

Borough Council of
**King's Lynn &
West Norfolk**



CABINET

Agenda

TUESDAY, 3 MARCH 2015
at 5.30pm

in the

**Committee Suite
King's Court
Chapel Street
King's Lynn**



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CABINET AGENDA

DATE: CABINET – TUESDAY, 3 MARCH 2015

VENUE: COMMITTEE SUITE, KING'S COURT, CHAPEL STREET, KING'S LYNN

TIME: 5.30 pm

Under Regulations 5 (4) and (5) of The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 – Part of item 10 (3) below will be considered in private.

1. MINUTES

To approve the Minutes of the Meeting held on 13 January 2015 (previously circulated pages 557-562).

2. APOLOGIES

To receive apologies for absence.

3. URGENT BUSINESS

To consider any business, which by reason of special circumstances, the Chairman proposes to accept, under Section 100(b)(4)(b) of the Local Government Act 1972.

4. DECLARATION OF INTEREST

Please indicate if there are any interests which should be declared. A declaration of an interest should indicate the nature of the interest (if not

already declared on the Register of Interests) and the agenda item to which it relates. If a disclosable pecuniary interest is declared, the member should withdraw from the room whilst the matter is discussed.

These declarations apply to all Members present, whether the Member is part of the meeting, attending to speak as a local Member on an item or simply observing the meeting from the public seating area.

5. CHAIRMAN'S CORRESPONDENCE

To receive any Chairman's correspondence.

6. MEMBERS PRESENT PURSUANT TO STANDING ORDER 34

To note the names of any Councillors who wish to address the meeting under Standing Order 34.

7. CALLED IN MATTERS

To report on any Cabinet decisions called in.

8. FORWARD DECISIONS LIST

A copy of the Forward Decisions List is attached (Page 8)

9. MATTERS REFERRED TO CABINET FROM OTHER COUNCIL BODIES

To receive any comments and recommendations from other Council bodies which meet after the dispatch of this agenda. Copies of any comments made will be circulated as soon as they are available.

- Resources and Performance Panel – 24 February 2015
- Regeneration, Environment and Community Panel – 25 February 2015

10. REPORTS

1) Nomination of Freedom of the Borough – Honorary Alderman Dr P R Richards (page 11)

The Borough Council has received a letter of nomination, supported by a number of referees, for the Honorary Alderman Dr P R Richards to be awarded Freedom of the Borough

2) Delegation of Decision Making for Neighbourhood Development Plan Process (Page 15)

Several neighbourhood development plans are in preparation by parish councils, and the first two of these, Brancaster and South Wootton have now been submitted to the Borough Council. This triggers a process in which the Borough Council will need to make a

series of different formal decisions. It is desirable that appropriate provisions are made in advance for the decisions to be made expeditiously and at the appropriate level within the Council for these and subsequent neighbourhood plans.

3) **Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy 2015/2016** (page 25)

The Council is required to receive and approve a Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy which covers –

- Capital plans, including prudential indicators
- A Minimum Revenue Provision (MRP) Policy
- The Treasury Management Strategy
- An Investment Strategy

This report covers the requirements of the Local Government Act 2003, the Chartered Institute of Public Finance Accountants (CIPFA) Prudential Code, the Department of Communities and Local Government (CLG) MRP Guidance, the CIPFA Treasury Management Code and the CLG Investment Guidance.

This report looks at the period 2015/2018 which fits with the Council's Financial Plan and capital programme. The report is based upon the Treasury officers' views on interest rates, supplemented with leading market forecasts provided by the Council's treasury advisor, Capita Asset Services, Treasury Solutions.

4) **Proposed Members ICT Solution** (Page 48)

This report provides a proposal to move away from the current fully managed ICT solution consisting of a PC 'Wyse Terminal', broadband and telephone land line service for Members, to a combination of iPads, Citrix remote access and provision of a mobile phone, following the 2015 Elections - saving up to £62,421 over a 4 year period.

It looks at lessons learned from the current provision of Members ICT and examines the results of an iPad trial undertaken by a cross section of Elected Members.

A brief summary of some of the potential benefits of the move are 1) the facility to receive minutes, agendas and email via 'apps' straight to an iPad device 2) cost reduction 3) reduced ICT staff visits, 4) less ICT equipment taking up space at home for Members.

The report seeks to obtain a steer for 'Paperless Meetings' and asks for consideration to be given to the inclusion of a '3G' simcard, to enable iPads to be used on the move. The report also seeks approval to issue 'Members Computer Usage Guidelines' as part of the rollout.

5) **Antisocial Behaviour, Crime and Policing Act 2014** (page 76)

To provide the Committee with an overview of the Anti-Social Behaviour and Policing Act 2014, amend the delegation of powers to allow for the implementation of new powers and to agree the level of Fixed Penalty Fines.

6) **Byelaws for Skin Piercing Activities** (page 82)

This report contains a proposal to adopt new byelaws relating to skin piercing activities and the adoption of the national Tattoo Hygiene Rating Scheme.

The new byelaws would reflect the conditions set out in the Tattoo Hygiene Rating Scheme.

7) **Code of Corporate Governance** (page 93)

The report addresses the review of the Council's Code of Corporate Governance in line with an audit recommendation made in August 2014. The review has been conducted and the existing Code of Corporate Governance updated and refreshed in line with new guidance and the Council's governance framework. The revised Code is attached at Appendix 1.

EXCLUSION OF PUBLIC

The Cabinet is asked to consider excluding the public from the meeting under section 100A of the Local Government Act 1972 for consideration of the item below on the grounds that it involves the likely disclosure of exempt information as defined by paragraph 3 of Part 1 of Schedule 12A to the Act, and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

PRIVATE ITEM

Details of any representations received about why the following reports should be considered in public will be reported at the meeting.

8) **King's Lynn Town Hall** (page 107)

The report details the result of a tender exercise for the building work elements of the Town Hall project.

To: Members of the Cabinet

Councillors N J Daubney (Chairman), A Beales, Lord Howard,
A Lawrence, B Long, Mrs E A Nockolds, D Pope and Mrs V Spikings.

Cabinet Scrutiny Committee

For further information, please contact:

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FORWARD DECISIONS LIST

Date of meeting	Report title	Description of report	Key or Non Key Decision	Decision Maker	Cabinet Member and Lead Officer	List of Background Papers	Public or Private Meeting
3 March 2015	Treasury Management Strategy 2015/16	Updating the Council's	Key	Council	Leader Deputy Chief Executive		Public
	Members IT Solution	Proposals for the planned replacement of Members IT.	Non	Cabinet	ICT, Leisure and Public Space Deputy Chief Executive		Public
	Town Hall HLF scheme	Letting of the contract	Key	Cabinet	Culture Tourism and Marketing Exec Dir C Bamfield		Exempt Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)
	Code of Corporate Governance	Update the Council's Code	Non	Cabinet	Leader Chief Executive		Public
	Neighbourhood Plans	Agreeing the procedure for dealing with them for the future	Non	Council	Development Exec Director, G Hall		Public
	Antisocial Behaviour Crime and Policing Act 2014	To amend delegation powers and agree rates	Non	Cabinet	Environment Exec Director, G Hall		Public
	Byelaws for Skin Piercing Activities	Proposal to adopt new Byelaws relating to skin piercing	Non	Council	Housing & Community Exec Director, G Hall		Public
	Freedom of the Borough consideration	Consideration of a nomination	Non	Council	Leader Chief Executive		Public

Date of meeting	Report title	Description of report	Key or Non Key Decision	Decision Maker	Cabinet Member and Lead Officer	List of Background Papers	Public or Private Meeting
31 March 2015	Corporate Apprentice Scheme		Non	Cabinet	Leader Exec Director, D Gates		Public
	Freebridge Community Housing – Council Representation		Non	Cabinet	Housing & Community Chief Executive		Public
	Staff Pay Award		Key	Cabinet	Leader Exec Director, D Gates		Public
	Duty to Co-operate in preparing our Local Plan	A joint approach across all Districts in Norfolk, and including the County Council	Non	Cabinet	Development Exec Dir G Hall		Public
	Asset Management – Potential future Acquisition – King's Lynn		Key	Council	Regeneration Deputy Chief Executive		Exempt - Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)

Date of meeting	Report title	Description of report	Key or Non Key Decision	Decision Maker	Cabinet Member and Lead Officer	List of Background Papers	Public or Private Meeting
10 June 2015	Residential Caravan Site Licensing	Report following consultation process	Non	Council	Housing and Community Chief Executive		Public
	Purchase of Industrial Land – King's Lynn		Key		Regeneration Deputy Chief Executive		Exempt - Private - Contains exempt Information under para 3 – information relating to the business affairs of

							any person (including the authority)
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Date of meeting	Report title	Description of report	Key or Non Key Decision	Decision Maker	Cabinet Member and Lead Officer	List of Background Papers	Public or Private Meeting
30 June 2015							

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards	Discretionary	Be entirely within Cabinet's powers to decide	NO	
		Need to be recommendations to Council	YES	
		Is it a Key Decision	NO	
Lead Member: Cllr N Daubney E-mail: cllr.nick.daubney@west-norfolk.gov.uk		Other Cabinet Members consulted:		
		Other Members consulted: Cllr Tilbury		
Lead Officer: Samantha Winter E-mail: sam.winter@west-norfolk.gov.uk Direct Dial: 01553 616327		Other Officers consulted: Chief Executive and Deputy Chief Executive, Civic Officer		
Financial Implications YES	Policy/Personnel Implications NO	Statutory Implications YES	Equal Impact Assessment NO	Risk Management Implications NO

Date of meeting: 3 MARCH 2015

1 AWARD OF THE HONORARY FREEDOM OF THE BOROUGH – HONORARY ALDERMAN DR PAUL R RICHARDS

Summary

The Borough Council has received a letter of nomination, supported by a number of referees, for the Honorary Alderman Dr P R Richards to be awarded Freedom of the Borough

Recommendation

- 1) That an Extraordinary Meeting of the Council be held prior to the Council meeting on 23 April 2015 in order to approve the award of the Honorary of Freedom of the Borough Honorary Alderman Dr Paul Richards, under s249 of the Local Government Act 1972, in recognition of the eminent service that Dr Richards has given to the Borough, the promotion of its history and Hanse connections.**
- 2) That the common seal of the Council be affixed to a certificate to be presented to Dr Richards at a formal ceremony at the Town Hall after the Council meeting on the evening of 23 April 2015.**

Reason for Decision

To formally recognise Dr P R Richards and the service he has given to the Borough

1 Background of Nomination

A letter of nomination has been received from Councillor N J Daubney, Leader of the Council and the Conservative Group from the Borough Council of King's Lynn and West Norfolk to award the Honorary Freedom of the Borough to Honorary Alderman Dr Paul R Richards. The nomination has been supported in writing by the following:

- Sir Jeremy Bagge
- The Rotary Club of King's Lynn
- Malcolm Catlin, Marriott's Warehouse
- Councillor J M Tilbury
- James K Lee, Chartered Surveyor

2 Information

Dr Richards was elected as a Borough Councillor in 1991 to 2003. He served as Borough Mayor twice, 1988/89 and 1999/2000. He is a well known author of historical books on the area, has worked tirelessly to promote the history of the Borough and its links with the Hanse and is a Town Guide. He is the Chairman of the North End Trust which operates True's Yard, a recent Chairman of Marriott's, supporter of the Purfleet Trust and many other worthy organisations over a number of years. He was also appointed as Deputy Lieutenant of Norfolk in 2014/15.

3 Background to the award of the Honorary Freedom of the Borough

Under Section 249 of the Local Government Act 1972, Borough Councils may admit as Honorary Freemen of the Borough 'persons of distinction and persons who have, in the opinion of the council, rendered eminent services to the Borough'. In the case of HM Services units, the Freedom of the Borough can be bestowed upon them.

The Honorary Freedom is the highest award that the Council can bestow.

No legal rights or responsibilities are conveyed by the granting of the Freedom of the Borough, other than a ceremonial role at Civic functions.

When a regiment has been granted the Freedom of the Borough, tradition allows a military unit to parade through the town with fixed bayonets, regimental band playing, and colours flying. Following Council approval, regimental flags may be flown at the Civic Centre, on regimental days only, for those regiments who have been or are granted Freedom of the Borough.

The resolution must be passed by not less than two-thirds of the Members at a meeting of the Council specially convened for the purpose with notice of the object.

4 Previous Awards of Freedom of the Borough

The list of individuals and organisations who have been awarded the Freedom of the Borough are as follows:

10 July 1901	George William Webster
10 July 1901	Walter Harry Rutter
10 July 1901	Charles Ernest Ayre
10 July 1901	John David Franks
10 July 1901	John Leaf Wright
4 November 1901	Harry Lambert

9 May 1907	David Warnes
12 January 1912	Sir William John Lancaster J.P
26 September 1923	Holcombe Ingleby M.A.J.P
21 October 1946	William Russell Sadler O.B.E., J.P.
26 September 1951	Robert Bunnett O.B.E., J.P.
26 September 1951	John Harwood Catlegh O.B.E., J.P.
26 July 1954	Her Majesty Queen Elizabeth, The Queen Mother
15 October 1962	Alice Maud Fisher
25 March 1963	The Lady Fermoy O.B.E
14 October 1969	Sir John Barbirolli C.H., F.R.A.M., F.T.C.L.
6 December 1976	The Royal Air Force, Marham

Awards made since Borough Council of King's Lynn and West Norfolk formed

13 November 1981	The Royal Air Force, Marham
15 July 1983	The Royal Anglian Regiment
2 October 2014	No 42 (King's Lynn) Sqn Air Training Corps

5 Nominating Criteria

In 2002 Council agreed the following criteria to be considered when nominating and considering nominations for the freedom of the Borough:

1. Making the award should be an exceptional event;
2. Organisations as well as individuals should be eligible;
3. Recipients should be persons who, or organisations which, have given outstanding service to the Borough;
4. Persons nominating may do so at any time and should do so in writing giving reasons and providing 5 referees to testify to the nominee's worthiness, two of whom at least should be currently resident citizens of the Borough;
5. Nominations received should be business 'exempt' from publicity and considered first by the Standards Board and comments from individual Council members should be invited and reported to it;
6. If this process is agreed by Council, the functions remitted to that Board be updated accordingly at the next opportunity; (*NB: The terms of reference of the Standards Committee were changed in June 2012 following statutory changes in its role, and now no longer has this element in its terms of reference*).
7. Anyone granted the Honorary Freedom of the Borough should take formal precedence after the Mayor and Deputy Mayor on Civic occasions; and
8. Anyone granted the Honorary Freedom of the Borough should receive a badge (similar to an Honorary Alderman's) and an illuminated scroll.
9. Any former Council Member will remain ineligible for nomination for 10 years after they cease to be a Councillor.

6 Options Considered

It is a decision of no less than two thirds of the members present at the Special Council meeting convened for that purpose to decide whether to make the award.

7 Policy Implications

There are no policy implications.

8 Financial Implications

The Special Council meeting and ceremony will be held on the same day as an ordinary meeting. It is proposed to meet the one off costs from the Corporate Events budget.

9 Personnel Implications

None applicable

10 Statutory Considerations

Section 249 of the Local Government Act 1972

11 Equality Impact Assessment (EIA)

(Pre screening report template attached)

None applicable

12 Risk Management Implications

None.

13 Declarations of Interest / Dispensations Granted

None

14 Background Papers

The letters of request and support.

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards: South Wootton, Brancaster	Operational	Be entirely within Cabinet's powers to decide		YES
		Need to be recommendations to Council		NO
		Is it a Key Decision		NO
Lead Member: Cllr. Vivienne Spikings, Portfolio Holder for Development E-mail: cllr.vivienne.spikings@west-norfolk.gov.uk		Other Cabinet Members consulted: Cllrs Nick Daubney & Mrs Elizabeth Nockolds		
Lead Officer: Alan Gomm, LDF Manager E-mail: alan.gomm@west-norfolk.gov.uk Direct Dial: 01553 616237		Other Members consulted:		
		Other Officers consulted: Geoff Hall, Executive Director for Environment and Planning		
Financial Implications NO	Policy/Personnel Implications NO	Statutory Implications NO	Equal Impact Assessment YES If YES: Pre-screening/ Full Assessment	Risk Management Implications NO

Date of meeting: 3 March 2015

2 DELEGATION OF DECISION MAKING FOR NEIGHBOURHOOD DEVELOPMENT PLAN PROCESSES

Summary

Several neighbourhood development plans are in preparation by parish councils, and the first two of these, Brancaster and South Wootton have now been submitted to the Borough Council. This triggers a process in which the Borough Council will need to make a series of different formal decisions. It is desirable that appropriate provisions are made in advance for the decisions to be made expeditiously and at the appropriate level within the Council for these and subsequent neighbourhood plans.

Recommendation

That the Cabinet:

1. Reserves to itself decisions
 - 1.1. as to whether a neighbourhood plan should proceed to a referendum, and if so whether the plan must first be amended to meet the relevant statutory requirements; and
 - 1.2. designation of a neighbourhood forum where there are competing groups applying for designation.
2. Delegates authority to the Executive Director for Environment and Planning, in consultation with the Portfolio Holder for Development, to make decisions on

- 2.1. designation of a neighbourhood forum, unless there are competing groups applying for designation;
 - 2.2. designation of a neighbourhood area (as per existing delegated authority);
 - 2.3. formal representations in response to consultation (pre-submission and publication stages) on draft neighbourhood plans; and
 - 2.4. 'Making' (adopting) a neighbourhood plan. (Note that the Council has no choice but to do so if a neighbourhood plan if it passes the local referendum.)
3. Delegates authority to the Executive Director for Environment and Planning to make decisions on
 - 3.1. screening neighbourhood plans under the environmental assessment regulations;
 - 3.2. informal comments on emerging neighbourhood plans (pre-submission);
 - 3.3. whether a neighbourhood plan submitted to the Borough Council meets the statutory requirements of completeness;
 - 3.4. timing of publication, and scope of associated publicity and consultation;
 - 3.5. appointment of independent examiner;
 - 3.6. the details of any changes required to the neighbourhood plan by the Cabinet decision at 1 above; and
 - 3.7. minor amendments, corrections or updates to any of the decisions above (including 1 to 4), and issuing of any statutory notices or publicity notifying such decisions.
 4. Congratulates Brancaster and South Wootton Parish Councils on their preparation of a draft neighbourhood plans for their respective areas, and for being the first two in the Borough to be submitted.

Reason for Decision

To ensure decisions can be made in a timely fashion, and at the most appropriate level within the Council, in order to fulfil obligations under the Localism Act, and to congratulate those parish councils on their achievement of reaching this stage.

1 Background

- 1.1. The Localism Act 2011 introduced neighbourhood development plans. These are plans prepared by a local community (usually a parish council in the West Norfolk context), and which, if successfully adopted, become part of the official development plan (the starting point for deciding planning applications) alongside the local plan (formerly known as the LDF). These plans allow a local community to shape future development in its area, but cannot be used to block all development or change the strategy for the area.
- 1.2. A number of neighbourhood plans are being prepared in the Borough, with the first two of these (Brancaster and South Wootton) now formally submitted to the Borough for decision, two others close behind, and more in the pipeline.
- 1.3. National Planning Policy Guidance states '*A local planning authority must: take decisions at key stages in the neighbourhood planning process. . . fulfil its duties and take decisions as soon as possible, particularly regarding applications for area and forum designation. . . The Council's Executive takes the decisions on neighbourhood planning in a local planning authority. The Executive may be able to delegate others in the authority to discharge these duties*'.
- 1.4. This report outlines the decision making stages involved and Borough Council obligations in progressing neighbourhood plans, and recommends the Cabinet delegates decision making for certain stages in order that the process is expedited, resources conserved, and the most appropriate decisions made.

2. Overview of the Borough Council's roles in the process

- 2.1. The Borough Council has three distinct roles in relation to neighbourhood plans:
 - advise and assist any parish council¹ preparing neighbourhood plans;
 - protect and promote the sound planning of the Borough as a whole, and in particular the local plan strategy (currently the 2011 Core Strategy)
 - quasi-judicial decision making and process administration.These three roles are now examined in a little more detail.
- 2.2. The advice and assistance to parish councils (and others - see footnote) is a legal obligation imposed by the Localism Act (but not further detailed).

Here the Borough is helping the parish council, regardless of whether it agrees with the methods, content or objectives chosen by the parish. To date the Borough Council officers have provided guidance and practical assistance to around half a dozen neighbourhood plans, and this has proved surprisingly demanding of officer time. (Officers have also attended meetings of around another half dozen or so parishes or other bodies contemplating starting plans to outline the issues, processes and potential of such plans.)

2.3. In undertaking that advice and assistance to parishes, the Council and its officers have largely to set aside the Borough Council's own planning views. At certain stages, however, the Council, as local planning authority, needs to input its views to ensure that the local plan strategy (currently the 2011 Core Strategy) is not compromised, and appropriate regard is given to the wider planning interests of the Borough, including the emerging Site Allocations and Development Management Policies Plan.

2.4. At various stages in the process the Borough Council acts as an administrator, is responsible for processing it through a number of legal steps. The decisions to be taken at these stages (e.g. designation of the plan area, whether the plan should proceed to referendum) are typically judging whether certain specified requirements are met, rather than whether or not the Borough Council itself favours the plan or its content.

3. Options Considered

3.1. The following table identifies the sequence of decisions the Borough Council must make in its various roles through the process, and the recommended level within the Council for the particular decision to be taken. The rationale for each of the recommended levels is discussed following the table. In the event that unforeseen sensitivities arose, the decision could always be escalated to a higher level (where statutory timescales allowed).

3.2. References in the table and following discussion to the Portfolio Holder mean the Portfolio Holder for Development; those to the Director mean Executive Director of Environment and Planning; and references to parish councils should be taken to include town councils and neighbourhood forums.

¹ References to parish councils in this report should be read as also including town councils or (in unparished King's Lynn) designated neighbourhood forums.

Stage	Decision Stage	Detail of formal decision required	Recommended Decision Level
Initiation	1 Designation of Neighbourhood Area	Deciding the area which the neighbourhood plan will cover, following consultation. (In parished areas this will usually be the whole parish.)	Director, in consultation with Portfolio Holder <i>(n.b. this level already agreed by Cabinet in 2012)</i>
Pre-submission	2 Informal comments on emerging plan	Provision of informal guidance and comment on emerging proposals	Director
	3 Strategic Environmental Assessment (SEA) determination	Technical determination whether the plan is likely to have significant effects on a range of specified matters (e.g. nature conservation, population, existing infrastructure, etc.), and thus whether a full assessment is required.	Director
	4 Formal response to pre-submission consultation	Deciding what comments should be made on the draft neighbourhood to ensure the Borough's planning strategy and any other interests are clearly and firmly put forward, and any outstanding issues are addressed as far as possible in advance of the examination.	Director, in consultation with Portfolio Holder for Development
Submission	5 Publication	Decide whether plan is complete and meets the procedural requirements. If so, deciding extent and timing of consultation in the light of statutory requirements, the precise nature of the neighbourhood plan, and the resources available and any other consultations in progress at the time.	Director
	6 Formal representations on submitted neighbourhood plan	This is a key stage at which the any outstanding concerns can be put forward for consideration in the examination.	Director, in consultation with Portfolio Holder for Development
	7 Appointment of Examiner	Selecting a 'suitably qualified and experienced' person to conduct the examination, and agreeing choice with the parish council (or neighbourhood forum).	Director
Post-Examination	8 Whether plan should proceed to referendum	A crucial and potentially controversial decision as to whether (in the light of the examiner's recommendations) the plan meets the legal tests, and whether the Borough Council will make any changes to the plan to allow it to go forward.	Cabinet
'Adoption' of the plan	9 Bringing the plan into force	If the plan passes the referendum, then the Borough Council has no choice but to 'adopt' the plan.	Director, in consultation with Portfolio Holder for Development

3.3. The Designation of Neighbourhood Area (Decision Stage 1 in the table above) is normally the first formal stage in the neighbourhood plan process. In most cases the area will be the whole parish. The Cabinet has

already delegated authority for these particular decisions (on 5/2/12) and no change is recommended.

- 3.4. Informal Comments on Emerging Plan (Decision Stage 2). There is usually a need to provide informal input into the development of neighbourhood plans, both to help the body preparing it and to ensure that the interests of the Borough as a whole, particularly the local plan strategy, is considered by those drawing up the plan. As this will usually will often to be done successively, quickly and very informally, and does not prejudice the opportunity to make formal representations later (see below), this is considered most appropriately done at officer level.
- 3.5. Strategic Environmental Assessment (SEA) Determination (Decision Stage 3) is a technical decision made under complex regulations and case law on an EU directive. It is recommended that this is appropriately delegated to the Director.
- 3.6. Formal response to pre-submission consultation (Decision Stage 4). When the parish (or other body) has completed a draft plan it must consult the Borough Council (and others) on it. This is the opportunity for the Council to ensure that the Borough's strategy and any other interests are clearly and firmly put forward, in the hope that these are addressed (if they haven't already) before the plan is submitted. Such messages may not always be welcomed by the parish, or may be otherwise sensitive, thus warranting Portfolio-Holder input and oversight. (Reference to Cabinet would usually not be achievable within the limited timescale available.)
- 3.7. Publication of neighbourhood plan (Decision Stage 5). Checking the validity of the submitted plan is a fairly straightforward technical judgement. If it is valid, the Borough Council must publish and consult on a submitted plan as soon as possible after it has been submitted. However, the exact timing of this will need to have regard to resources and any other consultations about to take place. Decisions also need to be taken about methods of publicity and which persons and bodies to consult to meet the requirements. These are considered appropriately made by the Director.
- 3.8. Formal representations on submitted neighbourhood plan (Decision Stage 6). Following publication of a submitted plan, there is a time limited opportunity for the Borough Council (and any other interested party) to make any comments they wish to bring to the attention of the Examiner. This is a critical opportunity for the Council to ensure that the Borough's strategy and any other interests are clearly and firmly put forward, in order to ensure these are considered in the subsequent examination. As with

the pre-submission comments stage (Decision Stage 4 above), such messages may not always be welcomed by the parish, or may be otherwise sensitive, thus warranting Portfolio-Holder input and oversight. (Reference to Cabinet would not usually be achievable within the limited statutory timescale available.)

- 3.9. Appointment of Examiner (Decision Stage 7). This involves identifying, selecting and commissioning a 'suitably qualified and experienced' person, who is independent of the parties/interests involved, to examine the plan. The choice of examiner must be agreed by the parish council (or other body preparing the plan). In practice the Council is likely to use the Neighbourhood Plan Independent Referral Service (a national service run by a consortium of the relevant professional bodies and community organisations) to identify suitable candidates. It is considered this is appropriately delegated to the Director.
- 3.10. Whether plan should proceed to referendum (Decision Stage 8). This is a crucial and potentially controversial decision. The Council must decide whether a series of legal tests are met (e.g. does the plan support sustainable development; is it in general conformity with the local plan strategy, etc.), and also whether any changes must be made to the plan to achieve compliance (in which case the Borough Council itself makes these changes to the plan. Unless the tests are judged met the plan falls. (A new or revised plan can be prepared but has to go through the whole process again.) If the tests are met, then the referendum goes ahead. The Council will have the benefit of the Examiner's recommendations on each of the tests and whether any changes are needed. However, the Council has to reach its own decisions, and the tests do involve a significant element of judgement. Thus while the Council will probably usually wish to follow the Examiner's recommendations, this will not necessarily always be the case. (If the Council is this is made by the Cabinet.)
- 3.11. Bringing the plan into force (Decision Stage 9). If the plan passes the referendum (i.e. more than 50% of votes are in favour of the plan) then the Borough Council has no choice but to 'make' (bring into force) the plan. At this point it becomes part of the statutory development plan for the area (alongside the local plan and county minerals and waste plans). The Council has no choice in this decision, so it is considered appropriate to delegate this to the Director in consultation with the Portfolio Holder.
- 3.12. Additional Preliminary Stage in King's Lynn – Neighbourhood Forums (not in table above). In that part of King's Lynn, where there is no parish or town council, a neighbourhood forum must be designated before a neighbourhood plan can be prepared. (In parished areas only a

parish/town council many prepare a neighbourhood plan.) A community group must apply to the Council to be designated. The application may be made either before, or at the same time as, the request to designate a neighbourhood area (Decision Stage 1 in the table above). The body must meet certain requirements in terms of number of local people involved and membership being open to certain groups of local people and councillors. This is anticipated to usually be straightforward, and hence in which case it is recommended that the decision would be taken by the Director in consultation with the Portfolio Holder. However, the decision could conceivably be difficult and controversial if there are competing groups putting themselves forward, in which case the decision would be made by the Cabinet following consultation with the King's Lynn Area Consultations Committee (if this remains in operation at the time).

4. Submission of Brancaster and South Wootton Neighbourhood Plans

4.1. These two draft plans have now been submitted to the Borough Council for processing and decision-making.

4.2. The Brancaster Draft Neighbourhood Plan concentrates on ensuring development is in keeping with the character of the village and, notably, seeks to restrict the scale of new houses both so that they could at some time form family homes for local people, even if they start life as holiday homes, and to blend with the existing character of the area. (In advance of publication by the Borough Council the Plan can be viewed on the Parish Council's website at <http://www.brancasterparishcouncil.co.uk/>)

4.3. The South Wootton Draft Neighbourhood Plan seeks to shape the growth allocated to the area by the Core Strategy, and complement the proposed Site Allocations and Development Management Policies Plan by providing further detail about features to be retained, and how character and form should blend with the existing character of the area. (In advance of publication by the Borough Council the Plan can be viewed on the Parish Council's website at

<http://southwootton.norfolkparishes.gov.uk/neighbourhood-plan/>)

4.4. The Draft Plans have each been developed through extensive local consultation and involvement. In both cases the Borough Council's officers have provided advice and assistance to the Parish Councils. This has included jointly funding an independent pre-submission 'health-check' review that sought to identify any issues likely to give rise to problems when the plan reaches the examination stage. The plans incorporate minor amendments to address issues raised in consultation and by the independent reviewer.

4.5. The Borough Council now must publish these Draft Plans, and formulate the representations it wishes to make on them (including any suggestions for changes) for consideration at the subsequent independent examination (i.e. Decision Stages 5 & 6 above). This process would be aided by the scheme of delegation set out earlier in this report.

5. Conclusion

5.1. Managing the neighbourhood plan process involves a sequence of decisions on the part of the Borough Council. These variously involve the Council as adviser/assistant to the group preparing the plan, as protector/promoter of the Borough local plan strategy and wider planning interests, and as quasi-judicial public authority.

5.2. These decisions also have varying levels of technical content, scope for controversy, and time limitations. The recommended delegated authorities are considered to represent a sound and pragmatic balance, providing member involvement in those decisions critical to the Council's interests or with reputational risk, while delegating to the Director those of a more technical and administrative nature and where there are particular time constraints.

5.3. The Brancaster and South Wootton Draft Neighbourhood Plans are the first to be submitted to the Borough Council. These will now be progressed under any scheme of delegation agreed by the Cabinet.

6. Policy Implications

None.

7. Financial Implications

None.

8. Personnel Implications

None.

9. Statutory Considerations

None.

10. Equality Impact Assessment (EIA)

(Pre screening report template attached)

11. Risk Management Implications

None.

12. Declarations of Interest / Dispensations Granted

None.

Background Papers

Brancaster Draft Neighbourhood Plan, December 2014.

South Wootton Draft Neighbourhood Plan, January 2015.

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards None	Mandatory	(a) Be entirely within Cabinet's powers to decide	NO	
		(b) Need to be recommendations to Council	YES	
		(c) Be partly for recommendations to Council and partly within Cabinets powers –	NO	
Lead Member: Councillor Nick Daubney E-mail: cllr.nick.daubney@west-norfolk.gov.uk		Other Cabinet Members consulted: None		
		Other Members consulted: None		
Lead Officer: Lorraine Gore E-mail: lorraine.gore@west-norfolk.gov.uk Direct Dial: 01553 616432		Other Officers consulted: Management Team		
Financial Implications YES	Policy/Personnel Implications YES	Statutory Implications (incl S.17) YES	Equal Opportunities Implications NO	Risk Management Implications YES

Date of meeting: 3rd March 2015

3 TREASURY MANAGEMENT STRATEGY STATEMENT, MINIMUM REVENUE PROVISION POLICY STATEMENT AND ANNUAL INVESTMENT STRATEGY 2015/2016

Summary

The Council is required to receive and approve a Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy which covers –

- Capital plans, including prudential indicators
- A Minimum Revenue Provision (MRP) Policy
- The Treasury Management Strategy
- An Investment Strategy

This report covers the requirements of the Local Government Act 2003, the Chartered Institute of Public Finance Accountants (CIPFA) Prudential Code, the Department of Communities and Local Government (CLG) MRP Guidance, the CIPFA Treasury Management Code and the CLG Investment Guidance.

This report looks at the period 2015/2018 which fits with the Council's Financial Plan and capital programme. The report is based upon the Treasury officers' views on interest rates, supplemented with leading market forecasts provided by the Council's treasury advisor, Capita Asset Services, Treasury Solutions.

Recommendations

Cabinet is asked to recommend to Council:

- 1 The Treasury Management Strategy Statement 2015/2016, including treasury indicators for 2015/2018.**
- 2 The Investment Strategy 2015/2016.**
- 3 The Minimum Revenue Provision Policy 2015/2016.**
- 4 Adopt the revised Treasury Management Practices (TMPs).**

Reason for the Decision

The Council must produce a Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy 2015/2016 by 31 March 2015.

1 Background

- 1.1 The Council operates a balanced budget, which broadly means cash raised during the year and the use of reserves and balances will meet its expenditure. Part of the treasury management operations ensure the cash flow is adequately planned, with surplus monies being invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity initially before considering maximising investment return.
- 1.2 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer term cash flow planning to ensure the Council can meet its capital spending operations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses, and on occasion any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.3 As a consequence treasury management is defined by CIPFA (Chartered Institute of Public Finance and Accountancy) as:

"The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

2 Reporting Requirements

- 2.1 CIPFA's Code of Practice on Treasury Management (revised November 2009) was adopted by this Council in March 2010.

The primary requirements of the Code are as follows:

1. Creation and maintenance of a Treasury Management Policy Statement which sets out the policies and objectives of the Council's treasury management activities.
2. Creation and maintenance of Treasury Management Practices (TMPs) which set out the manner in which the Council will seek to achieve those policies and objectives.
3. Receipt by the full Council of:
 - a. **An annual Treasury Management Strategy Statement - including the Annual Investment Strategy and Minimum Revenue Provision Policy - for the year ahead. This report covers**
 - the capital plans (including prudential indicators);
 - a Minimum Revenue Provision Policy (how residual capital expenditure is charged to revenue over time);
 - the Treasury Management Strategy (how the investments and borrowings are to be organised) including treasury indicators;
 - an investment strategy (the parameters on how investments are to be managed).
 - b. A Mid-year Treasury Management Review Report - This will update members with the progress of the capital position, amending prudential indicators as necessary, and whether the treasury strategy is meeting the strategy or whether any policies require revision.
 - c. An Annual Treasury Report - This provides details of a selection of actual prudential and treasury indicators and actual treasury operations compared to the estimates within the strategy.
4. Delegation by the Council of responsibilities for implementing and monitoring treasury management policies and practices and for the execution and administration of treasury management decisions. For this Council the delegated officer is the Chief Financial Officer.
5. Delegation by the Council of the role of scrutiny of treasury management strategy and policies to a specific named body. For this Council the delegated body is the Audit Committee.

2.2 Training

The CIPFA code requires the responsible officer to ensure that members with responsibility for treasury management receive adequate training in Treasury Management. This especially applies to members responsible for scrutiny. Training was provided for members on the 29 January 2013 and further training will be arranged as required.

2.3 Treasury Management Consultants

The Council uses Capita Asset Services, Treasury solutions (previously named Sector but has been rebranded) as its external treasury management advisors.

The Council recognises that responsibility for treasury management decisions remains within the organisation at all times and will ensure that undue reliance is not placed upon our external service providers.

The Council also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

2.4 The Treasury Management Strategy Statement for 2015/2016 covers two main areas:

Capital Issues

- the capital plans and the prudential indicators;
- the MRP strategy.

Treasury management Issues

- the current treasury position;
- treasury indicators which will limit the treasury risk and activities of Council;
- prospects for interest rates;
- the borrowing strategy;
- policy on borrowing in advance of need;
- debt rescheduling;
- the investment strategy;
- creditworthiness policy; and
- policy on use of external service providers.

These elements cover the requirements of the Local Government Act 2003, the CIPFA Prudential Code, the CLG MRP Guidance, the CIPFA Treasury Management Code and the CLG Investment Guidance.

3 The Capital Prudential Indicators 2015/2016 – 2017/2018

3.1 The Council's capital expenditure plans are one of the key drivers of treasury management activity. The output of the capital expenditure plans are reflected in prudential indicators, which are designed to assist members overview and confirm capital expenditure plans.

Capital Expenditure. This prudential Indicator is a summary of the Council's capital expenditure plans approved at Full Council on 26 February 2015: (It also includes capital expenditure plans for the Major Housing project approved at the same meeting)

	Revised Budget 2014/2015 £000s	Revised Budget 2015/2016 £000s	Revised Budget 2016/2017 £000s	Revised Budget 2017/2018 £000s
Major Projects	11,314	17,092	13,479	21,964
Central & Community Services	961	1,849	1,931	1,596
Chief Executive	31	120	50	0
Commercial Services	880	2,033	1,031	1,310
Environment & Planning	0	43	0	0
Resources	529	745	160	161
Total	13,715	21,882	16,651	25,031

The table below summarises the above capital expenditure plans and how these plans are being financed by capital or revenue resources. Any shortfall of resources results in a funding need (borrowing).

	Revised Budget 2014/2015 £000s	Revised Budget 2015/2016 £000s	Revised Budget 2016/2017 £000s	Revised Budget 2017/2018 £000s
Capital Expenditure	13,715	21,882	16,651	25,031
Financed by:				
Capital receipts	7,259	9,248	11,003	22,305
Capital grants	604	759	759	759
S106	623	902	46	0
Capital reserves	1,886	4,060	(990)	1,674
Net financing need for the year	(3,343)	(6,913)	(5,833)	(293)

The above financing need excludes other long term liabilities, such as leasing arrangements which already include borrowing instruments.

3.2 The Council's Borrowing Need (the Capital Financing Requirement)

The second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. Any capital expenditure above, which has not immediately been paid for, will increase the CFR.

The CFR does not increase indefinitely, as the minimum revenue provision (MRP) is a statutory annual revenue charge which broadly reduces the borrowing need in line with each assets life.

The CFR now includes any other long term liabilities (e.g. PFI -private finance Initiatives schemes, finance leases) brought onto the balance sheet. Whilst this increases the CFR, and therefore the Council's borrowing requirement, these types of scheme include a borrowing facility and so the Council is not required to separately borrow for these schemes. As at the 31 March 2014 the Council had £433,000 of finance leases within the CFR.

The Council is asked to approve the CFR projections below:

	2014/2015 Estimate £000s	2015/2016 Estimate £000s	2016/2017 Estimate £000s	2017/2018 Estimate £000s
Total CFR	14,783	16,754	22,274	26,699
Internal Borrowing	764	1,323	582	631
External Borrowing	2,579	5,590	5251	(338)
Net Financing Need Total	3,343	6,913	5,833	293
Less MRP and other financing movements*	(1,372)	(1,393)	(1,408)	(1,500)
Movement in CFR	1,971	5,520	4,425	(1,207)
Closing CFR	16,754	22,274	26,699	25,492

*Includes finance lease annual principal payments and the repayment of borrowing.

3.3 MRP Policy Statement – (Minimum Revenue Provision)

The Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge (the minimum revenue provision - MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision - VRP).

Department for Communities and Local Government (CLG) Regulations have been issued which require the full Council to approve **an MRP Statement** in advance of each year. A variety of options are provided to councils, so long as there is a prudent provision. The Council is recommended to approve the continued use of the Asset Live Method as set out below.

- **Asset Life Method** – MRP will be based on the estimated life of the assets, in accordance with the proposed regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction) (option 3) which provides for a reduction in the borrowing need over approximately the asset's life.

3.4 The Use of the Council's Resources and the Investment Position

The application of resources (capital receipts, reserves etc.) to either finance capital expenditure or other budget decisions to support the revenue budget will have an ongoing impact on investments unless resources are supplemented each year from new sources (asset sales etc.). Detailed below are estimates of the year end balances for each resource and anticipated day to day cash flow balances

Year End Resources	2014/2015	2015/2016	2016/2017	2017/2018
	Estimate	Estimate	Estimate	Estimate
	£000s	£000s	£000s	£000s
Fund balances / reserves	20,717	18,075	20,122	17,043
Capital receipts	2,085	100	1,219	100
Unapplied Grants	1,033	1,033	1,033	1,033
Total core funds	23,835	19,208	22,374	18,176
Working capital*	3,072	3,072	3,072	3,072
Expected investments	26,907	22,280	25,446	21,248

* Working capital consists of debtors/creditors/stock and capital grants received in advance. Working capital balances shown are as at the latest balance sheet date 31st March 2014; these may be higher mid year and change at subsequent balance sheet dates.

3.5 Affordability Prudential Indicators

The previous sections cover the overall capital and control of borrowing prudential indicators, but within this framework prudential indicators are required to assess the affordability of the capital investment plans. These provide an indication of the impact of the capital investment plans on the Council's overall finances. The Council is asked to approve the following indicators:

Ratio of financing costs to net revenue stream - This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream.

%	2014/2015	2015/2016	2016/2017	2017/2018
	Estimate	Estimate	Estimate	Estimate
General Fund	9.72	10.51	10.93	12.04

The estimates of financing costs include current commitments and the proposals in this budget report.

3.6 Estimates of the incremental impact of capital investment decisions on council tax

This indicator identifies the revenue costs associated with proposed changes to the capital programme 2014 – 2018 reported to Cabinet on the 3 February 2015 in this budget report compared to the Council's existing approved commitments and current plans. The assumptions are based on the budget, but will invariably include some estimates, such as the level of Government support, which are not published over a three year period.

Incremental impact of capital investment decisions on the band D council tax

	2014/2015 Estimate	2015/2016 Estimate	2016/2017 Estimate	2017/2018 Estimate
Council tax - band D	£0.44	£0.49	£0.70	£1.73

4 Treasury Management Strategy

The capital expenditure plans set out in Section 3 provide details of the service activity of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the the relevant professional codes, so that sufficient cash is available to meet this service activity. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the relevant treasury / prudential indicators, the current and projected debt positions and the annual investment strategy.

4.1 Current Portfolio Position

The Council's treasury portfolio position at 31 March 2014, with forward projections are summarised below. The table shows the actual external debt (the treasury management operations), against the underlying capital borrowing need (the Capital Financing Requirement - CFR), highlighting any over or under borrowing

	2014/2015	2015/2016	2016/2017	2017/2018
	Estimate	Estimate	Estimate	Estimate
	£000s	£000s	£000s	£000s
External Debt				
Debt at 1 April	16,698	19,277	24,867	30,118
Expected change in Debt	2,579	5,590	5,251	(338)
Debt at 31 March	19,277	24,867	30,118	29,780
The Capital Financing Requirement	16,754	22,274	26,699	25,492
Under / (over) borrowing	(2,523)	(2,593)	(3,419)	(4,288)
Total Investments at 31 March	26,907	22,280	25,446	21,248
Net debt (Actual Debt 31st March Minus Investments)	(7,630)	2,587	4,672	8,532

Within the prudential indicators there are a number of key indicators to ensure that the Council operates its activities within well defined limits. One of these is that the Council needs to ensure that its total debt, net of any investments, does not, except in the short term, exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for 2015/2016 and the following two financial years (shown as net borrowing above). This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue purposes. The Chief Financial Officer ensured that the Council complied with this prudential indicator in the current year and does not envisage difficulties for the future. This view takes into account current commitments, existing plans, and the proposals in this budget report.

4.2 Treasury Indicators: Limits to Borrowing Activity

The Operational Boundary. This is the limit beyond which external debt is not normally expected to exceed. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt.

Operational boundary	2014/2015 Estimate £000's	2015/2016 Estimate £000's	2016/2017 Estimate £000's	2017/2018 Estimate £000's
Debt	25,000	30,000	35,000	35,000

In 2014/2015, the operational limit has been increased to take account of the borrowing requirements in relation to the joint venture project (NORA). From 2015/2016, the limit also includes the borrowing required for the major housing development as approved Council on the 26th February 2015.

The above limits do not include a provision for Phase 3 of the NORA joint Venture – a separate report will be required to Cabinet for approval before construction can proceed to phase 3.

The Authorised Limit for external debt. A further key prudential indicator represents a control on the maximum level of borrowing. This represents a limit beyond which external debt is prohibited, and this limit needs to be set or revised by the full Council. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term. The Authorised Limit allows for any potential overdraft position.

- This is the statutory limit determined under section 3 (1) of the Local Government Act 2003. The Government retains an option to control either the total of all councils' plans, or those of a specific council, although this power has not yet been exercised.
- The Council is asked to approve the following Authorised Limit:

Authorised limit	2014/2015 Estimate £000's	2015/2016 Estimate £000's	2016/2017 Estimate £000's	2017/2018 Estimate £000's
Debt	30,000	35,000	40,000	40,000

In 2014/2015, the Authorised limit has been increased to take account of the borrowing which has be required in relation to the joint venture project (NORA). The cashflow forecast for the project recognises that the amount of borrowing will be dependant upon how quickly the houses will sell. If the houses do not sell as forecast, additional short term borrowing will be required to fund the project.

From 2015/2016, the limit also includes the borrowing required for the major housing development as approved at Council on the 26th February 2015.

The above limits do not include a provision for Phase 3 of the NORA joint Venture – a separate report will be required to Cabinet for approval before construction can proceed to phase 3.

4.3 Current Treasury Position – January 2015

Before looking at future borrowing and investment strategies it is worth noting the Council's current treasury portfolio (31 January 2015):

		Principal	Average
		£'000	Rate
			%
Fixed Rate Funding	PWLB	1,000	2.92
	Market Loans	12,500	3.41
Variable Rate Funding	Market Loans	4,000	0.44
Total Debt		17,500	2.70
Total Investments (detailed later in the report)		30,853	0.89

The current low level of debt follows from the effect of the current spending on the capital programme. Any additional borrowing required for the housing joint venture will be dependent upon how quickly the houses will sell.

4.4 Prospects for Interest Rates

The Council has appointed Capita Asset Services, Treasury Solutions, as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates. Appendix 1 draws together a number of current City forecasts for short term (Bank Rate) and longer fixed interest rates. The following table gives the Capita Asset Services, Treasury Solutions central view:

Annual Average %	Bank Rate %	PWLB Borrowing Rates % (including certainty rate adjustment)		
		5 year	25 year	50 year
Mar 2015	0.50	2.20	3.40	3.40
Jun 2015	0.50	2.20	3.50	3.50
Sep 2015	0.50	2.30	3.70	3.70
Dec 2015	0.75	2.50	3.80	3.80
Mar 2016	0.75	2.60	4.00	4.00
Jun 2016	1.00	2.80	4.20	4.20
Sep 2016	1.00	2.90	4.30	4.30
Dec 2016	1.25	3.00	4.40	4.40
Mar 2017	1.25	3.20	4.50	4.50
Jun 2017	1.50	3.30	4.60	4.60
Sep 2017	1.75	3.40	4.70	4.70
Dec 2017	1.75	3.50	4.70	4.70
Mar 2018	2.00	3.60	4.80	4.80

- 4.5 UK Gross Domestic Product (GDP) growth surged during 2013 and the first half of 2014. Since then it appears to have subsided somewhat but still remains strong by UK standards and is expected to continue into 2015 and 2016. There needs to be a significant rebalancing of the economy away from consumer spending to manufacturing, business investment and exporting in order for this recovery to become more firmly established. One drag on the economy has been that wage inflation has only recently started to exceed Consumer Price Index (CPI) inflation, so enabling disposable income and living standards to start improving. The plunge in the price of oil brought CPI inflation down to a low of 1.0% in November, the lowest rate since September 2002. Inflation is expected to stay around or below 1.0% for the best part of a year; this will help improve consumer disposable income and so underpin economic growth during 2015. However, labour productivity needs to improve substantially to enable wage rates to increase and further support consumer disposable income and economic growth. In addition, the encouraging rate at which unemployment has been falling must eventually feed through into pressure for wage increases, though current views on the amount of hidden slack in the labour market probably means that this is unlikely to happen early in 2015.

The US, the biggest world economy, has generated stunning growth rates of 4.6% (annualised) in Q2 2014 and 5.0% in Q3. This is hugely promising for the outlook for strong growth going forwards and it very much looks as if the US is now firmly on the path of full recovery from the financial crisis of 2008. Consequently, it is now confidently expected that the US will be the first major western economy to start on central rate increases by mid 2015.

- 4.6 The current economic outlook and structure of market interest rates and government debt yields have several key treasury management implications:
- **Greece:** the general election on 25 January 2015 is likely to bring a political party to power which is anti EU and anti austerity. However, if this eventually results in Greece leaving the Euro, it is unlikely that this will directly destabilise the Eurozone as the EU has put in place adequate firewalls to contain the immediate fallout to just Greece. However, the indirect effects of the likely strengthening of anti EU and anti austerity political parties throughout the EU is much more difficult to quantify;
 - As for the **Eurozone** in general, concerns in respect of a major crisis subsided considerably in 2013. However, the downturn in growth and inflation during the second half of 2014, and worries over the Ukraine situation, Middle East and Ebola, have led to a resurgence of those concerns as risks increase that it could be heading into deflation and prolonged very weak growth. Sovereign debt difficulties have not gone away and major concerns could return in respect of individual countries that do not dynamically address fundamental issues of low growth, international uncompetitiveness and the need for overdue reforms of the economy (as Ireland has done). It is, therefore, possible over the next few years that levels of government debt to GDP ratios could continue to rise to levels that could result in a loss of investor confidence in the financial viability of such

countries. Counterparty risks therefore remain elevated. This continues to suggest the use of higher quality counterparties for shorter time periods;

- Investment returns are likely to remain relatively low during 2015/16 and beyond;
- Borrowing interest rates have been volatile during 2014 as alternating bouts of good and bad news have promoted optimism, and then pessimism, in financial markets. The closing weeks of 2014 saw gilt yields dip to historically remarkably low levels after inflation plunged, a flight to quality from equities (especially in the oil sector), and from the debt and equities of oil producing emerging market countries, and an increase in the likelihood that the European Central Bank (ECB) will commence quantitative easing (purchase of Eurozone (EZ) government debt) in early 2015. The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in later times, when authorities will not be able to avoid new borrowing to finance new capital expenditure and/or to refinance maturing debt;
- There will remain a cost of carry to any new borrowing which causes an increase in investments as this will incur a revenue loss between borrowing costs and investment returns.

5 Borrowing Strategy 2015/2018

The Council is currently maintaining an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is relatively high.

Against this background and the risks within the economic forecast, caution will be adopted with the 2015/2016 treasury operations. The Council officers will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:

The Council will only borrow if it is financially advantageous to do so.

The Council's borrowing strategy will give consideration to new borrowing in the following order of priority: -

- The cheapest borrowing will be internal borrowing by running down cash balances and foregoing interest earned at historically low rates. However, in view of the overall forecast for long term borrowing rates to increase over the next few years, consideration will also be given to weighing the short term advantage of internal borrowing against potential long term costs if the opportunity is missed for taking loans at long term rates which will be higher in future years
- Temporary borrowing from the money markets or other local authorities
- PWLB (Public Works Loan Board) variable rate loans for up to 10 years
- Short dated borrowing from non PWLB below sources

- Long term fixed rate market loans at rates significantly below PWLB rates for the equivalent maturity period (where available).
- PWLB borrowing for periods under 10 years where rates are expected to be significantly lower than rates for longer periods. This offers a range of options for new borrowing which will spread debt maturities away from a concentration in longer dated debt.

Any decisions will be reported to the appropriate decision making body at the next available opportunity.

5.1 Treasury Management Limits on Activity

There are three debt related treasury activity limits. The purpose of these are to restrain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. However, if these are set to be too restrictive they will impair the opportunities to reduce costs / improve performance. The indicators are:

- Upper limits on variable interest rate exposure. This identifies a maximum limit for variable interest rates based upon the debt position net of investments.
- Upper limits on fixed interest rate exposure. This is similar to the previous indicator and covers a maximum limit on fixed interest rates;
- Maturity structure of borrowing. These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing, and are required for upper and lower limits.

The Council is asked to approve the following treasury indicators and limits:

	2015/2016 £000's	2016/2017 £000's	2017/2018 £000's
Interest rate Exposures			
	Upper	Upper	Upper
Limits on fixed interest rates based on net debt	35,000	40,000	40,000
Limits on variable interest rates based on net debt	25,000	30,000	30,000

Maturity Structure of fixed interest rate borrowing 2015/2016			
	Current Position £M	Lower limit for portfolio	Upper limit for portfolio
Under 12 months	4	0%	100%
12 months to 2 years	0	0%	100%
2 years to 5 years	2.5	0%	100%
5 years to 10 years	1	0%	100%
10 years and above	10*	0%	100%

**The term of these loans was originally for a seventy year period, 2007 - 2077 (with a lenders option at ten years)*

The lower and upper limits for this indicator have been set at 0% – 100% to maximise the flexibility of borrowing options over different periods.

5.2 Policy on Borrowing in Advance of Need

The Council will not borrow more, than or in advance of its needs, purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.

Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism.

5.3 Debt Rescheduling

The Chief Financial Officer will continue to monitor the situation and take advantage of market conditions if they exist to produce revenue savings.

As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

All rescheduling will be reported to the Cabinet at the earliest meeting following its action.

5.4

It is likely that the Municipal Bond Agency, currently in the process of being set up, will be offering loans to local authorities in the near future. It is also hoped that the borrowing rates will be lower than those offered by the Public Works Loan Board (PWLB). This Authority may wish to make use of this new source of borrowing as and when appropriate, depending on duration and interest rate.

6 Annual Investment Strategy

Investment Policy

The Council's investment policy has regard to the CLG's (Communities and Local Government) Guidance on Local Government Investments ("the Guidance") and the 2011 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then return.

In accordance with the above guidance from the CLG and CIPFA, and in order to minimise the risk to investments, the Council applies minimum acceptable credit criteria in order to generate a list of highly creditworthy counterparties which also enables diversification and thus avoidance of concentration risk.

Continuing regulatory changes in the banking sector are designed to see greater stability, lower risk and the removal of expectations of Government financial support should an institution fail. This withdrawal of implied sovereign support is anticipated to have an effect on ratings applied to institutions. This will result in the key ratings used to monitor counterparties being the Short Term and Long Term ratings only. Viability, Financial Strength and Support Ratings previously applied will effectively become redundant. This change does not reflect deterioration in the credit environment but rather a change of method in response to regulatory changes.

As with previous practice, ratings will not be the sole determinant of the quality of an institution and that it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To this end the Council will engage with its advisors to maintain a monitor on market pricing such as "credit default swaps" and overlay that information on top of the credit ratings.

Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.

Investment instruments identified for use in the financial year are listed in appendix 3 under the 'specified' and 'non-specified' investments categories. Counterparty limits will be as set through the Council's treasury management practices – schedules.

6.1 Creditworthiness policy

This Council applies the creditworthiness service provided by Capita Asset Services, Treasury Solutions. This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moodys and Standard and Poors. The credit ratings of counterparties are supplemented with the following overlays:

- credit watches and credit outlooks from credit rating agencies;
- CDS (credit default swaps) spreads to give early warning of likely changes in credit ratings;
- sovereign ratings to select counterparties from only the most creditworthy countries.

This modelling approach combines credit ratings, credit watches and credit outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the duration for investments. The Council will therefore use counterparties within the following durational bands:

Yellow	5 years *
Dark pink	5 years for Enhanced money market funds (EMMFs) with a credit score of 1.25
Light pink	5 years for Enhanced money market funds (EMMFs) with a credit score of 1.5
Purple	2 years
Blue	1 year (only applies to nationalised or semi nationalised UK Banks)
Orange	1 year
Red	6 months
Green	100 days
No colour	not to be used

Counterparties	Colour (and long term rating where applicable)	Money per institution Limit	Time Limit
Banks *	yellow	As per table 6.2	5yrs
Banks	purple	As per table 6.2	2 yrs
Banks	orange	As per table 6.2	1 yr
Banks – UK part nationalised	blue	£7m	1 yr
Banks	red	As per table 6.2	6 mths
Banks	green	As per table 6.2	100 days
Banks	No colour	Not to be used	
The Council's transactional bank for cashflow purposes (Barclays Bank)	No colour	<£250,000	1 day
Other institutions limit (i.e. Building Societies)	-	As per table 6.2	Dependent upon institution
DMADF (Debt Management Account Deposit Facility)	AAA	unlimited	6 months
Local authorities	n/a	unlimited	unlimited
Money market funds	AAA	As per table 6.2	liquid
Enhanced money market funds with a credit score of 1.25	Dark pink / AAA	As per table 6.2	liquid
Enhanced money market funds with a credit score of 1.5	Light pink / AAA	As per table 6.2	liquid

The Capita Asset Services, Treasury solutions creditworthiness service uses a wider array of information than just primary ratings and by using a risk weighted scoring system, does not give undue preponderance to just one agency's ratings.

Typically the minimum credit ratings criteria the Council use will be a short term rating (Fitch or equivalent) of Short Term rating F1, Long Term rating A-, Viability ratings of A-, and a Support rating of 1. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.

All credit ratings will be monitored daily. The Council is alerted to changes to ratings of all three agencies through its use of the Capita Asset Services, Treasury solutions creditworthiness service.

- if a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
- in addition to the use of credit ratings the Council will be advised of information in movements in Credit Default Swap against the iTraxx benchmark and other market data on a weekly basis. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.

Sole reliance will not be placed on the use of this external service. In addition this Council will also use market data and market information, information on government support for banks and the credit ratings of that government support.

6.2 Diversification: this Borough Council will avoid concentrations of lending and borrowing by adopting a policy of diversification. It will therefore use the following: -

- Greater amounts of investments will be held with the higher credit rated counterparties as per the table below. Based on an estimated investment portfolio of £27m in 2015/2016

<u>Credit Rating</u>	<u>Maximum investment per institution (£M)</u>
<u>AAA</u>	<u>8M</u>
<u>AA+</u>	<u>7M</u>
<u>AA/AA+</u>	<u>6M</u>
<u>A+/A</u>	<u>5M</u>

- Group limits where a number of institutions are under one ownership – Investments for the whole group will not exceed the credit rating limit in the table above.
- However, where the institution (or group) is a UK nationalised/semi-nationalised, the limit is to £7m

6.3 Country limits

The Council has determined that it will only use approved counterparties from countries with a minimum sovereign credit rating of AA+ from Fitch. The list of countries that qualify using this credit criteria as at the date of this report are shown in Appendix 4.

This list will be added to or deducted from by officers should ratings change in accordance with this policy.

6.4 Investment Strategy

Investments will be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months).

6.5 **Investment returns expectations.** Bank Rate is forecast to remain unchanged at 0.5% before starting to rise from quarter 4 of 2015. Bank Rate forecasts for financial year ends (March) are:

- 2015/ 2016 0.75%
- 2016/ 2017 1.25%
- 2017/ 2018 2.00%

There are downside risks to these forecasts (i.e. start of increases in Bank Rate occurs later) if economic growth weakens. However, should the pace of growth quicken, there could be an upside risk.

6.6 The estimated budgeted investment returns on investments (placed for periods up to 100 days) included in the Councils Financial Plan as approved by Council on the 26 February 2015 are as follows:

Capita suggested:

- 2015/16 0.60% (currently achieving 0.89% in 2014/15)
- 2016/17 1.25%
- 2017/18 1.75%

6.7 **Investment treasury indicator and limit** - total principal funds invested for greater than 364 days. These limits are set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment, and are based on the availability of funds after each year-end.

The Council is asked to approve the treasury indicator and limit: -

Maximum principal sums invested > 364 days			
	2015/2016	2016/2017	2017/2018
Principal sums invested > 364 days	£4.5m	£4.5m	£4.5m
With Local Authorities	£10m	£10m	£10m

Capita Asset Services, Treasury Solutions, the Council's treasury advisors, recommend that due to current market conditions, all investments should be made for periods less than 364 days, due to risk as detailed in 6.1, **unless they are placed with other Local Authorities**. The Council will continue to monitor creditworthiness on a daily basis.

If an investment became available with an institution with good credit quality and recommended duration was more than 364 days, Capita Asset Services, Treasury Solutions would be consulted before the investment was placed. With rates not predicted to increase dramatically over the next two years, the

total amount which could be invested over 364 days would be £4.5m (approx. 15% of the portfolio).

For its cash flow generated balances, the Council will seek to utilise its business reserve/instant access accounts, 15, 30 and 95 day notice accounts, money market funds and short-dated deposits in order to benefit from the compounding of interest.

In-house managed Investments held as at 31 January 2015 are as follows:

Institution	Long Term Rating	Expires:	Principal £000's	Rate of interest %
Wyre Forest DC	AAA	14 July 2016	2,000	0.95
Goldman Sachs Int	A	22 May 2015	2,000	0.55
Barclays FIBCA	A		2,600	0.45
Barclays FIBCA	A		2,400	0.45
Natwest (RBS)	A	30 August 2016	2,000	1.68
Bank of Scotland	A	13 April 2015	2,000	0.98
Bank of Scotland	A	1 December 2015	3,000	1.05
Bank of Scotland	A	4 December 2015	2,000	1.05
Newcastle City Council	AAA	4 August 2016	2,000	1.00
Roydon Parish Council	AAA		3	1.50
Glasgow City Council	AAA	12 November 2015	3,000	0.95
Cheshire West & Chester Council	AAA	20 January 2016	2,000	1.10
Norfolk & Waveney Enterprise Services	AAA		500	1.80
LGIM	AAA		600	0.44
BNP Parabis	AAA		4,750	0.45
Total Investments			30,853	0.89

- 6.8 Alternative options for investment will be considered where opportunities become available as an alternative to traditional investments. These will be assessed in conjunction with Capita Asset Services, Treasury solutions, our Treasury Management Advisors. Further reports will be brought to Cabinet if these types of investment are to be used.

7 **Investment Risk Benchmarking**

These benchmarks are simple guides to maximum risk, so they may be breached from time to time, depending on movements in interest rates and counterparty criteria. The purpose of the benchmark is that officers will monitor the current and trend position and amend the operational strategy to manage risk as conditions change. Any breach of the benchmarks will be reported, with supporting reasons in the mid-year or Annual Report.

Liquidity – in respect of this area the Council seeks to maintain:

- Bank overdraft - £250,000
- Liquid short term deposits held and available within a week's notice.

Yield - local measures of yield benchmarks are:

- Investments – internal returns above the 7 day LIBID rate

8 **End of year investment report**

At the end of the financial year, the Council will report on its investment activity as part of its Annual Treasury Report.

9 **Treasury Management Practises (TMPs)**

9.1 Good practise requires TMPs to be reviewed on an annual basis and any changes made to be reported to members. Changes that have been made include:

- revised country counterparties listing
- revised investment vehicles
- revised minimum lending criteria and credit worthiness policy
- revised authorised limit
- revised Business Disruption Insurance figure
- revised scheme of delegation due to the change of section 151 role from the Deputy Chief Executive, Executive Director Resources to Chief Financial Officer
- revised treasury advisor to reflect new title from Sector to Capita Asset Services, Treasury Solutions
- revised banking contract

9.2 TMPs are reviewed as risks and market conditions change. In particular credit risk is monitored using our Treasury advisors on a daily basis. A copy of the TMPs are available on the Councils website.

10 **Financial Implications**

The financial implications of the borrowing and investment strategy and MRP are reflected in the financing adjustment figure included in the Financial Plan 2014/2018 approved at Cabinet on 3 February 2015.

11 **Risk Management Implications**

There are elements of risk in dealing with the treasury management function although the production and monitoring of such controls as Prudential Indicators and Treasury Management Strategies help to reduce the exposure of the Council to the market. The costs and returns on borrowing and investment are in themselves a reflection of risk that is seen by the market forces. The action and controls outlined in the report will provide for sound financial and performance management procedures.

12 **Policy Implications**

There are no other changes in the Treasury Management policy at present, other than those outlined in this report.

13 **Statutory Considerations**

The Council must set Prudential Indicators and adopt a Treasury Management Strategy and Annual investment Strategy before 31 March 2015.

14 **Access to information**

Monthly Monitoring reports 2014/2018
Treasury Management Strategy and Annual investment Strategy 2014
The Financial Plan 2014/2018 – A Financial Plan
Capital Programme 2014/2018
Council Website – Treasury Management Practices

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards	Discretionary /	Be entirely within Cabinet's powers to decide	YES	
		Need to be recommendations to Council	NO	
	Operational	Is it a Key Decision	/NO	
Lead Member: Cllr David Pope E-mail: cllr.david.pope@west-norfolk.gov.uk		Other Cabinet Members consulted: Cllr Alistair Beales		
Lead Officer: Richard Godfrey E-mail: Richard.godfrey@west-norfolk.gov.uk Direct Dial:01553 616569		Other Members consulted:		
		Other Officers consulted: Corporate Management Team ICT Technical Services Manager, Democratic Services Manager		
Financial Implications YES	Policy/Personnel Implications NO	Statutory Implications NO	Equal Impact Assessment NO	Risk Management Implications NO

Date of meeting: 3rd March 2015

4 PROPOSED MEMBERS ICT SOLUTION

Summary

This report provides a proposal to move away from the current fully managed ICT solution consisting of a PC 'Wyse Terminal', broadband and telephone land line service for Members, to a combination of iPads, Citrix remote access and provision of a mobile phone, following the 2015 Elections - saving up to £62,421 over a 4 year period.

It looks at lessons learned from the current provision of Members ICT and examines the results of an iPad trial undertaken by a cross section of Elected Members.

A brief summary of some of the potential benefits of the move are 1) the facility to receive minutes, agendas and email via 'apps' straight to an iPad device 2) cost reduction 3) reduced ICT staff visits, 4) less ICT equipment taking up space at home for Members.

The report seeks to obtain a steer for 'Paperless Meetings' and asks for consideration to be given to the inclusion of a '3G' simcard, to enable iPads to be used on the move. The report also seeks approval to issue 'Members Computer Usage Guidelines' as part of the rollout.

Recommendation

Cabinet resolves

- 1) To provide each Member with an iPad tablet device, Citrix access and a mobile phone, replacing the current Council ICT solution, unless Members choose to utilise their own compatible equipment.
- 2) That the 3G option is not entered into except on an exceptions basis.
- 3) To implement an allowance of £10 per month towards the cost of Broadband and ICT peripherals.
- 4) To introduce Members Computer Usage Guidelines.

Reason for Decision

To ensure that Members have access to ICT in a secure and efficient manner that reflects up to date technical advancements and good practice.

1 Background

1.1 At the last election from the general feedback received, the current solution offered to existing members was seen as fit for purpose and would be so for another 4-5 years reducing the potential financial expenditure at a time of decreasing budgets. In that:

- It met ever growing ICT security requirements. (Including PSN (Public Services Network / PCI Payment Card Industry legislation) and provided support in a fast and efficient way for all Member ICT.
- Equipment that may have deteriorated over the previous term, could be replaced (printer/keyboard/mice) cost effectively, although the majority of equipment has been re-used.

Over the last year, options have been reviewed to enable a more up-to-date solution to be available post the 2015 Elections, learning from what colleagues were doing in both District and County Councils across the UK.

The aim is to offer an improvement to service levels around connectivity and offer greater mobility. In a predominantly rural county, this has often been a hurdle to overcome.

1.2 Current ICT Solution

Prior to the 2015 elections there are predominantly two ICT Member solutions available.

These are either:

1. The fully supported solution which comprises of:

- Dell 17" TFT Screen
- Wyse terminal
- HP colour inkjet printer
- Router
- Telephone (If required)

The Council would provide a newly installed BT line and following the installation, provide network services (Business Class Broadband) via Claranet internet service provider.

Or

2. Members were offered access to email and the Corporate Intranet via a Web Portal using their own equipment and Citrix.

At the start of the election term 80% of Members used the fully supported solution. (1) The majority of the remaining 20% accessed ICT services via the Web Portal.

As of now, the figure has changed and moved more towards people using their own equipment with 66% of Members now using the fully supported solution. (1) The majority of the remaining 34% access ICT services via the Web Portal. (2)

In areas of particularly unreliable connectivity, the Council has supplied a laptop. Because laptops are difficult to manage efficiently and securely from a central location, they were not used on a wider scale.

In addition to this the Council offer Cabinet Members BlackBerry/smart phone devices for access to email and calendar.

1.3 Current ICT Support Arrangements

All Members are currently offered comprehensive support from the Service Desk, the hours of operation are:

Mon-Thurs (8am - 5.15pm)

Friday (8am - 4.45pm)

Weekend / out of hours support is provided for major system failures.

Once a Member is elected ICT currently manage the complete installation process including:

- Co-ordinating the installation of both the phone line and business broadband connection.
- Providing initial training and additional home visits as requested to help those less familiar with ICT.

ICT treat Member Service Desk calls as a priority and aim for a fix time of 4 hours for connectivity issues and deal with all third party services on behalf of the Member. Any Members ICT issue that cannot be dealt with 'remotely' is dealt with via a visit personally by staff.

Because of the geographic area covered this can mean that one member of staff can often be out of the office for half a day to assist with an incident or request from a Member at short notice.

In addition to currently providing a comprehensive solution for Members, the team ICT also dealt with:

- Over 5250 reported incidents and requests that have been logged to date in 2014 from over 700 users.
- Over 150 of these calls are from Members. ICT have achieved a reduction in these call numbers, part of which is down to better stability and quicker broadband connections which has been rolled out during the term as part of a cost saving and efficiency programme.

ICT resolve on average 95% of problems within the timescales set down.

ICT send out customer satisfaction surveys to every 5th person that registers a call on the Service Desk and in the last period reported, 98% of respondents were either satisfied or very satisfied with the time it took for the issue to be resolved.

2. Setting the scene – current trends regarding ICT device usage

Product	Current (millions)	Market Share	Est. 2017 (millions)	Market Share	2013-17 Est. Growth
Desktop PC	134.4	8.6%	123.11	5%	-8.4%
Portable PC	180.9	11.6%	196.6	8%	8.7%
Tablet	227.3	14.6%	406.8	16.5%	78.9%
Smartphone	1,013.2	65.1%	1,733.9	70.5%	71.1%
Total	1,556	100%	2,460.5	100%	58.1%

Source: IDC Worldwide Quarterly Smart Connected Device Tracker.

In 2013, more than half of Britons owned a mobile phone with an internet connection according to Government statistics and it is now estimated the average consumer looks at their smart device (tablet/smart phone) around 150 times a day. The smart device, in reality is more of a 'pocket computer' than a communications device and now a mainstay of everyday life. These devices are proliferating in all areas of business and pushing growth in market sales.

A few years ago, mobile email was a specialist application restricted to senior executives or people with very specific tasks, who often owned BlackBerry handsets or Windows Mobile devices. Now, any user can pick up an internet ready smart device, often for free on contract and are now asking for it to be connected to the office network.

App Stores and the Apple Effect

The arrival of the Apple App Store in 2008 marked a new way to look at applications. In a shift of the established order, iPhone and iPad users could now acquire applications on an instant basis. Mobile app store downloads worldwide are expected to top 100 billion in 2014.

Apple has made it so easy for an ordinary user to click on an app and download it, that employees begin to wonder why it's so difficult to do something similar within a work environment.

Through this project we now have this facility.

The ongoing challenge for the Council is to adapt to market changes by giving mobile users flexibility whilst still keeping sensitive information safe through secure systems all on a decreasing budget.

In consultation with Member Services and the ICT Development Group, ICT has taken into account these trends and have been conducting testing in 2014, which provided the basis for the recommendations in this report.

3 Options Considered

3.1 Overview

An agreed group of 14 Members were invited in to test the options proposed. ([See Appendix 6 for a summary of Trial Survey Responses](#)) Outlined below are the proposed solution (with options), potential savings, benefits and risks.

3.2 Proposed Solution

i) Citrix Access via Members own PC/Laptop:

(Currently 34% of Members are using this)

It is proposed that all Members are offered (via their own ICT equipment) secure access to:

Email (Outlook)
Other Microsoft Office software (Word, Excel and PowerPoint)
Adobe Reader
Staff Directory
Intranet (Corporate Documents and Information)
Member Expenses
Personal Network File Store

Since the last election the development and uptake of ICT in the home makes it likely that more Members would have access to their own broadband service and computer equipment and may wish to use this.

This offers flexibility and choice through the use of home equipment without compromising the security of our network.

ii) Mobile Access via iPad

In addition to Citrix Access ICT would provide all Members (except those who choose to use their own equipment as set out below) with:

iPad Air 2/Case/Stylus
Good for Enterprise app (email and calendar)
Modern Gov app (minutes and agendas)

(See [Appendix 1](#) for more details)

The device landscape has changed and more people use smart phones and tablets at home. It is also clear from market research that making applications usable on mobile devices could greatly benefit organisations.

By offering this solution in addition to Citrix access from home, it provides Members with instant access to email, calendar, minutes and agendas wherever they are.

Please note that email/calendars will be synchronized on whichever device used, be it via an iPad or via Citrix in a PC browser.

iii) Members allowance for ICT

It is proposed to provide an allowance of £10 per month for broadband/iPad keyboard/printer/ink. This gives Members the flexibility to use their existing services/equipment where possible.

iv) ICT Support

It is further recommended that ICT team will no longer be responsible for Members PC's or home equipment including broadband, telephone landlines and ICT peripherals.

Any equipment / software supplied by the Council such as iPads and mobile phones will continue to be supported via telephone or email (if applicable), however it will be the responsibility of Members to bring items into the main Council offices should a problem persist or telephone assistance not be viable. [\(Appendix 4 – for more detail on ICT supported\)](#)

Although there is an understanding that during the transitional stages, ICT will be on hand to assist with technical queries and give advice.

v) Supply of a Mobile Phone

Mobile phone and phone contract

To replace the current BT landline installed, the Council will offer a standard mobile phone with inclusive calls and texts if Members choose to take up the offer.

vi) Optional items to be discussed:

Paperless Meetings.

There are pro's and con's to going '*paperless*'. On the one hand there are potential savings to be had, albeit not huge by any means. The adverse of this is that Members may not take to fully electronic meetings; it clearly needs 'buy in' from Leadership and Members alike. Savings for going paperless have been included, however should the decision to provide paper copies for meetings continue then the following annual savings would be negated. Printing costs £2280 p.a.

3G for iPads

There is an option of a data sim card for the iPad giving Members flexibility outside Wi-Fi enabled zones. All BCKLWN buildings will have Wi-Fi availability. iPads connect either via Wi-Fi hotspots or via mobile phone network 3G. Members are asked to consider if the additional £1674 per annum for 3G mobile coverage for all Members iPads is a worthwhile investment. Savings outlined below include this option.

Use of own tablet device

For convenience it is recognised that Members may prefer to use their own tablet device ([assuming it complies with the Mobile Device Use guidelines in appendix 4](#)). At the present time this is an option which is supported by the Borough Council of Kings Lynn & West Norfolk, however it must be recognised that as part of the annual Public Services Audit undertaken by the Cabinet Office this facility may be restricted.

It is worth noting that some Local Authorities have chosen to only support Local Authority purchased and owned tablets to ensure compatibility, uniformity and security.

3.3 Benefits of New System

We have asked for any suggestions of improvements that trial Members feel we can make to the proposed service.

9 of 14 questionnaires have been returned. The responses outlined in [Appendix 6](#)

The main benefit of the existing solution is that it enables ICT to offer comprehensive support to Members and provide a secure and proven uniform set of equipment. Quick replacement of this equipment can be offered from stock.

By continuing with some of the proven parts of the existing system and adapting to changes in the device and technology landscapes (whilst recognising the economic and governance challenges) the new proposal should:

- Reduce set up delays.
- Provide a cost reduction - both capital and revenue.
- Allow for minutes and agendas to be published straight to device.
- Add mobility - improving productivity.
- Provide email synced when on the move.
- Reduce ICT visits.
- Mean no equipment taking up space at home for Members.
- Offer a paperless option for meetings, with the option to follow the agenda easily on an iPad or larger screen display in the meeting room. (Optional)
- Provide additional data security through 2 factor authentication for Citrix [.\(Appendix 2\)](#)

3.4 Comparisons

Local District/County Council Provision for Members

Looking at the feedback received from other local district/county councils, the Council appear to provide one of the more comprehensive and flexible supported solutions available and the Good for Enterprise/Modern Gov apps, are some of the most widely used now within local government.

It was interesting to note that one local authority provided just an annual allowance and no equipment support. Taking into account the costs of equipment, third party services and support, this was the most cost effective solution listed.

4. Policy Implications

This document will form the basis of the recommended ICT solution for Members. Currently, Members are not asked to read and sign an ICT User Declaration Form agreeing to the ICT Computer Use Guidelines. [\(Appendix 4\)](#)

Council Staff as part of the induction process are asked to read and sign an ICT Declaration Form. The Cabinet Office ICT audit asks for all ICT Network users to adhere with the information contained within this declaration form. It is recommended that these guidelines are introduced as part of the Members induction process.

5. Financial Implications

5.1 Current Solution Costs

Costs of providing the full equipment solution (for each Member) are:

<u>CAPITAL COSTS</u>	
Equipment Costs:	£446
BT Line Installation:	£125
Clara net Broadband Installation:	£50
<u>Total Capital Costs:</u>	<u>£621</u>

<u>REVENUE COSTS</u>	
BT:	£136 (including calls)
Clara net Broadband:	£215
Printing costs:	£60
<u>Total Ongoing Annual Costs:</u>	<u>£411</u>

Support Costs of ICT staff need to be taken into consideration both in terms of the time taken for the project set up and ongoing costs.

5.2 Proposed Solution & Immediate Cost Savings

Costs of providing the proposed solution (for each Member – based on 62) installations are:

<u>CAPITAL COSTS</u>	
Equipment Costs:	£395
No Third Party installation costs - Infrastructure in place.	
<u>Proposed Total Capital Costs:</u>	<u>(£395) Current solution (£621)</u>

<u>REVENUE COSTS</u>	
Good Software app:	£40
Mobile sim card (Calls and texts):	£27*
3G sim card for iPad:	£27 (optional but included)*
Monthly £10 allowance for broadband, ink, printer and keyboard):	£120
<u>Total Ongoing Annual Costs:</u>	<u>(£214) Current solution (£495)</u>

TOTAL SAVINGS

Capital £13,533
Revenue £12,222 x 4 year term = £48,888

Total Project Cost Savings over 4 year period **£62,421**

*Telephony costs based on new o2 contract arrangements.
A Saving of £2280 p.a. for Paperless meetings is included in figures above.
3G cards at £1674 are included in the costs outlined above.

It is anticipated that support costs of ICT staff will be reduced as the portability of mobile devices proposed means they can be brought into the office as opposed to making home visits. This will allow more time for staff to focus on new projects and governance which is an increasing requirement.

Note: we currently offer cabinet members smart phones and this would be an additional expense if this was still required in addition to iPads.

6 Personnel Implications

None identified

7 Statutory Considerations

None identified

8 Equality Impact Assessment (EIA)

A pre-screening assessment has been completed and no issues were identified.

9 Risk Management Implications

Previously there have been a number of delays outside of the Councils control:

- Delay in old equipment being collected / returned to redeploy. This had a minimum impact level and did not delay the overall project plan.
- BT installation timescales for installs have increased. One third of installation appointments were also changed at the request of new Members. This had a large impact on when network services could be ordered and had a knock on effect on delivery timescales. ICT also had to condense a proposed delivery timetable into one week instead of the two allowed which impacted on day to day Service Desk work.
- Delays in network services being activated by Clara net. This has had a medium impact and where this has happened ICT have offered a workaround to Members affected.

All of these delays mentioned will be removed by offering the new solution proposed.

Other issues that have also arisen

- Issues with printer compatibility.
- Billing administration errors.

These are less of a risk with the new solution although they may still apply.

There are risks involved in providing the new solution which include:

- The Modern Gov app has not been part of the trial testing and there could be issues with implementation.
- There is a risk of delay when issuing new mobile handsets.
- The risks will increase the greater the number of new Members elected.

10 Declarations of Interest / Dispensations Granted

None identified.

11 Background Papers (appendices)

- 1 Good and Modern Gov details
- 2 Two Factor Authentication details
- 3 Sample Letter and Questionnaire
- 4 Guidelines for Computer Usage
- 5 Next Steps and Project Timeline
- 6 Survey Analysis

Appendix 1- Good and Modern Gov details

Good for Enterprise enables enterprise grade, secure mobile collaboration with secure email, calendar information, contacts details, browser access, task management and document data. It delivers an intuitive, consistent and tailored user interface across multiple devices on Android™, iOS and Windows™ Phone and Windows 8.1 Pro platforms.

Mobile workers can now quickly search, read and compose emails; review documents; manage contacts and schedule meetings with colleagues using their preferred device. Good for Enterprise further integrates with Good-secured apps such as Good Share™, Good Connect™ and Good Access™ to extend desk-based collaboration to mobile devices, increasing user efficiency and productivity outside of the office.

Modern.Gov offer an app that can be used to ensure you always have the latest meeting papers for the committees you are interested in. The app is primarily aimed at Members but is also available to anyone with an interest in having committee papers on their device.

The app allows you to specify the committees of interest and will then automatically keep itself updated with all the latest meeting papers including the full agenda pack. The Apps allow you to highlight sections of the pack and make annotations just as you would with a paper copy. Document navigation is made quick and simple via bookmarking and intuitive controls.

Appendix 2 - Two Factor Authentication details

A username and password are no longer enough to authenticate users. Each day brings new stories of stolen identities and brands of all sizes falling victim to hackers. Weak or stolen user credentials are the preferred weapons used by hackers, and are behind approximately 76 percent of all network intrusions.

We will use **Adaptive Multi-factor Authentication** from SMS PASSCODE which effectively takes the hackers preferred weapon away.

SMS PASSCODE leverages the one thing users always carry with them – their mobile phone. It provides a unique one time code which is used in conjunction with a system password at logon. (If no signal is available then a passcode can be sent to a personal email address)

Appendix 3 - Sample Letter and Questionnaire

May 2015

Dear Councillors

ICT Training Requirements.

In order to assist Councillors in your new role, you will be issued with an iPad tablet with Good for Enterprise (email and calendar) and Modern Gov (minutes and agenda) software. You will also be provided with a dedicated mobile phone for Council business and access to Council services via your own ICT equipment at home.

Once the equipment has been issued and you have been trained in its use, paper copies of minutes and agendas will not be issued. All Councillors will be able to access agendas, minutes, documents and historical information via the Modern Gov app.

ICT Services in conjunction with Member Services will provide training to all new members in three areas. These are:-

- Basic use of the iPad.
- Using Good.
- Using Modern Gov.

Members familiar with Citrix web access and iPads will be asked if they wish to attend a 'fast track' training session.

A 'drop-in' session will also be held on 16th/17th June 2015 at 4pm and Councillors are invited to call in at any time during that period when officers will be available to answer questions or to provide one-to-one training. It would be helpful if you could let us know on the attached questionnaire if you would like to attend on this day. If any Councillor would like to receive training but cannot attend the 'drop-in' session, this can be arranged by contacting Rebecca Parker on 01553 616632.

In order for us to plan these sessions, I would be grateful if you could complete the short attached questionnaire.

Yours sincerely
Richard Godfrey
ICT Manager

ICT Requirements Questionnaire.

Councillor.....

1. Have you used a Tablet device?

iPad

Other (please expand below)

.....
No

2. Have you used an email system?

Microsoft Outlook

Outlook Express

Other (please expand below)

.....
No

3 Have you used Citrix previously

Yes, a lot – confident user

Yes, but rarely

No

4. Have you used the internet?

Yes, a lot – confident user

Yes, but rarely

No

.....

5. Do you currently have access to a computer / broadband / Wi-Fi at home?

Yes, both a computer and broadband with Wi-Fi.

Yes, both a computer and broadband no Wi-Fi.

Yes, just access to a computer.

No, I do not have access to either.

.....

6. Do you wish to attend a fast track session aimed at Members with experience in using ICT / IPads & Apps / Citrix or would you prefer to attend the 3 separate sessions?

I would like to attend a 'fast track' session

I would prefer to attend 3 dedicated sessions

7. Will you be attending the 'drop-in' session on 16/17th June 2015?

Yes,

Please indicate the date you expect to attend

No, but I would like to training at a future date

8. Do you wish to use your own tablet device?

I would like to use my own device

I require a Council supplied Ipad device

9. Any other comments?

.....
.....
.....
.....
.....

**Thank you for taking the time to complete this questionnaire.
Would you please return it in the prepaid envelope provided in your induction folder by 13th May 2015 – Thank you.**

Appendix 4- Guidelines for Computer Usage

Borough Council of
**King's Lynn &
West Norfolk**



Computer Usage Guidelines For Councillors

**Created: February 2014
Last Revision: Dec 2014
Document Status – Version 1.0**

Document Control

Distribution List

Name	Title	Organisation
All Councillors	Via Email	BCKLWN

Change Control

Version	Date Issued	Issued By
DRAFT	Feb 2014	ICT Technical Services Manager
DRAFT	Feb 2014 Dec 2014	ICT Manager
DRAFT	Jan 2015	Management Team
DRAFT	Jan 2015	Cabinet

Authorisation

Name	Role	Signature
D Thomason	Deputy Chief Executive/Executive Director Finance and Resources	

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1. Document Overview

The Borough Council of King's Lynn and West Norfolk (BCKLWN) recognises that the use of computers has become increasingly important in the way that we provide our services.

This document outlines corporate guidelines regarding computer usage for Councillors within the Authority. Its aim is to provide direction in the processing, storage and retrieval of data and to ensure that the computer resources within the Authority are used effectively and complies with its legal obligations. The document will also set out the basic standards for computer use and outline the responsibilities of Councillors to safeguard the Authority from inappropriate or improper use of its resources.

These guidelines have been formally adopted by the Senior Management Team and are fully endorsed by the leadership of this Council.

2. Councillor Responsibilities

When using computer equipment, all Councillors should be aware of their responsibilities and requirements to adhere to relating to computer use. These include:

- When logging onto the network, Councillors should only ever use their own user name. Each Councillor will be provided with a unique user name by ICT. It is this user name that will identify an individual on the network.
- A password must be a minimum of 7 characters long and should contain letters and numbers. Under no circumstances should you reveal your password to a colleague or write your password down.
- Councillors must ensure that the device they are using is left secured and not open to observation when left unattended. Councillors using Microsoft Windows computers must secure their machine by pressing CTRL+ALT+DEL and selecting LOCK THIS COMPUTER. Councillors of session based technologies such as Citrix should log out of their sessions. If you are leaving your computer for a long period then you should log out completely.
- No Councillor should attempt to make a change to computer settings or attempt to change or install new software without first seeking authorisation from ICT.
- Only authorised media should be used. Before any media is introduced it should be checked for viruses. All Councillors should also be aware of any unusual behaviour of their computer equipment that may indicate a virus is present. If you have any concerns at all, stop using the device immediately and contact the ICT Service Desk. For further information on viruses, please refer to the ICT Service Desk Portal.
- Computer equipment should only be moved and reconnected by appropriately trained ICT staff, or in consultation with the ICT Service Desk.

- Data should not be stored on the local device drive as this area is not backed up. All files should be stored in either the Departmental Drive (F: Drive) or under the Councillors own Home Drive (H: Drive).
- Councillors should regularly review data stored on the network to ensure that it is current and valid. Data that is not current or valid should be archived or removed after consultation with all relevant parties. Councillors should also periodically check the relevance of historic data held. Do not keep data for longer than is necessary.
- Councillors should ensure that data held and used is done so in accordance with the Data Protection Act 1998.
- No Councillor shall view, download, store or send inappropriate images and/or text on any BCKLWN computer equipment or network. Viewing, downloading, storing and sending such images and/or text shall be regarded as system abuse.
- No Councillor should use BCKLWN computer equipment to copy and distribute software as laid down by the Copyright, Designs and Patents Act 1988. For further information on the Copyright, Designs and Patents Act.
- Do not connect unauthorised personal computer equipment to the BCKLWN's network. The connection of unauthorised equipment is strictly prohibited. If there is a specific reason to connect personal equipment, please seek guidance and authorisation from ICT.
- The Borough Council of Kings Lynn & West Norfolk email system should not be used for party political purposes.

3. Using Computer Equipment

All BCKLWN computer equipment and software remains the property of BCKLWN.

All computer hardware and software should meet the agreed system specifications as outlined in the supported device list (Appendix A). As such, all hardware and software purchases should be made through ICT to ensure compatibility. Hardware and software that is purchased without prior authorisation from ICT will not be supported.

Additionally, with the increased use of notebook computers and other mobile devices, the possibilities of confidential data accidentally entering the public domain has risen dramatically. As such users of (but not exclusive to) a Laptop, Netbook, PDA, Tablet and Smart Phone's must also adhere to the set guidelines (Appendix B):

4. Personal Use and Privacy

It is recognised that at times computer equipment may be used for private purposes but equally this usage should be limited. However, in allowing this, BCKLWN requires users to act responsibly, under no circumstances should ICT

hardware/software be used to resource, support and promote external enterprises or extend to promote political parties more generally.

BCKLWN recognises the legal consideration of an employee's "Right to Privacy" under the Human Rights Act 1998, but equally the Authority has an obligation to ensure that equipment and systems are not being abused in any manner.

Monitoring of the actions of Councillors is permitted under the Lawful Business Practice Regulations for certain specified purposes including investigating unauthorised use, the prevention and detection of crime and to ascertain compliance with regulatory practices relevant to the Authority.

If you object to BCKLWN monitoring your personal use of computers then you should refrain from using council ICT equipment for personal use. The Authority will at all times seek to act in a fair manner, but Councillors should be aware that there can be no legitimate expectation of privacy when using the Authority's computer network.

5. Support and Training

Any authorised user within the Authority is able to seek assistance and advice from the ICT Service Desk. The Service Desk can be contacted for all matters relating to the Authority's computer equipment, systems and network. When contacting the ICT Service Desk, please try to give as much information as possible about the issue you are reporting and where appropriate, give details of the asset number of the faulty equipment.

6. Relevant Government Legislation

The Computer Usage Guidelines are subject to the provisions laid down in the following government legislation:

- Data Protection Act 1998
- Computer Misuse Act 1990
- Regulation of Lawful Business Protection Act 2000
- Copyright, Designs and Patents Act 1988
- Human Rights Act 1998

7. Review of Guidelines

The ICT Management Team will review the Computer Usage Guidelines annually. Any amendments to these Guidelines will be communicated to all Councillors in an appropriate manner.

Guidelines Appendix A

Supported Devices:

Apple iPhone 4S, 5, 5c, 5s,6
Apple iPad 3, 4, Air

Supported Software:

Good for Enterprise
Citrix
IOS 7,8
Windows 7,8.1 Pro

Guidelines Appendix B

Mobile Device Use:

If you use your own device:

- Your device must be no more than two versions behind the latest operating system and be compatible with Good for Enterprise and Modern Gov software system specifications
- Your device must lock itself with a PIN/Password. (Personal identification number set by you)
- If left idle, your device must automatically activate its PIN/Password after a maximum time-out period of 15 minutes.
- In the event of loss or theft of your device, you must inform BCKLWN within 1 working day.
- The device must not be jailbroken.

If you use a corporate device:

- Your device or application will lock your account after 10 failed login attempts.
- Your device or application will lock every 15 minutes, requiring re-entry of your password.
- Your device or application will include password rotation every 90 days.
- The password must be a minimum of 7 characters.
- The password must contain at least one letter or number. (Except on devices that cannot accept alphanumeric passwords)
- The password must not be one of your previous 5 passwords.
- Your device will also have centrally managed MDM policies in place as appropriate to the level of data accessed and CESG end user device guidance.

You agree that:

- Your device or application may be remotely wiped if:
 - (i) you lose the device;

- (ii) you terminate employment with BCKLWN;
- (iii) the ICT section detects a data or policy breach or virus; or
- (iv) the device or application password is input 10 consecutive times.

- Your device may allow for only the remote wipe of BCKLWN data. No sensitive corporate data that may contain personally identifiable information (Data Protection Act) or within PSN/PCI DSS scope, should be saved on the device outside of the approved applications or using any Cloud based software without prior approval from ICT.
- This means also your personal data is still vulnerable, and thus it is recommended you also set application passwords and take additional security precautions.
- Do not allow anyone who is not an employee of BCKLWN to use the device. This especially applies to family and friends.
- When using a device in the public domain, do not leave data on screen for longer than is necessary as this may be able to be viewed by people nearby.
- Do not leave a device unattended in a public place and do not store in a car overnight.

Tampering

Using your device in ways not designed or intended by the manufacturer is not allowed. This includes, but is not limited to, hacking - 'jail breaking' your smartphone.

Liability

An authorised personal smartphone can be connected to the BCKLWN infrastructure or services, but the user is personally liable for their device and carrier service costs. Users of personal smartphones are not eligible (except by prior agreement) for reimbursement of expenses for hardware or carrier services.

Access

Employees that purchase a device on their own that is not in line with our standard approved device lists may not be able to or allowed to have their devices added to our servers. Furthermore, BCKLWN reserves the right to disable or disconnect some or all services without prior notification.

Disclaimer

BCKLWN hereby acknowledge that the use of a personal smartphone in connection with BCKLWN business carries specific risks for which you, as the user, assume full liability. These risks include, but are not limited to, the partial or complete loss of data as a result of a crash of the operating system, errors, bugs, viruses, downloaded malware, and/or other software or hardware failures, or programming errors which could render a device inoperable.

Appendix - 5 Next Steps and Project Timeline

Project Milestones - Up to Election

- May/July 2014 - Rollout out the remaining test devices/software to those participating and prepare questionnaire.

We currently have 14 Members testing Good, 4 using their own devices. 2 Members are using 2 devices (iPad/iPhone)

Standard equipment issued for testing is (iPad with Good – including (Good Share/ I Annotate/Office Pro) a case, cleaning pad and Good instruction booklet.

Some Members have been given Bluetooth keyboards to test and some have requested a stylus for I Annotate.

No printers with HP wireless have been issued to date.

- Sept 2014 - Send out a questionnaire for feedback to those testing.
- November 2014- Collate feedback received
- December 2014- Seek approval to proceed from ICT Development Group.
- December 2014- Finalise business case for approval.
- December 2014/Jan 2015- Set up Modern Gov server; make web and current democratic services templates available.
- Jan 2015- Business case to Cabinet for approval.
- Feb 2015- Modern Gov training for support staff.
- March 2015- Modern Gov go live.

5.2 Post Election

May/June 2015 - Equipment Allocation and Training ([Appendix 3](#))

Finalise exiting Members connections and determine new Member requirements.
(Estimated time 1-2 weeks)

The first part of this stage will be arranging collections of old the equipment for those Members who either decided not to stand, or who were not re-elected. Network access disabled / revoked for these Members and questionnaires sent out to those newly elected by Member Services.

Existing BT lines no longer required will be cancelled and questionnaires collated. We would expect the majority of these questionnaires were received back by the end of week 2.

Demonstrations will be arranged in week 3 (see below). An update will be sent to each new Member via their personal email address to offer contact details for ICT, to address any queries as the process progresses.

** As we would now expect the majority of new members to have their own personal email address - surveys can be conducted electronically this time saving 1-2 weeks.

We can also offer council email addresses and instructions for Citrix access via their own computer equipment almost immediately for those more familiar with ICT.

Arrange new Member requirements and training (Estimated time 4 weeks)

All returned equipment will be cleaned, tested and made ready for reuse where practical. Any new additional equipment that is required will be ordered in.

Provision agreed for those that do not have own equipment/broadband at home.

** Apple ID's will need to be set up prior to training and policies signed.

Proposed Training Schedule

ICT 'Fast Track' Session

Friday 15th May

The Basics – receive iPad:

Tuesday 19th May am/pm and evening session.

Thursday 21st May pm session

Using Good

Thursday 28th May am/pm and evening session.

Mod Gov / Citrix / Members Expenses

Wednesday 3rd June am/pm and evening session

Drop in sessions

16th June 4pm

17th June 4pm.

Project Closure (Estimated 1-2 weeks)

As part of the project closure lessons learnt are evaluated and a final report is written. We expect overall project delivery time to be reduced by 2-4 weeks.

Appendix 6 - Survey Analysis

ICT have asked for any suggestions of improvements that trial Members feel can be made to the proposed service (Within the constraints by which ICT are governed e.g. PSN/PCI).

9 of 14 questionnaires have been returned. The responses outlined are below.

The Device

- The majority of those surveyed tested Apple devices. At the start of the trial ICT also offered the option of a Samsung Galaxy device, but the iPad was best received.
- The majority of those surveyed felt that battery life, device weight, screen size, quality of display and start up time was acceptable. Some felt the devices were not easy to type on the screen and that 3G coverage was not always available in rural areas. These points have been taken into account in the recommendations by offering an allowance for a keyboard and also an alternative mobile provider is available if coverage is an issue in certain areas.
- In addition to the above points the ability to print from an iPad was also raised, although this has also been taken into consideration with the solution proposed.

The Good Software (See Appendix 1)

- The Good for Enterprise software was very well received, only one of the survey responses received would not recommend its use. People felt the email function was particularly easy to use and the software is used across all departments in the Council.
- Access to the Intranet via the Good software was thought more difficult by some, so this function will be primarily offered through web browser and Citrix.
- The function that users felt most difficult was reading and viewing minutes and agendas. The function will now be provided through the Modern Gov app.
- Good for Enterprise does not provide full email functionality and this will be provided by Microsoft Outlook using Citrix. ICT have configured the Good app to synchronise automatically with Outlook.

Future Developments Requested

- The ability to annotate documents.
- The ability to print documents.
- The ability to access corporate documents.
- The ability to take photos

All these functions will be available with the solution proposed.

Current Equipment at Home

- All of those surveyed would be prepared to use their own broadband/wireless routers to access Council services. A few may not currently have access to broadband at home and those Members will be given a period of grace to assist with the transition.
- The majority of those surveyed had access to a pc or laptop at home and would be prepared to use it to access Council services. Again, a period of grace to assist with the transition will apply.
- The majority of those surveyed were happy to exchange the BT line currently provided for an inclusive mobile phone contract, although the point was raised that some may not have a good signal in rural areas and the Council will need to make provision for this. It was also mentioned that members of the public may not wish to call a mobile number because of potential costs.

Overall the survey responses were positive and the majority of issues raised have been addressed.

Additional Points to Note

- For those that are less familiar with tablet devices ICT will provide a full training program to assist with the transition ([Please see Appendix 5 for proposed rollout and training plan](#))
- ICT have been asked why it is necessary to have a secure password on the Good app – the answer is that this is part of governance rules set by central government.
- ICT are additionally asking all Members to sign a document detailing ICT Computer Usage Guidelines. Currently it is mandatory that all staff using the Borough Council's ICT Network read and sign this. ([Appendix 4](#))

** At the point of the survey the Council had not tested the Modern Gov software, but ICT have spoken to other councils where the solution has been implemented with success in a similar environment. ([Appendix 1](#))

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards	Mandatory/	Be entirely within Cabinet's powers to decide	YES	
	Operational	Need to be recommendations to Council	NO	
		Is it a Key Decision	NO	
Lead Member: Cllr Brian Long E-mail:		Other Cabinet Members consulted:		
		Other Members consulted:		
Lead Officer: Mark Whitmore E-mail: mark.whitmore@west-norfolk.gov.uk Direct Dial: 01553 616654		Other Officers consulted: Management Team John Greenhalgh, Environmental Health Manager, Community Safety		
Financial Implications YES	Policy/Personnel Implications NO	Statutory Implications YES	Equal Impact Assessment NO If YES: Pre-screening/ Full Assessment	Risk Management Implications YES

Date of meeting: 3 March 2014

5 ANTI SOCIAL BEHAVIOUR, CRIME AND POLICING ACT 2014

Summary

To provide the Committee with an overview of the Anti-Social Behaviour and Policing Act 2014, amend the delegation of powers to allow for the implementation of new powers and to agree the level of Fixed Penalty Fines.

Recommendation

That Cabinet

- 1) Notes the new powers under the Anti-Social Behaviour and Policing Act 2014.
- 2) Delegates Executive Director Central and Community Services to authorise officers of the Council under the Act.
- 3) Delegates powers under s53 of the Act to Executive Director Central and Community Services to authorise designated persons to issue Community Protection Notices and Fixed Penalty Notices, subject to such training and accreditation deemed appropriate.
- 4) Sets the level of Fixed Penalty Notice at £80 reduced to £60 if paid within 14 days.

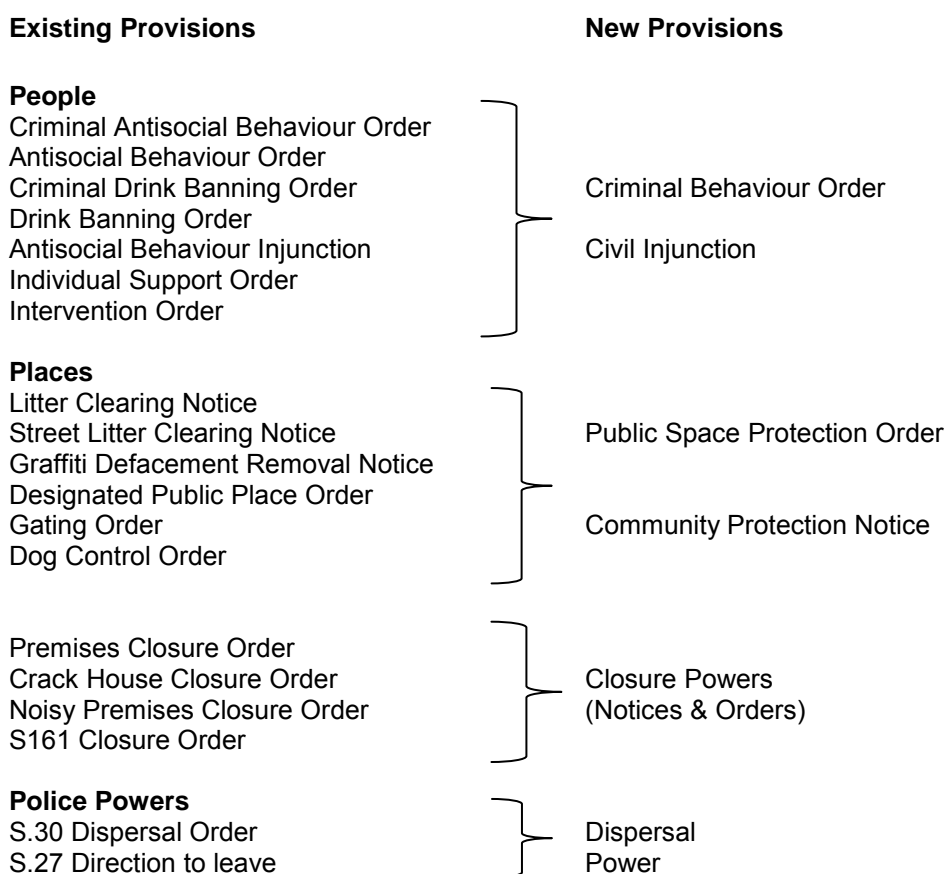
Reason for Decision

To enable effective use of powers available under the Act to deal with Anti-Social Behaviour

1. Background

1.1 The Anti-Social Behaviour and Policing Act 2014 (“the Act”) received Royal Assent on the 20th October 2014 and has introduced significant changes to the way the Council and its partner agencies tackle Anti-social behaviour (ASB).

1.2 The Act repealed a range of legislation currently used by the council and consolidated these powers into a single act, with the intention of simplifying the regulatory landscape for all agencies. These new powers can be used to address ASB and low level environmental crime such as dog fouling, littering, graffiti and any other matter that has a continuous and detrimental effect on communities. The schematic below shows the powers that have been consolidated.



1.3 A number of these powers, relating to People and Places are available to both the Council and the Police. Community Protection Notices are also available to social landlords should the local authority designate them.

1.4 **Criminal Behaviour Orders (CBO)** - are only available where an individual has been convicted of criminal offence. The offence does not have to be related to the ASB that the order is seeking to control. It will typically be used to deal with harassment, hate crime and rowdy behaviour. As such it is expected that the majority of such applications will be made by the Police. CBO's can impose prohibitions and positive requirements.

1.5 **Civil Injunctions** - yet to have a commencement date and therefore not yet in force. Will provide civil powers to stop an individual's ASB escalating can impose prohibitions and positive requirements and will replace Antisocial

Behaviour Orders. The powers will be available for perpetrators aged 10 or over and can deal with both housing (tenure neutral) ASB capable of causing nuisance or annoyance and non-housing ASB such as vandalism, harassment and aggressive begging.

1.6 **Public Space Protection Order (PSPO)** - designed to protect public spaces from persistently antisocial individuals or groups, which has or is likely to have a detrimental effect on the community's quality of life. Can include reasonable restrictions and requirements. These powers are likely to be used to control dog fouling and alcohol and other drug related ASB. Only the Council can issue a PSPO and has to consult with the Police, Police and Crime Commissioner and other relevant bodies.

1.7 The Council currently has a Dog Control Order and three Designated Public Place Orders covering parts of Kings Lynn and Hunstanton and all of Downham Market. A review of these orders and any other orders identified in schematic above will be undertaken. There is a requirement to review a PSPO every three years and either remove or extend the order at this time. To allow for time for review the existing powers will remain in force for up to three years. However as part of an ongoing review and rationalisation of dog control powers and enforcement it is likely that a PSPO for dog control will be introduced in 2015.

1.8 Breach of a PSPO is a criminal offence and can be dealt with by way of Fixed Penalty Notice or prosecution.

1.9 **Community Protection Notice (CPN)** - these powers are similar to those outlined for PSPO's, however they are targeted at persistently antisocial individuals, businesses or organisations. They can be used to deal with a range of issues including but not limited to litter, graffiti and noise (but not noise that would constitute a Statutory Nuisance). Before a notice can be issued a written warning has to be issued.

1.10 Breach of a CPN is a criminal offence and can be dealt with by way of Fixed Penalty Notice or Prosecution. In addition works in default and seizure of equipment can undertaken where required to ensure that the CPN is complied with.

1.11 CPN's can be issued by the Police, Local Authorities and 'a person designated by the relevant local authority' under Section 53 of the Act.

1.12 **Closure Powers** - can be used to close premises for up to 48 hours out of court (Closure Notice) and six months via the court (Closure Order). Closures Orders are used where the use of a premises is causing, or likely to cause, nuisance or disorder. They are likely to be used for, although not limited to noisy premises, drug related ASB.

1.13 These powers are only likely to be used in extreme situations; breach is a criminal offence that carries a custodial sentence and unlimited fine. The Police and Council can issue a Notices, Orders are granted by the Courts.

1.14 **Dispersal Powers** - a Police only power to direct a person to leave an area for a period of up to 48 hours, will typically be used for alcohol and drug related ASB, illegal raves etc.

1.15 **Absolute Grounds for Possession** - allows social and private landlords to quickly evict tenants where a serious offence as defined by the Housing Act 1985, as amended by the Act, or where a civil injunction, CBO, noise abatement notice has been breached or a closure order granted. In these cases it will not be necessary to demonstrate that it is reasonable to grant possession.

1.16 **Community Trigger and Community Remedy** - provides for a victim focussed approach and allows people, organisations and communities to trigger case reviews through a community trigger. These reviews bring agencies together to ensure that joint working has, where necessary continues, to take place to deal with persistent, complex cases of ASB. The threshold for a Community Trigger is three complaints within the previous six month period.

1.17 The community remedy provides victims with a greater say in the out of court punishment of low level crime and anti-social behaviour by placing a duty on the PCC to consult with the public and community representatives on the appropriate punitive, reparative and rehabilitative actions appropriate in the Community Remedy document.

2. Options Considered

2.1 The County Community Safety Partnership (CCSP) has provided a strategic forum to ensure that there is, wherever possible, a consistent approach to the implementation of the Act across Norfolk. This is particularly important where the Police can utilise the same powers as local authorities as inconsistencies in provisions would hamper effective partnership working.

2.2 **Case Reviews** - The CCSP has considered the level at which a Community Trigger is activated and Case Review is required at three separate but related incidents in the last six month period. This is in line with the statutory requirement. In addition the timescales for undertaking the review and identifying any future action required have been set at 35 days.

2.3 **Fixed Penalties** - the CCSP also undertook a benchmarking process across the county to determine the most appropriate level of fine for a Fixed Penalty Notice for the breach of a CPN. After consideration a figure of £80 with a discounted fee of £60 for early payment was agreed. The level of fine for breach of a PSPO was not considered although it is recommended that the levels above are used to ensure consistency.

2.4 **Delegation of Powers** - the powers contained within the Act currently sit with the Chief Executive, it is recommended that in line with the delegation of powers currently in place to deal with the existing ASB powers that the authority to authorise officers is delegated to the Executive Director Central and Community Services.

2.5 Section 53 also allows the Council to designate persons to issue Community Protection Notices. These designations are likely to be officers of Registered

Providers of housing. ASB officers from RP's regularly attended the Operational Partnership Meetings hosted by the Council to discuss and resolve ASB. Whilst no formal discussions have taken place regarding the designation of these officers the ability to designate them will allow for more effective partnership working. In order to mitigate risk to the council of inappropriate use of powers an accreditation scheme would be required.

2.6 Cabinet is asked to:

- Delegate Executive Directors to authorise officers of the Council under the Act.
- Delegates powers under s53 of the Act to Executive Directors to authorise designated persons to issue Community Protection Notices and Fixed Penalty Notices, subject to such training and accreditation deemed appropriate.
- Sets the level of Fixed Penalty Notice at £80 reduced to £60 if paid within 14 days.

3. Financial Implications

3.1 The implementation of the new powers are not expected to have a financial impact requiring growth of existing budgets. FPN's should not be considered as an income generating mechanism, however receipts from Fixed Penalty Notices will be passed to the Council regardless of which agency served. Equally the costs associated with prosecutions will also fall to the Council.

3.2 It is expected that the Operational Partnership Team (OPT), a multi-agency group drawn from the Council, Police and Freebridge Community Housing to tackle anti-social behaviour, will agree the appropriate course of action in individual cases and Fixed Penalty Notices will only be served after the OPT has considered these options.

4. Statutory Considerations

4.1 The Act repeals and replaces a number of provisions. Where existing controls are in place there is a period of three years to review and replace these controls.

5. Risk Management Implications

5.1 The Act has removed a number of prescriptive orders and replaced them with orders and notices that can be used to address a much wider range of ASB, including Noise. The flexibility this approach provides does provide significant opportunities to deal more effectively with ASB. However it also raises the potential for an increase in workload for the CSNN team in the short to medium term, whilst service levels are defined and agreeing what level of behaviour warrants intervention. The introduction of controls for noise that falls below the level of Statutory Nuisance has the potential to create additional work.

5.2 The number and impact of Case Reviews is as yet unknown as no reviews have been triggered to date. There is potential, as the knowledge of the

Community Trigger increases, for a number of reviews to be called to deal with existing and recently closed cases, especially in relation to noise complaints, where no action has been possible. This could lead to a short to medium term increase in work for officers whilst these are addressed.

5.3 The review of the Dog Control Orders and By Laws currently in place and the Designated Public Places Orders can be accommodated within existing work and will be added to the Service Plan. There is a risk that some of the existing orders and controls will not meet the new test required by the Act, specifically that behaviour is having, or be likely to have, a detrimental effect on the quality of life of those in the locality of a persistent or continuing nature and unreasonable. In such cases the old controls will lapse and not be replaced. Work to evidence the likely impact of the removal of controls will have to be undertaken to demonstrate if a need still exists.

5.4 All new Orders will require review every three years and will need to be programmed into existing workloads.

5.5 There is a risk that other agencies will start an enforcement action for which the Council is responsible for prosecuting or undertaking works in default. This carries a risk to the councils reputation as well as a financial risk. The role of the Operational Partnership Team in approving and agreeing appropriate interventions and actions should mitigate this risk sufficiently.

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards	Discretionary /	Be entirely within Cabinet's powers to decide	NO	
	Operational	Need to be recommendations to Council	YES	
		Is it a Key Decision	NO	
Lead Member: Cllr Adrian Lawrence E-mail: cllr.adrian.lawrence@west-norfolk.gov.uk		Other Cabinet Members consulted:		
		Other Members consulted:		
Lead Officer: Vicki Hopps E-mail: Vicki.hopps@west-norfolk.gov.uk Direct Dial:01553 616307		Other Officers consulted: Health and Safety Team; Legal Services and Geoff Hall		
Financial Implications NO	Policy/Personnel Implications NO	Statutory Implications YES	Equal Impact Assessment NO	Risk Management Implications YES

Date of meeting: 3 March 2015

6 BYELAWS FOR SKIN PIERCING ACTIVITIES

Summary

This report contains a proposal to adopt new byelaws relating to skin piercing activities and the adoption of the national Tattoo Hygiene Rating Scheme.

The new byelaws would reflect the conditions set out in the Tattoo Hygiene Rating Scheme.

Recommendation

1. The Council approves the byelaws as set out in Appendix 1 and authorising the affixing of the common seal to the byelaws.
2. Authorise Legal Services Manager to apply to the Secretary of State for confirmation of the byelaws.

Reason for Decision

The Council has the responsibility to ensure that the skin piercing activities carried out within the Borough do not pose a public health threat.

By not adopting the byelaws persons and premises would be able to trade without any controls or hygiene standards in place.

Background

The existing byelaws were adopted in 2007 to take into account changes in the Local Government Act 2003. This added cosmetic piercing and semi-permanent colouring to the activities which required registration.

The current number of registered premises within the Borough is 69 and 96 associated practitioners who are registered separately.

In recent decades tattooing, traditional ear (lobe) piercing and body art have become well established and socially acceptable. Other body adornment and modifications have also expanded in popularity.

In 2013 the Chartered Institute of Environmental Health introduced a Hygiene Rating Scheme for Tattooists to improve the hygiene standards and practices at skin piercing premises.

The scheme offers four ratings that premises may achieve:

- Level 1 – Needs Improvement
- Level 2 – Satisfactory
- Level 3 – Good
- Level 4 – Very Good

If followed, the new byelaws will automatically allow premises to gain a Level 2 rating. Although the rating scheme is voluntary the byelaws are not and each premises must adhere to the standards set out.

The new measures are intended to increase health protection and reduce the risk of transmission of blood borne diseases and other infections that are associated with the various types of body modification and skin piercing.

The new byelaws will set out the standards of hygiene expected by premises and practitioners. In addition the Tattoo Rating Scheme will recognise those premises and practitioners who demonstrate good practice and sets a bench mark for operators to aim towards.

Options Considered

None

Policy Implications

The byelaws are required to be adopted by full Council.

Financial Implications

None

Personnel Implications

None

Statutory Considerations

Local Government (Miscellaneous Provisions) Act 1982

Local Government Act 2003

Equality Impact Assessment (EIA)

(Pre screening report template attached)

Risk Management Implications

The Council has the responsibility to ensure that satisfactory standards of hygiene are practiced at skin piercing and body modification premises.

Failure to have suitable standards in place could give rise to a risk to public health.

Declarations of Interest / Dispensations Granted

None

Background Papers

BOROUGH COUNCIL OF KING'S LYNN AND WEST NORFOLK BYELAWS

For the Regulation of Acupuncture, tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis

Byelaws for the purposes of securing the cleanliness of premises registered under sections 14(2) or 15(2) or both of the Local Government (Miscellaneous Provisions) Act 1982 and fittings in such premises and of persons registered under sections 14(1) or 15(1) or both of the Act and persons assisting them and of securing the cleansing and, so far as appropriate, sterilization of instruments, materials and equipment used in connection with the practice of acupuncture or the business of tattooing, semi-permanent skin-colouring, cosmetic piercing or electrolysis, or any two or more of such practice and businesses made by the Borough Council of King's Lynn and West Norfolk in pursuance of sections 14(7) or 15(7) or both of the Act.

1 Interpretation

- (i) In these byelaws, unless the context otherwise requires—
- “The Act” means the Local Government (Miscellaneous Provisions) Act 1982;
 - “Client” means any person undergoing treatment;
 - “hygienic piercing instrument” means an instrument such that any part of the instrument that touches a client is made for use in respect of a single client, is sterile, disposable and is fitted with piercing jewellery supplied in packaging that indicates the part of the body for which it is intended, and that is designed to pierce either—
 - (a) the lobe or upper flat cartilage of the ear, or
 - (b) either side of the nose in the mid-crease area above the nostril;
 - “operator” means any person giving treatment, including a proprietor;
 - “premises” means any premises registered under sections 14(2) or 15(2) of the Act;
 - “proprietor” means any person registered under sections 14(1) or 15(1) of the Act;
 - “treatment” means any operation in effecting acupuncture, tattooing, semi-permanent skin-colouring, cosmetic piercing or electrolysis;
 - “the treatment area” means any part of premises where treatment is given to clients.
 -
- (ii) The Interpretation Act 1978 shall apply for the interpretation of these byelaws as it applies for the interpretation of an Act of Parliament.

Cleanliness of premises and fittings

- (2) For the purpose of securing the cleanliness of premises and fittings in such premises a proprietor shall ensure that—
- (a) any internal wall, door, window, partition, floor, floor covering or ceiling is kept clean and in such good repair as to enable it to be cleaned effectively;
 - (b) any waste material, or other litter arising from treatment **must be placed immediately after use in an appropriate waste receptacle with a pedal operated lid** and be handled and disposed of in accordance with relevant legislation and guidance as advised by the local authority;
 - (c) **any needle, razor or other sharp item used in treatment is disposed of in a sharps container that is kept out of reach of clients and the general public in accordance with relevant legislation and guidance as advised by the local authority;**
 - (d) any furniture or fitting in premises is kept clean and in such good repair as to enable it to be cleaned effectively;
 - (e) any table, couch, or seat used by a client in the treatment area **which may become contaminated with blood or other body fluids, and any surface on which a needle, instrument or equipment is placed immediately prior treatment has a smooth and impervious surface and disinfected -**
 - (a) **immediately after use; and**
 - (b) **at the end of each working day.**
 - (f) Any table, couch, or other furniture used in treatment is covered by a disposable paper sheet or plastic film wrap or similar material which is changed for every client;
 - (g) no eating, drinking, is permitted in the treatment area and a notice or notices reading “No Eating or Drinking” is prominently displayed there
 - (h) **animals are prohibited from the premises except for animals used by the sight and/or hearing impaired.**
- (3) (i) Subject to Byelaw 3 (ii) where premises are registered under section 14(2) (acupuncture) or 15(2) (tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis) of the Act, a proprietor must ensure that **the treatment is given in a treatment area used solely for giving treatment;**
- (ii) **Byelaw 3 (i) does not apply if the only treatment to be given in such premises is the piercing of the lobe or the upper flat cartilage of the ear using a hygienic piercing instrument.**
- (4) (i) Subject to Byelaw 4 (ii), where premises are registered under section 15(2) (tattooing, semi-permanent skin-colouring and cosmetic piercing) of the 1982 Act, a proprietor shall ensure that the floor of the treatment area is provided with a smooth impervious surface;

- (ii) Sub-paragraph (a) shall not apply if the only treatment to be given is such premises is ear-piercing or nose-piercing using a hygienic piercing instrument.

Cleansing and so far as is appropriate, the sterilization of needles, instruments, jewellery, materials and equipment

- (5) For the purpose of securing the cleansing and so far as is appropriate, the sterilization of needles, instruments, jewellery, materials and equipment used in connection with treatment an operator must ensure that—
 - (i) any gown, wrap or other protective clothing, paper or other covering, towel, cloth or other such article used in treatment—
 - (a) is clean and in good repair and, so far as is appropriate, is sterile;
 - (b) has not previously been used in connection with another client unless it consists of a material which can be and has been adequately cleansed and, so far as is appropriate, sterilized.
 - (ii) any needle, razor or other sharp item used in treatment is single-use and disposable;
 - (iii) any single-use needle, metal instrument, or other instrument or equipment used in treatment for handling such needle, instrument or equipment and any part of a hygienic piercing equipment that touches a client is sterile;
 - (iv) only disposable single-use safety razors are used;
 - (v) if petroleum jelly or lubricating gel is to be placed on a clients skin, enough for one client should only be removed from the stock container with a clean spatula, and placed in a container that is either disposed of at the end of each treatment or is cleaned and sterilized before re-use;
 - (vi) elastic bands, plastic bags and clip cord covers used on tattoo machines are to be disposed of after every client.
 - (vii) any jewellery used for cosmetic piercing by means of a hygienic piercing instrument is sterile;
 - (viii) for the purposes of tattooing or semi-permanent skin-colouring, only sterile inert pigment dispensed into single use pots or pre-packed in single use vials is used.
 - (ix) any container used to hold dye for tattooing or semi-permanent skin-colouring is used for only one client and disposed of together with any unused pigment/ink at the end of each treatment.
 - (x) Tattoo stencils and marker pens are to be single use and appropriately disposed of (or alternative control measures introduced).
- (6) For the purposes of securing the cleansing and so far as is appropriate, the use sterilization of needles, instruments, jewellery, materials and equipment used in connection with treatment a proprietor must provide-
 - (i) adequate facilities and equipment for-

- (a) cleansing and disinfection, including a general purpose sink with adequate and constant supply of hot and cold running water on the premises separate from the wash hand basin required for operator personal hygiene. The general purpose sink should be located out of the treatment area wherever possible; and
- (b) sterilization, unless only pre-sterilized items are used. All sterilization must be serviced and maintained at appropriate intervals and periodically tested by the operator to ensure efficient operation. Records of maintenance, servicing, testing and operating cycles must be retained at the premises until the date falling six months after the equipment is destroyed or disposed of.
- (ii) sufficient and safe gas points and electrical socket outlets;
- (iii) clean and suitable storage which enables contamination of the articles, needles, instruments and equipment mentioned in Byelaw 5(i), (ii), (iii), (iv), (v), (vi), (vii), (viii), and (xi).

Cleanliness of Operators

- (7) For the purpose of securing the cleanliness of operators, a proprietor must ensure that an operator—
 - (i) is instructed in appropriate hygienic hand decontamination techniques and washes their hands immediately before carrying out a treatment on each client;
 - (ii) keep hands and nails clean, any varnish or decoration used on nails must be in good condition.
 - (iii) keeps any open lesion on an exposed part of the body effectively covered by an impermeable dressing;
 - (iv) wears disposable, well fitting, surgical gloves that have not previously been used with another client, unless giving acupuncture otherwise that in the circumstances described in Byelaw 10;
 - (v) any clothing worn must be clean and washable. Clothing must be changed if it comes into contact with body fluids. (or alternatively a disposable covering that has not previously been used in connection with another client.
 - (vi) does not consume food or drink in the treatment area.
- (8) Subject to Byelaw 9, for the purpose of securing the cleanliness of operators a proprietor must provide-
 - (i) suitable and sufficient wash hand basins with non-hand operated taps or hand operated taps (with adequate control measures to prevent cross contamination), appropriately located for the sole use of operators, including an adequate and constant supply of clean hot and cold water, liquid soap and paper towels stored in a wall mounted dispenser next to the wash hand basin. Hand washing instructions should be clearly displayed at such basins; and

- (ii) suitable and sufficient sanitary accommodation for operators that shall be maintained in a clean and hygienic condition;
- (9) Where the only treatment an operator carries out is the piercing of the lobe or the upper cartilage of the ear using a hygienic piercing instrument and a proprietor provides either a hand hygienic gel or liquid cleaner, the wash hand basins the proprietor provides need not be for the sole use of the operator.
- (10) A proprietor must ensure the activity of acupuncture is only carried out by an operator who has washed their hands immediately before carrying out that activity of acupuncture on each client. Where an operator gives acupuncture a proprietor must ensure that the operator wears disposable, well fitting, surgical gloves that have not previously been used with another client where
- (i) the client is bleeding or has an open lesion on an exposed part of their body;
 - (ii) the client is known to be infected with a blood-borne virus; or
 - (iii) the operator has an open lesion on their hand; or
 - (iv) the operator is handling items that may be contaminated with blood or other body fluids.
- (11) A person registered in accordance with sections 14 (acupuncture) or 15 (tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis) of the Act who visits people at their request to give them treatment should observe the requirements relating to an operator in Byelaws 5 (i) and 7 (i).
- (12) Any byelaws relating to Acupuncture, Tattooing or Skin Piercing made previously by the Borough Council of King's Lynn and West Norfolk are hereby revoked.

Given under the Common Seal of the Borough Council of King's Lynn and West Norfolk this day of 20

THE COMMON SEAL of)
 BOROUGH COUNCIL OF KING'S LYNN)
 AND WEST NORFOLK)
 Was hereunto affixed in the presence of:-)

Authorised officer:

•
•

The foregoing byelaws are hereby confirmed by the Secretary of State for Health under section 236 of the Local Government Act 1972

On _____ and shall come into operation on

•
•
•
•

Signed:

Member of the Senior Civil Service
Department of Health

NOTE – THE FOLLOWING DOES NOT FORM PART OF THE BYELAWS

Proprietors shall take all reasonable steps to ensure compliance with these byelaws by persons working on premises. Section 16(9) of the Local Government (Miscellaneous Provisions) Act 1982 provides that a registered person shall cause to be prominently displayed on the premises a copy of these byelaws and a copy of any certificate of registration issued to him under Part VIII of the Act. A person who contravenes section 16(9) shall be guilty of an offence and liable on summary conviction to a fine not exceeding level 2 on the standard scale (see section 16(10)).

Section 16 of the Local Government (Miscellaneous Provisions) Act 1982 also provides that any person who contravenes these byelaws shall be guilty of an offence and liable on summary conviction to a fine not exceeding level 3 on the standard scale. If a person registered under Part VIII of the Act is found guilty of contravening these byelaws the Court may, instead of or in addition to imposing a fine, order the suspension or cancellation of the person's registration. A court which orders the suspension of or cancellation of a person's registration may also order the suspension or cancellation of the registration of the premises in which the offence was committed if such premises are occupied by the person found guilty of the offence. It shall be a defence for the person charged under the relevant sub-sections of section 16 to prove that he took all reasonable precautions and exercised all due diligence to avoid commission of the offence.

Nothing in these byelaws extends to the practice of acupuncture, or the business of tattooing, semi-permanent skin-colouring, cosmetic piercing or electrolysis by or under the supervision of a person who is registered as a medical practitioner, or to premises in which the practice of acupuncture, or business of tattooing, semi-permanent skin-colouring, cosmetic piercing or electrolysis is carried out by or under the supervision of such a person.

Nothing in these byelaws extends to the practice of acupuncture by or under the supervision of a person who is registered as a dentist, or to premises in which the practice of acupuncture is carried out by or under the supervision of such a person.

The legislative provisions relevant to acupuncture are those in section 14. The provisions relevant to treatment other than acupuncture are in section 15.

The key differences in the application of requirements in respect of the various treatments are as follows:

*The references in the introductory text to provisions of section 14 (acupuncture) of the Local Government (Miscellaneous Provisions) Act 1982 **only apply to acupuncture.***

*The references in the introductory text to provisions of section 15 (tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis) of the Local Government (Miscellaneous Provisions) Act 1982 **do not apply to acupuncture.***

*The references in Byelaw 1(i) in the definition of "premises" to provisions of section 14 (acupuncture) **only apply to acupuncture.***

*The references in Byelaw 1(i) in the definition of "premises" to provisions of section 15 (tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis) **do not apply to acupuncture.***

*The requirement in Byelaw 3 that treatment is given in a treatment area used solely for giving treatment **applies to acupuncture, tattooing, semi-permanent skin-colouring, cosmetic piercing and electrolysis but not to the piercing of the lobe or the upper flat cartilage of the ear using a hygienic piercing instrument.***

*The requirement in Byelaw 4 that the floor of the treatment area be provided with a smooth impervious surface **applies to tattooing, semi-permanent skin-colouring and cosmetic piercing but not to acupuncture, piercing of the lobe or the upper flat cartilage of the ear using a hygienic piercing instrument or electrolysis.***

*The requirement relating to elastic bands and plastic bags in Byelaw 5 (vi) **applies to tattooing.***

*The requirement relating to jewellery in Byelaw 5 (vii) **applies to cosmetic piercing.***

*The requirements relating to dye or a container used to hold dye used for treatment in Byelaw 5 (viii) and (ix) **apply to tattooing and semi-permanent skin-colouring.***

*The requirement in Byelaw 7 (iv) that an operator wears disposable examination gloves that have not previously been used with another client **does not apply to acupuncture otherwise than in the circumstances described in Byelaw 10.***

*The provisions of Byelaw 9 in relation to washing facilities **apply to the piercing of lobe or the upper flat cartilage of the ear using a hygienic piercing instrument.***

*The Byelaws do not apply to (i) tattooing, semi-permanent skin colouring, cosmetic piercing and electrolysis treatment carried out by or under the supervision of a **medical practitioner (section 15(8) of the Act** or (ii) acupuncture carried out by or under the supervision of a **medical practitioner or a dentist (section 14(8) of the Act).***

76/2: *Enforcement of skin piercing Activities* (April 2005) – <http://www.hse.gov.uk/lau/lacs/76-2app.htm>

14/1: *Micro-pigmentation, semi-permanent tattooing and semi-permanent make-up* (August 2006) <http://www.hse.gov.uk/lau/lacs/14-1.htm>

These contain comprehensive guidance on issues such as infection control, waste disposal and aftercare advice - http://www.hse.gov.uk/lau/lacs/14-1.htm#Cleaning_and_disinfection

REPORT TO CABINET

Open		Would any decisions proposed :		
Any especially affected Wards	Mandatory	(a) Be entirely within cabinet's powers to decide NO		
		(b) Need to be recommendations to Council Yes		
		(c) Be partly for recommendations to Council NO and partly within Cabinets powers –		
Lead Member: Councillor N Daubney E-mail:		Other Cabinet Members consulted:		
		Other Members consulted:		
Lead Officer: E-mail: Direct Dial:		Other Officers consulted: Ray Harding Management Team		
Financial Implications NO	Policy/Personnel Implications NO	Statutory Implications NO	Equal Impact Assessment NO If YES: Pre-screening/ Full Assessment	Risk Management Implications NO

Date of meeting: 3rd March 2015

7 UPDATE TO THE CODE OF CORPORATE GOVERNANCE

Summary

The report addresses the review of the Council's Code of Corporate Governance in line with an audit recommendation made in August 2014. The review has been conducted and the existing Code of Corporate Governance updated and refreshed in line with new guidance and the Council's governance framework. The revised Code is attached at Appendix 1.

Recommendation

Cabinet is recommended to agree:

That the Code of Corporate Governance is recommended to Council for approval

Reason for Decision

To ensure good governance of the Borough Council of King's Lynn and West Norfolk.

1. Background

1.1 Governance is about how the Council ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which such bodies are directed and controlled

and through which it accounts to, engages with, where appropriate, leads the community.

- 1.2 Good governance enables the Council to define and pursue its vision more effectively. It leads to improvements in management, performance, stewardship of public money and public engagement and outcomes for individuals and the community. It ensures that appropriate mechanisms for control are in place and that risks and opportunities are managed effectively.
- 1.3 The Code of Corporate Governance sets out how the Council intend to apply the principles of corporate governance in line with the principles outlined in the framework and guidance notes for CIPFA/SOLACE "Delivering Good Governance in Local Government (2012) (as amended).
- 1.4 The Code of Governance is reviewed every three years to reflect any changes in the Council's governance framework and any revised guidance.

2. Changes

- 2.1 The Code has been reviewed in accordance with the CIPFA/SOLACE principles and amended to reflect minor changes in the guidance in relation to the principles.
- 2.2 In addition a hierarchy chart has been inserted to better demonstrate the relationship between the various elements of the framework.
- 2.3 Finally Appendix A to the Code, which summarises the evidence used to support the Framework has been amended to include the Council's current processes and procedures.

3. Conclusion

- 3.1 The Council has a robust system of governance which has been reviewed and updated to reflect the current guidance.

8. Financial Implications

- 8.1 There are no financial implications for the Borough Council arising from this report.

9. Statutory Considerations

- 9.1 There are none

10. Policy/Personnel Implications

- 10.1 There are none.

11. Equality Impact Assessment (EIA)

11.1 There are none.

12. Risk Management

12.1 There are none

13. Legal Implications

13.1 There are none

Background Papers

CIPFA/SOLACE “Delivering Good Governance”
Documents identified in Appendix 1 to the Code.

Borough Council of
**King's Lynn &
West Norfolk**



Code of Corporate Governance

October 2014

1. Introduction

The Borough Council of King's Lynn and West Norfolk recognises that it is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. In discharging this accountability Member and officers will be responsible for putting in place proper arrangements for the governance of the Council's affairs and the stewardship of the resources at its disposal.

This document sets out how the Borough Council of King's Lynn & West Norfolk ("the Council") intend to apply the principles of corporate governance in the way it operates and conduct its business. It has been developed in accordance with the principles outlined in the framework and guidance notes for CIPFA/SOLACE "Delivering Good Governance in Local Government (2012).

2. What is Governance?

Governance is about how the Council ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which such bodies are directed and controlled and through which it accounts to, engages with, where appropriate, leads the community.

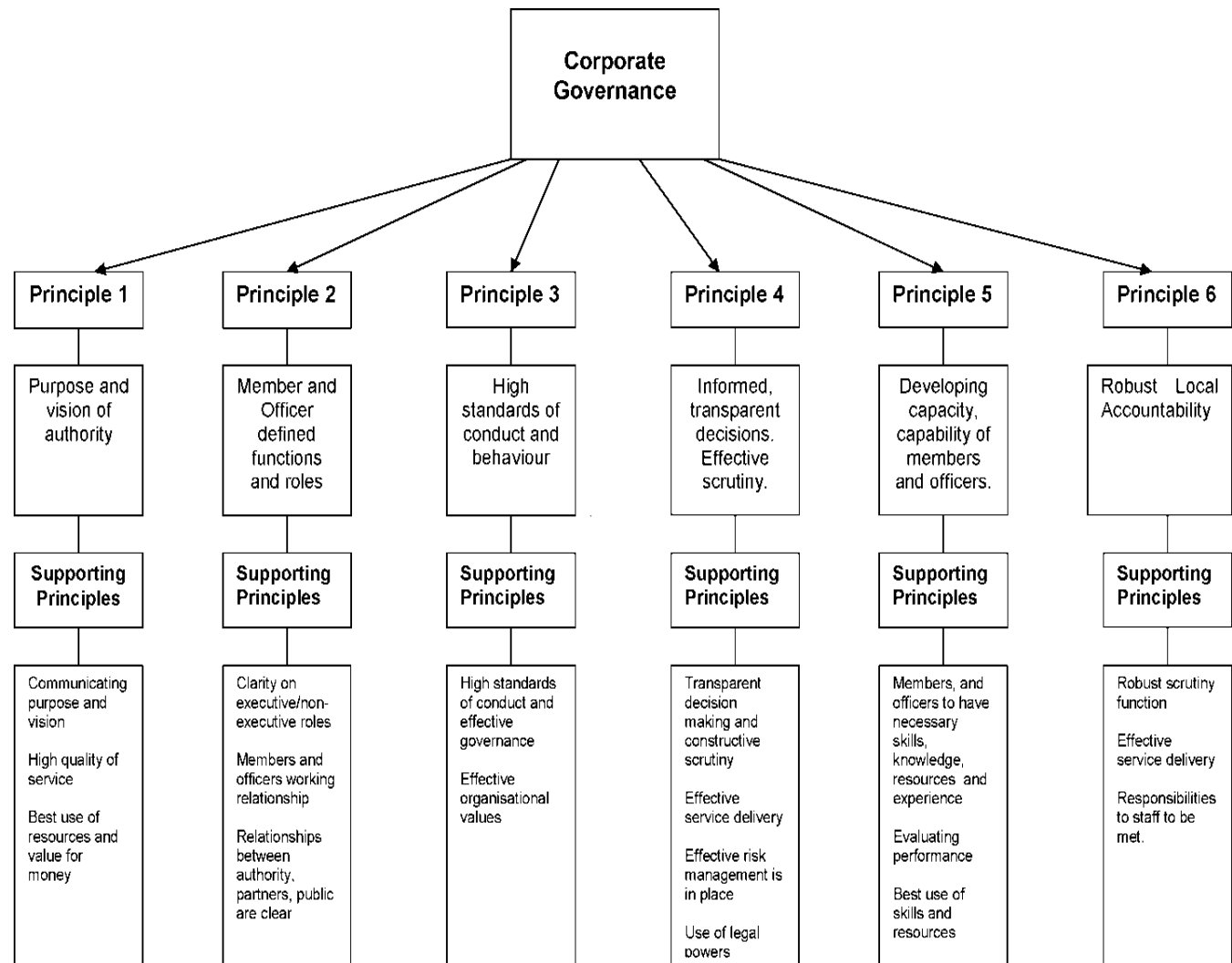
Good governance enables the Council to define and pursue its vision more effectively. It leads to improvements in management, performance, stewardship of public money and public engagement and outcomes for individuals and the community. It ensures that appropriate mechanisms for control are in place and that risks and opportunities are managed effectively.

3. Core Principles of Good Governance

1. Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area;
2. Members and officers working together to achieve a common purpose with clearly defined functions and roles;
3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
5. Developing the capacity and capability of members and officers to be effective; and
6. Engaging with local people and other stakeholders to ensure robust public accountability

4. Applying the Principles of Good Governance

Each of the six core principles of good governance has a number of supporting principles, which in turn, translate into a range of specific requirements that apply across the various aspects of the Council's business. The table below show how each of these principles should be applied.



Principle 1: Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area

Supporting Principles	Requirement of Local Authorities
Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users.	Develop and promote the Council's purpose and vision
	Review on a regular basis the Council's vision for the local area and its implications for the authority's governance arrangements.
	Ensure that the Council is underpinned by a common vision of its work.
	Publish an annual report on a timely basis to communicate the Council's activities and achievements, its financial position and performance.
Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.	Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.
	Put in place effective arrangements to identify and deal with failure in service delivery.
Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.	Decide how value for money is to be measured and make sure that the Council has the information needed to review value for money and performance effectively.
	Measure the environmental impact of politics, plans and decisions.

Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles

Supporting Principles	Requirement of Local Authorities
Ensuring effective leadership throughout the authority and being clear about executive and non executive functions and of the roles and responsibilities of the scrutiny function.	Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into place.
	Set out a clear statement of the respective roles and responsibilities of other Council members, members generally and senior officers.
Ensuring that constructive working relationship exists between selected members and officers and that the responsibilities of authority members and officers are carried out to a high standard.	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the Council taking account of relevant legislation and ensure that it is monitored and updated when required.
	Make the chief executive or equivalent responsible and accountable to the Council for all aspects of operational management.
	Develop protocols to ensure that the leader and chief executive (or equivalent) negotiates their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.

Supporting Principles	Requirement of Local Authorities
	<p>Make a senior officer (the section 151 officer) responsible to the Council for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal control.</p>
	<p>Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.</p>
<p>Ensuring relationships between the authority, its partners and the public are clear so that each other know what to expect of the other.</p>	<p>Develop protocols to ensure effective communication between members and officers in their respective tasks.</p>
	<p>Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel.</p>
	<p>Ensure that effective mechanisms exist to monitor service delivery.</p>
	<p>Ensure that the Council's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated.</p>
	<p>When working in the Council, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the Council and to the authority.</p>
	<p>Ensure that there is clarity about the legal status of the Council.</p>
	<p>Ensure that representatives of the Council understand and make clear to all other partners the extent of their authority to bind the Council to partner decisions.</p>

Principle 3: Promoting values or the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting Principles		Requirement of Local Authorities
<p>Ensuring authority members and officers exercise leadership by behaving in ways</p>		<p>Ensure that the Council's leadership sets a tone for the organisation by creating a climate of openness, support and respect.</p>
<p>that exemplify high of conduct and governance.</p>	<p>standards effective</p>	<p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff of the Council, its partners and the community are defined and communicated through codes of conduct and protocols.</p>
		<p>Put in place arrangements to ensure that members and employees of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.</p>
<p>Ensuring that organisational values are put into practice and are effective.</p>		<p>Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners.</p>

Supporting Principles	Requirement of Local Authorities
	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.
	Develop and maintain an effective standards committee.
	Use the Council's values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority. In pursuing the vision, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by behaviour both individually and collectively.

Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting Principles	Requirement of Local Authorities
Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisations for which it is responsible.
	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.
	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.
	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.
Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.
Having good quality information, advice and support to ensure that services are delivered effectively and are what the community/wants/needs.	Ensure that those making decisions, whether for the authority of the Council, are provided with information that is fit for the purpose - relevant, timely and gives clear explanations of technical and financial issues and their implications.
	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.
Ensuring that an effective risk management system is in place.	Ensure that risk management is embedded into the culture of the Council; with members and managers at all levels recognising that risk management is part of their jobs.
	Ensure that effective arrangements for whistleblowing are in place to which officers, staff and all those contracting with or

Supporting Principles	Requirement of Local Authorities
	appointed by the authority have access.
Using their legal powers to the full benefit of the citizens and communities in their area.	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine, but also strive to utilise their powers to the full benefit of their communities.
	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.
	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law - rationality, legality and natural justice - into their procedures and decision making processes.

Principle 5: Developing the capacity and capability of members and officers to be effective

Supporting Principles	Requirement of Local Authorities
Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles.	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.
	Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles are properly understood throughout the authority.
Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group.	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.
	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.
	Ensure that arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan, which might for example aim to address any training or development needs.
Ensuring new talent for membership for the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal.	Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.
	Ensure that career structures are in place for members and officers to encourage participation and development.

Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability

Supporting Principles	Requirement of Local Authorities
Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including Councils, and develops constructive accountability relationships.	Make clear to themselves, all staff and the community to whom they are accountable and for what.
	Consider those institutional stakeholders to whom the Council is accountable and assess the effectiveness of the relationships and any changes required.
	Produce an annual report on the activity of the scrutiny function.
Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in Council or by commissioning.	Ensure clear channels of communication are set in place with all sections of the community and other stakeholders, including monitoring arrangements, and ensure that they operate effectively.
	Ensure that arrangements are in place to enable the Council to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.
Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in Council or by commissioning.	Establish a clear policy on the types of issue on which they will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result.
	Publish an annual performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.
	Ensure that the Council as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.
Making best use of human resources by taking an active and planned approach to meet responsibilities to staff.	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.

5. Annual Review and Reporting

- 5.1 Each year the Council will carry out a review of its Governance arrangements to ensure compliance with this Code in accordance with Delivering Good Governance within the Local Government CIPFA/ SOLACE Framework. The purpose of the review will be to provide assurance that governance arrangements are adequate, operating effectively and to identify action for improvement

which will develop and shape governance within the Authorities. Appendix A, The Corporate Policy Framework, provides an overview of the policies in place to ensure that both Authorities have in place sufficient governance arrangements.

- 5.2 The outcome of the review will take the form on a Governance Statement prepared on behalf of the Leader of the Council and Chief Executive. It will be submitted to the Cabinet for consideration and review.
- 5.3 The preparation and publication of the Governance Statement will meet the statutory requirement of the Accounts and Audit Regulations which requires authorities to "conduct a review at least once in a year of the effectiveness of its system of internal control" and to prepare a statement on internal control "in accordance with proper practices". As such the Governance Statement will be prepared in accordance with the timetable in participation of financial statements in accordance with the Audit and Accounts Regulations.

Borough Council of King's Lynn and West Norfolk Governance Assurance Corporate Framework Supporting Evidence & Processes

Policies, Strategies, Rules & Codes	Processes and Frameworks	Key documents	Functions
<ul style="list-style-type: none"> • Anti-theft, fraud & corruption policy • Capital Strategy • Code of Conduct • Constitution • Customer Access Strategy • Data Quality Strategy • Employment rules • Equality and Diversity policy • Financial procedure rules and standing orders (within Constitution) • Financial regulations • Health and Safety Policy • ICT strategy and action plan • Medium Term Financial Strategy • Member/Officer protocol • Members' allowances scheme (Constitution) • Members' code of conduct (Constitution) • Officers' code of conduct (Constitution) • Pay policy statement • Procedure rules (contracts, employment, meetings) (Constitution) • Procurement regulations • Procurement strategy • Protocol on member / officer relations (Constitution) • Prudential code • Risk Management Strategy • Scheme of Delegation (within Constitution) • Treasury Management Policy statement • West Norfolk Strategy 	<ul style="list-style-type: none"> • Benchmarking • Budget consultation • Budget process • Business continuity framework • Competency frameworks • Complaints process • Corporate Business Plan • Customer feedback process • Environmental Monitoring Report • Health and Safety policy • Induction process (member and officer) • Job evaluation process • Managing performance (people) framework (including appraisal process) • Meeting timetable • Member allowances publication • Member training • Performance Management (business) framework (including team and service plans) • Risk management process • Scrutiny framework (Constitution) • Senior Staff Salary publication 	<ul style="list-style-type: none"> • Annual audit letters • Annual Directorate Plans • Annual Governance Statement • Assurance Statements • C of C Building Control • Committee reports, agendas and minutes • Complaints reports • Consultation register • Corporate Risk Register • Council tax booklet • Council website • External inspection / review reports • Intranet • JNC terms & conditions • Job descriptions/specs • Key decisions (within Constitution) • Law & governance • Publication Scheme (FOI) • Quarterly Performance Reports • Record of decisions • Registers of interest • Salary scales • Senior management remuneration report • Service level agreements • Service plans • Staff surveys • Statement of Accounts • Statement of Internal Control (part of AGS) • West Norfolk Partnership Working Protocol 	<ul style="list-style-type: none"> • Audit and Risk Committee • Democratic Services • Democratic Services • External audit (and other reviews) • Finance service • Functions and responsibilities of senior officers and councillors (within Constitution) • Head of Paid Service • Health and Safety officer • Human Resources • Independent remuneration panel • Internal audit • Local Government Ombudsman (report) • Management Team • Monitoring officer • Monitoring Officer report • PR/Communication • S151 officer • Standards Committee • Statutory reports • Terms of reference for committees (Constitution) • Website • Weekly CEO/DCEO and Leader/Deputy

Policies, Strategies, Rules & Codes	Processes and Frameworks	Key documents	Functions
<ul style="list-style-type: none"> • Computer useage policy • Data Protection and FOI policies • Training abroad with Council devices policy • Whistleblowing policy • Workforce learning and development 	<ul style="list-style-type: none"> • Car Park Management • Civil Parking Enforcement • Legal Services • Data observatory • Environment policy • EQIA policies • Equality Monitoring • Extended Managers Meetings • Internal Audit Strategic Plan • MRF Partnership Case & Repair • MT/Union meetings • Officer membership of professional bodies • PRP targets • Report writing and assessment process • Staff Briefing • Training for Chairs 	<ul style="list-style-type: none"> • Delegation Agreement & SLA • Timetable of council meetings • Training programmes • Transparency publications • Workforce development and plans • CCTV Operating Manual • Employee Handbook • Harrassment Procedure • Members Bulletin • Internal Affairs • Agendas & Minutes • Report templates • Standard timetable for circulation of agendas • Quality of Life survey • Alive Trust/Management Suite 	<ul style="list-style-type: none"> • Cabinet Scrutiny • Community Information points • Data Analyst port • Policy Development and Review Panels • Scrutiny & Overview Liaison Committee • Social media

Key

[Hyperlink to information on internet](#)