all, to encourage all citizens within the Borough, to live active and healthy lifestyles, that improves the life chances of residents and have a positive impact on the West Lancashire by promoting Health and wellbeing in the community.</p>	<ul style="list-style-type: none"> • Replace leisure facilities in Skelmersdale and Ormskirk ensuring that are fully accessible to all. • Collaborating with a wide range of partners around options for incorporating health services into the facilities will, in the longer term, provide a wider range of opportunities for further promoting health and wellbeing across the whole community. • Community consultation on progression to all phases of design and procurement, ensuring appropriate representation of people with protected characteristics in any consultation processes. • Aim to include facilities that can encourage all parts of the community to engage with the health and wellbeing activities offered across the Borough by working with the leisure management contractor to ensure appropriate programme of activities in place. • To monitor the use of the facilities by people with protected characteristics, with a view to evaluate and improve access. 	<p>Head of Wellbeing and Leisure</p>

<p>Create empowered, engaged, and inclusive communities</p> <p>We want:</p> <p>Our citizens to access the benefits of being digitally engaged</p>	<p>To support the continued development of the digital inclusion offer to improve access to the Council's services across all sectors of the borough's residents, to improve the overall wellbeing of citizens of the Council.</p>	<ul style="list-style-type: none"> • Continue to develop services to include digital access to meet both efficiency and public expectations. • To encourage the use of digital technology with all members of community, but those who are less confident in this area and from people with protected characteristics. • Aim to increase the basic online skills necessary for life and work, access to the internet and therefore the uptake of West Lancashire Borough Council's digital services. • Hold local events and initiatives aimed at encouraging digital take up across all groups with protected characteristics, include working with partner agencies and attending local events to promote digital training opportunities and showcase the Council's online services which will help promote self-service. • Provide assistance to support direct uptake of online Universal Credit claims with special focus on people with protected characteristics. • Promote the Council's online services across the whole community. • To monitor the take up and use of 	<p>Head of Corporate and Customer Services</p>
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		digital access by people with protected characteristics, with a view to evaluate and improve access.	
<p>Everyone to be healthy, happy, safe, and resilient</p> <p>We want:</p> <p>To design services that help people stay healthy and independent</p> <p>Page 1899</p>	<p>To support the continued development of Service with the Community Connector team, to improve the health and wellbeing of Citizens of the Council.</p>	<ul style="list-style-type: none"> • To encourage a sharing of expertise, interest, and skills, from people with protected characteristics to help determine how best to make consistent improvements to the quality of life for West Lancashire residents. • Deliver internal and external initiatives to improve health and wellbeing in the Borough and try to improve health inequalities. • Establish a mechanism through the development of an Integrated Community Partnership (ICP) to work alongside key partners to align health and care services in the Borough, with a focus on people with protected characteristics. • Work with the Clinical Commissioning Group and GP Federation, through the ICP, to focus on the needs of our community and develop a person-centered health and social care. • To monitor the access of people with protected characteristics to health and wellbeing initiatives, with a view to improving access where applicable. 	<p>Head of Wellbeing and Leisure</p>

<p>Create empowered, engaged, and inclusive communities</p> <p>We want: Everyone to have the same opportunities</p> <p>Everyone to be Healthy, happy, safe, and resilient</p> <p>We want: An engaged and motivated Council Workforce</p>	<p>To encourage a diverse range of applicants for recruitment into our workforce, that reflects the population of West Lancashire</p>	<ul style="list-style-type: none"> • Monitor the workforce profiles of the Council and publish this information annually in line with the PSED requirements. • Review the current monitoring data available and encourage all aspects of it to be completed by the workforce to remove any gaps in completion. • Explore options to encourage a more diverse range of applicants for jobs that are advertise, through creative and appropriate targeting. • Review and enhance Equality and Diversity Training available for the workforce and ensure it is mandatory and refreshed regularly • Promote the knowledge and awareness of the Dignity at Work Policy, to ensure any equality concerns are addressed appropriately. • Annually report on the gender pay gap for the Council and take any action necessary as a result. • Continue to administer and maintain the integrity of the Job Evaluation Schemes used by the Council and 	<p>Head of Corporate and Customer Services</p>

		<p>conduct period Equal Pay Audits, to ensure fairness and equity in grade application and distribution across the structure.</p> <ul style="list-style-type: none"> • Review equality policies across the Council through the Equality, Diversity & Inclusivity Working Group to ensure they are still fit for purpose. • Promote and enhance flexible working opportunities for the workforce being mindful of any protected characteristics. • Work towards level 2 on the Disability Confident Employer Scheme 	
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Appendix 4 – Links to other documents

Councils' website

- Our equality statement: [Our equality statement - West Lancashire Borough Council \(westlancs.gov.uk\)](https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/equality-statement.aspx)
- What our duties are: [What our duties are - West Lancashire Borough Council \(westlancs.gov.uk\)](https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/our-duties.aspx)
- How we are performing: [How we are performing - West Lancashire Borough Council \(westlancs.gov.uk\)](https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/how-we-are-performing.aspx)
- How to get involved : <https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/how-to-get-involved.aspx>
- Equality in Employment: <https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/equality-in-employment.aspx>

Information for staff can be found on the link : <https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/find-more-information.aspx> relating to the following:

- community engagement protocol
- list of equality groups (CSV 6kb)
- Cultural awareness - guidance for WLBC staff
- Demographic breakdown of West Lancs
- National data sources

Councils' Intranet

- Equality In Employment: <https://www.westlancs.gov.uk/about-the-council/how-the-council-works/equality-and-diversity/equality-in-employment.aspx>

The following can be found here: <http://intranet.westlancsdc.local/rules-and-regulations/equality.aspx>

- Dignity at work policy (pdf 256kb)
- HIV and AIDS policy (pdf 99kb)
- Equality Impact Assessment guidance and form (word 93kb)
- Working practice statement 10 - religion and belief in the workplace (pdf 355kb)
- Working practice statement 11 - gender identity and gender reassignment (pdf 207kb)
- Our approach to helping customers access our services is set out on the website:
 - visit how would you like to access information (wlbc web)
 - How to Access Translation Services (pdf 93.2kb) guidance
- Equality information about employees

- Behavioural standards
- Internal online Equality training offer: Emerge training modules
 - WLBC – the Uncomfortable Truth
 - WLBC – Unconscious Bias
 - Equality Series - Equality Act 2010 Part 1 and 2
 - Equality Series - Communicating with deaf and hearing-impaired customers
 - Equality Series - A guide to reasonable adjustments
 - Equality Series - Learning Disability Awareness
 - Equality Series – Disability Discrimination
 - Equality Series – Equality Impact Assessments
 - Equality & Diversity for Councillors

Equality Impact Assessment Form



Directorate of Transformation and Resources	Service: Human Resources
Completed by: S Lewis	Date: 23 December 2021
Subject Title: Equality, Diversity & Inclusivity Strategy and Equality Objectives 2022/2026	
1. DESCRIPTION	
Is a policy or strategy being produced or revised?	Yes <i>*delete as appropriate</i>
Is a service being designed, redesigned or cutback?	No
Is a commissioning plan or contract specification being developed?	No
Is a budget being set or funding allocated?	No
Is a programme or project being planned?	No
Are recommendations being presented to senior managers and/or Councillors?	Yes
Does the activity contribute to meeting our duties under the Equality Act 2010 and Public Sector Equality Duty (eliminating unlawful discrimination/harassment, advancing equality of opportunity, fostering good relations)?	Yes
Details of the matter under consideration:	The Equality, Diversity & Inclusivity Strategy details the Council's approach. Equality Objectives are required by the Council to ensure that they are compliant in relation to their Public Sector Equality Duty.
<p><i>If you answered Yes to any of the above go straight to Section 3</i></p> <p><i>If you answered No to all the above, please complete Section 2</i></p>	
2. RELEVANCE	
Does the work being carried out impact on service users, staff or Councillors (stakeholders):	Yes <i>*delete as appropriate</i>
<p>If yes, provide details of how this impacts on service users, staff or Councillors (stakeholders):</p> <p><i>If you answered Yes go to Section 3</i></p>	<p>The Equality Objectives are linked to the way in which the Council works towards its business objectives, as detailed in the Council Vision and Priorities.</p> <p>Consequently, staff and Councillors are required to consider the Equality Objectives as they deliver services to the citizens of the Borough.</p>
If you answered No to both Sections 1 and 2	

<p>provide details of why there is no impact on these three groups: <i>You do not need to complete the rest of this form.</i></p>	
<p>3. EVIDENCE COLLECTION</p>	
<p>Who does the work being carried out impact on, i.e., who is/are the stakeholder(s)?</p>	<p>The Equality Objectives particularly impacts on all the borough's citizens in relation to how they engage with our leisure facilities, access our services via digital means, engage with our Health and Wellbeing initiatives or work for us as employees or apply for jobs through our recruitment processes.</p> <p>The objectives have an impact on a wide variety of individuals, and as such, the proposals have an impact on all protected characteristics.</p>
<p>If the work being carried out, relates to a universal service, who needs or uses it most? (Is there any particular group affected more than others)?</p>	<p>See above</p>
<p>Which of the protected characteristics are most relevant to the work being carried out?</p> <p>Age Gender Disability Race and Culture Sexual Orientation Religion or Belief Gender Reassignment Marriage and Civil Partnership Pregnancy and Maternity</p>	<p style="text-align: right;"><i>*delete as appropriate</i></p> <p>Yes Yes Yes Yes Yes Yes Yes Yes Yes</p>
<p>4. DATA ANALYSIS</p>	
<p>In relation to the work being carried out, and the service/function in question, who is actually or currently using the service and why?</p>	<p>It is considered that this impacts on the whole borough's citizens and workforce, with no particular protected characteristic being more affected than any other.</p>
<p>What will the impact of the work being carried out be on usage/the stakeholders?</p>	<p>The changes made to the objectives link to our priorities. There will be no adverse effect on any particular protected characteristic as a consequence of this change.</p>
<p>What are people's views about the services? Are some customers more satisfied than others,</p>	<p>The Council consults with the local Trade Unions on the Councils citizens in regular</p>

and if so, what are the reasons? Can these be affected by the proposals?	consultation exercises. The objectives link to the Business plan and the business plan has been subject to citizen Consultation.
What sources of data, including consultation results, have you used to analyse the impact of the work being carried out on users/stakeholders with protected characteristics?	Census Data Profile information available on the Council's website Workforce Profile Equality Policies within the Council Equal Pay Audit Trade Union Consultation
If any further data/consultation is needed and is to be gathered, please specify:	N/A
5. IMPACT OF DECISIONS	
In what way will the changes impact on people with particular protected characteristics (either positively or negatively or in terms of disproportionate impact)?	The decision to revise the Equality Objectives will impact positively on the stakeholders and not have any adverse impact on any particular Protected Characteristic.
6. CONSIDERING THE IMPACT	
If there is a negative impact, what action can be taken to mitigate it? (If it is not possible or desirable to take actions to reduce the impact, explain why this is the case (e.g. legislative or financial drivers etc.).	See above in 5.
What actions do you plan to take to address any other issues above?	No further actions on equality impact need to be taken.
7. MONITORING AND REVIEWING	
When will this assessment be reviewed and who will review it?	The Equality Objectives will be reviewed Annually. At that stage, the EIA will also be reviewed to ensure there has been no change to the assessed impact on any protected characteristic group.



**EXECUTIVE OVERVIEW & SCRUTINY
COMMITTEE 24th FEBRUARY 2022
CABINET 8th MARCH 2022**

Report of: Head of Wellbeing and Leisure

Relevant Portfolio Holder: Councillor Yvonne Gagen

Contact for further information: Simon Kirby (Extn 3456)
(simon.kirby@westlancs.gov.uk)

SUBJECT: QUEEN'S PLATINUM JUBILEE CELEBRATIONS

Wards affected: Borough wide interest – events in Ormskirk and Beacon Country Park

1.0 PURPOSE OF THE REPORT

1.1 To consider proposals for an event in Coronation Park Ormskirk and Beacon on 2nd June to celebrate Her Majesty's Platinum Jubilee with additional related activities Borough wide.

2.0 RECOMMENDATION TO EXECUTIVE OVERVIEW AND SCRUTINY COMMITTEE

2.1 That the Committee consider the report and that the agreed comments of the Executive Overview and Scrutiny Committee on the Queen's Platinum Jubilee Celebrations Report be passed to Cabinet for their consideration.

3.0 RECOMMENDATION TO CABINET

3.1 That having regard to the agreed comments of Executive Overview & Scrutiny Committee, Cabinet consider the report and advise on any preferences to the approach.

3.2 That in order to make all necessary arrangements for the event being held on 2nd June 2022 that the sum of up to £15,000 be identified from Reserves and balances to meet costs associated with the event.

4.0 BACKGROUND

4.1 This year's Accession Day - on 6th February 2022 – marks 70 years since The Queen acceded to the throne on the death of her father King George VI. Her Majesty has gone on to reign longer than any other British Monarch in history.

- 4.2 To celebrate this unprecedented anniversary, events and initiatives will take place throughout the year, culminating in a four day UK bank holiday weekend from Thursday 2nd to Sunday 5th June. The bank holiday will provide an opportunity for communities and people throughout the United Kingdom to come together to celebrate the historic milestone.
- 4.3 The Council recognises the importance of celebrating the Platinum Jubilee and acknowledges there will be expectations from many of our residents to stage events within the Borough, and that there is a role for officers in providing a level of support for our communities.

5.0 CURRENT POSITION

- 5.1 A cross Service team of officers has been formed to commence the planning of potential events in Coronation Park and the Beacon on Thursday 2nd June 2022, the first day of a four day holiday period across the UK.
- 5.2 Appendix one to this report sets out the initial costs the officer group has identified and the group is continuing to refine these estimates as progress with event planning is made.
- 5.3 The detail is very much in the early days of development and there is real opportunity for Officers to engage further with our communities to help influence the programme and ensure involvement is strong to help provide a real sense of ownership from residents and the event is seen as a true 'community event' and not a 'Council' organised occasion.
- 5.4 Interest has already been received from some partner organisations such as the Chapel Gallery in Ormskirk who are keen to integrate with the event and offer supporting activities such as a tea dance. Activities such as this would assist with catering for a wide demographic, provide some wet weather contingency and bring attendees into the town centre to support the local economy.
- 5.5 Sample of activities currently being considered for the event in Coronation Park include children's fancy dress competition, climbing wall, live music, community stalls, dog display team, local radio and food & beverage. Officers have circulated invitations to schools and dance schools for representation and have received swift responses confirming a desire to participate. The Beacon events in the evening currently include live music and food and beverages with the possibility of a large outdoor screen showing relevant footage relating to the Jubilee.
- 5.6 Officers are mindful of the need to encourage good practices from participants and public with regard to sustainability and environmentally friendly practices and requirements, and support will be provided wherever possible.
- 5.7 There will be a strong emphasis on health and wellbeing and early discussions with Serco (Leisure Management Contractor) and internally within the Wellbeing and Leisure team will ensure that opportunities to promote healthy lifestyles will be strongly represented.
- 5.8 The intention is to provide for activities or at least some form of recognition Borough wide and examples of this currently include planting a tree with Jubilee

recognition plaque in Burscough, Skelmersdale, Ormskirk and Banks. This will form part of the Council's approach to delivering on the 'Queen's Green Canopy' agenda. The new play area in Skelmersdale is scheduled to be completed by 16th March 2022 and presents an opportunity to agree a formal name of this facility linked to the Jubilee. It is anticipated there will be Civic and community involvement opportunities at all such events.

- 5.9 The team of officers has considerable event management experience and will follow event safety guidance as advised by the Health and Safety Executive as well as additional event management measures that are recognised as good practice. An event management plan will be produced setting out clear roles and responsibilities for all staff and volunteers and covering subjects such as car parking, first aid, lost/found children, emergency services, crowd flow and management, welfare facilities, site communications, signposting, pre event comms, weather contingencies, etc (list not exhaustive and to provide an indication of depth of planning).
- 5.10 A table-top pre event planning exercise will take place, inviting other agencies where possible to run through a number of scenarios to further develop the event management plan and assist with building confidence of officers with regard to making decisions on the day.

6.0 Funding Opportunities

- 6.1 The National Lottery Community Fund's [Platinum Jubilee Fund](#) will provide grants of up to £50,000 to 70 impactful community projects across the UK. In addition, grants of up to £10,000 from The National Lottery [Awards For All programme](#) will be available for community-led events throughout 2022.
- 6.2 Arts Council England's [Let's Create Jubilee Fund](#) will support voluntary and community organisations in England to develop creative and cultural activities as part of Platinum Jubilee celebrations with grants of up to £10,000.
- 6.3 The Arts Council has also announced [£175,000 to help libraries celebrate](#). The funding will be distributed by [Libraries Connected](#), and will provide £1,000 for each library service.
- 6.4 Throughout the year community organisations will also be able to apply for grants from the Arts Council's [National Lottery Project Grants programme](#), which has been refreshed with new guidance to better support a broader range of ambitious cultural projects.
- 6.5 Officers will be exploring options available for funding to support events and reduce any associated costs to the Council. Similarly, officers will work with communities to help identify appropriate funding opportunities and support in the bid process wherever possible.

7.0 SUSTAINABILITY IMPLICATIONS

- 7.1 The events will support developing relations with communities, voluntary and business sectors and help deliver a sense of pride in place across the Borough.

8.0 FINANCIAL AND RESOURCE IMPLICATIONS

8.1 There will be some financial and resource implications. Appendix one sets out within the estimated summary costs. Initial considerations by officers is that £15k of funding is required to deliver safe and enjoyable events including further related activities throughout the Borough. This figure may reduce depending on success of funding bids and any further efficiencies officers can implement in the planning stages.

9.0 RISK ASSESSMENT

9.1 The events will each have an event safety management plan that will be submitted and discussed at the Event Safety Advisory Group meeting prior to the event date.

10.0 HEALTH AND WELLBEING IMPLICATIONS

10.1 The events will contribute to the wellbeing of residents by providing opportunities for people to enjoy themselves at a well organised event with a diverse range of activities for people of all abilities.

Background Documents

There are no background documents (as defined in Section 100D(5) of the Local Government Act 1972) to this Report.

Equality Impact Assessment

There is no evidence from an initial assessment of an adverse impact on equality in relation to the equality target groups.

Appendices

Appendix One – summary of estimated costs.

Queens Platinum Jubilee Celebrations

Event Summary and Costings

Family Festival @ Coronation Park.

Thursday 2nd June 12pm-4pm

An afternoon of live music and fun for all the family. There will be a plethora of community displays with art competitions involving local schools and youth groups.

Outdoor Dining @ Beacon Country Park

Thursday 2nd June 7pm-10pm

A relaxing evening of outdoor dining and live music with a big screen showing highlights of Queen Elizabeths reign. Including a Beacon lighting ceremony at 9pm.

Additional celebrations.

- Memorial trees will be planted in different communities around the Borough will commemorative plaques celebrating her majesties years of service.
- The new play facilities at Tawd Valley Park will be named in the Queens honour.

Event Costings

<u>Category</u>	<u>Income</u>	<u>Expenditure</u>
<u>Coronation Park</u>		
Entertainment and Displays (live music and family activities)	£450.00	£4,100.00
Food and Services	£1,000.00	£3,100.00
Small stalls/traders	£500.00	£0.00
<u>Beacon Country Park</u>		
Entertainment and Displays (live music and cinema screen)	£0.00	£1,660.00
Food and Services	£500.00	£2,000.00
Small stalls/traders	£500.00	£0.00
<u>Additional Costs</u>		
Memorial Trees	£0.00	£1,350.00
Publicity and Promotion	£0.00	£2,840.00
<u>Contingency</u>		£2,950
Total projected costs	£2,950.00	£18,000

