

Shadow Dorset Council Executive Committee

Date: Monday, 11 February 2019
Time: 4.00 pm
Venue: Committee Rooms A&B, South Walks House,
Dorchester, Dorset DT1 1EE

Membership:

R Knox (Chairman), G Suttle (Vice-Chair), A Alford, P Batstone, S Butler, J Cant, G Carr-Jones, T Ferrari, S Flower, M Hall, J Haynes, C Huckle, S Jespersen, A Parry, M Penfold, B Quinn, S Tong, D Turner, D Walsh and P Wharf

Chief Executive (designate): Matt Prosser
South Walks House, Dorchester, Dorset DT1 1EE

For more information about this agenda please telephone Democratic Services on or Lee Gallagher I.d.gallagher@dorsetcc.gov.uk - 01305 224191

Publication Date: Friday, 1 February 2019

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To consider a report by the Lead Member for Finance. | 129 - 140 |
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| 11 | EMERGENCY PLANNING WORK PACKAGE - EMERGENCY RESPONSE PLAN
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RECOMMENDATIONS

(Recommendations to the Shadow Executive Committee from shadow committees and Dorset area councils.)

- 12 CALL TO ACCOUNT - TRANSFER OF ASSETS** 205 - 210
- To receive the minute of the Shadow Overview and Scrutiny Committee meeting held on 3 January 2019.

MATTERS FOR DECISION

(Referred to the Shadow Executive Committee by Dorset councils)

- 13 SCHOOL ADMISSIONS ARRANGEMENTS 2020-2021** 211 - 252
- To consider a report by the Lead Member for Education and Skills.

MATTERS FOR CONSULTATION

(Referred to the Shadow Executive Committee by Dorset councils)

- 14 FORMER WEYMOUTH & PORTLAND BOROUGH COUNCIL OFFICES, NORTH QUAY, WEYMOUTH** 253 - 268
- To consider a report by the Leader of Weymouth and Portland Borough Council.

15 EXEMPT BUSINESS

To consider the following resolution:

To agree that in accordance with Section 100 A (4) of the Local Government Act 1972 to exclude the public from the meeting in relation to the business specified below it is likely that if members of the public were present, there would be disclosure to them of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the public interest in disclosing the information to the public.

16 URGENT ITEMS

To consider any items of business which the Chair has had prior notification and considers to be urgent pursuant to section 100B (4) b) of the Local Government Act 1972. The reason for the urgency shall be specified in the minutes.

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Shadow Dorset Council

Executive Committee

**Minutes of meeting held at South Walks House, Dorchester
on Monday 14 JANUARY 2019.**

Present: Cllrs R Knox (Chairman), G Suttle (Vice-Chair), A Alford, P Batstone, S Butler, J Cant, T Ferrari, S Flower, M Hall, J Haynes, C Huckle, A Parry, M Penfold, B Quinn, S Tong, D Turner, D Walsh and P Wharf.

Officers present (for all or part of the meeting): Matt Prosser (Chief Executive Designate), Keith Cheesman (LGR Programme Director), Jonathan Mair (Corporate Director - Legal & Democratic Service Monitoring Officer, Designate), John Sellgren (Executive Director, Place), Jason Vaughan (Interim Section 151 Officer) and Lee Gallagher (Democratic Services Manager - Dorset County Council).

In accordance with the Overview and Scrutiny procedure Rules of the Shadow Dorset Council, the decisions set out in these minutes will come into force and may then be implemented on the expiry of five working days after the publication date.

1. **Apologies**

Apologies for absence were received from Cllrs Carr-Jones and Jespersen.

John Sellgren was welcomed to his first meeting of the Shadow Executive Committee as the Executive Director, Place for Dorset Council.

2. **Declaration of Interests**

There were no declarations by members of disclosable pecuniary interests under the Shadow Dorset Council's Code of Conduct.

3. **Minutes**

The minutes of the previous meeting held on 17 December 2018 were confirmed and signed.

4. **Public Participation**

There were no public questions or statements received at the meeting in accordance with Standing Order 28.

A question was received from Councillor Andrew Cattaway in relation to the national Safe Passage "Our Turn" campaign. He was accompanied by Bernard Sullivan as the Leader of Safe Passage Dorset. The question and answer are attached as an annexure to these minutes.

5. **Shadow Executive Forward Plan**

The Committee received the latest draft Forward Plan, which included all decisions to be taken throughout the Shadow Dorset Council period until 1 April 2019.

Noted

6. Programme Highlight Report

The Committee considered a report by the Programme Director which provided an overview of the Local Government Reorganisation Programme including workstream activity, greater assurance regarding budget preparations, an update on the red risk of data migration (specifically regarding adult social care data disaggregation), the national challenge regarding Dedicated School Grant funding, and progress on the second gateway review which would be reported to the Committee on 11 February 2019.

In relation to the risk regarding data migration of Christchurch based adult social care cases, Cllr Jill Haynes provided a summary to explain that the issue related to the transfer of data and capacity in terms of the Bournemouth, Christchurch and Poole Council external provider, and that any challenges around the date of data transfer would not impact on users of the service and that the duty of care to those users would continue and the service would be safe and legal.

An update was provided on the recent consideration by the Shadow Overview and Scrutiny Committee of HR and Workforce related issues, including recruitment and retention, and confidence had been expressed that risks were being appropriately managed. HR and Workforce activities would continue to be reported through overview and scrutiny members for monitoring purposes.

The Programme Team was thanked for the continued hard work and commitment. It was also highlighted that there was an important need to look beyond 1 April 2019 and to focus on the plans to be put in place for continuation of current service levels and change in demand from residents.

Noted

7. 2019/20 Budget

The Committee considered a report by the Lead Member for Finance which provided an update on the finance of Dorset Council and the development of a balanced budget for 2019/20.

Cllr Tony Ferrari, as the Lead Member for Finance, explained the development of the first budget to reflect the combined position of forming the new Dorset Council. He also summarised the biggest challenges facing the budget including Adult Social Care and Children with Special Educational Needs (SEN), whilst continuing to provide consistent service levels and front line service. Further detail would be provided at the next meeting on 11 February 2019, and the Shadow Council would consider the budget at its meeting on 20 February 2019.

A question was asked about the savings being made in Adult Social Care and Children's SEN when there was continuing overspend. It was clarified that savings being made in these areas were part of ongoing transformation work within Dorset County Council to improve the way services operated.

Decisions

1. That the high-level budget proposals be reviewed by the Shadow Overview and Scrutiny Committee on 21 January 2019.
2. That the detailed budget proposals be reviewed by the Budget Working Group and considered by the Shadow Executive Committee on 11 February 2019.

Reason for Decision

To enable the development of budget proposals for 2019/20 that would set the foundations to creating a financially sustainable council.

8. **Rates Relief**

The Committee consider a report by the Lead Member for Finance on the approach to the award of Discretionary Rates Relief to charities and not for profit organisations for 2019/20 and that the review takes place for those from 1 April 2020.

Decisions

1. That existing discretionary rate relief awards to charities and not for profit organisations continue for 2019/20 and that a review be undertaken for 2020/21.
2. That existing recipients be notified that a review will take place from 1 April 2020 and that they will be able to submit a new application for relief from that time.
3. Where the government confirms that it will fully fund the award of rates relief (via a section 31 grant) the Council will award relief based on the criteria of that scheme.

Reason for Decisions

That there was a clear approach to the award of Discretionary Rate Relief, so that recipient organisations and officers could plan accordingly.

9. **Council Tax discretionary discounts and Premiums**

The Committee considered a report by the Lead Member for Finance on the current position in relation to Council Tax discretionary discounts in respect of empty dwellings, second homes, and whether a Council Tax premium is charged on long-term empty properties.

Members discussed the impact of residential homes being changed to holiday lets and changing over to pay business rates instead of Council Tax. It was reported that a current consultation by the Ministry for Housing, Communities and Local Government (MHCLG) was underway to look at second homes being used to access business rates and claiming rates relief as this was a national issue.

Recommended

That the Shadow Dorset Council be recommended:

1. In the case of vacant dwellings which require (or are subject to) structural alterations or major repairs, a discount of 50% of the full Council Tax charge be awarded for up to a maximum period of 12 months, from 1 April 2019. Also, that in determining the period of the discount, any similar discount awarded up to 31 March 2019 be taken into account.
2. In the case of vacant dwellings, a 100% discount be awarded for up to a maximum period of 1 month from the date that the property became unoccupied and substantially unfurnished. Also, that in determining the period of the discount, any similar discount awarded up to 31 March 2019 be taken into account.
3. No discretionary Council Tax discount be awarded in respect of second homes.

4. In the case of dwellings which have been unoccupied and unfurnished for at least two years, a Council Tax charge of 200% be levied from 1 April 2019.

Reason for Recommendations

To help ensure that awards of Council Tax discretionary discounts were made consistently and that premiums were used to help encourage owners of long-term empty dwellings to bring them back into use.

10. **Adoption of the Dorset Council Constitution**

The Committee considered a report by the Lead Member for Governance on the development of the Dorset Council Constitution by the Governance Working Group.

The significant work by members and officers to develop the draft Constitution was commended by the Committee. It was confirmed that the draft had been considered by the Shadow Overview and Scrutiny Committee and had also been shared at a separate briefing to over 90 members in order to get feedback and develop the content prior to consideration by the Shadow Executive, and recommendation to Shadow Council on 24 January 2019.

The Monitoring Officer (designate) clarified that following a concern raised at the member briefing in relation to the transparency in relation to electronic voting, the wording in procedure rule 19.3 would be changed to read:

*'unless a recorded vote is demanded, the Chairman will take the vote by show of hands, electronic voting or if there is no dissent, but the affirmation of the meeting **provided always that any use of electronic voting must enable the names of the members and how they voted to be visible in the meeting.**'*

A concern was raised that the formation of three planning committees would be too few, and that there should be more as they would have less connection with local people than the number currently in operation, but Cllr Spencer Flower explained that there was provision for a review to be undertaken after 12 months and this would take account of changes to committees if needed. He also clarified that a lot of work and effort had gone into assessing the requirements for planning meetings and forming the best model to populate memberships on an area basis. His comments were echoed by Cllr David Walsh as the Lead Member for Planning.

Recommended

That the Shadow Council be recommended to agree:

1. That the draft Constitution of Dorset Council be adopted.
2. That delegated authority is given to enable the Chairman of the Governance Working Group, in consultation with the Monitoring Officer (designate), to make any necessary textual revisions to ensure that the separate sections of the Constitution are consistent and work together as a whole.
3. That the operation of the Constitution should be reviewed after one year in April 2020.

Reason for Recommendations

To put in place the Constitution of the new Dorset Council and to provide for the Constitution to be reviewed so as to ensure that it meets the needs of the Council.

11. **Dorset Council Equality Scheme**

The Committee considered a report by the Lead Member for HR & Workforce on the draft Equality Scheme for Dorset Council 2019 -2023.

Decision

That the Dorset Council Equality Scheme be approved.

Reasons for Decision

Adoption of the Dorset Council Equality Scheme 2019-23 by Dorset Council would:

- ensure compliance with the Public Sector Equality Duty as specified by the Equality Act 2010; and,
- provide a measurable and accountable framework for the Council's work to promote diversity, inclusion and equality, as service providers, commissioners and employers.

12. **Weymouth Town Council Functions and Assets**

The Committee considered a report by the Lead Member for Finance on the proposed functions and associated assets to be transferred to the new Weymouth Town Council when it is created on 1 April 2019 and also functions proposed to be transferred to Portland Town Council as a result of disaggregation.

Cllr Kate Wheller, as a local member, addressed the Committee to draw attention to her involvement with the bereavement service in Weymouth over many years and in relation to the proposed crematorium transfer to Dorset Council. She asked for the staffing arrangements across the crematorium, graveyard, parks and gardens to be considered carefully as the current services worked very closely together and covered for each other. Cllr Knox, as the Leader of the Shadow Council, confirmed that the Lead Member for this area would liaise with her and with the Shadow Weymouth Town Council.

Cllr Cant, as the Leader of Weymouth and Portland Borough Council, clarified that the report title should have referred to Portland Town Council as well as the report covered both Weymouth and Portland. He summarised the Borough Council considerations of what should be transferred, the internal governance of the work undertaken, that Cllr Colin Huckle had been elected as Chairman of the Shadow Weymouth Town Council. Cllr Cant commended officers for months of dedicated work and engagement. The report would also be considered by the Borough Council on 17 January 2019.

On behalf of the Shadow Weymouth Town Council, Cllr Colin Huckle, shared the minutes of its meeting held on 10 January 2019 (attached as an annexure to these minutes) which had considered the transfer of assets and had raised two main issues. The first related to the matter raised above by Cllr Kate Wheller in respect of staffing for the crematorium and graveyard. The second related to the need to look to explore further options to generate funding given the functions that were being transferred including all work regarding the seaside area, beach, entertainment, events, and attracting visitors to help the economy. A request had been made by the Shadow Town Council to ask the for consideration of surplus car park income. The Monitoring Officer (designate) clarified that this was not a decision for the Shadow Executive Committee to make at this meeting in the absence of detailed financial assessment and was a principle that would be put to Weymouth and Portland Borough Council from the Shadow Town Council. It therefore did not change the proposals as set out in the report.

A point of clarification was raised in relation to the transfer of a cemetery and associated rules in respect of cost and timescales. Cllr Huckle welcomed the clarification and undertook to look at this outside of the meeting.

Decision

That the proposals for functions and assets transferring to the new Weymouth Town Council and transfers to the existing Portland Town Council be confirmed.

Reason for Decision

Under the Principles for transfers to Town and Parish Councils agreed in July 2018, the proposed transfers had to be considered by the Shadow Executive Committee to ensure a consistent approach across the Dorset Council Area.

13. **Civic Functions - Armorial Bearings and Chains of Office of Sovereign Councils, and future requirements of Dorset Council**

The Committee considered a report by the Lead Member for Governance on the future use of armorial bearings and chains of office, and provides an outline of other civic functions for Dorset Council.

The Governance Working Group at their meeting on the 31 October 2018 supported the recommendations. The work of the Group and officers was commended.

One member reported on the Market Charter for Dorchester, citing the current arrangements to assist Dorset Council in relation to its market in the town. It was noted that there were ongoing discussions regarding lead responsibility and that this may need to be considered in due course by the Committee.

A request was made to share the civic functions decisions with each sovereign council to ensure transparency on matters such as freedoms of particular areas of Dorset. It was confirmed that officers would take this forward.

Decisions

1. That transfer of existing armorial bearings used by Dorset County Council to Dorset Council be confirmed and approves the making of an application to the College of Heralds.
2. That the existing Dorset County Council Chairman's chain of office be modified to serve as the chain of office for Dorset Council.
3. That all other sovereign councils' chains of office, insignia including flags, and memorabilia be transferred to the History Centre for safe keeping, or sovereign councils be allowed to enter into arrangements with successor town councils or local museums e.g. Priest House Museum in Wimborne, to enable former insignia to be put on public display as part of Dorset's substantial heritage.
4. Confirms that there will be no Chairman's transport provided by Dorset Council.
5. That Dorset Council will require a new Chairman's Board and that existing Boards shall either remain in situ or be transferred to the History Centre.
6. That the position regarding existing charter rights be noted.

7. That the position regarding the Lord Lieutenant, High Sheriff, Honorary Aldermen and women, and Freedom of the Borough or District be noted.

8. That the decision on whether or not to commission a new council flag be left as a decision for Dorset Council to be taken after 1 April 2019.

Reasons for Decisions

1. To preserve the validity of existing armorial bearings after 1st April 2019 and to avoid those which could be transferred to Dorset Council from falling into abeyance.

2. To ensure that the new council's chairman would be invested with a suitable chain of office on the occasion of their appointment at the first full council meeting of Dorset Council.

3. To provide clarification around a range of issues to allow Civic Support Officers to plan for Vesting Day.

14. **Capital Highways Forward Programme 2019/20, 2020/21 and 2021/2022**

The Committee considered a report by the Lead Member for Natural and Built Environment regarding proposals for the Capital Highways forward programme, which included maintenance programmes across different asset groups as well as proposed Highway Improvement programmes. A self-assessment submission to the Department for Transport was also required by 1 February 2019 for £2.3m of incentivised funding. In relation to proposed schemes for Christchurch, recommendations were also being made to the Bournemouth Christchurch and Poole Shadow Executive. Due to timescales this matter had not been considered by the Dorset County Council Cabinet and the Shadow Executive Committee had been asked for a decision directly.

The report was welcomed by members as a comprehensive outline of schemes which would need to be revisited as the programme developed, and one which was visible for the public to view what was planned for Dorset over the next couple of years. The hard work and commitment of Cllr Daryl Turner as Lead Member was also highlighted in championing the development of the forward programme.

Decision

That the Capital Highways Forward Programme, as set out in the appendices of the Lead Members' report, be approved.

Reason for Decision

Effective asset management required a clear forward capital programme to be developed according to a consistent set of principles and criteria. The County Council's approach as set out in the approved Highways Asset Management Plan satisfied the criteria in the Department for Transport self-assessment process, contributing to the Council securing the maximum incentivised funding. This forward programme was subject to consultation ahead of programming and construction.

15. **Tricuro: Shareholder Viability Assessment Report**

Cllr Jill Haynes, as the lead Member for Adult Social Care, explained that the draft minute would be deferred for consideration until the minutes had been confirmed by the Tricuro Executive Shareholder Group.

Decision

That the minute be deferred for consideration at a future meeting.

16. **Exempt Business**

Decision

That in accordance with Section 100 A (4) of the Local Government Act 1972 to exclude the public from the meeting in relation to the business specified below it was likely that if members of the public were present, there would be disclosure to them of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the public interest in disclosing the information to the public.

17. **Employee Terms and Conditions, and TUPE Measures**

The Committee received a verbal updated from the Lead Member for HR & Workforce in relation to employee terms and conditions, and TUPE measures. Cllr Peter Wharf, as the Lead Member, explained that following a report on Terms and Conditions considered at the last meeting of the Shadow Executive Committee on 17 December 2019 consultation had continued with Trade Unions. It was noted that negotiations continued to arrive at a final position before 1 April 2019. A further review of Terms and Conditions would also be undertaken after the beginning of the new Council to harmonise terms over an 18-24 month period. It was noted that there were areas where there had not yet been agreement.

Members discussed progress on achieving agreement on redundancy multipliers for TUPE staff and new employees. It was confirmed that this was an area which had not been finalised. It was highlighted that it was important to align TUPE employees from 1 April 2019, and it was confirmed that further alignment of the multiplier with new staff had been extended from 12 to 18 months.

A consultation response from Unison was shared at the meeting which provided further detail in relation to outstanding issues. The letter is attached as an annexure to these minutes. It was confirmed that outstanding issues would be dealt with through continued negotiation through delegated authority agreed at the last meeting of the Committee.

Confirmation was provided that the Shadow Dorset Council must inform the sovereign councils of changes to terms and conditions as part of the transfer of employment, together with measures which were due to be consulted upon and confirmed in the next couple of weeks.

Noted

18. **Urgent Items**

One item of urgent business pursuant to section 100B (4) b) of the Local Government Act 1972 considered at the meeting.

Strategic Property Issues

The Committee considered an urgent exempt report by the Lead Member for Property and Assets in relation to the work of the Land and Buildings Sub-Group regarding capital receipts that were anticipated in the first year of the new council being established. This report was considered to be urgent to facilitate early development of a strategic plan for the management of the Council's assets.

The hard work of the members and officers in progressing the assets work was commended. The work was recognised as an important part of the need to contribute to the development of the future operating model and service delivery of the Council by providing the options relating to property and buildings available. Several important factors were raised in terms of assessing the disposal of assets which included capital receipts that could be generated; the impact on local communities and economies when developing the operating model; and the use of assets for community based organisations as an alternative to disposal and occupation whilst awaiting disposal. It was noted that a further report would be submitted to the Shadow Executive in due course.

A question was asked about the position in relation to County Farms tenancies. Cllr Tony Ferrari, as the Lead Member for Finance, confirmed that a review of the County Farms Estate was completed last year by Dorset County Council and that information in the report referred to work that was already underway.

Decision

That work be commenced on the formation of a strategic plan for the management of the new council's assets.

Reason for Decision

A well-managed Council should ensure that the best use was made of its assets in terms of optimising service benefit, minimising environmental impact and maximising financial return.

Duration of meeting: 4.00 - 5.30 pm

Chairman

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**Shadow Dorset Council
Shadow Executive Committee - Forward Plan - March 2019**

**For the period 11 MARCH 2019 to 31 MARCH 2019
(publication date – 8 FEBRUARY 2019)**

Explanatory Note:

This Forward Plan contains future items to be considered by the Shadow Executive Committee. It is published 28 days before the next meeting of the Committee. The plan includes items for the meeting including key decisions. Each item shows if it is 'open' to the public or to be considered in a private part of the meeting.

Definition of Key Decisions

Key decisions are defined in the Shadow Dorset Council's Constitution as decisions of the Shadow Executive Committee which are likely to -

- (a) to result in the relevant local authority incurring expenditure which is, or the making of savings which are, significant having regard to the relevant local authority's budget for the service or function to which the decision relates (***Thresholds - Dorset County Council £500k and District and Borough Councils £100k***); or
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the relevant local authority."

When determining the meaning of "*significant*" for these purposes the Shadow Council will have regard to any guidance issued by the Secretary of State in accordance with section 9Q of the Local Government Act 2000 Act. Officers will consult with lead members to determine significance and sensitivity.

Private/Exempt Items for Decision

Each item in the plan above marked as 'private' will refer to one of the following paragraphs.

- 1. Information relating to any individual.
- 2. Information which is likely to reveal the identity of an individual.
- 3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).
- 4. Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
- 5. Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
- 6. Information which reveals that the shadow council proposes:-
 - (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
 - (b) to make an order or direction under any enactment.
- 7. Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Members Allowances Scheme 2019/2020 Key Decision - Yes Public Access - Open	Shadow Dorset Council	20 Feb 2019	<u>Consultees:</u> Independent Remuneration Panel Governance Task and Finish Group Monitoring Officers Group <u>Means of Consultation:</u> Meetings	None	Lead member - Councillor Spencer Flower <i>Lead officer - Jonathan Mair, Corporate Director - Legal & Democratic Service Monitoring Officer, Designate j.e.mair@dorsetcc.gov.uk</i>
Programme Highlight Report Key Decision - No Public Access - Open	Shadow Executive Committee	11 Mar 2019	<u>Consultees:</u> Members Services <u>Means of Consultation:</u> Task and Finish Groups Workshops Ongoing programme activity	None	Lead member - Leader of Shadow Dorset Council <i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i>
Forward Plan Key Decision - No Public Access - Open	Shadow Executive Committee	11 Mar 2019	<u>Consultees:</u> Shadow Executive Committee Dorset councils Programme Board <u>Means of Consultation:</u> Meetings	None	Lead member - Leader of Shadow Dorset Council <i>Lead officer - Lee Gallagher, Democratic Services Manager - Dorset County Council l.d.gallagher@dorsetcc.gov.uk</i>
Transitional Decisions of Predecessor Councils Key Decision - No Public Access - Open	Shadow Executive Committee	11 Mar 2019	<u>Consultees:</u> <u>Means of Consultation:</u>	None	Lead member - Councillor Spencer Flower <i>Lead officer - Robert Firth, Corporate Manager - Legal Services rfirth@dorset.gov.uk</i>

<p>Care Home and Extra Care Housing in Bridport</p> <p>Key Decision - Yes Public Access - Part exempt</p>	<p>Shadow Executive Committee</p>	<p>11 Mar 2019</p>	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	<p>None</p>	<p>Lead member - Councillor Jill Haynes</p> <p><i>Lead officer - Helen Coombes, Interim Transformation Programme Lead</i></p>
<p>Pan-Dorset Safeguarding Partnership Arrangement</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>11 Mar 2019</p>	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	<p>None</p>	<p>Lead member - Councillor Steve Butler</p> <p><i>Lead officer - Nick Jarman, Interim Director for Children's Services nick.w.jarman@dorsetcc.gov.uk</i></p>

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Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Rebecca Knox, Leader, Shadow Dorset Council
Officer	Keith Cheesman, Programme Director
Subject of Report	Programme Highlight Report
Executive Summary	This report provides an update on progress since the last Shadow Executive Committee meeting on 14 January.
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>None in relation to this report.</p>
	<p>Use of Evidence:</p> <p>This report has been written in consultation with Project Managers, Subject Matter Experts and other members of the Programme Team.</p>
	<p>Budget:</p> <p>The revised Programme budget was agreed at the 17 December 2018 Shadow Executive meeting.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as Amber.</p>
	<p>Other Implications:</p> <p>None identified.</p>
Recommendation	That the Shadow Executive notes the progress made since the last Shadow Executive Committee meeting.

Reason for Recommendation	No decisions are required at this time in connection with this report.
Appendices	1. Programme Highlight Report
Background Papers	Programme Highlight Report, 15 October 2018, appendix 3, SWAP Programme Governance Follow Up Report (1 October 2018)
Officer Contact	Name: Keith Cheesman Tel: 01305 221227 Email: Keith.Cheesman@dorsetcc.gov.uk

1. Summary and Progress

1.1 The full highlight report is attached at Appendix 1. At the time of writing, overall progress remains at Amber.

1.2 Key achievements in the last period include:

- The final piece of legislation has been laid before Parliament (the Local Government (Structural and Boundary Changes) Supplementary and Miscellaneous Amendments Order 2019)
- The Dorset Council Constitution has been agreed by Shadow Council, subject to minor amendments
- Consultation on Tranche 1 of the Transitional Structures workstream has started
- The Dorset Council campaign has been launched
- The test system for cash receipting across Dorset Council is complete
- Vendor lists have been compiled to produce a single list of over 11,000 vendors
- The VAT approach has been agreed by HMRC and is being disseminated to staff
- Terms and conditions for employees from Day 1 have been finalised
- Global address lists have been synchronised and WAN Phase 2 data exchange testing is complete
- Data disaggregation reviews are underway
- An information governance workshop has been held
- The Dorset Council policy library has been designed

1.3 The last report highlighted the challenges around the data disaggregation for Social Care case data and associated files. Significant progress has been made, with officers from both programme teams working closely to agree a number of interim solutions for the safe transfer of Adults and Children’s social care data for Christchurch service users by 1st April 2019.

2. Risks and Issues

2.1 The key programme risk is currently around the data disaggregation plan for social care data described above.

- 2.2 The key programme issue remains the Dedicated Schools Grant (DSG). Members were updated on this at the budget briefing on 29 January, and further correspondence has been had with the Department for Education. As noted in the last highlight report, the DSG did not increase to allow for the additional responsibilities for children when the 16-25 age group were added. Numbers of Education Health and Care Plan (EHCP, previously SEN) pupils have been steadily rising, with no sign of levelling out, and funding has seen a minimal increase. Recharges from the DCC to DSG of about £1m have already been included as a potential issue in the 2019/20 budget calculations and contribute towards the overall budget gap, which will be addressed at the Shadow Council meeting on 20 February.

3. Gateway 2 Review






- 3.1 Members will be aware that Programme Board has commissioned two independent assessments as part of a Gateway 2 review. The South West Audit Partnership (SWAP) has been appointed to assess how well-placed the programme is in relation to overall operational readiness (following their previous review in September 2018), and Ameo has been engaged to undertake a delivery assurance review, to test and provide a level of confidence around “Day One” service preparations from a customer perspective.
- 3.2 While some of the initial findings from both SWAP and AMEO have been positive, there were some discrepancies in the reviews that need further investigation before conclusions can be confirmed. Work is being undertaken to test and verify the results, after which the findings will be shared with members and incorporated into implementation plans.

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OVERALL PROGRAMME STATUS – DATE: 1 FEBRUARY 2019

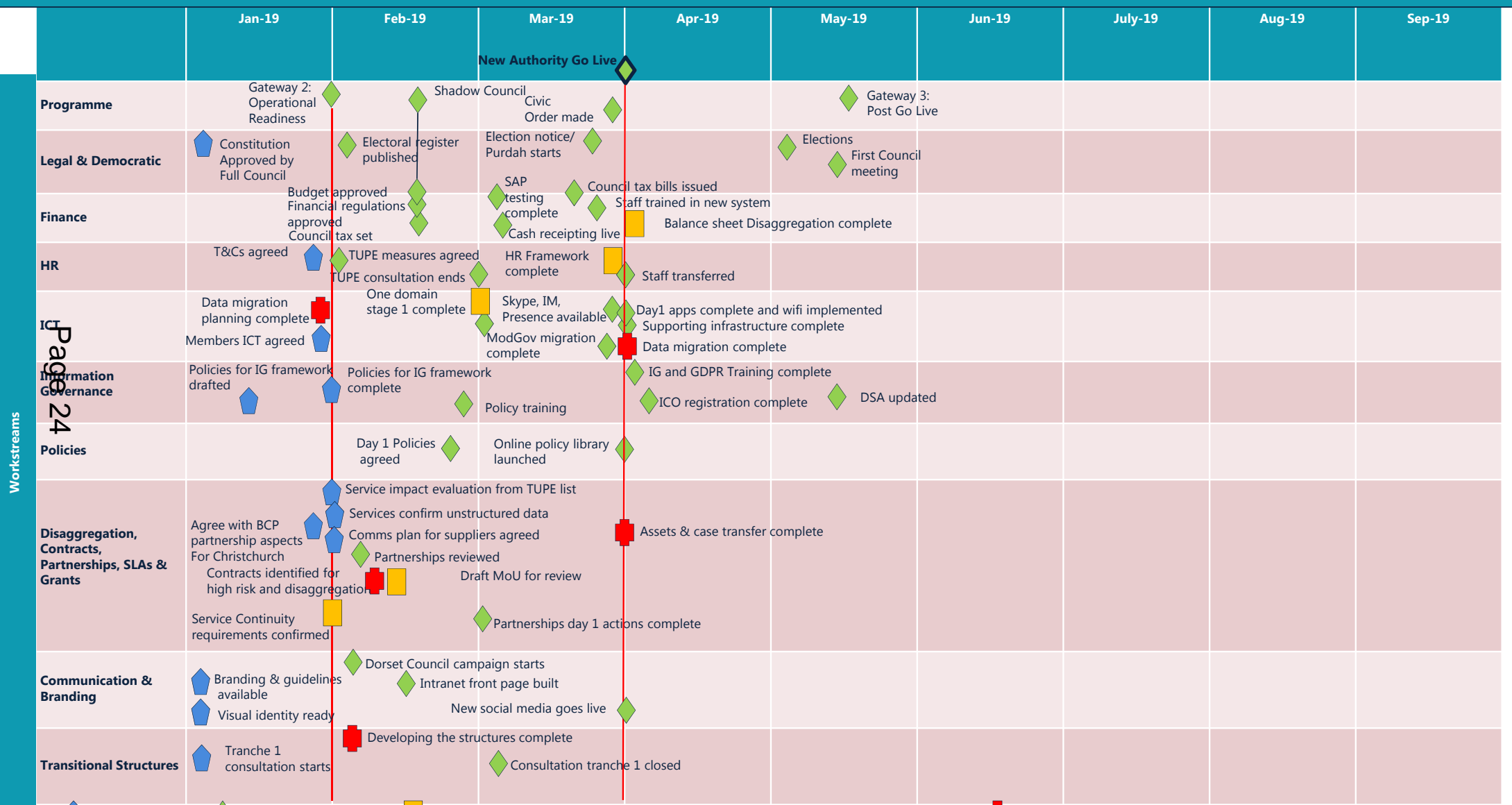
Overall status 	Scope 	Budget 	Time 	Resource 	Stakeholder 	Risk & Issue 
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The workstreams continue to work hard to ensure services are able to run without interruption on day one, and the Team continue to run a daily review process on all task and activity to ensure progress is not impeded by issues. The Transitional Structures consultation process has now started. The two elements of the Gateway 2 review have concluded, but the detail requires some further review as there are a few contradictions in parts of the conclusions. As intended, the outputs and feedback from these pieces of work will guide a series of corrective actions necessary to assure programme delivery of service continuity. The Data Disaggregation issue is nearing resolution with a solution and a contingency alternative approach being tested this week, While not ideal, social care caseload management for cases transferring from this council will be safe & legal if one of these solutions is successful. The programme remains at Amber

Return to Green 	Intranet solution being identified and resolved. Service Continuity implementations delivering against the plans, revised Data Disaggregation plans being agreed.	
Change Requests 	No new change controls in progress.	
Resources 	Phase 2 resource requirements almost entirely met now	
Plan 	A mandate and plan is required to ensure the transitional phase is mapped and resourced, particularly in light of the need to review and refine Phase 3 plans - underway	
Benefits 	Part of the Gateway process being introduced is to enable the baselining and assessment of services, both external and internal, to understand any impacts of the transition and to be clear about the measures and metrics being applied to that assessment.	
This week	Issue/Risk	Mitigation
Top Issue	5-3 15 Dedicated Schools Grant – If the Secretary of State does not approve the request to transfer funds between funding blocks, this will result in an increase in the budget deficit.	Recharges from DCC to DSG of about £1m have already been included as a potential issue in the 2019/20 budget calculations and contribute towards the overall budget gap, which will be addressed at the Shadow Council meeting on 20 February. The matter remains in the hands of the Secretary of State.
Top Risk	5-4 20 Social Care IT system data disaggregation plan will not allow full data transfer for day one. A revised approach needs to be tested and agreed. If this plan is not in place and successful, DC and BCP will not be safe and legal on 1st April 2019 as BCP relevant social care teams will not have access to Christchurch Social Care data.	Validation and planning for the interim solution and contingency plan will take place w/c 21st January. This work will allow the ICT workstream to return to amber as there is a degree of confidence from all parties that the preferred option and contingency can be delivered by 1 st April 2019, even with minimal supplier involvement.

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Programme Milestone Plan – 1 February 2019



KEY: Blue - Complete Green - On Track Amber – plan variation or off track but recoverable without impact to the overall programme Red – Late or off track or no agreed plan, significant risk to the overall programme

Workstreams

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WS1: LEGAL AND DEMOCRATIC - STATUS UPDATE

Lead Member: Cllr Spencer Flower
 Workstream Sponsor: Jonathan Mair
 Project Manager: Andy Norman

Date: 1st February 2019

Workstream RAG



Overall Workstream Summary

Significant progress has been achieved with the passage through the Shadow Executive of the draft constitution, leading to its review by Full Council on the 24th January. The legal team is now focusing on providing guidance and support to service teams in the production of local Schemes of Delegation, as well as concentrating on its own readiness for day 1 operation. Elections teams are working closely together finalising the preparations for running the elections in May.

Key Initiative Achievements (This Week)

- Confirmation by the Government Minister for Local Communities that the affirmative consequential order has been laid in Parliament in readiness for being voted upon by both Houses.
- Approval of the draft constitution by the Shadow Executive and full council
- Approval by the Shadow Executive of the recommendations in the report on Civic Functions.
- Production of a draft Chairmans Guide by the Civic Support team.
- Compilation of a civic support asset register covering all councils.
- Completion of the elections printing contract tender evaluation and informal award of the contract.
- Completion of the draft report on the Members Allowances.
- Joint meeting with BCP Legal teams to agree handover arrangements for case files.

Next milestones

Milestone	RAG	Due Date	Target Date
Finance Order made	C	December 2018	05/12/18
Boundary order made	C	December 2018	19/12/18
Electoral register published	G	February 2019	
Constitution approved	C	24 January 2019	
Notice of election issued	G	15 March 2019	
Civic Order made	G	March 2019	
Elections	G	2 May 2019	
First Dorset Council meeting	G	May 2019	

Key Initiative Activities (Planned Next Week)

- Work on the guidance on Local Schemes of Delegation for Service Teams
- Confirm day 1 reporting lines for Elections, Legal and Democratic Services teams

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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80			A snap General Election or Referendum could divert resource from the Programme to resource this at short notice.	Political situation could change forcing a general election or a second referendum and this would require Elections teams to focus on this rather than planning for the May elections. This would be more critical if either of these were called in the new year.	4	3	12	With the current volatile political atmosphere, the Elections team have developed a draft Parliamentary election plan in the event that an election is called. The resource plan would need to be implemented, and augmented by additional resource to run two sets of elections.	Jonathan Mair (as Interim RO)	
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ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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			<i>There are no live issues at present</i>					
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Top Risk

Page 25

Top Issue

WS2: FINANCE- STATUS UPDATE

Lead Member: Tony Ferrari
 Workstream Sponsor: Jason Vaughan
 Project Manager: Rosie Dilke; Jason Pengelly

Date: 1st February 2019

Workstream RAG A 

Overall Workstream Summary

The 2019/20 budget proposals have been completed and will be considered by the Shadow Executive on 11 February and Shadow Council on 20 February. The second of a series of three all-member budget briefings was held 29/1/18 to provide context to the documents presented to Shadow Council. The final briefings are set for 12th February.

Key Initiative Achievements (Last fortnight) | Next milestones

Milestone	RAG	Due Date	Target Date
Financial Regulations approved	C	24/1/19	24/1/19
Budget approved	G	20/2/19	20/2/19
Treasury Strategy & practices approved	G	20/2/19	20/2/19
SAP "feeder systems" testing complete	G	04/03/19	04/03/19
Capita cash receipting - LIVE	G	04/03/19	04/03/19
Finance staff trained in SAP system	G	31/3/19	31/3/19
Agreement of debt and reserve percentages between Dorset & BCP	A	March '19	March '19

Key Initiative Activities (Planned Next fortnight)

Shadow Executive Committee consider the Budget including Capital and Treasury Strategy papers on 12th February for Shadow Council on 20th February 2019.
 Finance department managers from the four organisations are working with their staff and HR to ensure service continuity across all the key areas of finance from 1st April. Information on structures is now being collated for decision on the way forward.
 Budget Working Group meet on 6th February to look at rationalisation of suppliers. Decision by Programme Board on vendor (supplier) letter to be sent out in mid-February.

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ID	Raised By	Date Raised	ISSUE Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
106	Jason Vaughan	July 30th 2018	Dorset Council is unable to set a balanced budget for 2019/20	Financial impact as a result of ongoing cost & volume pressures in DCC	5	1	5	Budget proposals include provision of £4.8m of contingency and estimated general reserves of £25.5m. A base budget review of Children's Services is to be undertaken as a priority but all areas will be subject to this once the new management structure is in place.	Jason Vaughan	Feb '19
235	Rich Bates	October 25 th 2018	Dedicated Schools Grant	Failure to get approval to transfer funds between funding blocks will increase the deficit	5	3	15	A revised disapplication was sent to the Department for Education. There is no guidance on when the decision will be made. Once off grant has not been committed until the outcome is known.	Rich Bates	Feb 19

Top Issue

WS3: HR WORKSTREAM - STATUS UPDATE

Lead Member: Cllr Peter Wharf
 Workstream Sponsor: David McIntosh
 Project Manager: John Ferguson

Date: 1 February 2019

Workstream RAG G

Overall Workstream Summary

Finalised Terms & Conditions for Day 1 . TUPE measures finalised. HR Policies consulted with TUs. HR support to Transitional Structures Workstream identified.

Key Initiative Achievements (This Fortnight) Next milestones

Terms & Conditions for Day 1 finalised TUPE measures letter to HoPS and Trade Unions drafted Consultation on HR Policies complete Health & Safety plans progressing Specialist HR support to Transitional Structures Workstream identified	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Milestone</th> <th style="width: 10%;">RAG</th> <th style="width: 15%;">Due Date</th> <th style="width: 15%;">Target Date</th> </tr> </thead> <tbody> <tr> <td>Senior Leadership Appointments</td> <td style="background-color: #0070C0; color: white;">C</td> <td>19th Nov</td> <td>19th Nov</td> </tr> <tr> <td>Terms & Conditions confirmed for Day 1</td> <td style="background-color: #0070C0; color: white;">C</td> <td>21st Jan</td> <td>21st Jan</td> </tr> </tbody> </table>	Milestone	RAG	Due Date	Target Date	Senior Leadership Appointments	C	19th Nov	19th Nov	Terms & Conditions confirmed for Day 1	C	21 st Jan	21 st Jan
Milestone	RAG	Due Date	Target Date										
Senior Leadership Appointments	C	19th Nov	19th Nov										
Terms & Conditions confirmed for Day 1	C	21 st Jan	21 st Jan										

Key Initiative Activities (Planned Next Fortnight)

Planning of the communication of confirmed Ts & Cs for Day 1 HR Policies for Day 1 to be confirmed Recruitment processes including Templates, Forms, etc, ready for advertising to fill Day 1 essential posts Day 1 structures - line management arrangements being confirmed	<table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td>Confirmed TUPE measures</td> <td style="background-color: #90EE90;">G</td> <td>21st Jan</td> <td>8th Feb</td> </tr> <tr> <td>TUPE consultation ends</td> <td style="background-color: #90EE90;">G</td> <td>28th Feb</td> <td>28th Feb</td> </tr> <tr> <td>Submit final TUPE lists</td> <td style="background-color: #90EE90;">G</td> <td>28th Feb</td> <td>28th Feb</td> </tr> <tr> <td>HR Framework for new council</td> <td style="background-color: #90EE90;">G</td> <td>29th Mar</td> <td>29th Mar</td> </tr> </tbody> </table>	Confirmed TUPE measures	G	21st Jan	8th Feb	TUPE consultation ends	G	28 th Feb	28 th Feb	Submit final TUPE lists	G	28 th Feb	28 th Feb	HR Framework for new council	G	29 th Mar	29 th Mar
Confirmed TUPE measures	G	21st Jan	8th Feb														
TUPE consultation ends	G	28 th Feb	28 th Feb														
Submit final TUPE lists	G	28 th Feb	28 th Feb														
HR Framework for new council	G	29 th Mar	29 th Mar														

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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258	HR Board	Dec '18	Impact of Transitional Structures process upon Managers may adversely impact upon their capacity and motivation, at a time when their teams require significant leadership support.	Possible major impact on delivering critical services.	4	4	16	Keeping Managers informed throughout the process (eg Managers Forum Dec'18). Ensure wellbeing and support initiatives are in place and accessible. Coaching and mentoring support available.	Nicola Houwayek	Apr '19

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Top Risk

Top Issue

WS5: ICT WORKSTREAM - STATUS UPDATE

ICT Member Lead: Councillor Tong

Workstream Sponsor: Sue Joyce

Project Manager: Jon Ashworth

Date: 1st February 2019

Workstream RAG



Overall Workstream Summary

The ICT workstream continues to focus on the data disaggregation work package and is currently reporting as red as there is still no agreed Social Care data disaggregation plan in place. The detailed plan was received from BCP's supplier on 8th January who confirmed they would be unable to disaggregate either the active or historical Social Care Christchurch information by 1st April 2019. A full options appraisal workshop was held on Thursday 16th January with a recommended interim option for the 1st April signed off at the MOSAIC Steering Group on Friday 18th January. Validation and planning for the interim solution and contingency plan will commence w/c 21st January. This work will allow the ICT workstream to return to amber, once the decision request has gone through the governance cycle for sign off, as there is a degree of confidence from all parties that the preferred option and contingency can be delivered by 1st April 2019, even with minimal supplier involvement.

Key Initiative Achievements (This Week)

- Support to EDDC operations has started to be scoped in preparation for Day 1 (DCP/DCC).
- Decision Requests for creating platforms to securely transfer data between DCC and BCP agreed and solution implemented.
- 24 Data Migration Decision Requests approved by IG, ICT and Theme Boards.
- 3-Sixty Car Parking: Project Manager assigned by Supplier, List of actions scoped.

Key Initiative Activities (Planned Next Week)

- Focus on confirming BCP Mosaic decisions and ensuring joint Mosaic DR goes through programme governance.
- 27 Decision Requests progressing through governance for completion by 8th February.
- LLPG and LSG: agree Testing plan with all partners and supplier.
- Secure Email and Phase 2 Hosting DRs for sign off at Strategic Board on 5th Feb.

Next milestones

Milestone	RAG	Due Date
Data Migration Planning complete	R	6 Feb 19
One Domain Stage 1 implementation complete	A	5 Mar 19
Members ICT agreed	C	23 Jan 19
ICT Service Continuity & Disaster Recovery process	G	22 Feb 19
Incident & Request management approach	G	22 Feb 19
WAN Phase 2 data exchange testing for Day 1 LOB applications complete	G	15 Feb 19
LLPG & Mod. Gov. Day 1 apps complete	G	1 Apr 19
Data Migration for Day 1 complete	R	1 Apr 19

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	2 Jan 19	BCP are working with their supplier to migrate Social Care data from DC to BCP. Their supplier is unable to deliver for 1 st April 2019. Interim solution is now required.	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	4	20	Interim & contingency solution agreed, validation & planning underway to enable access to Christchurch Social Care data for 1st April. Continue to work on permanent solution to disaggregate all Christchurch social care data to BCP.	Mark Smitton	6 Feb 19

WS7: POLICIES WORKSTREAM - STATUS UPDATE

Lead Member: Spencer Flower
 Workstream Sponsor: Jonathan Mair
 Project Manager: John Alexander

Date: 01/02/19

Workstream RAG G 

Overall Workstream Summary

Good progress with signing off policies masterlist. Policy library under construction and on track.

Key Initiative Achievements (This Fortnight) | Next milestones

Milestone	RAG	Due Date	Target Date
Templates and guidance approved	C	17 October	31 October
Prioritised master list approved	C	5 December	12 December

Key Initiative Activities (Planned Next Fortnight)

Final policy masterlist to Programme Board	G	27 Feb 2019	
Future comms/ training requirements re. policies identified	G	1 Mar 2019	
Online policy library launched	G	1 April 2019	

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
167	Project Manager	Oct '18	Failure to communicate policy changes to staff and members leads to reduced "legal literacy" at service delivery level and risks non-compliant operational practice	Significant potential impact on delivering legal services.	4	3	12	Appropriate and timely communication and training plans for staff and councillors to be coordinated by Policies Workstream.	John Alexander	Jan – Mar 2019, according to priority

Top Risk

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date

Top Issue

WS8: CUSTOMER AND SERVICE CONTINUITY - PLACE THEME - STATUS UPDATE

Lead Member: Cllr Mary Penfold, Cllr David Walsh, Cllr Daryl Turner, Cllr Anthony Alford

Date: 1 February 2019

Workstream RAG



Workstream Sponsor: Mike Harries and Bridget Downton

Project Manager: Emily Hallett

Overall Workstream Summary

A raft of data disaggregation decision records for place systems are going through the governance process and being reviewed by Place Board. The final policies list has been reviewed and agreed by Place Board. Cover sheets are now being drafted by service workstreams. Services have reviewed duplicate generic email addresses and naming conventions for these have been agreed with ICT workstream, these addresses are now being used to update systems and templates in readiness for day 1. Gateway audit report has been reviewed by Place Board chairs and service leads, Project Manager will now meet with all Place workstreams to review end to end processes for day 1 and ensure key handoffs to support services are mapped. The TUPE lists have been scrutinised by Place Board Chairs to identify day 1 line management issues, proposals have been drawn up and sent to HR and HoPs to consider.

Key Initiative Achievements (This Fortnight)

- Agreement from Informal Shadow Executive to continue with existing East Dorset Concessionary bus pass scheme and defer decision to review the scheme until after elections
- Decision record on resourcing of local plan work has been approved by Place and is going to shadow executive in February
- TUPE options submitted to HR and HoPs
- Data disaggregation decision records agreed by Place Board, these include Travel and Transport Trapeze system, Moors Valley Country Park systems and various DWP systems
- Harmonisation of regulatory fees and charges approved by Place Board and included in Budget report
- Governance received by Legal workstream regarding correspondence and registered address. Services can now update templates for areas that could result in legal proceedings e.g. Planning notices with the correct legal wording
- Privacy notice templates and guidance received by Information Governance to allow services to draft statements to go on the Dorset Council website
- Local scheme of delegation for Development Management and Planning services drafted
- Environmental permits, discharge consents, trade effluent arrangements, exception certificates and waste carriers license have all been received in readiness for day 1

Key Initiative Activities (Planned Next Fortnight)

- Continue to progress with car parking system including setting up two working groups from DCC and DCP to look at patrol routes and back-office protocols for day 1
- Options for dog control and out of hours service for regulatory services in the former East Dorset area to be reviewed by board
- Services are reviewing local schemes of delegation ahead of guidance and template being released by Legal and Democratic workstream
- Create communications plan for all Place services and review against other workstreams to ensure no overlap in audiences
- Corporate risk register and Brexit risk register to be reviewed by Place Board
- Place Board to agree approach for Partnerships with BCP impact

Next milestones

Milestone	RAG	Due Date	Target Date
Contacts and branding updates sent to Planning Portal	A	01/02/2019	11/02/2019
Harmonised non statutory activities Place fees	C	31/01/2019	
Agree harmonised Building Control and Planning notices and certificates	C	01/02/2019	
Planning validation local list harmonised	G	28/02/2019	
Land Charges data disaggregation for East Dorset and Christchurch	G	28/02/2019	
Branding arrangements in place for parking uniforms, PCNs, ticket rolls, machines and signs	C	31/01/2019	
Land Charges search routes in place	A	28/02/2019	
Responsibilities for grounds maintenance agreed with shadow Weymouth Town Council	C	31/01/2019	
Amalgamation of property records and production of list of Dorset Council property assets	G	28/02/2019	
Assets of community value register and guidance in place	C	28/02/2019	
East Dorset Car Park arrangements in place on day 1	G	28/02/2019	

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
173	Bridget Downton/ Mike Harries	18/10/2018	Reduction in service levels due to outcome of TUPE and stranded costs	Outcome of TUPE and stranded costs from disaggregation results in insufficient capacity for Dorset Council to deliver some place services from day 1. This could lead to reduction in service levels until issues are resolved.	4	2	8	Place Chairs have completed line management arrangements for staff who will not have a manager on day 1. This has been shared with HR and HoPs to review	Place Board	
256	Bridget Downton	12/12/2018	Existing Council projects in relation to application changes (for example DCP's Development Management iDox project) have run late.	This has resulted in 'go live' for a new system coinciding with vesting day. This may impact on implementation activities and capacity of teams.	3	3	9		Place Board	

Top Issue
Top Risk

WS9: CUSTOMER AND SERVICE CONTINUITY - PEOPLE THEME - STATUS UPDATE

Lead Member: Cllr Jill Haynes, Cllr Steve Butler, Cllr

Graham Carr-Jones, Cllr Andrew Kerby

Workstream Sponsor: Helen Coombes and Nick Jarman

Project Manager: Faye Brooks

Date: 1 February 2019

Workstream RAG

A



Overall Workstream Summary

Data disaggregation decision records for people systems are going through the governance process and being reviewed by People Board. The final policies list has been reviewed and agreed by the People Board. Cover sheets are now being drafted by service workstreams. Services have reviewed duplicate generic email addresses and naming conventions for these are being agreed with the ICT workstream, these addresses will then be used to update systems and templates in readiness for day 1. The TUPE lists have been scrutinised by People Board members to identify day 1 line management issues, proposals have been drawn up and sent to HR and HoPs to consider. Milestone for aligned disaggregation plan is red due to outstanding IT disaggregation plan for Mosaic (adults & childrens social care system) which is being worked through by the IT workstream.

Key Initiative Achievements (This Week)

- Housing Communications plan completed
- Service gap review information fed into HR
- Privacy notice templates and guidance received by Information Governance to allow services to draft statements to go on the Dorset Council website
- Data applications and Childrens services decision records to People Board including CSC protocol and archiving
- Address data EQIA screening completed
- OFSTED confirmation of no further actions received
- GRO Scheme signed

Next milestones

Milestone	RAG	Due Date	Target Date
Business rules for Adult services agreed	C	30/11/2018	
CSC case transfer protocol agreed	C	08/11/2018	31/01/2019
Clarify OFSTED registration arrangements	C	30/11/2018	31/01/2019
Aligned and agreed disaggregation plan across services, IT, HR, Finance for people theme disaggregation	R	10/12/2018	21/01/2019
Address data for disaggregation agreed (GIS)	A	30/11/2018	7/02/2019
Locata contract	G	31/01/2019	28/02/2019
Community Safety Partnership TOR	G	31/01/2019	07/02/2019
Libraries West disaggregation of data	G	31/01/2019	07/02/2019

Key Initiative Activities (Planned Next Week)

- Contract and partnership draft decision records
- Policy cover sheets to support approval
- Archiving status for adults
- Communication plans for day 1 changes
- Data cleansing & unstructured data approach into decision records

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
264	Faye Brooks	03 Jan 19	Links to IT workstream risk no: 259. Without a data disaggregation plan for 1st April 2019, there is a risk to service delivery/ continuity for Christchurch cases due to lack of access to data.	Service continuity/ safe and legal delivery of social care for adults and children's may be impacted for day 1.	5	5	25	Working with ICT workstream to understand and agree options available, impact and risks for day 1 delivery	Helen Coombes/ Nick Jarman	17 Jan 19

WS10: CORPORATE SERVICES & STAFF – CORPORATE- STATUS UPDATE

Lead Member: Cllr Tony Ferrari, Cllr Spencer Flower, Cllr Peter Wharf

Date: 1 February 2019

Workstream Sponsor: Jonathan Mair

Project Manager: Emma Wood



Overall Workstream Summary

Work is progressing well within Emergency Planning, Equalities, and Corporate Risk. The implementation plan and scope for the Communications Service Continuity workstream have been completed and are awaiting virtual sign off by COP 1st February. Workstream status remains at amber due to some finalising of work around the OOH information and this feeding into the Emergency Planning workstream. Performance Management have updated scheduled a work shop to focus on the day 1 performance management indicators framework. The corporate board have reviewed all the TUPE lists and identified any management gaps for day 1 and proposed any suitable solutions to address the issues. The lists have been fed back to HR.

Key Initiative Achievements (This Week)

- Completed implementation plan and scope for Communication Service Continuity workstream out for virtual sign off from Corporate Board.
- Emergency Response plan signed off at Corporate Board.
- Sandbags and Coastal flooding DR agreed at Corporate Board.
- Working group workshop for Performance Management in place for 5th February.
- Performance Management Implementation plan updated following working group meeting.
- Policy List agreed at Corporate board.

Next milestones

Milestone	RAG	Due Date	Target Date
Draft Equalities Policy	G	28/2/19	28/2/19
Draft risk management policy statement.	G	28/2/19	28/2/19
Dorset Council Emergency Response Plan approved	C	31/12/18	23/01/19
Map/consolidate existing performance metrics from across the current councils	G	14/02/19	14/02/19
Collate and analyse OOH information	A	11/01/19	31/01/19

Key Initiative Activities (Planned Next Week)

- Corporate Risk policy statement being drafted.
- Review of Brexit Risk Register by Corporate Board on 6th February.
- Equalities policy being drafted.
- Corporate performance framework options work being drafted.
- Statutory Reporting list review to go to Corporate board for review and agreement this week.
- Performance Management working group meeting 5th February.
- Gather staff and customer impacts feedback from all boards.
- Report on OOH information to go to Corporate Board 6th February.

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Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
237	Marc Eyre	15/09/18	Failure to agree and populate a command, control and coordination structure (Gold, Silver and Duty Emergency Planning Officer rosters) results in an inability to respond to an emergency effectively	Existing Command and Control Structure, with agreement to provide consistent training in advance of 1st April; agreement that Tier 2 and 3 posts JDs will include a Gold/Silver requirement; DEPO role to be undertaken by DCC EP team in the early days of Dorset Council	4	1	4	Existing Command and Control Structure, with agreement to provide consistent training in advance of 1st April; agreement that Tier 2 and 3 posts JDs will include a Gold/Silver requirement; DEPO role to be undertaken by DCC EP team in the early days of Dorset Council	Kirsty Riglar	

WS12: CUSTOMER AND SERVICE CONTINUITY – DISAGGREGATION - STATUS UPDATE

Lead Member: Cllr Jeff Cant
 Workstream Sponsor: Richard Bates
 Project Manager: James Howie

Date: 01/02/2018

Workstream RAG

A



Overall Workstream Summary

Disaggregation is working through a wide range of elements to date. The main focus is ensuring that structured and unstructured data, all assets are transferred in a safe and legal way. The final list of assets transferring has been collated and in the process of going through the final confirmation process. An analysis of the TUPE list has taken place with regards the team structures for day 1 and how this will impact service continuity, including staff based in offices within CED and the mitigation of gaps within services is now being solutioned

Key Initiative Achievements (This Week) | Next milestones

- Programme boards have completed the analysis of the TUPE lists to identify gaps and line structures
- Decision record for East Dorset services out of Civic offices agreed by SDC programme board. Communication being developed.
- Working with BCP to confirm the process in which case data is to be transferred
- Test data from Tech forge has been delivered to BCP for their review.
- Final list of assets completed for confirmation with SDC and BCP.

Milestone	RAG	Due Date	Target Date
Understand all unstructured data requirements from each service that requires disaggregation	C	31/01/2019	31/01/2019
Service impact evaluation complete from TUPE lists	C	31/01/2019	31/01/2019
Case Transfer Commences	R	31/01/2019	31/01/2019
Confirm final list of all assets to transfer	G	15/02/2019	15/02/2019
Assets & Case Transfer complete	R	29/03/2019	29/03/2019
Service provisions for East Dorset confirmed	G	15/03/2019	15/03/2019
Day 1 Applications in place	G	01/04/2019	01/04/2019

Key Initiative Activities (Planned Next Week)

- Provide a detailed plan around the formation of the operational structure for the Christchurch Civic.
- Communicate to East Dorset Staff the implications of the decision record agreed on the 31st of Jan 2019
- BCP to confirm their requirements for Christchurch local office's ICT structure for day 1..
- Confirm requirements and timeframes for social care case transfer.
- Confirm with BCP their project plan around information transfer to their TECH FORGE.
- Ensure that all services are aware of the process that is required for transferring unstructured data.

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	2 Jan 19	BCP are working with Servelec to migrate Social Care data from DC to BCP. Servelec sent quote for work on 20 th Dec 18 but did not include a delivery plan.	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	5	25	The detailed data migration plan is due w/c 7 th January 2019.	Mark Smitton	11 Jan 19

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Top Risk

WS12: CUSTOMER AND SERVICE CONTINUITY – CONTRACTS, PARTNERSHIPS, SLAS, GRANTS - STATUS UPDATE

Lead Member: Cllr Sherry Jespersen
 Workstream Sponsor: Matt Piles
 Project Manager: James Howie

Date: 1st February 2019

Workstream RAG A

Overall Workstream Summary

Partnership activity now focussed on agreeing partnership DRs with BCP element. Contract analysis is progressing, a number of complex/high risk disaggregated contracts have been identified jointly by DCC / BCP by 31st January, there is still a handful more to identify to be completed by BCP by 8th February. Communication plan, externally (suppliers) and internally, re invoicing DC is being finalised. A memorandum of understanding is being drafted by BCP to focus on the all disaggregated contracts. Confirmation that a legal review has occurred or in progress for all relevant partnerships and the funding has been agreed is in progress.

Key Initiative Achievements (This fortnight) Next milestones

- Draft memorandum of understanding is being reviewed by BCP and SDC monitoring officers and will confirm that this can be shared with procurement and services
- A large number of the contracts that are high risk/complex or are disaggregated to BCP have been identified. BCP to complete their element of the work.
- Continue analysis of Partnerships, with the focus on Partnerships with service delivery and BCP elements

Milestone	RAG	Due Date	Target Date
Identify all contracts with a disaggregated element to BCP	R	31/01/2019	15/02/2019
Partnerships actions agreed with BCP	C	14/01/2019	
Complete draft memorandum of understanding	A	31/01/2019	01/02/2019
Final Tricuro decision paper to People	G	27/02/2019	
Communication Plan for suppliers agreed	C	31/01/2019	
High-Risk/Complex Contracts identified	R	14/12/2018	08/02/2019
Partnerships reviewed with Legal	G	31/01/2019	07/02/2019
Partnership day 1 actions completed	G	01/03/2019	

Key Initiative Activities (Planned Next fortnight)

- Continue work on Partnerships, prepare decision records in conjunction with BCP
- SDC Communication plan to be confirmed by programme boards
- Legal programme board to confirm actions on the ensuring that all partnerships are legal for day.
- Finalise contract list to indicate all complex and disaggregated contracts that would require the memorandum of understanding to be applied.
- Complete draft memorandum of understanding for agreement by programme boards.

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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228	CL	24/10/18	Contracts for service provision missed	High value/complex contracts should all be captured. However, there is risk that lower value contracts could be missed	3	1	3	Collation of all contracts into Accord Engagement with Senior Procurement officers Spend checking with SAP to identify any 'non-compliant' spend	JH	
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Top Risk

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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245	CL	23/11/18	Splitting or Transfer of DCC contracts with Christchurch element to BCP	Agreed advice from BCP & DC Legal expected w/e 01/02/2019	0	Confirm legal position regarding Consequential Orders and impact on contracts with a Christchurch element	CL	31/01/19
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Top Issue

WS12: CUSTOMER AND SERVICE CONTINUITY – DISAGGREGATION - STATUS UPDATE

Lead Member: Cllr Jeff Cant
 Workstream Sponsor: Richard Bates
 Project Manager: James Howie

Date: 1st February 2019

Workstream RAG

A



Overall Workstream Summary

Disaggregation is working through a wide range of elements to date. The main focus is ensuring that structured and unstructured data, all assets are transferred in a safe and legal way. The final list of assets transferring has been collated and in the process of going through the final confirmation process. An analysis of the TUPE list has taken place with regards the team structures for day 1 and how this will impact service continuity, including staff based in offices within CED and the mitigation of gaps within services is now being solutioned

Key Initiative Achievements (This Week) | Next milestones

- Programme boards have completed the analysis of the TUPE lists to identify gaps and line structures
- Decision record for East Dorset services out of Civic offices agreed by SDC programme board. Communication being developed.
- Working with BCP to confirm the process in which case data is to be transferred
- Test data from Tech forge has been delivered to BCP for their review.
- Final list of assets completed for confirmation with SDC and BCP.

Milestone	RAG	Due Date	Target Date
Understand all unstructured data requirements from each service that requires disaggregation	C	31/01/2019	31/01/2019
Service impact evaluation complete from TUPE lists	C	31/01/2019	31/01/2019
Case Transfer Commences	R	31/01/2019	TBC
Confirm final list of all assets to transfer	G	15/02/2019	15/02/2019
Assets & Case Transfer complete	R	29/03/2019	29/03/2019
Service provisions for East Dorset confirmed	G	15/03/2019	15/03/2019
Day 1 Applications in place	G	01/04/2019	01/04/2019

Key Initiative Activities (Planned Next Week)

- Provide a detailed plan around the formation of the operational structure for the Christchurch Civic centre.
- Communicate to East Dorset Staff the implications of the decision record agreed on the 31st of Jan 2019
- BCP to confirm their requirements for Christchurch local office's ICT structure for day 1..
- Confirm requirements and timeframes for social care case transfer.
- Confirm with BCP their project plan around information transfer to their TECH FORGE.
- Ensure that all services are aware of the process that is required for transferring unstructured data.

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
259	Karen Perrett	2 Jan 19	BCP are working with Servelec to migrate Social Care data from DC to BCP. Servelec sent quote for work on 20 th Dec 18 but did not include a delivery plan.	DC and BCP will not be safe and legal on 1 st April 2019 as BCP relevant employees will not have access to Christchurch Social Care data	5	5	25	The detailed data migration plan is due w/c 7 th January 2019.	Mark Smitton	11 Jan 19

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Top Risk

TRANSITIONAL STRUCTURES: STATUS UPDATE

Workstream Sponsor: Matt Prosser
 Lead Member: Cllr Rebecca Knox
 Project Manager: Leon Ainsworth

Date: 01/02/2019

Workstream RAG



Overview / Summary

Significant demands have been placed on the workstream since the start of Consultation due to the large numbers of queries coming in. The scale of queries have challenged the process, system and resources aligned to capturing, assessing and responding to the queries. Additional resources within the team are being trained up to assist in clearing the backlog and the Communication workstream have been engaged to manage messaging. Re-planning on key changes to the approach are underway with HR BAU teams albeit this process is delayed expectations are this will be closed out 08/02. Tranche 2 preparation underway with further detailed planning to take place w/c 04/02. Minor changes to documentation for stage 2 are underway making it red, however these are not material to Consultation.

Activity

- Planned group consultations undertaken and feedback captured
- Consultation re-planning for tranche 1 underway
- Logging, tracking, assessing and response to tranche 1 consultation queries
- Updating of Consultation documentation based on feedback
- FAQs, Selection process and Job Descriptions are uploaded to the SharePoint site
- Approach for full Job Description evaluations underway
- Engaged with Trades Unions to improve Equalities Impact Assessment (EQIA)
- Initial Tranche 2 preparation / planning underway

Next milestones

Milestone	RAG	Due Date	Target Date
Consultation Tranche 1 Started	C	15/01/19	21/01/19
Consultation Plan Tranche 1 Signed Off	R	11/01/19	08/02/19
Developing the Structure (Stage 2) Completed	R	31/01/19	08/02/19
Consultation Tranche 1 Closed	G	08/03/19	08/03/19
Updated Business Case Signed off	G	22/03/19	22/03/19

Next Steps

- Job Descriptions to be created for Tranche 2 (Will be determined through planning)
- Set-up follow-on consultation feedback sessions (w/c 04/02)
- Support Consultation and respond to queries (07/03)
- Begin set-up of Selection panel for interviews (Will be determined through planning)
- Continue with Job description evaluation approach

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	R S	Mitigation Plan	Owner	Date Due
257	Leon Ainsworth	22/11/2018	Delays to consultation due to the speed of delivery and the level of engagement in the design stage	The timelines available to deliver the Transitional Structures workstream have not allowed for in-depth validation and engagement of conceptual structures. A deep dive of the business for any robust analysis has not taken place.	4	5	20	Updating and creating new reference documents to assist the understanding of the proposed structure to allow for more meaningful feedback. Follow-up group sessions will be held to run-through queries	Leon Ainsworth	08/02/19
277	Leon Ainsworth	31/01/2019	Consultation queries that have been sent into the SDC Consultation mailbox cannot be answered in timely manner.	Frustration and credibility concerns as individuals are unable to understand elements of the proposed structure. Leading to escalations within senior management.	4	3	12	Additional resources within the team are being trained up to assist in clearing the backlog and the Communication workstream have been engaged to manage messaging.	Leon Ainsworth	08/02/19

Top Risk

Top Issue

WS14: PHASE 3 TRANSFORMATION - UPDATE

Lead Member:
 Workstream Sponsor: Matt Prosser
 Project Manager: Mandy Bradley

Date: 23 January 2019

Workstream RAG: A 

Overview / Summary

Plans for Phase 3 are being reviewed to ensure that both timing and approach do not unduly conflict with Phase 2 and the Transitional arrangements. Work continues on the data gathering

Activity	Next milestones
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	Milestone	RAG	Due Date	Target Date
Service budgets have been collated at a headline level; further work required to understand and validate these has been paused pending further plan and review	Transformation plan draft	C	31/10/18	
	Transformation resources in place	A	29/3/19	
	Next Steps			
	Vision and Strategic Priorities	C	31/10/18	31/12/18
	Core Operations Design	A	30/11/18	15/02/19
	Service Configuration	A	30/03/19	

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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Shadow Dorset Council

Date of Meeting	Shadow Overview & Scrutiny Committee - 8 January 2019 Shadow Executive Committee – 11 February 2019
Lead Member	Councillor Tony Ferrari, Lead Member for Finance
Officer	Jason Vaughan, Interim Section 151 Officer
Subject of Report	Local Council Tax Support Scheme
Executive Summary	<p>The Shadow Authority will, at its meeting in February 2019, need to agree a Local Council Tax Support scheme for Dorset Council. MHCLG has provided the Council with the concession of not having an aligned scheme until 2021/22. This report considers the benefits of having an aligned scheme for 2019/20 and the opportunities this would bring to help reduce customer confusion and local authority administration.</p> <p>The Shadow Overview and Scrutiny Committee considered the process followed and recommended that Option B is adopted, with the amendment that the maximum support provided to those that are not protected be limited to 91.5%.</p> <p>Shadow Executive Committee is asked to consider the decision of the Shadow Overview and Scrutiny Committee and make a recommendation to Shadow Authority on the proposed Local Council Tax Support scheme for 2019/20.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>An Equalities Impact Assessment has been undertaken and is attached at Appendix 1</p> <hr/> <p>Use of Evidence:</p> <p>This report reviews the Local Council Tax Support Scheme arrangements in place within the predecessor councils, takes account of the evidence contained within the appendices and makes a recommendation from amongst alternative options detailed below.</p> <hr/> <p>Budget:</p> <p>Any costs can be met from existing budgets</p>

	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p>
	<p>Other Implications:</p> <p>None</p>
Recommendation	That Shadow Executive recommend to the Shadow Authority that Option B be adopted as the LCTS scheme for Dorset Council
Reason for Recommendation	To help ensure that the Dorset Council Local Council Tax Support scheme treats claimants consistently, is clear to understand and is easy to administer
Appendices	<p>Appendix 1 – Equalities Impact Assessment</p> <p>Appendix 2 – Details of existing Local Council Tax Support schemes</p> <p>Appendix 3 – Proposed options for the Dorset Council Local Council Tax Support scheme</p> <p>Appendix 4 – Consultation report summary</p>
Background Papers	Existing Local Council Tax Support schemes for East Dorset, North Dorset, Purbeck, West Dorset and Weymouth & Portland Councils
Officer Contact	<p>Name: Stuart Dawson</p> <p>Tel: 01305 211925</p> <p>Email: s.c.dawson@westwey.gov.uk</p>
Date agreed by Lead Member	
Date agreed by Statutory Officers	<p>Matt Prosser – Chief Executive (Designate)</p> <p>Jason Vaughn – Interim Section 151 Officer –</p> <p>Jonathan Mair – Interim Monitoring Officer –</p>

1. Introduction

- 1.1 Council Taxpayers who are on low income can apply for Local Council Tax Support (LCTS) to help them with their Council Tax. Entitlement to LCTS is means tested and based on the circumstances and income of the claimant's household.
- 1.2 Each Council Tax billing authority is required to determine the LCTS scheme for its area. Billing authorities have the discretion to determine the principle factors for their scheme, including the maximum support that will be given to working age claimants. However, government has prescribed that certain claimants (i.e. pensioners and those working age claimants that the billing authority consider to be vulnerable) are protected within the scheme and be entitled to receive support of up to 100% of the Council Tax charge.

- 1.3 Government has developed a “default scheme” for pensioner claimants, which is aligned to the Housing Benefit scheme. Billing authorities are required, as a minimum, to incorporate the default scheme within its own scheme.
- 1.4 With the introduction of LCTS, the Dorset District Councils attempted to agree an aligned scheme across the county from 1 April 2013. However, this was not fully achievable and further changes have been made to the schemes over the intervening years. The current LCTS schemes for the five sovereign Councils are shown at Appendix 2.
- 1.5 The cost of LCTS awards is met from the Council Tax Collection Fund. Government originally provided funding to meet 90% of the estimated awards made in 2013/14. However, this funding was subsequently incorporated as part of the Revenues Support Grant and, as such, has been subject to the changes made to that grant over subsequent years.

2. Current position

- 2.1 The Shadow Authority will need to formally adopt a Dorset Council LCTS scheme for 2019/20 at the Council Tax setting meeting in February 2019. As part of the LGR discussions with MHCLG it was agreed that the Council will be allowed up to two years to agree an aligned LCTS scheme. This was in recognition that significant resources will need to be utilised to successfully implement the new Unitary Council and that there may not, initially, be the capacity to support the creation of an aligned scheme. However, Officers are of the view that there is the capacity within existing resources to create an aligned LCTS scheme from 1 April 2019.
- 2.2 The concession made by MHCLG would allow the Shadow Authority to agree an LCTS scheme which incorporated the existing schemes set out at Appendix 2. However, such a scheme would lead to customer confusion and dissatisfaction as claimants may be treated differently depending on where they live. Implementing an aligned LCTS scheme from 1 April 2019 would allow for all claimants to be treated consistently as well as providing the opportunity to simplify calculation of entitlement from a customer and administration point of view.
- 2.3 Members will also be aware that the wider roll-out of Universal Credit (UC) took place in 2017/18 and that this now covers most people of working age who now make a claim for state benefits. UC entitlement is reviewed monthly having regard to the claimant’s (and their household’s) actual circumstances and income for the past month. In view of this, claimants who are paid weekly can see their UC change depending on the number of week’s salary received in the previous month.

The current LCTS schemes within Dorset look to calculate entitlement on the actual UC received by the claimant. This results in the LCTS award having to be changed for every fluctuation in UC, however small. Moving to an LCTS scheme which was based on an estimated average, rather than actual, UC would simplify the process from a customer perspective. It is believed that more and more Councils are taking this approach to help reduce customer confusion and local authority administration.

- 2.4 The table below provides a breakdown of the current LCTS award for the Dorset Council area.

Claimant Type	LCTS awarded £	Number of claimants	Average award £
Pensioners	10,604,642	9,849	1,076.72
Working age (protected)	7,703, 232	7,057	1,091.57
Working age (not protected)	7,043, 829	8,811	799.44
Total	25,351,703	25,717	985.80

2.5 At its meeting on 17 September 2018, the Shadow Executive Committee agreed that a review of LCTS take place and that customers and key stakeholders be consulted, over the period 15/10/18 to 10/12/18, on the following options.

I. Option A – status quo

Under this option, the Dorset Council LCTS scheme would be based on incorporating the existing sovereign Council schemes. As mentioned earlier, this would result in some claimants being treated more (or less) favourably than others with similar circumstances.

II. Option B – aligned scheme with a maximum support for those of working age (not protected) limited to 90%

Under this option, the Dorset LCTS scheme would be an aligned scheme which would limit the maximum support provided to unprotected working age claimants to 90%. The option would also look to calculate entitlement on an estimated average, rather than actual, UC over a six month period. Protection arrangements would be included allowing a claimant to ask for a review of their entitlement, during that period, if their circumstances had significantly changed.

This option would simplify the process and entitlement from a customer perspective and significantly reduce the administration of the scheme.

III. Option C - aligned scheme with a maximum support for those of working age (not protected) limited to 85%

Under this option, the Dorset LCTS scheme would incorporate the conditions mentioned in Option B but would limit the maximum support provided to unprotected working age claimants to 85%.

Further information about the options is shown at Appendix 3.

2.6 The financial data for the above options is estimated as follows:

	Option A		Option B		Option C	
	LCTS awarded £	Number of claimants	LCTS awarded £	Number of claimants	LCTS awarded £	Number of claimants
Pensioners	10,604,642	9,849	10,604,642	9,849	10,604,642	9,849
Working age (protected)	7,703, 232	7,057	7,703,232	7,057	7,703,232	7,057
Working age (not protected)	7,043, 829	8,811	6,922,075	8,659	6,537,516	8,178
Total	25,351,703	25,717	25,229,949	25,665	24,845,390	25,084

- 2.7 Those working age claimants who are not protected would see their LCTS reduced by (on average) 25p per week if Option B was implemented and by (on average) £1.09p per week if Option C was implemented.

3. Consultation results

- 3.1 The Consultation Report Summary is attached at Appendix 4, with the detailed consultation response available by request from the Consultation Team.
- 3.2 In summary, 382 overall responses were received of which 214 (57%) were from LCTS recipients and 156 (41%) were from Council Taxpayers. The remaining 12 responses were from people representing an organisation or from people who preferred not to say. Overall responses are as follows:

Option	Agree	Neither/don't know	Disagree
Option A	50%	24%	26%
Option B	46%	25%	29%
Option C	20%	29%	51%

- 3.3 Other key findings from the exercise are:

- I. The majority of those that supported Option A are current LCTS recipients.
- II. The majority of those that supported Option B are not current LCTS recipients.
- III. The majority of those that felt strongly opposed to Option C are current LCTS recipients.
- IV. The majority of those that provided further comments felt that there was a need for one system for efficiency, regardless of where you live.

4. Proposal

- 4.1 The proposal is that Option B be adopted as the LCTS scheme for Dorset Council for the following reasons.
- I. As Option B is an aligned scheme everyone will be treated consistently regardless of where they live in the Council area (unlike Option A).
 - II. Protection will continue to be provided to those of pensionable age and those of working age who are in receipt of prescribed disability benefits or premiums.
 - III. Those who are protected will continue to receive maximum support of up to 100%. Those who are not protected will receive maximum support of up to 90%. On average, working age claimants would see their entitlement reduced by 25p per week compared with a reduction, on average, of £1.09p per week if Option C was adopted.
 - IV. Those who are in receipt of Universal Credit (UC) will have their LCTS entitlement calculated on an estimated average, rather than actual, UC over a six month period. This will simplify the process from the customer perspective and provide greater certainty over their entitlement. Under the protection arrangements, claimants will be able to request a review of their entitlement if their circumstances have significantly changed.
 - V. Option B is, by far, the more efficient to administer out of all of the options considered.

5. Overview & Scrutiny Committee feedback

- 5.1 This report was considered by the Shadow Overview & Scrutiny Committee at its meeting on 8 January 2019. Committee preferred Option B as this was an aligned scheme which would look to treat everyone consistently, regardless of where they lived in the Council area, as well as helping those on UC to budget more easily. However, Committee felt that reducing the maximum entitlement, for those that are not protected, from 91.5% to 90% would impact on those on low income. It, therefore, recommended that Option B be adopted but that the maximum support for those of working age (not protected) be limited to 91.5%.

In addition, some Members of Committee were concerned that the new scheme may penalise foster carers and kinship carers. Officers have reassured those Members that this is not the case and that the allowances and fees paid to foster carers and kinship carers by a local authority will continue to be disregarded for the purposes of calculating Local Council Tax Support (LCTS).

EqlA - Full Equality Impact Assessment

Policy or Service to be assessed:

Revenues & Benefits Service – Council Tax Support Scheme (CTS)

Service and lead officer:

Stuart Dawson

Officers involved in the EqlA:

Patrick Lane Business Development Manager

What are you impact assessing?

Existing

New/proposed

Changing/Update/ revision

Other, please list:

Step 2: Scoping – what are you assessing?

Q1: What is the title of your service/strategy/policy/project?

Dorset Council – Council Tax Support Scheme April 2019

Q2: What is the aim of your service/strategy/policy/project?

The Council Tax Support Scheme is a means tested discount scheme which aims to provide financial support to Council Tax payers who are on a low income by making a reduction to their Council Tax bill.

At its meeting on 17 September 2018 the Dorset Shadow Executive agreed to undertake a review of Council Tax Support so that a new scheme can be in place for Dorset Council from 1 April 2019.

A public consultation exercise will take place between 15 October and 10 December 2018 allowing customers and key stakeholders to have the opportunity to comment on the following options:

- **Option A - Status quo**

Under this option, the Dorset Council CTS scheme would be based on incorporating the existing sovereign Council schemes.

- **Option B - aligned scheme with a maximum support for those of working age (not protected) limited to 90%**

Under this option, the Dorset Council CTS scheme would be an aligned scheme which would limit the maximum support provided to unprotected working age claimants to 90%. The scheme would also look to simplify arrangements where the claimant is receiving Universal Credit.

- **Option C - aligned scheme with a maximum support for those of working age (not protected) limited to 85%**

Under this option, the Dorset CTS scheme would incorporate the conditions mentioned in Option B but would limit the maximum support provided to unprotected working age claimants to 85%.

Protection arrangements will continue for those claimants who are Pensioners or who are considered by the Council to be vulnerable. (see question 3 for definition of vulnerable)

Q3: Who does/will it have an impact on? e.g. public, visitors, staff, members, partners?

Any changes to the CTS scheme will impact on those customers in receipt of CTS who are of working age and who are not in a protected group. Any change will also apply to any potential future claimants of CTS. The changes will apply to those people living in the current area covered by East Dorset District Council, North Dorset District Council, Purbeck District Council, West Dorset District Council and Weymouth & Portland Borough Council.

The following types of claimant are protected and so any changes to the CTS scheme would not apply:

- Pensioners.
- Those where the applicant (or partner) are receiving:
 - Disability Premium, Enhanced Disability Premium, Severe Disability Premium, Carer Premium, Disabled Child Premium or the Support Component within their Employment Support Allowance
 - Disability Living Allowance or Personal Independence Payment but are not in receipt of one of the premiums mentioned above
- Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension.
- Universal Credit recipients, who are not pensioners, but the applicant or their partner is in receipt of an income or premium listed above.

There will be a positive impact on those people identified above with protected characteristics.

There will be an impact on staff having to implement the changes and to become familiar with the scheme to ensure they are giving correct information and advice to the public.

Q4: Are there any potential barriers to implementing changes to your service/strategy/policy/project?

The proposed changes are open to public consultation and ultimately Member approval. The need for the council to deliver a balanced budget is likely to be one factor taken into consideration when deciding on the final scheme.

Q5: Who else will be involved in implementing this service/policy service/strategy/policy/project?

The staff of the Revenues & Benefits Service, along with the software supplier who will be required to make the necessary changes to the systems that calculate CTS.

Step 3: Information gathering – what do you need to know about your customers?

Q6: What data do you already have about your service users, or the people your policy or strategy will have an impact on, that is broken down by equality strand?

Age/Disability

- As of August 2018, there were 25,717 households in the new Dorset Council area that received some level of CTS and of these 66% received full protection. These will be people of Pension Credit age and those who are protected because of a disability. Consequently approximately 8,750 households will be affected by the proposed changes.

Gender re-assignment

- There is no published information regarding the number of CTS claimants who have undergone gender re-assignment and is not relevant in assessing eligibility.

Race

- Whilst we offer help with translation services and assistance to complete forms we do not record the race of people claiming CTS. This lack of recording could potentially have a negative impact. Race is not relevant in assessing eligibility.

Religion or belief

- We do not record the religion or belief of people claiming CTS, however this is not relevant when assessing eligibility.

Sex

- Whilst we do record the sex of the person claiming CTS the proposed changes apply regardless of sex.

Sexual orientation

- We do not record the sexual orientation of people claiming CTS, however this is not relevant when assessing eligibility.

Pregnancy and maternity

- In some cases we may be aware that someone claiming CTS is pregnant or on maternity leave by virtue of certain benefits they are claiming however this is not recorded as a separate factor as it is not relevant when assessing eligibility.

Marriage & Civil Partnership

- We do record whether someone claiming CTS is either married or in a civil partnership and would be able to extract this data, however the proposed changes apply to equally to both couples and single claimants.

Q7: Do you need any further information broken down by equality strand to inform this EqlA?

Yes No

If yes, list here and add actions to gather this data to your action plan at Step 5:

Q8: Is there any potential for direct or indirect discrimination?

Yes No Don't know

If yes, please explain how you are going to change this?

Under the proposed changes, and indeed the existing scheme, customers of working age, who are not protected, will receive less Council Tax Support than those of pensionable age, or those with a disability. This could be argued to be positive discrimination on the grounds of age and/or disability, however it is national government policy and is covered by legislation. (The Council Tax Reductions Schemes (Amendment) (England) Regulations 2017).

Step 4: Making a judgement about impacts

Age:

Claimants of CTS who have reached state pension credit qualifying age are not affected by any of the proposed changes.

Unprotected working age claimants will be on average £0.25 per week worse off under Option B and £1.09 per week worse off under Option C.

Disability:

Claimants of CTS who due to their disability receive one of the benefits listed in Q3 continue to be protected and will not be impacted by any of these changes.

Gender re-assignment:

Regardless of whether someone has undergone gender re-assignment anyone of working age who is not protected will be impacted by these changes.

Race:

Regardless of race anyone of working age who is not protected will be impacted by these changes.

Religion or belief:

Regardless of religion or belief anyone of working age who is not protected will be impacted by these changes.

Sex:

- Regardless of sex anyone of working age who is not protected will be impacted by these changes. It is likely however that the number of female single parents claiming CTS

significantly outweighs the number of male single parents and consequently there is likely to be a higher number of females affected than there are males.

Sexual Orientation:

Regardless of sexual orientation anyone of working age who is not protected will be impacted by these changes.

Pregnancy and Maternity:

Regardless of whether someone is pregnant anyone of working age who is not protected will be impacted by these changes.

Marriage and Civil Partnerships:

Regardless of whether someone is married or in a civil partnership anyone of working age who is not protected will be impacted by these changes.

Conclusion:

The main impact of the proposed changes (option B or option C) will be an increase in the Council Tax payable and consequently a reduction in the disposable income for unprotected customers who currently pay a minimum of 8% towards their Council Tax charge.

Under Option A the Dorset Council CTS scheme would replicate the existing schemes having regard to where the customer lived. This would mean however that some residents would be treated more favourably than others as a direct result of where they live.

Under Option B unprotected customers would pay a minimum of 10% towards their Council Tax charge and on average would be £0.25 per week (£13 per year) worse off.

Under Option C unprotected customers would pay a minimum of 15% towards their Council Tax charge and on average would be £1.09 per week (£56.68 per year) worse off.

Step 5: Action planning

Step 5: Improvement plan – what are you going to change?

Expand boxes as necessary

Issue	Action	Performance Target (what difference will it make)	Lead Officer	Achieved
Making people aware of the changes	Ensure any agreed changes to the scheme are publicised on D4U	The people likely to be affected by the changes are made aware	Tina Frampton	
Answering queries	Ensure an advice line is available, utilising “Inform”	The people affected will be able to find out answers to their questions	Tina Frampton	

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EqIA approved by:

Date:

Review date:

Check with your equality officer for the EqlA signing-off process and for posting the EqlA on the web

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Existing Council Tax Support (CTS) schemes

	EDDC Scheme	NDDC scheme	PDC scheme	WDDC scheme	WPBC scheme
Is the scheme a “means tested” scheme and similar to the old Council Tax Benefit scheme (where appropriate)?	Yes	Yes	Yes	Yes	Yes
Who is protected under the scheme?	<p>Pensioners</p> <p>Those receiving: Disability Premium, Enhanced Disability Premium, Severe Disability Premium, Carer Premium, Disabled Child Premium, The Support Component within their Employment Support Allowance</p> <p>Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension</p> <p>Universal Credit recipients, who are not pensioners, but the applicant or their partner is in receipt of an income or premium listed above.</p>	<p>Pensioners</p> <p>Those receiving: Disability Premium, Enhanced Disability Premium, Severe Disability Premium, Carer Premium, Disabled Child Premium, The Support Component within their Employment Support Allowance</p> <p>Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension</p> <p>Universal Credit recipients, who are not pensioners, but the applicant or their partner is in receipt of an income or premium listed above.</p>	<p>Pensioners</p> <p>Those receiving: Disability Living Allowance, Disability Living Allowance (Mobility), Personal Independence Payment, Carers Allowance, The Support Component within their Employment Support Allowance</p> <p>Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension</p>	<p>Pensioners</p> <p>Those receiving: Disability Living Allowance, Disability Living Allowance (Mobility), Personal Independence Payment, Carers Allowance, The Support Component within their Employment Support Allowance</p> <p>Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension</p>	<p>Pensioners</p> <p>Those receiving: Disability Living Allowance, Disability Living Allowance (Mobility), Personal Independence Payment, Carers Allowance, The Support Component within their Employment Support Allowance</p> <p>Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension</p>
What is the maximum CTS for those that are protected?	100%	100%	100%	100%	100%
What is the maximum CTS for those that are not protected?	91.5% (based on Council Tax liability)	91.5% (based on Council Tax liability)	92% (based on award)	91.5% (based on Council Tax liability)	91.5% (based on Council Tax liability)

Does the scheme provide support for those that have a second adult living with them who is on low income (Second Adult Rebate)?	Yes	Yes	Yes	Yes	Yes
Does the scheme include a limit on the lowest amount given?	No	No	No	No	No
What is the maximum period of backdating that can be awarded?	6 months (if good cause is shown)	6 months (if good cause is shown)	1 month (if good cause is shown)	1 month (if good cause is shown)	6 months (if good cause is shown)
Is a Family Premium applied (where appropriate)?	Yes	Yes	No, if it relates to a new claim or new family from 1 April 2017	No, if it relates to a new claim or new family from 1 April 2017	Yes
Is CTS awarded if the claimant is temporary absent from the UK ?	Yes, for up to 13 weeks (conditions apply). Up to 52 weeks in exceptional cases (conditions apply).	Yes, for up to 13 weeks (conditions apply). Up to 52 weeks in exceptional cases (conditions apply).	Yes, for up to 4 weeks (conditions apply). Up to 52 weeks if the absence relates to a bereavement, receiving medical care, etc.	Yes, for up to 4 weeks (conditions apply). Up to 52 weeks if the absence relates to a bereavement, receiving medical care, etc.	Yes, for up to 4 weeks (conditions apply). Up to 52 weeks if the absence relates to a bereavement, receiving medical care, etc.

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Council Tax Support (CTS) Options

Option A – status quo

Under this option, the Dorset Council CTS would replicate the existing schemes set out at Appendix 1. As a result, entitlement would be calculated having regard to where the claimant lived (e.g. those resident in the former EDDC area would receive support based on that Council's current CTS scheme).

Option B - aligned scheme with a maximum support for those of working age (not protected) limited to 90%

Under this option, the Dorset Council CTS would be aligned as follows:

- The scheme would be means tested and similar to the old Council Tax Benefit scheme (where appropriate)
- Protection would be provided to the following types of claimant:
 - Pensioners
 - Those where the applicant (or partner) are receiving:
 - Disability Premium, Enhanced Disability Premium, Severe Disability Premium, Carer Premium, Disabled Child Premium or the Support Component within their Employment Support Allowance
 - Disability Living Allowance or Personal Independence Payment but are not in receipt of one of the premiums mentioned above
 - Those in receipt of War Disablement Pension, War Widows Pension or War Widows Disablement Pension
 - Universal Credit recipients, who are not pensioners, but the applicant or their partner is in receipt of an income or premium listed above.
- The maximum entitlement for protected claimants would be 100%
- The maximum entitlement for those claimants who are not protected would be 90% (based on Council Tax liability)
- The scheme would provide support for those that have a second adult living with them who is on low income (Second Adult Rebate)
- The scheme would not include a limit on the lowest amount given
- The maximum period of backdating that can be awarded is 1 month. (This links with the rules relating to Housing Benefit and should help reduce customer confusion)
- A Family Premium will not be applied in the award calculation if it relates to a new claim or a new family from 1 April 2017. (Also links to the rules relating to Housing Benefit and should help reduce customer confusion)
- If the claimant is temporary absent from the UK up to 4 weeks would be awarded (subject to conditions). However, up to 52 weeks would be awarded if the absence relates to a bereavement, or the claimant receiving medical care, etc. (Again, this links with the rules relating to Housing Benefit and should help reduce customer confusion).
- If the claimant is receiving Universal Credit (UC), CTS would be awarded for a period of 6 months and calculated on an estimated UC average income for that period. The period would come to an end if UC was no longer in payment. Additionally, the claimant would be entitled to ask for a review of their entitlement, during that period, if their circumstances had significantly changed.

Option C - aligned scheme with a maximum support for those of working age (not protected) limited to 85%

Under this option, the Dorset Council CTS would be aligned as per Option B (above) but the maximum entitlement for those claimants who are not protected would be 85% (based on Council Tax liability) and not 90%.

Dorset Council Tax Benefit Support Scheme, 2018

Consultation Response Report
Main report without appendices

Produced by Mark Simons
for the Shadow Dorset Council

December 2018

Dorset Council Tax Benefit Support Scheme, 2018

Consultation Response Report

What was the consultation about?	<p>The current two tier system of local government in Dorset is changing from 1 April 2019 and the nine existing councils will be replaced by the following two unitary councils:</p> <ul style="list-style-type: none"> • Bournemouth, Christchurch and Poole Council, which will provide services covering that area • Dorset Council, which will provide services covering the rest of the County. <p>As a result of these changes the existing Council Tax Support schemes will effectively cease from that date and Dorset Council will need to agree a new scheme which is affordable, consistent and fair for all residents (not only those that receive support but also those who depend on wider services). This consultation exercise is being undertaken to help obtain feedback on the Council Tax Support scheme options being considered.</p>
Over what period did the consultation run?	The consultation ran for 9 weeks finishing midnight on 10 December 2018.
What consultation methods were used?	The consultation was available both electronically and in paper form from libraries and council offices. The consultation was promoted widely through both the local press and social media. All households currently claiming council tax benefit were written to making them aware of the options being considered and seeking their views.
How many responses were received overall?	382 overall responses were received, with 377 confirming on what basis they were responding. 214 (57%) were responding as benefit claimants 156 (41%) responding as council tax payers and 2 (<1%) representing organisations and 0 (0%) representing local businesses.
How representative is the response to the wider population affected?	The response size is reasonable for a consultation of this type with 382 residents/organisations taking part.
Where will the results be published?	Results will be published on the council's website www.dorsetforyou.gov.uk
How will the results be used?	The feedback will be considered by the Shadow Authority in February 2019 when determining the 2019/20 scheme.
Who has produced this report?	Mark Simons, Consultation Officer DCC/DCP December 2018

Analysis Method: Questions were considered on an individual basis. Overall responses were examined -and also specific responses of respondents who claimed council tax benefit and those who were just responding as council tax payers. The main method of analysis was looking at the percentage of respondents who expressed a view on each question. For several questions the percentage strongly supporting and supporting are calculated. Those opposing and strongly opposing are also recoded. One is taken from the other giving a net agreement figure. This could be positive or negative. A figure of zero would mean an equal number of people supported and opposed a statement.

For each open question the text comments have been studied and coded depending on what issues were raised. The coded comments are then reported on based on the amount of times those individual issues have been raised. Total redacted comments are provided in an appendix. Note: some figures may not sum due to rounding.

About respondents

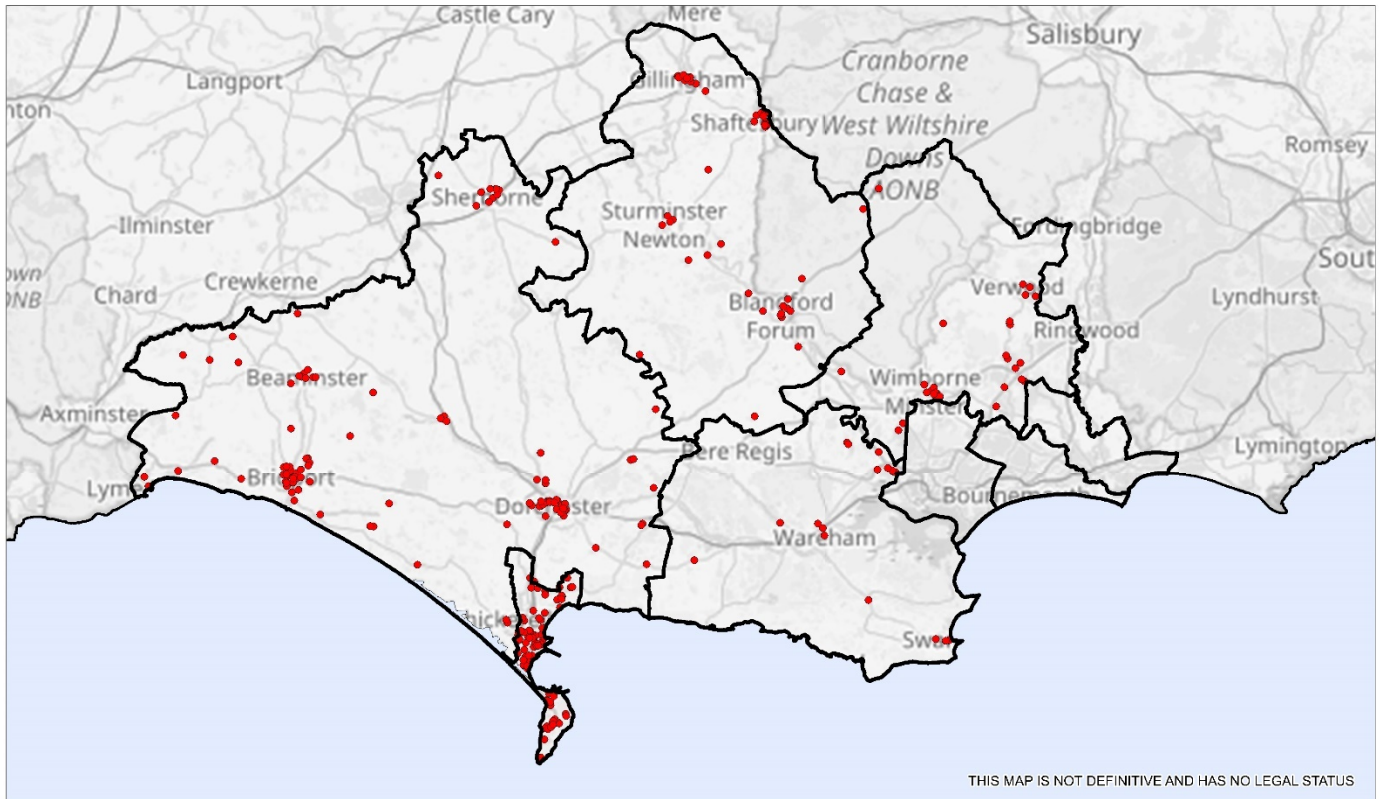
382 overall responses were received, with 377 confirming on what basis they were responding. 214 (57%) were responding as benefit claimants, 156 (41%) responding as council tax payers and 156 (41%) representing organisations and 0 (0%) represented local businesses. Those selecting “other” responded either as local residents or mixed households.

Are you responding as:

	Someone who receives council tax support	A council tax payer	A local councillor	A business	An organisation	Other
Number	214	156	0	0	2	5
% of all responses	56.8%	41.4%	0.0%	0.0%	0.5%	1.3%

Where do respondents live?

Respondents were asked for their postcode. 339 people provided their home postcode, with just under 305 proving to be complete and valid. The postcodes of all respondents living in or around the Dorset area were plotted on a map. Below is a map of those responses. This clearly shows responses (indicated by a red dot) were received from right across the Dorset area, with all areas being represented.



Dorset Council Tax Benefit Support Scheme, 2018 Consultation

Ref:
Date: 07/12/2018
Scale: 1:393840
Drawn By:
Cent X: 382693
Cent Y: 100998

GEOGRAPHICAL INFORMATION SYSTEMS

Dorset County Council
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Respondents were also asked which district they lived in

(overall responses)	East Dorset	North Dorset	Purbeck District	West Dorset District Council	Weymouth and Portland Borough Council
Number	39	53	24	147	177
%	10%	14%	6%	39%	31%

Whilst the number of respondents from each district/borough is not a good match with the overall population within the district, the responses are more in tune with the % of the population claiming council tax benefit who are of working age (see the table below). For example, Weymouth and Portland make up 18% of the Dorset Council area population but 31% of the respondents to the survey live in that area. Likewise, 24% of the Dorset Council area population live in East Dorset but only 10% of the responses come from that area but that fits well with the 11% of the respondents who live in that area.

District	% Population	% of Working Age Claimants	% Survey Responses
EDDC	24%	11%	10%
NDDC	19%	12%	14%
PDC	12%	14%	6%
WDDC	27%	31%	39%
WPBC	18%	32%	31%

What were the proposals

The Shadow Authority was proposing that the Council Tax Support scheme from 1 April 2019 be based on one of the following options.

- **Option A** Under this option, the Dorset Council Tax Support scheme would be based on incorporating the existing sovereign Council schemes. This would result in some claimants being treated more (or less) favourably than others with similar circumstances.
- **Option B** Under this option, the Dorset Council Tax Support scheme would be an aligned scheme which would limit the maximum support provided to unprotected working age claimants to 90%. The option would also look to calculate entitlement on an estimated average, rather than actual, Universal Credit over a six-month period. Protection arrangements would be included allowing a claimant to ask for a review of their entitlement, during that period, if their circumstances had significantly changed.

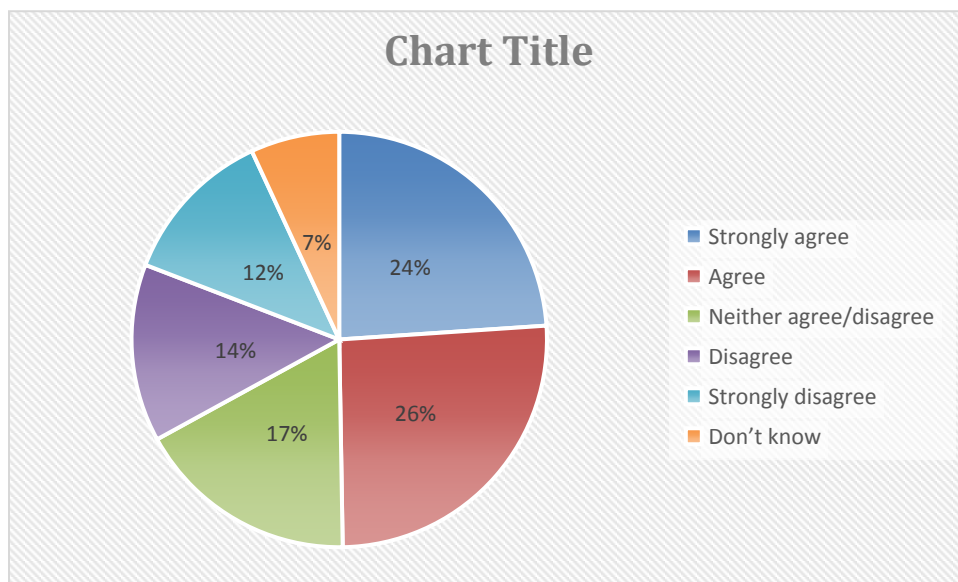
This option would simplify the process and entitlement from a customer perspective and significantly reduce the administration of the scheme.

- **Option C** Under this option, the Dorset Council Tax Support scheme would incorporate the conditions mentioned in Option B but would limit the maximum support provided to unprotected working age claimants to 85%.

Option A

Q2. Under this option the Shadow Authority would retain the existing Council Tax Support schemes as set out in Appendix (at the end of this document), having regard to where the claimant lives. In relation to this option please state to what extent you agree with this proposal.

(overall responses)	Strongly agree	Agree	Neither agree/disagree	Disagree	Strongly disagree	Don't know
Number	90	97	65	52	46	26
%	24%	26%	17%	14%	12%	7%



A total of 376 people responded to this question. **In simple agreement terms 50% strongly agreed/agreed with this option.**

50% of respondents either strongly agreed/agreed with option A whilst 26% disagreed/strongly disagreed. **This gives a net agreement figure of plus 24%**. In numeric terms this means 187 either strongly agreed/agreed whilst 98 disagreed/strongly disagreed. 17% neither agreed/disagreed with this option and 7% did not have a view.

When looking at the responses from people who were claiming benefit compared to those responding just as council tax payers this showed, as expected, stronger support for this option by those claiming benefit. The response in this case was net agreement figure of plus 48%. This compares to a net agreement figure of minus 7% for those responding as council tax payers.

Responses from people who said they were disabled showed a net agreement figure of plus 41%, which is high, showing support for this option.

Analysing the responses by the 5 district areas there is overall support for the option in each district area with a positive net agreement. However, support for this scheme (the status quo) is mixed across the districts. There is strong support in North Dorset District Council area (plus 48%) and East Dorset District council area (plus 54%). There is significantly less support in Purbeck (plus 17%), West Dorset District (plus 16%) and Weymouth and Portland Borough area (plus 14%)

Dorchester & District Labour Party official strongly disagreed with this option as “This would be unfair in treating people differently according to which former authority they lived in. In its favour people would receive a higher rebate than under B or C.”

Q3. Please provide any additional comments about this option below:

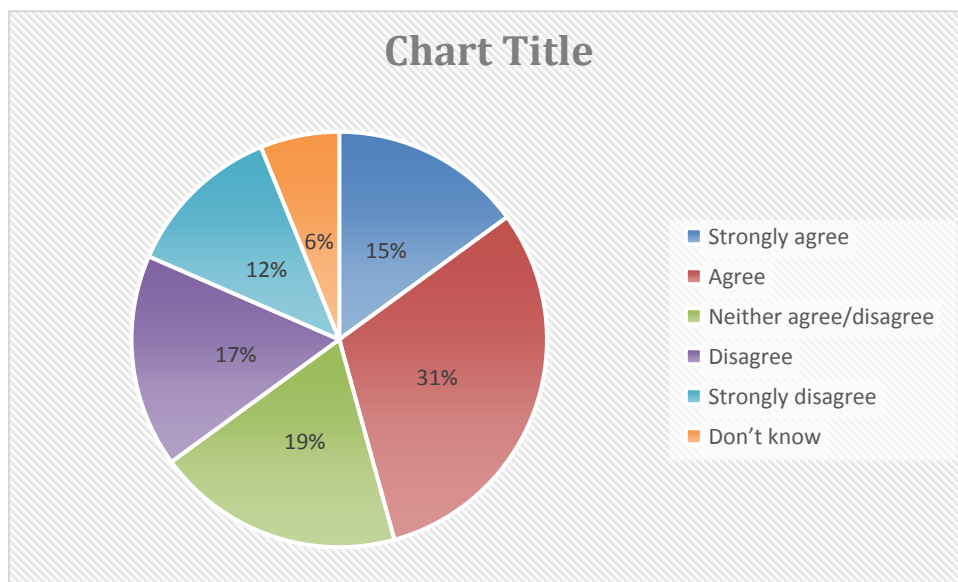
81 comments were received covering a wide range of issues. The comments were coded into themes raised. Whilst a significant number of comments responded that the need for one system regardless of where you live was important other people raised a wide range of concerns. There was support for the existing system as people understood it and knew where they were. The summary list is available in the table below and the full comments in the appendix.

Issue	mentions
Need one system for efficiency regardless of where you live	23
No need to change	11
Existing system is fair/logical	8
Can't afford to lose any money at all	7
Other	7
Better to harmonise but not reduce %	6
Universal Credit doesn't work so stay the same	4
Not clear enough/ don't understand	4
Should get appropriate support	3
Admin costs	3
Longer lead in time needed	2
Council Tax is unfair anyway	2
Universal Credit is better	2
Same system for everyone	2
Option C is better financially	2
Under 25s shouldn't pay anything	1
What's it based on?	1
Need to change as doesn't work	1
Need financial protection	1
Options B & C are easier to manage	1

Option B

Q4. Under this option, the Shadow Authority would introduce an aligned Council Tax Support scheme with a maximum support for those of working age (that were not protected) limited to 90%. In relation to this option please state to what extent you agree with this proposal.

(overall responses)	Strongly agree	Agree	Neither agree/disagree	Disagree	Strongly disagree	Don't know
Number	56	115	72	62	46	23
%	15%	31%	19%	17%	12%	6%



A total of 374 people responded to this question. **In simple agreement terms 46% strongly agreed/agreed with this option.**

46% of respondents either strongly agreed/agreed with option B whilst 29% disagreed/strongly disagreed. **This gives a net agreement figure of plus 17%.** In numeric terms this means 171 either strongly agreed/agreed whilst 108 disagreed/strongly disagreed. 19% neither agreed/disagreed with this option and 6% did not have a view.

When looking at the responses from people who were claiming benefit compared to those responding just as council tax payers this showed stronger support for this option by those responding just as council tax payers, with a net agreement figure of plus 27%. This compares to a net agreement figure of plus 8.6% for those responding as council tax claimants.

The responses from people who said they were disabled showed a net agreement figure of plus 21%, a relatively positive response.

Analysing responses by the 5 district areas the support for this scheme (Option B - aligned scheme with max 90% support) shows support is mixed. There is stronger support in West Dorset District Council area (plus 27%) and Weymouth and Portland area (plus 22%). Then there is less support in East Dorset District (plus 14%) and Purbeck (plus 13%). Finally, there was opposition to this scheme from North Dorset District area responses with a net agreement figure of minus 19%.

In Dorchester & District Labour Party official response they disagreed with this option saying “We support options B/ C with a maximum support for those of working age limited to 92% (as most generous existing scheme). BUT using actual Universal Credit payments not an estimated average. Linking to the rules for Housing Benefit leads to a reduction in the payment. Therefore, not in claimant’s interest. Creating the new Dorset Council is supposed to save money but we object to savings made at the expense of people on low income. Even £0.25 a week is a further cut, and some will face more than this.”

Q5. Please provide any additional comments about this option below:

A total of 64 comments were received. The comments were coded into themes raised. Whilst a number of comments responded that Option B was the best many other people raised a wide range of issues, some supporting the option and others opposing it. The summary list is available in the table below and the full comments in the appendix.

Dorchester & District Labour Party official strongly disagreed with this option as “This would be unfair in treating people differently according to which former authority they lived in. In its favour people would receive a higher rebate than under B or C.”

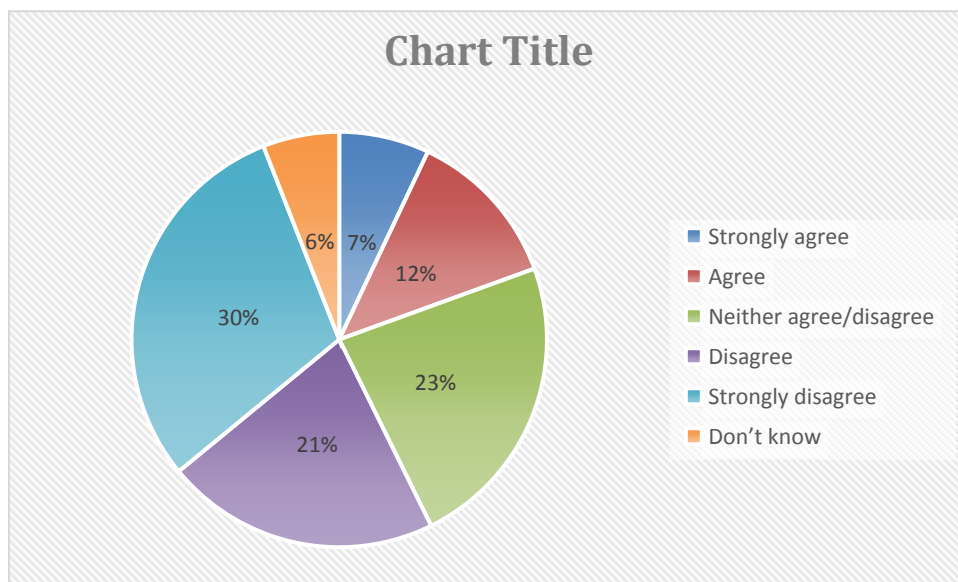
Issue	mentions
B is best option of three on offer	9
Impacts on the poorest	7
Should be based on current %	6
People can't afford ANY more	5
Other	5
Sensible way forward	4
Complicated with more getting into debt	3
Prefer option C	3
Should get 100%	2
Appears to be fairer	2
Less admin on option B is better	2
Option B is unfair	2
Unclear	2
Stay as is	2
Need protection	1

Option B ok with protection	1
Monitor over time	1
Aligned system	1
No one should be worse off	1
Prefer option A	1
Some people work system	1
% discount is too high	1
Get people back to work	1
Universal Credit is a disaster so don't link	1
Council will do what it wants anyway	1

Option C

Q6. Under this option, the Shadow Authority would introduce an aligned Council Tax Support scheme with a maximum support for those of working age (that were not protected) limited to 85%. In relation to this option please state to what extent you agree with this proposal

(overall responses)	Strongly agree	Agree	Neither agree/disagree	Disagree	Strongly disagree	Don't know
Number	26	46	86	79	111	22
%	7%	12%	23%	21%	30%	6%



A total of 370 people responded to this question. **In simple agreement terms 19% strongly agreed/agreed with this option.**

19% of respondents either strongly agreed/agreed with option C whilst 51% disagreed/strongly disagreed. **This gives a net agreement figure of minus 32%.**

In numeric terms this means 72 people either strongly agreed/agreed whilst 190 disagreed/strongly disagreed. 23% neither agreed/disagreed with this option and 6% did not have a view.

Responses from people who were claiming benefit compared to those responding just as council tax payers showed opposition to this option. Those claiming benefit strongly opposed it with a net agreement figure of minus 42%. This compares to a net agreement figure of minus 18% for those responding as council tax payers.

When looking at the responses from people who said they were disabled this showed strong opposition with a net figure of minus 36.7%.

Analysing responses by the 5 district areas there is very limited support for this scheme (aligned scheme with max 85% support). There is the highest opposition in East Dorset District Council area (with a net figure of minus 43%) and West Dorset District Council area (with a net figure of minus 41%). Then there is slightly less opposition in North Dorset and Weymouth and Portland. The opposition is the lowest in Purbeck but still minus 13% net, but the number of responses were limited.

In Dorchester & District Labour Party official response they disagreed with this option saying “We support options B/ C with a maximum support for those of working age limited to 92% (as most generous existing scheme). BUT using actual Universal Credit payments not an estimated average. Linking to the rules for Housing Benefit leads to a reduction in the payment. Therefore, not in claimant’s interest. Creating the new Dorset Council is supposed to save money but we object to savings made at the expense of people on low income. Even £0.25 a week is a further cut, and some will face more than this.”

Q7. Please provide any additional comments about this option below:

There were 55 comments made covering a range of issues. The most consistent response was that to adopt option C with a lower percentage support would lead to debt and hardship and other costs like debt recovery. Other comments focused on the percentage change and the lack of affordability. The summary list is available in the table below and the full comments in the appendix.

Issue	mentions
Will lead to debt and hardship	14
Keep % as before (92%)	6
Other	5
Can't afford this cut	4
C is the worst option	4
Confusing	3
C is the best of poor options	2
Everyone should contribute	2
Unnecessary	2
Council will ignore anyway	2
Prefer option B	2
Everyone should contribute	2
Universal Credit a disaster	2
Keep simple	1
People who pay full CT are just coping	1
Poor idea for single parents	1
Non- viable option	1
Affects all badly	1
Affects those with disability	1

Comparison of the responses to the three options

Looking at the **simple agreement figures** (strongly agree/ agree) for each of the three options it shows:

Option A: 50% agreement (with 26% strongly disagree/disagree)

Option B: 46% agreement (with 29% strongly disagree/disagree)

Option C: 19% agreement (with 51% strongly disagree/disagree)

The simple agreement figures show most support for option A and still significant support for option B with only 4% between the two. On the flip side Option C was opposed by a significant majority

Looking at the overall **net agreement figures*** for each of the three options it shows

Option A: Plus 24%

Option B: Plus 17%

Option C: Minus 32%

Hence, the overall figures show most support for option A and still significant support for option B. On the flip side Option C was opposed by a significant majority

*net agreement compares the percentages “strongly agreeing” or “agreeing” with the percentages “disagreeing” or “strongly disagreeing”. A figure of zero means an equal percentage support as oppose, a positive figure shows support and a minus figure shows opposition.

Q8. Please use the space below to describe any alternative options you would like the council to consider:

There were 90 comments in this section of the consultation. Whilst some offered other alternatives to the three proposals being consulted on, many of the comments covered a very wide range of issues relating to council tax and the benefits system. Because of the wide range of comments with no strong themes running through the comments are not summarised here but included in full in the appendix.

Specialist officers of the council will consider the viability of any suggestions included within the answers to this question.

Q9 The council has a duty to take into account the impact of decisions on people with protected characteristics under the Equality Act 2010 (age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy, maternity, race, religion or belief, and sexual orientation).

Are there any positive or negative impacts that you believe the council should take into account in the decision-making process in relation to protected characteristics? If so, please describe below, and suggest any ways in which the council could reduce or remove any potential negative impact or increase any positive impact.

There were 67 comments in this section of the consultation. Whilst some offered suggestions of impacts on protected groups relating to the three proposals being consulted on, many of the comments covered a very wide range of issues relating to council tax and the benefits system. Because of the wide range of comments with no strong themes running through the comments are not summarised here but included in full in the appendix.

About You

Q10 Are you responding as:

	Someone who receives council tax support	A council tax payer	A local councillor	A business	An organisation	Other
Number	214	156	0	0	2	5
% of all responses	57%	41%	0.0%	0.0%	<1%	1%

57% of the responses came from people receiving council tax support and 41% were responding as council tax payer. Throughout the report the responses from each group were considered separately as well as together.

Q11 Are you providing your organisation's official view?

	Yes	No
Number	9	284
%	3%	97%

Q12 What is the name of your organisation/business?

In reality only one official response was received from an organisation. This was from the Dorchester & District Labour Party.

Q14 What age group do you belong to?

	Under 18	18-24	25-34	35-44	45-54	55-64	65-and over	Prefer not to say
Which age group do you belong to?	0.0%	2.7%	9.7%	16.7%	24.2%	26.9%	16.4%	3.5%

The tables above show the profile of people taking part in the consultation. The consultation has attracted residents covering quite a wide age range. In Dorset itself 24% of the population are aged

65+. In the survey responses 17% were aged 65+. As the main impact is on working age people the response fits with that age profile.

Q15 The Equality Act 2010 describes a person as disabled if they have a longstanding physical or mental condition that has lasted, or is likely to last 12 months; and this condition has a substantial adverse effect on their ability to carry out normal day-to-day activities. People with some conditions (cancer, multiple sclerosis and HIV/AIDS for example) are considered to be disabled from the point that they are diagnosed.

Do you consider yourself to be disabled as set out in the Equality Act 2010?

	Yes	No	Prefer not to say
Number	71	258	43
%	19.1%	69.4%	11.6%

19.1% of respondents considered they had a disability. The data has been used when analysing the responses to the questions to see if people who have a disability had a different view to the majority on the key questions in the consultation.

Q16 Please us which type of impairment applies to you?

	Physical disability	Learning disability/difficulty	Longstanding illness or health condition	Mental health condition	Sensory impairment	Prefer not to say	Other
Number	34	8	40	27	8	3	1
% of all responses	48.6%	11.4%	57.1%	38.6%	11.4%	4.3%	1.4%

Respondents were asked to specify all impairments that related to them. A longstanding illness or health condition was the most common, with 57% selecting that. This was closely followed by physical disability and then mental health condition.

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Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Councillor Tony Ferrari, Lead Member for Finance
Officer	Jason Vaughan, Interim Section 151 Officer
Subject of Report	2019/20 Budget
Executive Summary	The report sets out the proposals for the 2019/20 Revenue and Capital Budgets, Capital Strategy & Treasury Management Strategy.
Impact Assessment:	<p>Equalities Impact Assessment: Equality Impact Assessments will be carried out for any changes to staffing or services such as the transitional staffing structure.</p>
	<p>Use of Evidence: The report has been built upon a variety of information from the 6 sovereign councils including the latest budget monitoring for 2018/19, internal and external audit reports, the medium term financial forecasting model, CIPFA resilience report, the Local Partnerships business case and the PWC Case for Change.</p>
	<p>Budget: It is a statutory requirement under the Local Government Finance Act 1992, as amended by the Localism Act 2011, for the Council to set a balanced revenue budget. The 2019/20 budget will be set by the Shadow Council in February 2019 and together with the Capital Investment Programme and Treasury Management Strategy it sets the resource framework and limits within which services must be delivered.</p>

	<p>Risk Assessment: Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: MEDIUM Residual Risk MEDIUM The key risk areas are around the delivery of savings from the transitional staffing structure and managing demand led services within the budget estimates.</p>
	<p>Other Implications: None</p>
<p>Recommendation</p>	<ol style="list-style-type: none"> 1. To recommend to the Shadow Council the 2019/20 Revenue budget as set out in Appendices 2 and 3 2. To approve that a Base Budget Review of Children's Services is undertaken with the new Executive Director People - Children 3. To recommend to the Shadow Council that the fees & charges for regulatory services in Appendix 4 be approved 4. To recommend to the Shadow Council that for fees & charges that usually increase by inflation they increase by 2.4% for 2019/20 5. To recommend to the Shadow Council that £700,000 is set aside for the costs of the local elections from the council tax surplus and that the balance is added to general reserves 6. To recommend to the Shadow Council that the 2019/20 Capital Programme set out in Appendix 5 is approved 7. To recommend to the Shadow Council that the Band D council tax charge is £1,629.75 for 2019/20 and that the full resolution on council tax is set out in the budget report to the Shadow Council 8. To recommend to the Shadow Council that the 2019/20 Capital Strategy set out in Appendix 6 is approved 9. To approve that a Review of Capital is undertaken and reported to the September Executive 10. To recommend to the Shadow Council that the 2019/20 Treasury Management Strategy set out in Appendix 7 is approved 11. To recommend to the Shadow Council that £13.5m of capital receipts be used to fund the LGR implementation costs in accordance with the governments flexible use of capital criteria

	<p>12. To recommend to the Shadow Council the minimum level of general reserves be set at £14.5m and the maximum set at £29m for 2019/20</p> <p>13. To approve a review of Reserves is undertaken and reported to the September Executive</p>
Reason for Recommendation	To enable the 2019/20 revenue and capital budgets to be set.
Appendices	<ol style="list-style-type: none"> 1. High Level Summary showing how the revenue budget is balanced. 2. 2019/20 Revenue Budget broken down by classification type 3. 2019/20 Revenue Budget showing Service spend (Appendix 3 will be circulated after agenda publication) 4. Alignment of Fees & Charges 5. 2019/20 Capital Programme 6. Capital Strategy for 2019/20 7. Treasury Management Strategy for 2019/20
Background Papers	Reports to the Budget Working Group
Officer Contact	<p>Name: Jason Vaughan Tel: (01305) 838233 Email: jvaughan@dorset.gov.uk</p>

1. Background

- 1.1 The financial challenges facing councils are not new. The National Audit Office have carried out a study and identified that there has been a 49% real-term reduction in government funding for local authorities in the last six years. This has created significant pressures at a time when there has also been an increase in demand led services such as Children's and Adults. A number of councils have hit the national headlines as their finances have become so stretched that their future financial sustainability has come into question.
- 1.2 The Councils in Dorset have proactively responded to the challenge and taken the bold approach of creating a new unitary council from April 2019. The new Dorset Council will replace the 6 existing councils of Dorset County Council, East Dorset District Council, Purbeck District Council, North Dorset District Council, West Dorset District Council and Weymouth & Portland Borough Council. By taking this bold step the new Council will be able to protect front line services by delivering significant efficiency savings from the convergence of six council's functions into one. It also provides a basis to enable significant transformational change in the way in which services are delivered across Dorset in the future. This scale of change is essential in creating a financially sustainable council that can continue to deliver services to its residents. However the practice of creating a new unitary is challenging especially given the short timescale for its implementation.

2. Developing the Budget

- 2.1 Dorset Council is a new organisation and the starting point for development of the 2019/20 budget has required the finances of 6 existing councils to be combined into one. However the position is more complex with the disaggregation of the Dorset County Council functions for Christchurch, the separation of staff within Christchurch & East Dorset Councils Partnership and the creation of a new town council in Weymouth.
- 2.2 In financial terms the 6 sovereign councils start in very different positions in relation to resourcing pressures for 2019/20, reserves and demands for services. In practical terms this required bringing together the financial information that is currently contained within the sovereign councils through 4 different finance systems, 4 separate finance teams in 4 different locations into one.
- 2.3 To address the challenge of producing a budget for the new council a Budget Working Group comprising of councillors from each of the sovereign councils has been meeting regularly throughout the year to set the direction for the 2019/20 budget and develop proposals that would produce a balanced budget. The work has focused upon protecting frontline services by delivering the efficiencies from being one council that were set out in the Local Partnerships business case and increasing income.
- 2.4 The Shadow Executive Committee approved the Financial Strategy in August 2018. It set out some key financial principles which will be used in developing the 2019/20 budget proposals. They are:
 - To set a balanced budget for 2019/20 – This involves not using once off sources of funding to support on-going expenditure.

- Setting solid financial foundations - Although the 2019/20 budget presents some unique challenges, the new council wants to set the foundations for creating a financially sustainable council that can deliver sustainable services to its residents.
- Business Case – Delivering the estimated £13.6m savings from the Local Partnership business case.
- Transformation - Ensuring there is resources to fund transformation which is required in order to address the predicted budget gaps in future years and create a sustainable council.

3. Revenue Budget

- 3.1 The budget proposals are based upon the latest demand pressures in homelessness, adults and children’s services, impact of disaggregation, cost price increases, reductions in government funding and removal of once-off items in the current year.
- 3.2 The provisional finance settlement was announced in December and will be finalised sometime in February. The main points from it were as follows:
- The Council Tax referendum limits for local authorities will remain as previously indicated at 2.99%, although for Police and Crime Commissioners the potential annual increase to their precept will be extended to £24 per annum;
 - The £153m of Negative RSG for 2019/20 will be eliminated by the government. This will be funded through its share of business rates;
 - For 2019/20 there are no changes to the New Homes Bonus deadweight (this was suggested as a possibility in September 2018). Instead up to an additional £20m of funding was added to the scheme;
 - Rural Service Delivery Grant in 2019/20 will increase to £81m; an increase of £16m on the previously planned £65m allocation;
 - Proposals for new 75% Business Rates Pilots in 2019/20 have been approved for 15 areas and these are in Berkshire, Buckinghamshire, East Sussex, Hertfordshire, Lancashire, Leicestershire, Norfolk, Northamptonshire, North and West Yorkshire, North of the Tyne, Solent, Somerset, Staffordshire and Stoke, West Sussex and Worcestershire;
 - A £180m balance on the national Levy Account will be distributed based on need in the current financial year.
- 3.3 Overall the provisional finance settlement was in line with our predictions and the most significant item being the saving of £11m from elimination of Negative RSG. This is something that we have been actively campaigning for and its elimination will have a positive significant impact on any changes to funding in future years.
- 3.4 In order to deliver the business case for creating Dorset Council a transitional staffing structure is being developed and will bring the 6 sovereign councils workforces into one. It is estimated that by doing this there will be a reduction of over 200 posts in two

tranches. The first tranche will involve a significant reduction in senior & mid-level managers and those who support them. The second tranche will see further reductions in the corporate areas in response to one council requiring less resources than six. Taking into account the timing and potential additional costs, savings of £5.22m can be built into the 2019/20 budget proposals with further savings falling in 2020/21 which are expected to mean savings of around £10m in a full year will be achieved. The actuaries have undertaken some work and agreed a standard employers pensions rate of 15.9% for Dorset Council plus a backfunding cash sum of £10.573m for the year.

- 3.5 The business case also identified that savings could be achieved from the reduction in the number of elected members and audit fees. These have been estimated to be £500,000 and £189,300 respectively. Further savings that were not included within the business case will also be made including £5.948m of base budget savings following extensive reviews of the current base budgets in each council and a further £1.166m of additional income from this process. By bringing the 6 councils together, savings of £500,000 will be made from insurance arrangements, £3.6m of additional income from business rates and £2m of treasury management income. Reduction of £500,000 in Adults, £1.1m in Children's and £228,000 in Environment have been identified to address stranded costs following disaggregation with a further £1.188m following recent management restructures in the Environment Directorate. All of these changes are shown in Appendix 1 which provides a useful summary of the changes between the current 2018/19 budgets in each of the 6 councils and the 2019/20 Dorset Council budget.
- 3.6 The analysis of the 2019/20 budget by standard classification type is set out in Appendix 2 and by Service in Appendix 3.

4. Fees & Charges

- 4.1 The approach that has been taken for locally determined fees and charges is to split them into locality based charges and common charges. There are no proposals to align any of the locality based charges such as car parking or leisure centres. The common charges which includes such things as planning advice, local search fees, building control, licensing etc currently provided by the 5 District/Borough Councils need to be aligned from the 1 April. Dorset Council needs to have one standard charge for these standard services.
- 4.2 The Place Theme Board have been reviewing all of these across each of the current councils and have proposed charges for Dorset Council for 2019/20 which are set out in Appendix 4. There are some locality based fees & charges that usually increase by inflation each year and the September CPI increase of 2.4% will be applied to these for 2019/20.

5. Council Tax

- 5.1 The Shadow Executive has previously approved the principle of there being a standard charge for council tax across the new council area from April. This harmonisation process required approval from MHCLG and needed to take account of the financial impact of the new town council in Weymouth. As part of the provisional finance settlement the Alternative Notional Amounts (ANA) for Dorset Council has been confirmed at £1,582.44. Applying the 2.99% increase assumed in the finance settlement

from government will result in a Band D Charge of £1,629.75 in 2019/20 for Dorset Council.

- 5.2 LG Futures have carried out some national research into council tax collection rates. They have identified that shire districts have the highest collection rates at 97.9% and the other unitary councils have an average rate of 96.3%. They have also reviewed the position for Dorset. Based upon previous trends both locally and nationally it is appropriate to assume an in year council tax collection rate of 98% for 2019/20. Analysis of increases in the number of properties since last year show that it would be appropriate to build in a further 0.75% to allow for growth and collection from previous years to the taxbase. Based upon these two elements the taxbase has been calculated as being 148,087.2 Band D equivalent properties for 2019/20. Taking into account the taxbase calculation and the proposed council tax charge for 2019/20 generates income of £241.3m for Dorset Council which is an increase of £10.7m on 2018/19.
- 5.3 In January each year every authority has to review its collection fund and calculate any surplus on the account. For Dorset Council this is £7.122m of once off funding and £0.7m will be set aside for the costs of the May elections with the balance being added to general reserves.
- 5.4 The 2019/20 Budget report to the Shadow Council will include the full resolution for council tax that is a requirement for a precepting body.

6. Dedicated Schools Grant (DSG)

- 6.1 The pressure on the DSG budget continues to grow with the High Needs Block showing a consistent picture of overspending in the last few years. The two main drivers of this are the continued increase in the number of Education Health & Care Plans (EHCPs) and the changes to Special Educational Needs (SEN) code of practice which extended the age range from 19 to 25. The table below summarises the position:

	HNB Overspend in year £m	DSG Balance £m
2015/16	(1.886)	1.549
2016/17	(5.885)	(4.067)
2017/18	(5.515)	(8.716)
2018/19 - estimated	(4.660)	(13.346)

- 6.2 The Education Secretary has recognised the position that many local authorities are in and announced a £350m funding package for Special Educational Needs & Disabilities (SEND) in December. The funding was split with £100m for provision of capital funds and £250m for High Needs funding with Dorset receiving £825,000 in the current year and £729,000 in 2019/20. Although this additional funding is welcomed it is once off and not enough to address the overall position. The Schools Forum have considered the DSG budget for 2019/20 but rejected proposals to transfer funding from the Schools Block to

the High Needs Block. A disapplication has been made to the Secretary of State to allow a transfer of £3.1m that if approved will support the High Needs Block.

- 6.3 Work has been undertaken to develop longer term solutions through a variety of means including a new free school in Bovington but further work on obtaining a financially sustainable solution is required. Dorset County Council currently holds reserves of £12.5m against this liability prior to disaggregation of the position with BCP. At this stage it is prudent not to commit the £2.9m Adults & Children's Social Care Grant for 2019/20 which was announced as part of the £410m national funding package and to consider how this can be best used to help address the situation.

7. Public Health Grant

- 7.1 The Public Health Grant for Dorset Council 2019/20 is £13.172m and £19.353m for BCP giving a total of £32.525m compared to £33.4m in the current year.

8. LGR Implementation Costs

- 8.1 The most significant element of the LGR implementation costs relate to staff redundancies that will deliver the £10m annual savings. It is difficult to precisely predict these costs because they vary significantly depending upon the individual's age and length of service, the number of vacant posts and the number of staff that will leave via natural turnover. However at this stage it is reasonable to estimate that these could be in the region of £9m which means that the overall LGR implementation costs are estimated to be £13.5m for 2019/20.
- 8.2 The government has allowed councils to fund transformation costs from capital receipts and this is known as applying the flexible use of capital receipts. The costs of LGR implementation will be funded through this mechanism and it is estimated that there is currently £6.5m of uncommitted capital receipts available for this purpose. This means that the first £7m of capital receipts received during the year will be used for this purpose.
- 8.3 The option of obtaining a capitalisation directive for the transitional costs from government will be explored during 2019/20.

9. Capital Budget

- 9.1 The Capital Programme for 2019/20 takes account of all the approved schemes within the existing 6 sovereign councils and brings them together into one programme for the new council.
- 9.2 The proposed Capital Programme is set out in Appendix 6. Part 1 details projects that are fully funded from external sources, Part 2 details project with partial external funding and Part 3 details projects with no external funding. Part 4 sets out the financing of the programme and shows that the revenue impact of the programme for 2019/20 is £512,000 which has been built into the Revenue Budget proposals.
- 9.3 Any current schemes that are in one of the sovereign councils 2018/19 capital programme that are not completed by year end will be carried forward and added to the 2019/20 capital programme.
- 9.4 The Capital Strategy for 2019/20 is set out in Appendix 6. During 2019/20 there will be a full review of the capital programme and how it operates going forward in order to ensure

that it is financially sustainable. This will involve reviewing which items are funded from capital, future potential disposals and future years projects. This review should be completed by September and reported back to the new Executive.

10. Treasury Management

10.1 The treasury management function brings together all of the investment and debts of each of the councils portfolios and following a tender process Arlingclose have been appointed as treasury advisors. Reviewing our investment strategy and taking a medium term approach focusing on income means that we can build £2m of additional income into the 2019/20 budget. The Council is required to produce a Treasury Management Strategy for 2019/20 and this is set out in Appendix 7.

11. Contingency

11.1 As part of developing the budget proposals it would be prudent to allow for a contingency within the base revenue budget. This approach is designed to enable the risks associated with the uncertainty and process to be effectively managed. Across the sovereign councils there is just over £2.5m of funds held for this purpose and the 2019/20 budget proposals increase this by £2.293m to £4.793m.

11.2 At the time of writing this report there is an emerging picture of further costs in the Children's Services budget over and above the increased amount already built into the 2019/20 budget proposals. It is therefore recommended that a Base Budget Review exercise is carried out on this area as a priority in order to establish the on-going position with the new Executive Director of People - Children. This approach also fits in with the recommended approach from CIPFA.

11.3 The 2019/20 budget has been arrived at using the information within the current 6 councils and adjusting for known changes. In order to ensure that the base budget for each service is fully aligned there will a Base Budget Review process across all budgets during the year once the management structures and budget holders are in place.

12. Reserves

12.1 Every council has reserves and these fall into two categories. The first being 'earmarked' reserves where funding is set aside for a particular project or purpose and the second being 'general' reserves to cover unexpected expenditure.

12.2 The new council is financially bigger than any of the existing councils with a gross spend of over £700m and budget requirement of over £290m. The budget for the coming year brings greater risks given it's a combination of the 6 councils coming together and against the background of austerity, reductions in funding and increases in demand led services. Nationally there is increasing concern about the financial sustainability of a number of councils and a key sign of financial stress is around the reduction in reserves that are held. In order to gain some independent assurance CIPFA were engaged to carry out some benchmarking on the level of reserves held by unitary councils. This identified that most unitary authorities tend to maintain general reserves of between 5 per cent and 10 per cent of net revenue expenditure. For Dorset Council this would mean maintaining reserves of between £14.5 million (5 per cent of net revenue expenditure) and £29 million (10 per cent of net revenue expenditure). Given the risks facing the new Council, CIPFA recommended that the level of reserves should be maintained at the higher end of the range.

12.4 I recommend that the minimum level of reserves should be set at £14.5m and the maximum at £29m for 2019/20. Taking into account the latest financial position of the 6 councils, the council tax collection fund surplus and the disaggregation of the Dorset CC balance sheet, I estimate that general reserves will be in the region of £25.5m. The estimated level of general reserves together with the contingency total just under £29m and are therefore in line with the CIPFA recommendation.

12.5 Each of the 6 councils will produce a statement of accounts for 2018/19 that will be subject to external audit. Once this process has been completed there will be a full review of all reserves, both general and earmarked, for Dorset Council which will be reported in September in order to fit in with the 2020/21 financial strategy.

13. Future Years

13.1 Producing a robust picture of the financial position in future years is always challenging. It is particularly difficult with the opening position of Dorset Council not being known until the end of July when the 2018/19 accounts of the 6 councils will be finalised and audited. There are major changes in 2020/21 through the Comprehensive Spending Review (CSR) which sets out how much funding the sector will receive and we have no detail on this yet including if it will be for a single or multi years. The current Fair Funding consultation launched with the provisional finance settlement will determine how much funding each council will receive in the future and the consultation on the new 75% business rates retention scheme sets out how this funding mechanism may work from 2020/21. In addition to the uncertainties around the funding and mechanisms from 2020/21 onwards the council is in the unique circumstance of its 2019/20 budget being a product of bringing the 6 councils together. Any forecast at this stage is therefore likely to be of limited value.

13.2 It is therefore proposed that a 5 year financial forecast is produced during the year in order that it can take account of the new councils agreed Corporate Plan, Transformation Plan and Asset Management Strategy. It is clear that although there is a balanced budget for 2019/20 and there are significant financial efficiencies from being a single council there will need to be significant changes to how services are provided in order to create a financially sustainable council.

14. Engagement

14.1 The Budget Working Group and its predecessor the Budget Task & Finish Group has been the main vehicle for getting member engagement on the budget and it has met 13 times during 2018 with 4 further meetings planned in 2019. The Shadow Executive committee have received several finance reports during the year including the Financial Strategy and update on the Medium Term Financial Forecast.

14.2 There has been a breakfast meeting with representatives of the business sector on 12 December and the Shadow Scrutiny Committee will consider the budget proposals at a special meeting of the Committee on 21 January 2019.

14.3 In terms of wider membership there is a series of 3 Budget Briefings which are open to all members of the Shadow Council and the first of these was held on 19 September and further sessions are planned for 29 January and 12 February (x2 sessions).

15. Assurance Statement

- 15.1 As the appointed interim Section 151 Officer, I have a legal duty to the Shadow Council to ensure that the 2019/20 budget proposals are robust and that the Council has an adequate level of reserves.
- 15.2 The 2019/20 budget for Dorset Council is complex given the financial information is contained within 6 sovereign councils and the disaggregation of Dorset County Council and the new Weymouth Town Council. The budget proposals have been developed using the latest information from each of the councils with common assumptions which have been discussed and developed through the officer budget worksteam. The approach taken with the contingency and the base budget review of Childrens Services enables me to provide a positive assurance statement concerning the robustness of the current proposed budget for 2019/20.
- 15.3 I am also able to confirm that the level of reserves are adequate based upon the current proposals.

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Budget Summary 2019/20

The figures in the summary have been updated to take account of the latest information. The change to the figures is in respect of a reduction of £300,000 for the savings in stranded costs in Children's Services. The other changes are formatting changes in order to simply and provide a clearer explanation of the figures. There is increased detail around savings in Adults Services with the previous one line now broken down. The other changes are to simplify things by amalgamating headings.

	2019/20 Comment £'000s
Previous Once Offs	1,646.8 Net effect of the items included in 2018/19 budget on a once off basis
Price Changes	7,630.3 Adjustments for inflation
Pay adjustments	6,019.5 Increases for pay award, increments etc.
Modernising Fostering	900.0 This the second of two years of investment in the service, approved by DCC Cabinet, agreed as part of the 19/19 budget setting process. Investment is to improve the in-house foster care capacity and capability with a view to reducing reliance on independent foster care agencies.
Costs from Extended Rights to Free Transport Grant	300.0 This is spend directly associated with additional XRFT grant which is effectively passported to cover the additional costs arising in Children's Services.
Increasing funding for Adult & Community Services	1,500.0 Base budget pressures in service user related spend
Increasing funding for Children's Services	5,800.0 Additional cost pressures being experienced as a result of further rises in EHCPs and the transport requirements that accompany these plans, in addition to non-delivery of previous savings targets agreed not to be pursued.
Increasing funding for Dorset Waste Partnership	1,372.4 Pressures from the DWP MTFP in January 2018 plus additional pressures arising from fuel prices, recyclate prices / costs and capital financing.
Increasing funding for Corporate Services	2,000.0 These relate to historic commitments currently charged to DSG which are reducing over time to relieve funding pressures
Reductions in funding from Government Grants	1,346.3 Estimate reductions based on latest information.
Impacts of Balance Sheet Disaggregation	900.0 Latest Estimate
Revenue impact of the Capital Programme	512.0 Revenue budget costs of financing the schemes within the capital programme
Other Known Commitments	612.7 Other cost pressures such as homelessness
Contingency	2,293.5 Increase in contingency budget
Stranded Costs	5,400.0 Impacts on services of disaggregation of DCC and EDCC
Reduced RSG	490.0 The remaining RSG received in 2018/19
New Homes Bonus	418.3 Reduction in overall funding as awards dropping out are more than the new award for 2019/20
Other Funding / Disaggregation impacts	(1,065.7)
Negative RSG	11,000.0 Proposed to be removed in provisional settlement
Changes to base budget	<u>49,076.1</u>
Balancing the Budget	
Stranded costs reductions - Adults	(500.0) Savings from restructuring to address stranded costs
Stranded costs reductions - Children's	(1,100.0) Savings from removal of vacant posts and restructuring
Stranded costs reductions - Environment	(228.0) Non pay related costs
Base Budget Review	(7,014.0) Savings and increased income identified through the detailed review of base budgets
Audit Fees	(189.3) SWAP Internal Audit saving confirmed, External Audit estimated
Members Allowances	(500.0) Based upon latest information, awaiting approval
Transitional Structure Savings	(5,220.0) 2019/20 impact from the implementation of the transitional staffing structure, generating £10m savings in a full year

	2019/20 Comment
	£'000s
Use of DFG's for adaptation equipment	(1,000.0) This is the alignment of the new council's Disabled Facilities Grant with the Better Care Fund priorities. The additional DFG funding is being channelled to cover the costs of equipment, adaptations and technology through the service run jointly with the NHS.
Adults savings - Tricuro block contract reduction	(500.0) Tricuro is being commissioned to deliver cost reductions in the block contract arrangement we have. This will include better capacity management driving unit (and total) costs down.
Adults savings - Non Statutory contracts	(800.0) Review and reduction of costs for non-statutory services in A&CS.
Adults savings - Service User Budgets	(1,200.0) Regular reviews of care packages alongside better commissioning through the new Dorset Care Framework will see costs reduce. Work also continuing on managing CHC costs with Health.
Children's savings - Independent Fostering Agency conversions	(600.0) Conversion of independent fostering placements to in-house provision as a result of the investment in the service.
Children's savings - Secure placements	(300.0) Budget aligned back to long-term average of six months of the year rather than full-year.
Children's savings - SEN transport personalisation	(300.0) Use of personal travel budgets for children whose circumstances make these arrangements possible.
Environment Savings	(1,188.6) This is the restructure that took effect in 2018/19 in the E&E Directorate which generates nearly £1.2m of cost savings for 2019/20. The restructure was distinct and separate from the LGR impact/convergence.
Insurance Procurement	(500.0) Savings arising from the recent procurement exercise
Treasury Management Income	(2,000.0) Savings and increased income from new treasury management strategy
Fairer Charging	(500.0) This is additional income that will be created through the fairer charging programme to ensure that all service users required to make contributions towards their care pay a correct and appropriate amount.
Negative RSG	(11,000.0) Elimination of the reduction confirmed in Provisional Settlement
Additional Rural Funding	(89.8) Additional grant confirmed in Provisional Settlement
Business Rates income	(3,600.0) Additional income from retention of business rates
Council Tax Base Increase	(2,307.7) Increasing council tax base and standard collection rate
Council Tax 2.99% Increase	(8,438.7) Increase in income from council tax
Total of actions	(49,076.1)
Current Budget Position	0.0

Dorset Council Budget 2019/2020 - Cost Type Analysis

Cost Type	Original Budget (19/20) £'000
Authority (Democratic) Costs	1,992
Pay Related Costs	148,511
Premises Related Costs	18,669
Transport Related Costs	19,457
Supplies and Services	376,123
Levies & Precepts	648
Net Schools Budget	232,517
Government Grants (Specific)	-383,610
Income, Fees and Charges	-143,338
Corporate Budgets inc Capital Financing	23,332
Total Net Budget (excluding Funding)	294,301
Funding	-294,301

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Proposed Fees and Charges 2019/20

Description	Dorset Council Fee
Development Management	
Permitted Development Advice Householder Enquiry	£97.50 (inc vat)
Permitted Development Advice Non - Householder Enquiry	£120 (inc Vat)
Pre Application advice - Householder Verbal Advice (office based pre booked appointment)	£80 (inc vat)
Pre Application advice - Written Only - Waste and Mineral Pre application - Small site up to 0.49 hectares and building floor space up to 999 sqm.	£600 (inc vat)
Pre Application Advice - Written Only - Waste and Mineral Pre application - Large site 0.5 hectares or more and building floor space up to 1000 sqm or more or exploration/appraisal and production of hydrocarbons or development requiring EIR.- Written Advice	£1200 (inc vat)
Pre Application advice- Written only - Significant major - Over 50 dwellings site area 5ha or more or building floorspace 10,000sqm or more or development requiring EIR.	£1200 (inc vat)
Pre Application advice- Written only - Major - 26-49 dwellings or site area between 0.5 ha - 4.99 ha or building floor space between 1000sqm - 9999sqm	£900.00 (inc vat)
Pre Application advice- Written only - Major - 10 -25 dwellings, less than 0.5 ha site area or buildings with a floor space less than 100sqm	£600 (inc vat)
Pre Application advice- Written only - Non - Major	£400 (inc vat)
Pre Application advice- Written only - Householder	£160.00 (inc vat)
Pre Application advice - Office Based Meeting and Write Up - Waste and Mineral Pre application - Small site up to 0.49 hectares and building floor space up to 999 sqm.	£800 (inc vat)
Pre Application Advice - Office Based Meeting and Write up - Waste and Mineral Pre application - Large site 0.5 hectares or more and building floor space up to 1000 sqm or more or exploration/appraisal and production of hydrocarbons or development requiring EIR.- Written Advice	£1800 (inc vat)
Pre Application advice- Office based meeting and write up - Significant major - Over 50 dwellings site area 5ha or more or building floorspace 10,000sqm or more or development requiring EIR.	£1500 (in vat)
Pre Application advice- Office based meeting and write up - Major - 26-49 dwellings or site area between 0.5 ha - 4.99 ha or building floor space between 1000sqm - 9999sqm	£1100 (inc vat)

Description	Dorset Council Fee
Pre Application advice- Office based meeting and write up - Major - 10 -25 dwellings, less than 0.5 ha site area or buildings with a floor space less than 100sqm	£800 (inc vat)
Pre Application advice- Office based meeting and write up - Non - Major	£520 (inc vat)
Pre Application advice- Office based meeting and write up - Householder	£240 (inc vat)
Pre Application advice - Site Based Meeting (at officers discretion) and Write Up - Waste and Mineral Pre application - Small site up to 0.49 hectares and building floor space up to 999 sqm.	£1900 (inc vat)
Pre Application Advice - Site Based Meeting (at officers discretion) and Write Up - Waste and Mineral Pre application - Large site 0.5 hectares or more and building floor space up to 1000 sqm or more or exploration/appraisal and production of hydrocarbons or development requiring EIR.	£900 (inc vat)
Pre Application advice- Site Based Meeting (at officers discretion) and Write Up - Significant major - Over 50 dwellings site area 5ha or more or building floorspace 10,000sqm or more or development requiring EIR.	£1600 (inc vat)
Pre Application advice- Site Based Meeting (at officers discretion) and Write Up- Major - 26-49 dwellings or site area between 0.5 ha - 4.99 ha or building floor space between 1000sqm - 9999sqm	£1200 (inc vat)
Pre Application advice- Site Based Meeting (at officers discretion) and Write Up - Major - 10 -25 dwellings, less than 0.5 ha site area or buildings with a floor space less than 100sqm	£900 (inc vat)
Pre Application advice- Site Based Meeting (at officers discretion) and Write Up - Non - Major	£600 (inc vat)
Pre Application advice- Site Based Meeting (at officers discretion) and Write Up - Householder	£320 (inc vat)
Pre Application Advice - Follow up to previous pre app	
- Senior Officer or higher (per hour or part thereof)	£100 (inc vat)
- Planning Officer (per hour or part thereof)	£80 (inc vat)
- Junior Officer (per hour or part thereof)	£65 (inc vat)
Additional officers at a meeting e.g. Archaeologist, Tree officer, Conservation, Landscape, Legal, Affordable Housing, Urban Design	£100 per hour or part thereof
Other professional advice e.g. Archaeologist, Tree officer, Conservation, Landscape, Legal, Affordable Housing, Urban Design	£100 per hour or part thereof
Planning Performance Agreement	to be agreed on case by case basis
Community Infrastructure Levy (CIL) Calculation - Fixed fee	£75

Description	Dorset Council Fee
Pre Application submission check - per hour	£50 (inc vat)
Other advice/information not covered by the above– charge hourly rate	£80 per hour
Planning history search – Fixed fee	£50.00

Building Control

Charged at an hourly rate. All fees are bespoke for each individual project depending upon the number of surveyor visits and the amount of administrative time taken on each project. £68.00 + vat per hour

Regularisation of unauthorised work. Fees to be calculated as per a standard application with an additional 50% penalty charge as per the requirements of Building Regulation Charge Legislation . Regularisation are outside the scope of VAT. Fees to be calculated as per a standard application with an additional 50% penalty charge

Replacement of completion certificates, or other authorising documentation e.g approval, acceptances etc £50.00 +vat for the first document and £25.00+vat per document there after.

History research - (certain permissions will be required to access the documentation) £25.00 + vat

Formal letter of confirmation of exempt work £50.00 + vat

Pre application site inspection to discuss possible work e.g trial hole. Payment is required in advance but will be credited against an application made for the proposal, at that address within the subsequent 12 months. £68.00 + vat

Pre application advice - Council office based meeting. First hour free of charge. Payment is required in advance but will be credited against an application made for the proposal, at that address within the subsequent 12 months. £68.00 + vat

Call out to Dangerous Structure, free for first hour, after which charged out at hourly rate where owner is known. Where owner is unknown a charge will be levied on the property. £68.00 no vat

Land Charges

LLC £37.00 no vat

CON29 £80.00 + vat

Optional CON29O £15.00 + vat

Solicitors own questions £20.00 + vat

Extra parcel(s) of land – LLC1 - per additional parcel of land up to maximum of 15 £15.00 no vat

Description	Dorset Council Fee
Extra parcel(s) of land – CON29 - per additional parcel of land up to maximum of 15	£15.00 + vat
Information in response to personal search request - Available to view at Council Offices	£0.00 (Free)
Information in response to personal search request - Emailed to personal search agent.	£15.00 + vat

Housing

New House in Multiple Occupation (HMO) licence fee	£650
Renewal House in Multiple Occupation (HMO) licence fee	£550
Enforcement in Housing	Hourly rate with minimum £260 + VAT
Enforcement in Housing - immigration inspection	Hourly rate (Based upon PDC)

Food, Safety & Port Health

Export Certificates per consignment during office hours	£56.50
Rescore request for National Food Hygiene Rating Scheme	£142
Advisory visits to food businesses	£142.50 + VAT plus £73.33 + VAT for written report
Food condemnation certificates - Site visit, assessment and admin (2.5 hours)	£214 for 2.5 hrs
Food condemnation certificates - additional charge	£88 per additional hour
Ear Piercing Licences & Registrations - PREMISES	£95
Ear Piercing Licences & Registrations - PERSON	£70
Electrolysis Licences & Registrations - PREMISES	£105
Electrolysis Licences & Registrations - PERSON	£75
Tattooing Licences & Registrations - PREMISES	£125
Tattooing Licences & Registrations - PERSON	£100
Cosmetic Piercing Licences & Registrations - PREMISES	£125
Cosmetic Piercing Licences & Registrations - PERSON	£100
Acupuncture Licences & Registrations - PREMISES	£105
Acupuncture Licences & Registrations - PERSON	£80
**Boarding in kennels for dogs - Administration and inspection fee	£176
**Boarding in kennels for dogs - License Fee	£95
**Home boarding for dogs - Administration and inspection fee	£163

Description	Dorset Council Fee
**Home boarding for dogs - License fee	£83
**Providing day care for dogs - Administration and inspection fee	£163
**Providing day care for dogs - License fee	£83
Selling animals as pets - Administration and inspection fee	£191 plus Vets fee
Selling animals as pets - License fee	£110
Keeping or training animals for exhibition - Administration and inspection fee	£85
Keeping or training animals for exhibition - License fee	£78
Breeding Dogs Administration and inspection fee	£176 plus Vets fee
Breeding Dogs - License fee	£95
Hiring out horses - Administration and inspection fee	£205 plus Vets fee
Hiring out horses - License fee	£125
**Providing Boarding for cats - Administration and inspection fee	£176
**Providing Boarding for cats - Licence fee	£95
Dangerous Wild Animals licence - first	£290
Dangerous Wild Animals licence - renewal	£290
Dangerous Wild Animals licence - replacement/amendment	£71
Zoos licence - first (6 years)	£420 plus Vets fees
Zoos licence - periodical inspection (3 years)	£420 plus Vets fees
Zoos licence - renewal (6 years)	£420 plus Vets fees
Zoos licence - replacement/amendment of licence	£71

**Where premises provides both boarding and day care they pay only one fee

Licensing (Non Public Health)

Pleasure Boats - Self Drive - motor	£85 per boat (reg charities - free)
Pleasure Boats - rowing	£50 per boat (reg charities - free)
Pleasure Boatmen	£85
Pleasure Tripping boat	£135 per boat
New Small Casino - New application	£4,000
Large Casino - New application	£5,000
Regional Casino - New application	£7,500
Bingo Club - New application	£1,800
Betting Premises (excluding Tracks) - New application	£1,550
Tracks - New application	£1,300
Family Entertainment Centres - New application	£1,600

Description	Dorset Council Fee
Adult Gaming Centres - New application	£1,600
New Small Casino - Annual fee	£2,500
Large Casino - Annual fee	£5,000
Regional Casino - Annual fee	£7,500
Bingo Club - Annual fee	£550
Betting Premises (excluding Tracks) - Annual fee	£330
Tracks - Annual fee	£550
Family Entertainment Centres - Annual fee	£412
Adult Gaming Centres - Annual fee	£550
New Small Casino - Application to Vary	£2,000
Large Casino - Application to Vary	£2,500
Regional Casino - Application to Vary	£3,750
Bingo Club - Application to Vary	£920
Betting Premises (excluding Tracks) - Application to Vary	£800
Tracks - Application to Vary	£700
Family Entertainment Centres - Application to Vary	£800
Adult Gaming Centres - Application to Vary	£800
New Small Casino - Application to Transfer	£900
Large Casino - Application to Transfer	£1,075
Regional Casino - Application to Transfer	£3,250
Bingo Club - Application to Transfer	£700
Betting Premises (excluding Tracks) - Application to Transfer	£700
Tracks - Application to Transfer	£550
Family Entertainment Centres - Application to Transfer	£700
Adult Gaming Centres - Application to Transfer	£700
New Small Casino - Application for Re-Instalment	£900
Large Casino - Application for Re-Instalment	£1,075
Regional Casino - Application for Re-Instalment	£3,250
Bingo Club - Application for Re-Instalment	£960
Betting Premises (excluding Tracks) - Application for Re-Instalment	£960
Tracks - Application for Re-Instalment	£760
Family Entertainment Centres - Application for Re-Instalment	£960
Adult Gaming Centres - Application for Re-Instalment	£960
New Small Casino - Application for Provisional Statement	£4,000
Large Casino - Application for Provisional Statement	£5,000
Regional Casino - Application for Provisional Statement	£7,500
Bingo Club - Application for Provisional Statement	£1,800
Betting Premises (excluding Tracks) - Application for Provisional Statement	£1,600
Tracks - Application for Provisional Statement	£1,300
Family Entertainment Centres - Application for Provisional Statement	£1,100
Adult Gaming Centres - Application for Provisional Statement	£1,100

Description	Dorset Council Fee
New Small Casino - Licence Application (Provisional Statement Holders)	£1,500
Large Casino - Licence Application (Provisional Statement Holders)	£2,500
Regional Casino - Licence Application (Provisional Statement Holders)	£4,000
Bingo Club - Licence Application (Provisional Statement Holders)	£660
Betting Premises (excluding Tracks) - Licence Application (Provisional Statement Holders)	£550
Tracks - Licence Application (Provisional Statement Holders)	£522
Family Entertainment Centres - Licence Application (Provisional Statement Holders)	£522
Adult Gaming Centres - Licence Application (Provisional Statement Holders)	£660
New Small Casino - Copy Licence	£25
Large Casino - Copy Licence	£25
Regional Casino - Copy Licence	£25
Bingo Club - Copy Licence	£25
Betting Premises (excluding Tracks) - Copy Licence	£25
Tracks - Copy Licence	£25
Family Entertainment Centres - Copy Licence	£25
Adult Gaming Centres - Copy Licence	£25
New Small Casino - Change of Circumstances	£30
Large Casino - Change of Circumstances	£30
Regional Casino - Change of Circumstances	£30
Bingo Club - Change of Circumstances	£50
Betting Premises (excluding Tracks) - Change of Circumstances	£50
Tracks - Change of Circumstances	£50
Family Entertainment Centres - Change of Circumstances	£50
Adult Gaming Centres - Change of Circumstances	£50
Temporary Use Gambling Notice - New Application	£250
Temporary Use Gambling Notice - Copy Licence	£25
Scrap Metal Dealer Collector Licence	£550
Scrap Metal Dealer Site Licence	£700
Scrap Metal Dealer Variation of Licence	£75
Scrap Metal Dealer Replacement Licence	£35
Sex Establishments - first - variation	£720
Sex Establishment Renewal	£720
Street trading - consent / licence - commercial (Daily Pitch)	£190
Street trading - consent / licence - commercial (1 week Pitch)	£330
Street trading - consent / licence - commercial (1 month Pitch)	£700
Street trading - consent / licence - commercial (Annual Pitch)	£6,000
Street trading - consent / licence - Wareham Street Market	As Per Contract
Street trading - Promotional stands (such as Sky, AA) 1 Day	£200
Street trading - Promotional stands (such as Sky, AA) 1 Month	£2,000

Description	Dorset Council Fee
Small scale sales - eg Buskers, individual selling one good etc	£55 per day
Handmade Craft Stalls and similar (Individuals Only)	£10 per day
Sitting out licences / Pavement Cafes Initial Application	£53
Sitting out licences / Pavement Cafes Licence Fee	£296
Sitting out licences / Pavement Cafes Renewal/variation Fee	£177.50
Hackney and Private Hire Fees	No change

Environmental Protection

Contaminated land reports	£48/hr, then £20/half hour
High Hedges procedure	£465.00
Initial advice (High Hedges)(PDC)	£71.00
Environmental Search Report	£48/hr, then £20/half hour
Contaminated land - environmental search reports	£48/hr, then £20/half hour
Environmental Information Regulations allows public authorities to charge for making environmental information available, but any charge must be reasonable. Where applicable, staff time to locate, retrieve and extract the information will be charged at the following rates.	£48/hr, then £20/half hour
Dog Warden Administration Fee	£37
Daily Kennelling Fee (or part thereof)	£18
Out of hours fee	£21
Vets fee for dog entering kennels (for the treatment and prevention of worms, fleas and mange)	£22
Dog returned direct to owner, no days in kennels collected normal working hours	£65
Dog returned direct to owner, no days in kennels collected (out of hours)	£83
Dog returned to owner after being in kennels Day 1 or part thereof (normal working hours)	£80
Dog returned to owner after being in kennels Day 2 (normal working hours)	£97
Dog returned to owner after being in kennels Day 3 (Normal working hours)	£115
Dog returned to owner after being in kennels Day 4 (normal working hours)	£132
Dog returned to owner after being in kennels Day 5 (normal working hours)	£150
Dog returned to owner after being in kennels Day 6 (normal working hours)	£167
Dog returned to owner after being in kennels Day 7 (normal working hours)	£185
Dangerous dogs training course (per owner & dog)	£100
Stray dogs administration fee	£20
Stray Dogs Collection from kennels and repatriation	£25

Description	Dorset Council Fee
Stray Dogs Out of Hours fee	£12.50
Stray Dogs Daily kennelling fee	£13.15
Stray Dogs Vaccination charge (if given)	£22
Littering Default penalty	£100
Littering Minimum full penalty	£50
Littering Maximum full penalty	£150
Littering Minimum discounted penalty	£50
Littering from vehicles Default penalty	£100
Littering from vehicles Minimum full penalty	£65
Littering from vehicles Maximum full penalty	£150
Littering from vehicles Minimum discounted penalty	£50
Dog control offences Default penalty	£75
Dog control offences Minimum full penalty	£50
Dog control offences Maximum full penalty	£80
Dog control offences Minimum discounted penalty	£50
Graffiti Default penalty	£100
Graffiti Minimum full penalty	£50
Graffiti Maximum full penalty	£150
Graffiti Minimum discounted penalty	£50
Fly-posting Default penalty	£100
Fly-posting Minimum full penalty	£50
Fly-posting Maximum full penalty	£150
Fly-posting Minimum discounted penalty	£50
Unauthorised distribution of free literature on designated land Default penalty	£100
Unauthorised distribution of free literature on designated land Minimum full penalty	£50
Unauthorised distribution of free literature on designated land Maximum full penalty	£150
Unauthorised distribution of free literature on designated land Minimum discounted penalty	£50
Alarm noise: failure to nominate key-holder or to notify local authority of key-holder's details Default penalty	£75
Alarm noise: failure to nominate key-holder or to notify local authority of key-holder's details Minimum full penalty	£50
Alarm noise: failure to nominate key-holder or to notify local authority of key-holder's details Maximum full penalty	£80
Alarm noise: failure to nominate key-holder or to notify local authority of key-holder's details Minimum discounted penalty	£50
Nuisance parking Default penalty	£100
Nuisance parking Minimum full penalty	£100
Nuisance parking Maximum full penalty	£100
Nuisance parking Minimum discounted penalty	£60
Abandoning a vehicle Default penalty	£200
Abandoning a vehicle Minimum full penalty	£200
Abandoning a vehicle Maximum full penalty	£200
Abandoning a vehicle Minimum discounted penalty	£120

Description	Dorset Council Fee
Fly-tipping Default penalty	£400
Fly-tipping Minimum discounted penalty	£200
Failure to produce a waste transfer note Default penalty	£300
Failure to produce a waste transfer note Minimum full penalty	£300
Failure to produce a waste transfer note Maximum full penalty	£300
Failure to produce a waste transfer note Minimum discounted penalty	£180
Domestic waste receptacle offences Default penalty	£100
Domestic waste receptacle offences Minimum discounted penalty	£75
Industrial and commercial waste receptacle offences Default penalty	£100
Industrial and commercial waste receptacle offences Minimum full penalty	£75
Industrial and commercial waste receptacle offences Maximum full penalty	£110
Industrial and commercial waste receptacle offences Minimum discounted penalty	£60
Noise exceeding permitted level - domestic premises Default penalty	£100
Noise exceeding permitted level - domestic premises Minimum discounted penalty	£75
Noise exceeding permitted level - licensed premises Default penalty	£500
Noise exceeding permitted level - licensed premises Minimum full penalty	£500
Noise exceeding permitted level - licensed premises Maximum full penalty	£500
Dropping litter Default penalty	£75
Dropping litter Maximum full penalty	£100
Dropping litter Minimum discounted penalty	£50 within 7 days
Dog fouling Default penalty	£100
Dog fouling Minimum discounted penalty	£75 within 14 days
Dog in excluded area Default penalty	£100
Dog in excluded area Minimum discounted penalty	£75 within 14 days
Dog not on lead in specified area Default penalty	£100
Dog not on lead in specified area Minimum discounted penalty	£75 within 14 days
Depositing litter	£100 (£75 paid within 7 days)
Abandoning a vehicle	£200 (£100 if paid in 7 days)
The unauthorised depositing of waste (Fly tipping)	£400 (£200 if paid in 7 days)
Failure to produce Waste Transfer Notes	£300 (£180 if paid in 7 days)

Description	Dorset Council Fee
Failure to produce Waste Carriers License	£300 (£180 if paid in 7 days)
Failure to comply with a waste receptacle notice (Commercial)	£100 (£75 if paid in 7days)
Failure to comply with a Community Protection Notice	£100 (£75 if paid in 7days)
Civil penalty notice	£75 (£50 if paid in 14 days)
Waste Collection Offence Civil Penalty notice	£75
Waste Collection Offence Littering from a moving vehicle	£100

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Dorset Council -Capital Programme 2019/20 and beyond
Part 1 - projects with full external funding

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	After 2022/23 £000	Total £000	Notes
Funding source							
Dorset Council inter-year funding	(4,000)	1,762			2,238	0	
Capital grant DfT/DfE/other	(33,120)	(18,518)	(17,601)	0		(69,239)	
Growth deal/developer/S106 contributions	(500)	(5,667)			(2,238)	(8,405)	1
Total funding	(37,620)	(22,423)	(17,601)	0	0	(77,644)	
Projects							
Local Transport Plan programme of works	14,601	15,101	15,101			44,803	
SOCA Programme of works	19,062	3,417	2,500			24,979	
Longham Mini Roundabouts		1,655				1,655	
Parley West Link	2,000	2,250				4,250	
Parley East Link	1,950					1,950	
Chesil Sea Wall Study (WPBC)	7					7	
Total spend	37,620	22,423	17,601	0	0	77,644	
Net expenditure	0	0	0	0	0	0	

Dorset Council Draft Capital Programme 2019/20 and beyond
Part 2 - projects with partial external funding

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	After 2022/23 £000	Total £000	Notes
Funding source							
Section 106 Agreements/Contributions	(400)	(2,397)	(1,668)			(4,465)	
Contribution from MHCLG (Blandford)	(2,250)	(250)				(2,500)	
Total funding	(2,650)	(2,647)	(1,668)	0	0	(6,965)	
Projects							
Parley Cross	1,307					1,307	
Dorset History Centre	110	665	2,334	165		3,274	
Dorset Innovation Park	1,396					1,396	
DWP Infrastructure - Blandford site	2,250	5,800	1,948			9,998	
Total spend	5,063	6,465	4,282	165	0	15,975	
Net expenditure	2,413	3,818	2,614	165	0	9,010	

Dorset Council Draft Capital Programme 2019/20 and beyond
Part 3 - projects with no external funding

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	After 2022/23 £000	Total £000	Notes
Projects							
School Access Initiatives	200				1	200	
Relocation of Dorchester Learning Centre	50				3	50	
Children's minor capital works	300				4	300	
Children's modular urgent works programme	125				5	125	
Weymouth Relief Road	800	1,574			6	2,374	5
E&E minor capital works	335				7	335	
Bridport Connect	1,742	135			8	1,877	5
Modular Housing	1,280	170			9	1,450	5
Adult's minor capital works	125				10	125	
Libraries minor capital works	25				11	25	
County Buildings minor capital works	105				12	105	
ICT minor capital works	1,928				13	1,928	
ICT project funding	1,400				14	1,400	
Development Schemes/Corporate Initiatives	735				15	735	
Property Minor Works & Feasibilities	60				16	60	
Chief Executives Special Projects	155				17	155	
Property Improvements Programme	5,000				18	5,000	
Fleet Replacements	802				19	802	
Dorset Innovation Park (PDC)	53				20	53	
Property & Engineering (EDDC)	349				23	349	
DWP Containers/Infrastructure/other	597				24	597	
DWP Vehicle Replacements	2,965	3,028			25	5,993	
Weymouth Peninsula including Harbour Walls (W&PBC)	3,500	6,000	4,946		26	14,446	5
Total spend	22,631	10,907	4,946	0	0	38,484	
Net expenditure	22,631	10,907	4,946	0	0	38,484	

Dorset Council Draft Capital Programme 2019/20 and beyond
Part 4 - summary of net expenditure and funding

	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	After 2022/23 £000	Total £000	Notes
Total expenditure	65,314	39,795	26,829	165	0	132,103	
Full external funding	(37,620)	(22,423)	(17,601)	0	0	(77,644)	
Partial external funding	(2,650)	(2,647)	(1,668)	0	0	(6,965)	
Dorset Council part funding (borrowing)	(2,413)	(3,818)	(2,614)	(165)	0	(9,010)	
Dorset Council funding (borrowing)	(13,773)	8,460	1,183	0	0	(4,130)	
Dorset Council funding (Reserves/Unapplied capital receipts)	0	0	0	0	0	0	3
Dorset Council funding (New capital receipts)	0	(11,450)	(1,240)			(12,690)	3
Dorset Council funding (DWP)	(2,861)	(3,028)	0	0	0	(5,889)	
Dorset Council funding (reserves)	(1,108)					(1,108)	
Dorset Council funding (revenue contributions)	(4,889)	(4,889)	(4,889)	0	0	(14,667)	4
Total funding	(65,314)	(39,795)	(26,829)	(165)	0	(132,103)	

Estimated impact on revenue budget

Interest on borrowing at 3.5%	(283)	(202)	56	(257)	(14)		3.50%
MRP	0	(405)	116	(36)	(4)		2.50%
Total new capital financing requirement	(283)	(607)	172	(293)	(18)		
Total new CUMULATIVE capital financing requirement	(283)	(890)	(718)	(1,010)			
Forecast interest payable on existing borrowing	(8,038)	(7,413)	(7,413)	(7,413)			
Forecast MRP on opening balances for 01/04/2019	(9,055)	(9,055)	(9,055)	(9,055)			
Forecast total capital financing requirement	(17,376)	(17,358)	(17,186)	(17,478)	0		
Interest payable budget	8,122	7,097	7,097	7,097			
MRP budget	8,742	8,742	8,742	8,742			
Total Budget	16,864	15,839	15,839	15,839			
Affordability headroom/(shortfall)	(512)	(1,519)	(1,347)	(1,639)	0		

Notes

- Contributions may not arise until after 2024/25.
- Capital receipts estimate is based on a prudent estimate of the Assets workstream forecast over the next three years.
- The revenue contributions to capital expenditure are based on the Councils' current RCCO budgets.
- By agreeing the 2019/20 budget, members are also agreeing the full costs of these particular projects either because of contractual or constructive obligations. Conversely, this does not mean that there is no case for years 2, 3, and 4 for the remaining projects but just that the council are not committed to

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Dorset Council Capital Strategy Report 2019/20

Introduction

This capital strategy is a new report for 2019/20, giving a high-level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of local public services along with an overview of how associated risk is managed and the implications for future financial sustainability. It has been written in an accessible style to enhance members' understanding of these sometimes technical areas.

Capital Expenditure and Financing

Capital expenditure is where the Council spends money on assets, such as property or vehicles, that will be used for more than one year. In local government this includes spending on assets owned by other bodies, and loans and grants to other bodies enabling them to buy assets. The Council has some limited discretion on what counts as capital expenditure, for example assets costing below prescribed limits are not capitalised and are charged to revenue in year.

In 2019/20, the Council is planning capital expenditure of £65.3m followed by £39.8m in 2020/21 and £26.8m in 2021/22. The main capital projects include fully funded projects totalling £37.6m, partially funded schemes of £5.1m and schemes requiring funding totalling £22.6m.

Governance: It is envisaged that Heads of Service bid annually to include projects in the Council's capital programme. Bids are collated by finance who calculate the financing cost (which can be nil if the project is fully externally financed). All bids will be appraised based on a comparison of service priorities against financing costs and makes recommendations to the relevant committee. The final capital programme is then presented to Executive in January and to Council in February each year.

- For full details of the Council's capital programme is available in the relevant committee reports or by request.

All capital expenditure must be financed, either from external sources (government grants and other contributions), the Council's own resources (revenue, reserves and capital receipts) or debt (borrowing, leasing and Private Finance Initiative). The planned financing of the above expenditure is as follows:

Table 1: Capital financing in £ millions

	2019/20 budget	2020/21 budget	2021/22 budget
External sources	40.2	25.0	19.3
Own resources	8.9	19.4	6.1
Debt	16.2	(4.6)*	1.4
TOTAL	65.3	39.8	26.8

**indicates a net repayment of debt*

Debt is only a temporary source of finance, since loans and leases must be repaid, and this is therefore replaced over time by other financing, usually from revenue which is known as minimum revenue provision (MRP). Alternatively, proceeds from selling capital assets (known as capital

receipts) may be used to replace debt finance. Planned MRP and use of capital receipts are as follows:

Table 2: Replacement of debt finance in £ millions

	2019/20 budget	2020/21 budget	2021/22 budget
Own resources	9.1	20.5	10.3

- The Council’s full minimum revenue provision statement is available on request.

The Council’s cumulative outstanding amount of debt finance is measured by the capital financing requirement (CFR). This increases with new debt-financed capital expenditure and reduces with MRP and capital receipts used to replace debt. The CFR is expected to increase during 2019/20. Based on the above figures for expenditure and financing, the Council’s estimated CFR is as follows:

Table 3: Prudential Indicator: Estimates of Capital Financing Requirement in £ millions

	31.3.2018 actual	31.3.2019 forecast*	31.3.2020 budget	31.3.2021 budget	31.3.2022 budget
Estimate CFR	359 0	369	376	362	355

*assumes £10m increase

Asset disposals: When a capital asset is no longer needed, it may be sold so that the proceeds, known as capital receipts, can be spent on new assets or to repay debt. The Council is currently also permitted to spend capital receipts on service transformation projects until 2021/22. Repayments of capital grants, loans and investments also generate capital receipts. The Council plans to apply capital receipts to current capital expenditure in the coming financial year and following years as follows:

Table 4: Capital receipts in £ millions

	2019/20 budget	2020/21 budget	2021/22 budget
Asset sales	0	11.5	1.2

- Further details of planned asset disposals are available on request.

Treasury Management

Treasury management is concerned with keeping sufficient but not excessive cash available to meet the Council’s spending needs, while managing the risks involved. Surplus cash is invested until required, while a shortage of cash will be met by borrowing, to avoid excessive credit balances or overdrafts in the bank current account. The Council is typically cash rich in the short-term as revenue income is received before it is spent, but cash poor in the long-term as capital expenditure is incurred before being financed. The revenue cash surpluses are offset against capital cash shortfalls to reduce overall borrowing.

Borrowing strategy: The Council’s main objectives when borrowing are to achieve a low but certain cost of finance while retaining flexibility should plans change in future. These objectives are often conflicting, and the Council therefore seeks to strike a balance between cheap short-term

loans (currently available at around 0.75%) and long-term fixed rate loans where the future cost is known but higher (currently 2.0 to 3.0%).

Projected levels of the Council's total outstanding debt (which comprises borrowing, PFI liabilities, leases are shown below, compared with the capital financing requirement (see above).

Table 5: Prudential Indicator: Gross Debt and the Capital Financing Requirement in £ millions

	31.3.2019 forecast	31.3.2020 budget	31.3.2021 budget	31.3.2022 budget
Debt (incl. PFI & leases)	278.4	293.1	287.0	286.9
Capital Financing Requirement	369.0	376.2	362.4	354.9

Statutory guidance is that debt should remain below the capital financing requirement, except in the short-term. As can be seen from table 6, the Council expects to comply with this in the medium term.

Liability benchmark: To compare the Council's actual borrowing against an alternative strategy, a liability benchmark can be calculated showing the lowest risk level of borrowing. This work will be undertaken following further balance sheet analysis and consolidation following year end.

Affordable borrowing limit: The Council is legally obliged to set an affordable borrowing limit (also termed the authorised limit for external debt) each year. In line with statutory guidance, a lower "operational boundary" is also set as a warning level should debt approach the limit.

Table 6: Prudential Indicators: Authorised limit and operational boundary for external debt in £m

	2018/19 limit	2019/20 limit	2020/21 limit	2021/22 limit
Authorised limit - borrowing	472,500	400,000	400,000	400,000
Authorised limit - PFI and leases	36,000	35,000	35,000	35,000
Authorised limit - total external debt	508,500	435,000	435,000	435,000
Operational boundary - borrowing	448,000	390,000	390,000	390,000
Operational boundary - PFI and leases	36,000	35,000	35,000	35,000
Operational boundary - total external debt	484,000	425,000	425,000	425,000

- Further details on borrowing are in the treasury management strategy.

Investment strategy: Treasury investments arise from receiving cash before it is paid out again. Investments made for service reasons or for pure financial gain are not generally considered to be part of treasury management.

The Council's policy on treasury investments is to prioritise security and liquidity over yield, that is to focus on minimising risk rather than maximising returns. Cash that is likely to be spent in the near term is invested securely, for example with the government, other local authorities or selected high-quality banks, to minimise the risk of loss. Money that will be held for longer terms is invested more widely, including in bonds, shares and property, to balance the risk of loss against the risk of receiving returns below inflation. Both near-term and longer-term investments may be held in pooled funds, where an external fund manager makes decisions on which particular investments to buy and the Council may request its money back at short notice.

Total investments (as at December 2018) totalled £236.5m with £87.3m invested in pooled funds that are generally longer-term investments. It is envisaged that total longer-term investments will further increase in line with previously approved strategy.

Governance: Decisions on treasury management investment and borrowing are made daily and are therefore delegated to the relevant Director/Head of Services/staff, who must act in line with the treasury management strategy approved by full Council. Quarterly reports on treasury management activity are presented and scrutinised by the relevant committee(s).

Investments for Service Purposes

The Council makes investments to assist local public services, including making loans to local groups/charities. In light of the public service objective, the Council is willing to take more risk than with treasury investments; however it still plans for such investments to generate a profit after all costs.

Governance: Decisions on service investments are made by the relevant Head of Service in consultation with the S151 officer and must meet the criteria and limits laid down in the relevant strategy. Most loans are capital expenditure and purchases will therefore also be approved as part of the capital programme.

Commercial Activities

With central government financial support for local public services declining, the Council may invest in commercial property purely or mainly for financial gain. Work continues on classifying and consolidating total commercial investments.

With financial return being the main objective, the Council accepts higher risk on commercial investment than with treasury investments. The principal risk exposures include vacancies and falls in capital value. These risks are managed by the relevant service area. In order that commercial investments remain proportionate to the size of the authority, these will become subject to an overall maximum investment limit and contingency plans will be in place should expected yields not materialise.

Governance: Decisions on commercial investments are made by the relevant Director in line with the criteria and limits approved by council in the investment strategy. Property and most other commercial investments are also capital expenditure and purchases will therefore also be approved as part of the capital programme.

The Council also has commercial activities, for example, hotels that generate a net income after costs, but exposing it to normal commercial risks. These risks are managed by the relevant Head of Service.

Liabilities

In addition to debt, the Council is committed to making future payments to cover its pension fund deficit (valued at £846m). It is also liable to set aside resources to cover risks of major provisions and financial guarantees. The Council is also at risk of having to pay for major contingent liabilities.

Governance: Decisions on incurring new discretionary liabilities are taken by Heads of Service in consultation with the relevant Director. The risk of liabilities crystallising and requiring payment is monitored by finance and reported to committee.

- Further details on liabilities and guarantees can be found in the statement of accounts.

Revenue Budget Implications

Although capital expenditure is not charged directly to the revenue budget, interest payable on loans and MRP are charged to revenue, offset by any investment income receivable. The net annual charge is known as financing costs; this is compared to the net revenue stream i.e. the amount funded from Council Tax, business rates and general government grants. For 2019/20 the proportion of financing costs (net £13.6m) to net revenue stream is 4.6%.

Sustainability: Due to the very long-term nature of capital expenditure and financing, the revenue budget implications of expenditure incurred in the next few years will extend for up to 50 years into the future. The Strategic Director is satisfied that the proposed capital programme is prudent, affordable and sustainable.

Knowledge and Skills

The Council employs professionally qualified and experienced staff in senior positions with responsibility for making capital expenditure, borrowing and investment decisions. For example, the Corporate Director is a qualified accountant with many years' experience. The Council pays for junior staff to study towards relevant professional qualifications including CIPFA and ACCA.

Where Council staff do not have the knowledge and skills required, use is made of external advisers and consultants that are specialists in their field. The Council currently employs Arlingclose Limited as treasury management advisers. This approach is more cost effective than employing such staff directly, and ensures that the Council has access to knowledge and skills commensurate with its risk appetite.

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Dorset Council Treasury Management Strategy Statement 2019/20

Introduction

Treasury management is the management of the Authority's cash flows, borrowing and investments, and the associated risks. The Authority has borrowed and invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of financial risk are therefore central to the Authority's prudent financial management.

Treasury risk management at the Authority is conducted within the framework of the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2017 Edition* (the CIPFA Code) which requires the Authority to approve a treasury management strategy before the start of each financial year. This report fulfils the Authority's legal obligation under the *Local Government Act 2003* to have regard to the CIPFA Code.

Investments held for service purposes or for commercial profit are considered in the Investment Strategy.

External Context

Economic background: The UK's progress negotiating its exit from the European Union, together with its future trading arrangements, will continue to be a major influence on the Authority's treasury management strategy for 2019/20.

UK Consumer Price Inflation (CPI) for October was up 2.4% year/year, slightly below the consensus forecast and broadly in line with the Bank of England's November Inflation Report. The most recent labour market data for October 2018 showed the unemployment rate edged up slightly to 4.1% while the employment rate of 75.7% was the joint highest on record. The 3-month average annual growth rate for pay excluding bonuses was 3.3% as wages continue to rise steadily and provide some pull on general inflation. Adjusted for inflation, real wages grew by 1.0%, a level still likely to have little effect on consumer spending.

The rise in quarterly GDP growth to 0.6% in Q3 from 0.4% in the previous quarter was due to weather-related factors boosting overall household consumption and construction activity over the summer following the weather-related weakness in Q1. At 1.5%, annual GDP growth continues to remain below trend. Looking ahead, the BoE, in its November Inflation Report, expects GDP growth to average around 1.75% over the forecast horizon, providing the UK's exit from the EU is relatively smooth.

Following the Bank of England's decision to increase Bank Rate to 0.75% in August, no changes to monetary policy has been made since. However, the Bank expects that should the economy continue to evolve in line with its November forecast, further increases in Bank Rate will be required to return inflation to the 2% target. The Monetary Policy Committee continues to reiterate that any further increases will be at a gradual pace and limited in extent.

While US growth has slowed over 2018, the economy continues to perform robustly. The US Federal Reserve continued its tightening bias throughout 2018, pushing rates to the current 2%-2.25% in September. Markets continue to expect one more rate rise in December, but expectations are fading that the further hikes previously expected in 2019 will materialise as concerns over trade wars drag on economic activity.

Credit outlook: The big four UK banking groups have now divided their retail and investment banking divisions into separate legal entities under ringfencing legislation. Bank of Scotland, Barclays Bank UK, HSBC UK Bank, Lloyds Bank, National Westminster Bank, Royal Bank of Scotland and Ulster Bank are the ringfenced banks that now only conduct lower risk retail banking activities. Barclays Bank, HSBC Bank, Lloyds Bank Corporate Markets and NatWest Markets are the investment banks. Credit rating agencies have adjusted the ratings of some of these banks with the ringfenced banks generally being better rated than their non-ringfenced counterparts.

The Bank of England released its latest report on bank stress testing, illustrating that all entities included in the analysis were deemed to have passed the test once the levels of capital and potential mitigating actions presumed to be taken by management were factored in. The BoE did not require any bank to raise additional capital.

European banks are considering their approach to Brexit, with some looking to create new UK subsidiaries to ensure they can continue trading here. The credit strength of these new banks remains unknown, although the chance of parental support is assumed to be very high if ever needed. The uncertainty caused by protracted negotiations between the UK and EU is weighing on the creditworthiness of both UK and European banks with substantial operations in both jurisdictions.

Interest rate forecast: Following the increase in Bank Rate to 0.75% in August 2018, the Authority’s treasury management adviser Arlingclose is forecasting two more 0.25% hikes during 2019 to take official UK interest rates to 1.25%. The Bank of England’s MPC has maintained expectations for slow and steady rate rises over the forecast horizon. The MPC continues to have a bias towards tighter monetary policy but is reluctant to push interest rate expectations too strongly. Arlingclose believes that MPC members consider both that ultra-low interest rates result in other economic problems, and that higher Bank Rate will be a more effective policy weapon should downside Brexit risks crystallise when rate cuts will be required.

The UK economic environment remains relatively soft, despite seemingly strong labour market data. Arlingclose’s view is that the economy still faces a challenging outlook as it exits the European Union and Eurozone growth softens. While assumptions are that a Brexit deal is struck and some agreement reached on transition and future trading arrangements before the UK leaves the EU, the possibility of a “no deal” Brexit still hangs over economic activity. As such, the risks to the interest rate forecast are considered firmly to the downside.

Gilt yields and hence long-term borrowing rates have remained at low levels but some upward movement from current levels is expected based on Arlingclose’s interest rate projections, due to the strength of the US economy and the ECB’s forward guidance on higher rates. 10-year and 20-year gilt yields are forecast to remain around 1.7% and 2.2% respectively over the interest rate forecast horizon, however volatility arising from both economic and political events are likely to continue to offer borrowing opportunities.

A more detailed economic and interest rate forecast provided by Arlingclose is attached at Appendix A.

Local Context

On December 2018, the Authority held £244m of borrowing and £237m of investments. This is set out in further detail at **Appendix B**. Balance sheet analysis and forecasting is due to be undertaken, estimated forecast changes in these sums are shown in the balance sheet analysis in table 1 below.

Table 1: Balance sheet summary and forecast

	31.3.19	31.3.20	31.3.21	31.3.22
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DORSET COUNCIL TMSS 2019/2020

	Estimate £m	Forecast £m	Forecast £m	Forecast £m
General Fund CFR	369.0	376.2	362.4	354.9
Less: Other debt liabilities *	34.1	32.6	31.1	29.6
Less: External borrowing	244.3	260.5	255.9	257.3
Internal (over) borrowing	90.6	83.1	75.4	68.0

* finance leases & PFI liabilities

The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. The Authority's current strategy is to maintain borrowing and investments below their underlying levels, sometimes known as internal borrowing.

The Authority has an increasing CFR due to the capital programme, but future capital receipts and budget provision will subsequently reduce borrowing.

CIPFA's *Prudential Code for Capital Finance in Local Authorities* recommends that the Authority's total debt should be lower than its highest forecast CFR over the next three years. Table 1 shows that the Authority expects to comply with this recommendation during 2019/20.

Liability benchmark: To compare the Council's actual borrowing against an alternative strategy, a liability benchmark can be calculated showing the lowest risk level of borrowing. This work will be undertaken following further balance sheet analysis and consolidation following year end.

Borrowing Strategy

The Authority currently holds £244 million of loans, an increase over the previous year, as part of its strategy for funding previous years' capital programmes. The balance sheet forecast in table 1 shows that the Authority expects to borrow in 2019/20. The Authority may also borrow additional sums to pre-fund future years' requirements, providing this does not exceed the authorised limit for borrowing of £435 million.

Objectives: The Authority's chief objective when borrowing money is to strike an appropriately low risk balance between securing low interest costs and achieving certainty of those costs over the period for which funds are required. The flexibility to renegotiate loans should the Authority's long-term plans change is a secondary objective.

Strategy: Given the significant cuts to public expenditure and in particular to local government funding, the Authority's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio. With short-term interest rates currently much lower than long-term rates, it is likely to be more cost effective in the short-term to either use internal resources, or to borrow short-term loans instead.

By doing so, the Authority is able to reduce net borrowing costs (despite foregone investment income) and reduce overall treasury risk. The benefits of internal borrowing will be monitored regularly against the potential for incurring additional costs by deferring borrowing into future years when long-term borrowing rates are forecast to rise modestly. Arlingclose will assist the Authority with this 'cost of carry' and breakeven analysis. Its output may determine whether the Authority borrows additional sums at long-term fixed rates in 2019/20 with a view to keeping future interest costs low, even if this causes additional cost in the short-term.

Alternatively, the Authority may arrange forward starting loans during 2019/20, where the interest rate is fixed in advance, but the cash is received in later years. This would enable certainty of cost to be achieved without suffering a cost of carry in the intervening period.

In addition, the Authority may borrow short-term loans to cover unplanned cash flow shortages.

Sources of borrowing: The approved sources of long-term and short-term borrowing are:

- Public Works Loan Board (PWLB) and any successor body
- any institution approved for investments (see below)
- any other bank or building society authorised to operate in the UK
- any other UK public sector body
- UK public and private sector pension funds (except Dorset Pension Fund)
- capital market bond investors
- UK Municipal Bonds Agency plc and other special purpose companies created to enable local authority bond issues

Other sources of debt finance: In addition, capital finance may be raised by the following methods that are not borrowing, but may be classed as other debt liabilities:

- leasing
- hire purchase
- Private Finance Initiative
- sale and leaseback

The Authority has previously raised long-term borrowing from the PWLB but it continues to investigate other sources of finance, such as local authority loans and bank loans, that may be available at more favourable rates.

Municipal Bonds Agency: UK Municipal Bonds Agency plc was established in 2014 by the Local Government Association as an alternative to the PWLB. It plans to issue bonds on the capital markets and lend the proceeds to local authorities. This will be a more complicated source of finance than the PWLB for two reasons: borrowing authorities will be required to provide bond investors with a joint and several guarantee to refund their investment in the event that the agency is unable to for any reason; and there will be a lead time of several months between committing to borrow and knowing the interest rate payable. Any decision to borrow from the Agency will therefore be the subject of a separate report to full Council.

LOBOs: The Authority holds £90.5m of LOBO (Lender's Option Borrower's Option) loans where the lender has the option to propose an increase in the interest rate at set dates, following which the Authority has the option to either accept the new rate or to repay the loan at no additional cost. £11m of these LOBOs have options during 2019/20, and although the Authority understands that lenders are unlikely to exercise their options in the current low interest rate environment, there remains an element of refinancing risk. The Authority will take the option to repay LOBO loans at no cost if it has the opportunity to do so.

Short-term and variable rate loans: These loans leave the Authority exposed to the risk of short-term interest rate rises and are therefore subject to the interest rate exposure limits in the treasury management indicators below.

Debt rescheduling: The PWLB allows authorities to repay loans before maturity and either pay a premium or receive a discount according to a set formula based on current interest rates. Other lenders

may also be prepared to negotiate premature redemption terms. The Authority may take advantage of this and replace some loans with new loans, or repay loans without replacement, where this is expected to lead to an overall cost saving or a reduction in risk.

Investment Strategy

The Authority holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. In the past 12 months, the Authority's investment balances in the region of £240million, and similar levels are expected to be maintained in the forthcoming year.

Objectives: The CIPFA Code requires the Authority to invest its funds prudently, and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Authority's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income. Where balances are expected to be invested for more than one year, the Authority will aim to achieve a total return that is equal or higher than the prevailing rate of inflation, in order to maintain the spending power of the sum invested.

Negative interest rates: If the UK enters into a recession in 2019/20, there is a small chance that the Bank of England could set its Bank Rate at or below zero, which is likely to feed through to negative interest rates on all low risk, short-term investment options. This situation already exists in many other European countries. In this event, security will be measured as receiving the contractually agreed amount at maturity, even though this may be less than the amount originally invested.

Strategy: Given the increasing risk and very low returns from short-term unsecured bank investments, the Authority aims to further diversify into more secure and/or higher yielding asset classes during 2019/20. This is especially the case for balances available for longer-term investment. The majority of the Authority's surplus cash is currently invested in short-term unsecured bank deposits and money market funds. This diversification will represent a continuation of the current strategy adopted.

Business models: Under the new IFRS 9 standard, the accounting for certain investments depends on the Authority's "business model" for managing them. The Authority aims to achieve value from its internally managed treasury investments by a business model of collecting the contractual cash flows and therefore, where other criteria are also met, these investments will continue to be accounted for at amortised cost.

Approved counterparties: The Authority may invest its surplus funds with any of the counterparty types in table 2 below, subject to the cash limits (per counterparty) and the time limits shown.

Table 2: Approved investment counterparties and limits (principal)

Credit rating	Banks unsecured	Banks secured	Government	Corporates	Registered Providers
UK Govt	n/a	n/a	£ Unlimited 50 years	n/a	n/a
AAA	£10m 5 years	£20m 20 years	£20m 50 years	£10m 20 years	£10m 20 years
AA+	£10m 5 years	£20m 10 years	£20m 25 years	£10m 10 years	£10m 10 years
AA	£10m 4 years	£20m 5 years	£20m 15 years	£10m 5 years	£10m 10 years
AA-	£10m 3 years	£20m 4 years	£20m 10 years	£10m 4 years	£10m 10 years
A+	£10m 2 years	£20m 3 years	£10m 5 years	£10m 3 years	£10m 5 years
A	£10m 13 months	£20m 2 years	£10m 5 years	£10m 2 years	£10m 5 years
A-	£10m 6 months	£20m 13 months	£10m 5 years	£10m 13 months	£10m 5 years
None	£4m 6 months	n/a	£20m 25 years	£500,000 5 years	£10m 5 years
Pooled funds and real estate investment trusts		£20m per fund or trust (Property Funds £40m)			

This table must be read in conjunction with the notes below

Credit rating: Investment limits are set by reference to the lowest published long-term credit rating from a selection of external rating agencies. Where available, the credit rating relevant to the specific investment or class of investment is used, otherwise the counterparty credit rating is used. However, investment decisions are never made solely based on credit ratings, and all other relevant factors including external advice will be taken into account.

Banks unsecured: Accounts, deposits, certificates of deposit and senior unsecured bonds with banks and building societies, other than multilateral development banks. These investments are subject to the risk of credit loss via a bail-in should the regulator determine that the bank is failing or likely to fail. See below for arrangements relating to operational bank accounts.

Banks secured: Covered bonds, reverse repurchase agreements and other collateralised arrangements with banks and building societies. These investments are secured on the bank's assets, which limits the potential losses in the unlikely event of insolvency, and means that they are exempt from bail-in. Where there is no investment specific credit rating, but the collateral upon which the investment is secured has a credit rating, the higher of the collateral credit rating and the counterparty credit rating will be used to determine cash and time limits. The combined secured and unsecured investments in any one bank will not exceed the cash limit for secured investments.

Government: Loans, bonds and bills issued or guaranteed by national governments, regional and local authorities and multilateral development banks. These investments are not subject to bail-in, and there is generally a lower risk of insolvency, although they are not zero risk. Investments with the UK Central Government may be made in unlimited amounts for up to 50 years.

Corporates: Loans, bonds and commercial paper issued by companies other than banks and registered providers. These investments are not subject to bail-in, but are exposed to the risk of the company going

insolvent. Loans to unrated companies will only be made either following an external credit assessment or to a maximum of £500,000 per company as part of a diversified pool in order to spread the risk widely.

Registered providers: Loans and bonds issued by, guaranteed by or secured on the assets of registered providers of social housing and registered social landlords, formerly known as housing associations. These bodies are tightly regulated by the Regulator of Social Housing (in England), the Scottish Housing Regulator, the Welsh Government and the Department for Communities (in Northern Ireland). As providers of public services, they retain the likelihood of receiving government support if needed.

Pooled funds: Shares or units in diversified investment vehicles consisting of the any of the above investment types, plus equity shares and property. These funds have the advantage of providing wide diversification of investment risks, coupled with the services of a professional fund manager in return for a fee. Short-term Money Market Funds that offer same-day liquidity and very low or no volatility will be used as an alternative to instant access bank accounts, while pooled funds whose value changes with market prices and/or have a notice period will be used for longer investment periods.

Bond, equity and property funds offer enhanced returns over the longer term, but are more volatile in the short term. These allow the Authority to diversify into asset classes other than cash without the need to own and manage the underlying investments. Because these funds have no defined maturity date, but are available for withdrawal after a notice period, their performance and continued suitability in meeting the Authority's investment objectives will be monitored regularly.

Real estate investment trusts: Shares in companies that invest mainly in real estate and pay the majority of their rental income to investors in a similar manner to pooled property funds. As with property funds, REITs offer enhanced returns over the longer term, but are more volatile especially as the share price reflects changing demand for the shares as well as changes in the value of the underlying properties.

Operational bank accounts: The Authority may incur operational exposures, for example through current accounts, collection accounts and merchant acquiring services, to any UK bank with credit ratings no lower than BBB- and with assets greater than £25 billion. These are not classed as investments, but are still subject to the risk of a bank bail-in, and balances will therefore endeavour to be kept below £500,000 per bank e.g. Santander Giro payments account weekly transfer. The Bank of England has stated that in the event of failure, banks with assets greater than £25 billion are more likely to be bailed-in than made insolvent, increasing the chance of the Authority maintaining operational continuity.

Risk assessment and credit ratings: Credit ratings are obtained and monitored by the Authority's treasury advisers, who will notify changes in ratings as they occur. Where an entity has its credit rating downgraded so that it fails to meet the approved investment criteria then:

- no new investments will be made,
- any existing investments that can be recalled or sold at no cost will be, and
- full consideration will be given to the recall or sale of all other existing investments with the affected counterparty.

Where a credit rating agency announces that a credit rating is on review for possible downgrade (also known as "rating watch negative" or "credit watch negative") so that it may fall below the approved rating criteria, then only investments that can be withdrawn on the next working day will be made with that organisation until the outcome of the review is announced. This policy will not apply to negative outlooks, which indicate a long-term direction of travel rather than an imminent change of rating.

Other information on the security of investments: The Authority understands that credit ratings are good, but not perfect, predictors of investment default. Full regard will therefore be given to other

available information on the credit quality of the organisations in which it invests, including credit default swap prices, financial statements, information on potential government support, reports in the quality financial press and analysis and advice from the Authority's treasury management adviser. No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may otherwise meet the above criteria.

When deteriorating financial market conditions affect the creditworthiness of all organisations, as happened in 2008 and 2011, this is not generally reflected in credit ratings, but can be seen in other market measures. In these circumstances, the Authority will restrict its investments to those organisations of higher credit quality and reduce the maximum duration of its investments to maintain the required level of security. The extent of these restrictions will be in line with prevailing financial market conditions. If these restrictions mean that insufficient commercial organisations of high credit quality are available to invest the Authority's cash balances, then the surplus will be deposited with the UK Government via the Debt Management Office or invested in government treasury bills for example, or with other local authorities. This will cause a reduction in the level of investment income earned, but will protect the principal sum invested.

Investment limits: The Authority's revenue reserves are able to cover investment losses. In order that there is no immediate pressure on available reserves in the case of a single default, the maximum that will be lent to any one organisation (other than the UK Government) will be £20 million (£40 million for property funds). A group of banks under the same ownership will be treated as a single organisation for limit purposes. Limits will also be placed on fund managers, investments in brokers' nominee accounts, foreign countries and industry sectors as below. Investments in pooled funds and multilateral development banks do not count against the limit for any single foreign country, since the risk is diversified over many countries.

Table 3: Investment limits

	Cash limit
Any single organisation, except the UK Central Government	£20m each
UK Central Government	unlimited
Any group of organisations under the same ownership	£20m per group
Any group of pooled funds under the same management	£50m per manager
Negotiable instruments held in a broker's nominee account	£50m per broker
Foreign countries	£20m per country
Registered providers and registered social landlords	£50m in total
Unsecured investments with building societies	£20m in total
Loans to unrated corporates	£20m in total
Money market funds	£100m in total
Property funds	£40m each
Real estate investment trusts	£50m in total

Liquidity management: The Authority currently uses cash flow forecasting spreadsheets to determine the maximum period for which funds may prudently be committed. The forecast is compiled on a prudent basis to minimise the risk of the Authority being forced to borrow on unfavourable terms to meet its financial commitments. Limits on long-term investments are set by reference to the Authority's medium-term financial plan and cash flow forecast.

Treasury Management Indicators

The Authority measures and manages its exposures to treasury management risks using the following indicators.

Security: The Authority has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit score of its investment portfolio. This is calculated by applying a score to each investment (AAA=1, AA+=2, etc.) and taking the arithmetic average, weighted by the size of each investment. Unrated investments are assigned a score based on their perceived risk.

Credit risk indicator	Target
Portfolio average credit score (target of 6 equates to an ave credit score of A)	6.0

Liquidity: The Authority has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three month period, without additional borrowing.

Liquidity risk indicator	Target
Total cash available within 100 days	36%

Interest rate exposures: This indicator is set to control the Authority's exposure to interest rate risk. The upper limits on the one-year revenue impact of a 1% rise or fall in interest rates will be:

Interest rate risk indicator - if based on £30m	Limit
Upper limit on <u>one-year</u> revenue impact of a 1% <u>rise</u> in interest rates	£300,000
Upper limit on <u>one-year</u> revenue impact of a 1% <u>fall</u> in interest rates	£300,000

The impact of a change in interest rates is calculated on the assumption that maturing loans and investments will be replaced at current rates.

Maturity structure of borrowing: This indicator is set to control the Authority's exposure to refinancing risk. The upper and lower limits on the maturity structure of borrowing will be:

Refinancing rate risk indicator	Upper limit	Lower limit
Under 12 months	100%	0%
12 months and within 24 months	100%	0%
24 months and within 5 years	100%	0%
5 years and within 10 years	100%	0%
10 years and above	100%	0%

Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.

Principal sums invested for periods longer than a year: The purpose of this indicator is to control the Authority's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the long-term principal sum invested to final maturities beyond the period end will be:

Price risk indicator	2019/20	2020/21	2021/22
Limit on principal invested beyond year end	100%	100%	100%

Related Matters

The CIPFA Code requires the Authority to include the following in its treasury management strategy.

Financial Derivatives: Local authorities have previously made use of financial derivatives embedded into loans and investments both to reduce interest rate risk (e.g. interest rate collars and forward deals) and to reduce costs or increase income at the expense of greater risk (e.g. LOBO loans and callable deposits). The general power of competence in Section 1 of the *Localism Act 2011* removes much of the uncertainty over local authorities' use of standalone financial derivatives (i.e. those that are not embedded into a loan or investment).

The Authority will only use standalone financial derivatives (such as swaps, forwards, futures and options) where they can be clearly demonstrated to reduce the overall level of the financial risks that the Authority is exposed to. Additional risks presented, such as credit exposure to derivative counterparties, will be taken into account when determining the overall level of risk. Embedded derivatives, including those present in pooled funds and forward starting transactions, will not be subject to this policy, although the risks they present will be managed in line with the overall treasury risk management strategy.

Financial derivative transactions may be arranged with any organisation that meets the approved investment criteria. The current value of any amount due from a derivative counterparty will count against the counterparty credit limit and the relevant foreign country limit.

Markets in Financial Instruments Directive: The Authority has opted up to professional client status with its providers of financial services, including advisers, banks, brokers and fund managers, allowing it access to a greater range of services but without the greater regulatory protections afforded to individuals and small companies. Given the size and range of the Authority's treasury management activities, the Chief Financial Officer believes this to be the most appropriate status.

Financial Implications

The budget for investment income in 2019/20 is £4.2million. The budget for debt interest paid in 2019/20 is £8.8million. If actual levels of investments and borrowing, or actual interest rates, differ from those forecast, performance against budget will be correspondingly different.

Other Options Considered

The CIPFA Code does not prescribe any particular treasury management strategy for local authorities to adopt. The Strategic Director/Chief Financial Officer believes that the above strategy represents an appropriate balance between risk management and cost effectiveness. Some alternative strategies, with their financial and risk management implications, are listed below.

DORSET COUNCIL TMSS 2019/2020

Alternative	Impact on income and expenditure	Impact on risk management
Invest in a narrower range of counterparties and/or for shorter times	Interest income will be lower	Lower chance of losses from credit related defaults, but any such losses may be greater
Invest in a wider range of counterparties and/or for longer times	Interest income will be higher	Increased risk of losses from credit related defaults, but any such losses may be smaller
Borrow additional sums at long-term fixed interest rates	Debt interest costs will rise; this is unlikely to be offset by higher investment income	Higher investment balance leading to a higher impact in the event of a default; however long-term interest costs may be more certain
Borrow short-term or variable loans instead of long-term fixed rates	Debt interest costs will initially be lower	Increases in debt interest costs will be broadly offset by rising investment income in the medium term, but long-term costs may be less certain
Reduce level of borrowing	Saving on debt interest is likely to exceed lost investment income	Reduced investment balance leading to a lower impact in the event of a default; however long-term interest costs may be less certain

Appendix A - Arlingclose Economic & Interest Rate Forecast December 2018

Underlying assumptions:

- Our central interest rate forecasts are predicated on there being a transitional period following the UK's official exit from the EU.
- The MPC has a bias towards tighter monetary policy but is reluctant to push interest rate expectations too strongly. We believe that MPC members consider that: 1) tight labour markets will prompt inflationary pressure in the future, 2) ultra-low interest rates result in other economic problems, and 3) higher Bank Rate will be a more effective policy weapon if downside risks to growth crystallise.
- Both our projected outlook and the increase in the magnitude of political and economic risks facing the UK economy means we maintain the significant downside risks to our forecasts, despite the potential for slightly stronger growth next year as business investment rebounds should the EU Withdrawal Agreement be approved. The potential for severe economic outcomes has increased following the poor reception of the Withdrawal Agreement by MPs. We expect the Bank of England to hold at or reduce interest rates from current levels if Brexit risks materialise.
- The UK economic environment is relatively soft, despite seemingly strong labour market data. GDP growth recovered somewhat in the middle quarters of 2018, but more recent data suggests the economy slowed markedly in Q4. Our view is that the UK economy still faces a challenging outlook as the country exits the European Union and Eurozone economic growth softens.
- Cost pressures are easing but inflation is forecast to remain above the Bank's 2% target through most of the forecast period. Lower oil prices have reduced inflationary pressure, but the tight labour market and decline in the value of sterling means inflation may remain above target for longer than expected.
- Global economic growth is slowing. Despite slower growth, the European Central Bank is conditioning markets for the end of QE, the timing of the first rate hike (2019) and their path thereafter. More recent US data has placed pressure on the Federal Reserve to reduce the pace of monetary tightening - previous hikes and heightened expectations will, however, slow economic growth.
- Central bank actions and geopolitical risks have and will continue to produce significant volatility in financial markets, including bond markets.

Forecast:

- The MPC has maintained expectations of a slow rise in interest rates over the forecast horizon, but recent events around Brexit have dampened interest rate expectations. Our central case is for Bank Rate to rise twice in 2019, after the UK exits the EU. The risks are weighted to the downside.
- Gilt yields have remained at low levels. We expect some upward movement from current levels based on our central case that the UK will enter a transitional period following its EU exit in March 2019. However, our projected weak economic outlook and volatility arising from both economic and political events will continue to offer borrowing opportunities.

DORSET COUNCIL TMSS 2019/2020

	Dec-18	Mar-19	Jun-19	Sep-19	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Average
Official Bank Rate														
Upside risk	0.00	0.00	0.00	0.00	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.17
Arlingclose Central Case	0.75	0.75	1.00	1.00	1.25	1.25	1.25	1.25	1.25	1.25	1.25	1.25	1.25	1.13
Downside risk	0.00	-0.50	-0.75	-0.75	-1.00	-1.00	-1.00	-1.00	-1.00	-1.00	-1.00	-1.00	-1.00	-0.85
3-mth money market rate														
Upside risk	0.10	0.10	0.10	0.10	0.15	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.17
Arlingclose Central Case	0.90	0.95	1.10	1.30	1.40	1.40	1.40	1.35	1.35	1.35	1.35	1.35	1.35	1.27
Downside risk	-0.20	-0.45	-0.60	-0.80	-0.90	-0.90	-0.90	-0.85	-0.85	-0.85	-0.85	-0.85	-0.85	-0.76
1-yr money market rate														
Upside risk	0.20	0.30	0.30	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.33
Arlingclose Central Case	1.15	1.25	1.35	1.50	1.70	1.60	1.50	1.40	1.35	1.35	1.35	1.35	1.35	1.40
Downside risk	-0.35	-0.50	-0.60	-0.80	-0.90	-0.90	-0.90	-0.85	-0.85	-0.85	-0.85	-0.85	-0.85	-0.77
5-yr gilt yield														
Upside risk	0.25	0.30	0.30	0.35	0.35	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.37
Arlingclose Central Case	1.15	1.25	1.35	1.50	1.50	1.40	1.35	1.35	1.30	1.30	1.30	1.30	1.30	1.33
Downside risk	-0.50	-0.60	-0.65	-0.80	-0.80	-0.70	-0.65	-0.65	-0.65	-0.65	-0.65	-0.65	-0.65	-0.66
10-yr gilt yield														
Upside risk	0.25	0.30	0.30	0.35	0.35	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.37
Arlingclose Central Case	1.50	1.65	1.70	1.80	1.80	1.75	1.75	1.70	1.70	1.70	1.70	1.70	1.70	1.70
Downside risk	-0.55	-0.70	-0.70	-0.80	-0.80	-0.75	-0.75	-0.70	-0.70	-0.70	-0.70	-0.70	-0.70	-0.71
20-yr gilt yield														
Upside risk	0.25	0.30	0.30	0.35	0.35	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.37
Arlingclose Central Case	2.00	2.10	2.20	2.20	2.20	2.20	2.20	2.20	2.20	2.20	2.20	2.20	2.20	2.18
Downside risk	-0.60	-0.70	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.73
50-yr gilt yield														
Upside risk	0.25	0.30	0.30	0.35	0.35	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.40	0.37
Arlingclose Central Case	1.90	1.95	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	1.99
Downside risk	-0.60	-0.70	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.75	-0.73

PWLB Certainty Rate (Maturity Loans) = Gilt yield + 0.80%

PWLB Infrastructure Rate (Maturity Loans) = Gilt yield + 0.60%

Appendix B - Existing Investment & Debt Portfolio Position

	Dec 2018 Actual Portfolio £m
External borrowing:	
Public Works Loan Board	87.2
Local authorities	35.0
LOBO loans from banks	96.5
Other loans	25.6
Total external borrowing	244.3
Other long-term liabilities:	
Private Finance Initiative /Finance Lease Liabilities	34.1
Total gross external debt	278.4
Treasury investments:	
Banks & building societies (unsecured)	14.6
Covered bonds & repo (secured)	8.2
Government (incl. local authorities)	51.9
Money Market Funds	74.5
<u>Other pooled funds</u>	
-CCLA Local Authorities Property Fund	14.5
-LIME Property Fund	2.8
-Payden Sterling Reserve Fund	7.1
-HC Charteris Premium Income Fund	2.8
-UBS Multi Asset Income Fund	6.5
-City Financial Diversified Fixed Interest Fund	1.7
-Schroders Income Maximiser Fund	6.9
-City Financial Multi Asset Income Fund	4.8
-M&G Global Dividend Fund	9.2
-CCLA Diversified Income Fund	3.5
-M&G Strategic Corporate Bond Fund	4.7
-Threadneedle Strategic Bond Fund	5.7
-Threadneedle Equity Income Fund	5.8
-Investec Diversified Income Fund	6.3
-Royal London Enhanced Cash Plus Fund	2.0
-Threadneedle Short Dated Corporate Bond Fund	3.0
Total treasury investments	236.5
Net debt	41.9

Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Tony Ferrari – Lead Member for Finance
Officer	Nicola Houwayek, HR Strategic Lead, Shaping Dorset Council
Subject of Report	Local Government Pension Scheme (LGPS) Employer Discretions Policy Statement
Executive Summary	<p>The LGPS regulations require all scheme employers to prepare and publish a pension discretions policy statement.</p> <p>This report sets out the proposed policy statement that is recommended for adoption by the new Dorset Council with effect from 1 April 2019.</p> <p>The discretions cover a range of areas for existing scheme members and deferred beneficiaries and include flexible retirement, additional pension contribution arrangements and early access to deferred benefits.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>The policy discretions that are recommended require that each case is considered on its own merits and ensuring that this can be objectively justified and full consideration given to potential discrimination.</p>
	<p>Use of Evidence:</p> <p>A range of evidence has been used to develop the options including pension regulations, the approach of existing sovereign councils, feedback from the HR policy work stream and effectiveness of use moving forward.</p>
	<p>Budget:</p> <p>There are no direct cost implications arising from this report. If the proposed policy statement is approved, the budgetary position remains unchanged. Application of the discretions are considered on an individual case by case basis.</p>

	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk: LOW</p>
	<p>Other Implications:</p> <p>None.</p>
Recommendation	It is recommended that the Shadow Executive approves the implementation and publication of the pensions discretion policy statement for Dorset Council
Reason for Recommendation	To comply with the requirements under the LGPS regulations and to ensure that a consistent approach is taken in consideration of all cases.
Appendices	Appendix 1: Pensions Discretion Policy Statement
Background Papers	None
Officer Contact	Name: Steve Barrett Tel: 01305 838319 Email: sbarrett@dorset.gov.uk

1. Background

1.1 All employing authorities providing the Local Government Pension Scheme (LGPS) have various discretionary powers under LGPS regulations.

1.2 All councils must publish and keep under review a statement of policy on how they will exercise their discretions. This report sets out the proposed pension discretions policy statement for adoption by the new Dorset Council.

2. LGPS Discretions

2.1 The discretions relate to whether or not Dorset Council will allow LGPS members to access their pension benefits early in a number of different circumstances. In formulating the policy statement, the employer is required to consider:

- discrimination
- cost
- fettering (making the policy unnecessarily restrictive)
- the extent to which exercising a discretion could lead to a serious loss of confidence in the public sector

2.2 With regard to each discretion, employers can decide:

- Not to exercise their discretion
- To apply a standard approach to all applications
- To exercise their discretion on a case by case basis
- To implement a more detailed approach in relation to a discretion

2.3 The discretion policy statements for existing sovereign councils are broadly similar and the proposed approach is largely based upon existing arrangements. This includes the key aim of taking a 'case by case' approach to each consideration.

2.4 The statement of policy uses the template provided by the Pension Fund and will ensure that application of the policy takes account of business need and the ability to support employees where there are exceptional circumstances, such as compassionate grounds.

3. Next Steps

3.1 Once the policy statement has been approved, it will be shared with the Pension Fund and published on the website.

Nicola Houwayek
HR Strategic Lead, Shaping Dorset Council

23 January 2019

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Dorset Council

Local Government Pension Scheme 2014 Discretions

Statement of Policy

The Local Government Pension Scheme (LGPS) Regulations 2013 [R]
 The LGPS (Transitional Provisions and Savings) Regulations 2014 [TP]
 The LGPS (Administration) Regulations 2008 [A]
 The LGPS (Benefits, Membership and Contributions) Regulations 2007 (as amended) [B]
 The LGPS (Transitional Provisions) Regulations 2008 [T]
 The LGPS Regulations 1997 (as amended) [L]
 The LGPS (Miscellaneous Regulations) 2012 [E]
 The LGPS Regulation 1995 [C]

Part A – Compulsory Policy Statement

Regulation	Policy Recommendations
<p>Regulations 16(2)(e) and 16(4)(d) [R]</p> <p><u>Power of employing authority to contribute to a shared cost APC scheme</u></p> <p>Whether, where an active member wishes to purchase extra annual pension of up to £6,822 (figure at 1 April 2018) by making additional pension contributions (APCs), to voluntarily contribute towards the cost of purchasing that extra pension via a shared cost additional pension contribution (SCAPC)</p>	<p>The Council will not normally fund any APC arrangement voluntarily entered into, except in cases specifically agreed by the relevant decision making body on exceptional compassionate grounds.</p> <p>(This statement does not apply in cases where the shared cost APC is to cover a period of authorised unpaid leave)</p>
<p>Sch 2, para 1 (1) (c) [TP]</p> <p><u>Power of employing authority to apply 85 Year Rule (always excludes flexible retirement) upon the voluntary early payment of deferred benefits</u></p> <p>Whether to "switch on" the 85 Year Rule for a member voluntarily drawing benefits on or after age 55 and before age 60. Whether to waive, on compassionate grounds, the actuarial reduction applied to benefits where the employer has "switched on" the 85 Year Rule for a member voluntarily drawing benefits on or after age 55 and before age 60.</p>	<p>The Council will not normally switch on the 85 Year Rule, or waive the actuarial reduction in benefits from pre 01/04/2014 membership, for a member voluntarily drawing benefits on or after age 55 on exceptional compassionate grounds.</p> <p>Each case will be considered on its own merits, ensuring that the decision can be objectively justified and that potential discrimination issues are fully considered.</p>

Regulation	Policy Recommendations
<p>Regulation 30 (6) [R]</p> <p><u>Flexible retirement</u></p> <p>Whether all or some benefits can be paid if an employee aged 55 or over reduces their hours or grade (flexible retirement)</p> <p>Whether, in addition to the benefits the member has accrued prior to 1 April 2008 (which the member must draw), to permit the member to choose to draw</p> <ul style="list-style-type: none"> • all, part or none of the pension benefits they accrued after 31 March 2008 and before 1 April 2014, and / or • all, part or none of the pension benefits they accrued after 31 March 2014 <p>Whether to waive, in whole or in part, actuarial reduction on benefits paid on flexible retirement.</p>	<p>The Council will consider applications for flexible retirement where there is a business case. Applications are subject to approval by the Council in accordance with the scheme of delegation on people management matters. The needs of the customer and service will be taken into account. Where there is a cost to the Council, applications must be considered by the relevant decision making body before a final decision is made.</p> <p>Such applications will normally only be approved on exceptional compassionate grounds or for exceptional business reasons. Each case will be considered on its own merits ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p> <p>Where an application for flexible retirement includes an application to waive the actuarial reduction at a cost to the council, this must be considered by the relevant decision making body before a final decision is made. Such applications will normally only be approved on exceptional compassionate grounds.</p>
<p>Regulation 30 (8) [R]</p> <p>Power of employing authority to waive actuarial reduction Whether to waive, in whole or in part, actuarial reduction on benefits which a member voluntarily draws before normal pension age.</p>	<p>Any actuarial reduction applied due to voluntary early access to pensions benefits will normally be met by the member. Any application to waive the actuarial reduction at a cost to the Council must be considered by the relevant decision making body. Such application will normally only be made on exceptional compassionate grounds.</p>
<p>Regulation 31 [R]</p> <p>Power of employing authority to grant additional pension Whether to grant additional pension to an active member or within 6 months of ceasing to be an active member by reason of redundancy or business efficiency (by up to maximum amount).</p>	<p>Additional pension will not normally be awarded except in cases specifically agreed by the relevant decision making body on exceptional compassionate grounds.</p>

Regulation	Policy Recommendations
	<p>Each case will be considered on its own merits ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p> <p>The Council will permit an employee to convert the enhanced element of a redundancy compensation payment into additional pension, at no cost to the Council.</p>
<p>Sch 2, para 1 (1) (c) [TP]</p> <p>Power of employing authority to 'switch on' the 85 year rule upon the voluntary early payment of deferred benefits</p> <p>Whether, as the 85 year rule does not automatically fully apply to members who would otherwise be subject to it and who choose to voluntarily draw their deferred benefits (on or after 14 May 2018) on or after age 55 and before age 60, to switch the 85 year rule back on in full for such members</p> <p><i>For members (excluding councillor members) who ceased active membership between 1 April 2008 and 31 March 2014</i></p>	<p>The Council will not normally switch on the 85 Year Rule for members who ceased active membership between 1 April 2008 and 31 March 2014 and who choose to voluntarily draw their deferred benefits on or after age 55 and before age 60 except in cases specifically agreed by the relevant decision making body, on exceptional compassionate grounds.</p> <p>Each case will be considered on its own merits, ensuring that the decision can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Reg 30 (5) [A] & para 2(1) [TP]</p> <p>Power of employing authority to waive upon the voluntary early payment of deferred benefits, any actuarial reduction on compassionate grounds</p>	<p>The Council will not normally waive any actuarial reduction, except in cases specifically agreed by the relevant decision making body, on exceptional compassionate grounds.</p> <p>Each case will be considered on its own merits, ensuring that the decision can be objectively justified and that potential discrimination issues are fully considered.</p>

Regulation	Policy Recommendations
<p>Sch 2, para 1 (1) (c) [TP]</p> <p>Power of employing authority to `switch on' the 85 year rule upon the voluntary early payment of a suspended tier 3 ill health pension</p> <p>Whether, as the 85 year rule does not automatically fully apply to members who would otherwise be subject to it and who choose to voluntarily draw their suspended tier 3 ill health pension (on or after 14 May 2018) on or after age 55 and before age 60, to switch the 85 year rule back on in full for such members</p> <p><i>For members (excluding councillor members) who ceased active membership between 1 April 2008 and 31 March 2014</i></p>	<p>The council will not normally grant early payment of a suspended tier 3 ill health pension, except in cases specifically agreed by the relevant decision making body, on exceptional compassionate grounds or for exceptional business reasons.</p> <p>Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Reg 30A (5) [A] & para 2(1) [TP]</p> <p>Power of employing authority to waive upon the voluntary early payment of a suspended tier 3 ill health pension, any actuarial reduction on compassionate grounds</p> <p><i>For members (excluding councillor members) who ceased active membership between 1 April 2008 and 31 March 2014</i></p>	<p>The Council will not normally switch on the 85 year rule upon the voluntary early payment of deferred benefits, except in cases specifically agreed by the relevant decision making body, on exceptional compassionate grounds or for exceptional business reasons.</p> <p>Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Reg 31(2) [L]</p> <p>Power of employing authority to grant early payment of benefits on or after age 50 and prior to age 55</p> <p><i>For active and deferred councillor members and any other members who ceased active membership between 1 April 1998 and 31 March 2008</i></p>	<p>The Council will not normally grant early payment of benefits on or after age 50 and prior age 60, except in cases specifically agreed by the relevant decision making body, on exceptional compassionate grounds or for exceptional business reasons.</p>

Regulation	Policy Recommendations
<p>Reg 31(5) [L] & sch 2, para 2(1) [TP]</p> <p>Power of employing authority to waive upon the payment of benefits, any actuarial reduction on compassionate grounds</p> <p><i>For active and deferred councillor members and any other members who ceased active membership between 1 April 1998 and 31 March 2008</i></p>	<p>The Council will not normally waive any actuarial reduction on compassionate grounds, except in cases specifically agreed by the relevant decision making body, on exceptional compassionate grounds or for exceptional business reasons.</p> <p>Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Reg D11 (2)(c) [C]</p> <p>Power of employing authority to grant early payment of benefits on compassionate grounds</p> <p>Whether to grant applications for the early payment of deferred pension benefits on or after age 50 and before NRD on compassionate grounds</p> <p><i>For members who ceased active membership before 1 April 1998</i></p>	<p>The Council will not normally grant early payment of benefits on compassionate grounds, except in cases specifically agreed by the relevant decision making body.</p> <p>Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Regulation 100 (6) of the Local Government Pension Scheme Regulations 2013</p> <p><u>Facility to extend time limits for active members to request a transfer of previous pension rights into the LGPS</u></p> <p>Where an active member requests to transfer previous pension rights into the LGPS, the member must make a request within 12 months of becoming an active member. Employers, with agreement of the Administering Authority, may allow a longer period than 12 months.</p>	<p>The Council will not normally extend the 12 month option period except in cases where the available evidence indicates that it had not reasonably been possible for the member to meet the timeframe. Each case will be considered on its merits by the relevant decision making body, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>

Part B – Non Compulsory Policy Statement

Regulation	Policy Recommendations
<p>Regulation 9 & 10 [R]</p> <p>Contributions payable by active members</p> <p>How the pensions contribution band to which an employee is to be allocated on joining the Scheme, and at each subsequent April, will be determined and the circumstances in which the Scheme employer will, in addition to the review each April, review the pension contribution band to which an employee has been allocated following a material change which affects the member's pensionable pay in the course of a Scheme year</p>	<p>The Council will allocate employees to LGPS pay bands based on an estimation of their annual pensionable pay.</p> <p>The Council will review the allocation to pay bands at least once a year. Reviews will normally be undertaken at 1 April each year and may also be undertaken during the year if the Council considers it is reasonable to do so, following a material change which affects the member's pensionable pay.</p> <p>Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Regulation 22 (7) (b) and (8) & 10(6) [TP]</p> <p>Facility to extend time limits for active members to not aggregate deferred periods of LGPS membership</p> <p>Whether to extend the 12 month option period for a member to elect that deferred benefits should not be aggregated with a new employment or ongoing concurrent employment.</p>	<p>The Council will not normally extend the twelve month option period except in cases where the available evidence indicates that it had not reasonably been possible for the member to meet the time frame. Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>
<p>Regulation 100 (6) [R]</p> <p>Facility to extend time limits for active members to request a transfer of previous pension rights into the LGPS Where an active member requests to transfer previous pension rights into the LGPS, the member must make a request within 12 months of becoming an active member.</p> <p>Employers, with agreement of Administering Authority, may allow a longer period than 12 months.</p> <p>Joint discretion with Admin Authority</p>	<p>The Council will not normally extend the twelve month option period except in cases where the available evidence indicates that it had not reasonably been possible for the member to meet the timeframe. Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>

Regulation	Policy Recommendations
<p>Reg 17 & 15(2A) [TP]</p> <p>Power of employing authority to determine whether to, how much and in what circumstances to contribute to a shared-cost Additional Voluntary Contribution (SCAVC) arrangement</p>	<p>The Council will pay shared cost additional voluntary contributions (SCAVC) where an employee has elected to pay AVCs by salary sacrifice. The amount of these employer SCAVC contributions will not exceed the amount of salary sacrificed by the employee. This is a Council discretion which is subject to the employee meeting the Council's conditions for acceptance into the salary sacrifice shared cost AVC scheme and may be withdrawn or changed at any time.</p>
<p>Reg 17 & 15(2A) [TP]</p> <p>Power of employing authority to determine whether to extend the time limit for a member to elect to purchase additional pension by way of a shared cost additional pension contribution (SCAPC) upon return from a period of absence</p> <p>Whether to extend the 30 day deadline for member to elect for a SCAPC upon return from a period of absence from work with permission with no pensionable pay (otherwise than because of illness or injury, relevant child-related leave or reserve forces service leave)</p>	<p>The Council will not normally extend the twelve month option period except in cases where the available evidence indicates that it had not reasonably been possible for the member to meet the time frame. Each case will be considered on its own merits, ensuring that it can be objectively justified and that potential discrimination issues are fully considered.</p>

Note

In the case of decisions regarding the Chief Executive and Senior Leadership Team, these must be approved by the Leader or the Leader's nominee.

Other non-compulsory discretions are available for Dorset Council to consider, and cases where these may arise in the future will be considered on an individual basis; the merits of each case being fully investigated. The process to consider and sign-off discretions will be appended to this document, once the new organisational structure has been confirmed.

These policies may be subject to review from time to time. Any subsequent change in this Policy Statement will be notified to affected employees.

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Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Cllr David Walsh
Officer	Bridget Downton / Trevor Warrick
Subject of Report	Timeline and resources for producing the Dorset Council Local Plan
Executive Summary	<p>The Consequential Order for Dorset Council requires the Council to produce and adopt a local plan by April 2024. Given that Council elections will take place in May 2024, Councillors have requested a report setting out the implications of accelerating this timescale from 5 years to 4 years.</p> <p>Officers believe that it will be possible, albeit challenging, to produce a Dorset Council Local Plan in 4 years, with minimal increase in resources, provided that current local plan work is incorporated into the new plan. This is also based on assumptions that existing staff will be retained as at the time of writing there was no information in relation to transitional staffing structures. If there is a reduction in the existing planning policy staff numbers, then additional money will be required to buy in additional external support.</p> <p>Continuing with some or all of the individual local plan reviews alongside may require additional resources depending how many reviews are progressed. It is also important to note that there will be matters beyond the control of the new authority, such as the timing of the local plan examination process, which will need to be managed through the plan’s preparation.</p> <p>Officers propose setting up a task and finish group of Councillors, reporting to the Dorset Cabinet, to provide the strategic lead for the Dorset Council Local Plan and ensure that it stays on track to meet a demanding timeline.</p>

Impact Assessment:	<p>Equalities Impact Assessment: None – the Dorset Council Local Plan will include detailed equalities impact assessments in due course.</p>
	<p>Use of Evidence: Officers have carried out a high level assessment of existing resources, the work that needs to be completed and produced a high level project plan based on that assessment.</p>
	<p>Budget: £975,000 one off budget already identified from existing district budgets to be carried forward into Dorset Council.</p>
	<p>Risk Assessment: Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: MEDIUM Residual Risk MEDIUM There are risks associated with not progressing with some or all of the existing local plans and these are set out in the report.</p>
	<p>Other Implications: None</p>
Recommendation	<ol style="list-style-type: none"> 1. Shadow Executive recommends that Dorset Council progresses with a Dorset Council Local Plan in line with the high level project plan set out at the end of this report with the intention of adopting the Plan by April 2023. 2. Shadow Executive recommends that Dorset Council sets up a member task and finish group to oversee the work of the Dorset Council Local Plan, reporting to the Dorset Cabinet. 3. All existing work carried out to date for current district local plan reviews be used where possible to shape the new Dorset Council Local Plan.
Reason for Recommendation	<p>To ensure that all the necessary work to produce the Dorset Council Local Plan is completed to enable adoption in Spring 2023.</p>
Appendices	<p>None</p>

Background Papers	None
Officer Contact	Name: Bridget Downton Tel: 01929 557268 Email: BridgetDownton@purbeck-dc.gov.uk
Date agreed by Lead Member	
Date agreed by Statutory Officers	

1 Introduction

1.1 In line with the consequential order, by April 2024 at the latest, Dorset Council will need to produce a Dorset Council Local Plan setting out where development will go. Having an adopted local plan in place is important to provide certainty to local people and to the development industry. A sound local plan that allocates adequate land for housing and employment will ensure that Dorset Council has control over where development does and does not happen. This is important to ensure timely delivery of appropriate levels of development whilst ensuring that Dorset's unique environment is safeguarded. The Shadow Executive is keen to ensure that a Dorset Council Local Plan is adopted as soon as is practically possible. It has asked for a plan to be drawn up to show what resources are necessary to deliver an adopted Dorset Council Local Plan by April 2023 rather than April 2024.

2 Current status of local plans

2.1 In order to have control over development, councils need to have three things: an adopted local plan (which must be reviewed every 5 years); a five year supply of deliverable housing sites; and sufficient recent housing delivery to meet the new Housing Delivery Test. A five year housing land supply means that the Council can demonstrate that it has enough land identified on deliverable sites to provide a minimum of five years' worth of housing against its assessed housing need. Where plans become more than five years old without a review having been completed, the weight to be given to their policies will depend on their consistency with current national policy. They will potentially carry less weight therefore, but are still part of the statutory development plan. The following table sets out the current situation in the existing sovereign district council areas that will be covered in the new Dorset Council:

Area	Currently adopted plan?	Land supply (years)
East Dorset	Yes (April 2014) – joint with Christchurch	5.1 (joint)
North Dorset	Yes (January 2016)	3.4
Purbeck	Yes (November 2012) but out of date – needed to be reviewed by 2017	5.6
West Dorset		
Weymouth & Portland	Yes (October 2015) – joint plan	4.9 (joint)

2.2 Land supply is based on the situation at April 2017.

2.3 All of the districts in Dorset are currently in the process of reviewing their local plans. The following table summarises the current position of each (excluding minerals and waste local plans):

Area	Current status	Potential adoption date	Further work required
East Dorset	Options consultation completed	Late 2020	Pre-submission publication followed by collating responses and then submission for examination
North Dorset	Issues and options consultation completed	Autumn 2021	Preferred options consultation; pre-submission publication followed by collating responses and then submission for examination
Purbeck	Plan submitted for examination January 2019	Late 2019	Preparation for and attendance at examination
West Dorset Weymouth & Portland	Options and preferred options consultation completed	Late 2020	Pre-submission publication followed by collating responses and then submission for examination

2.4 This shows that much work has already been undertaken to review current policies and to identify option sites for further housing and other development. Much of this work can be carried forward into the new Dorset Council Local Plan. Whether any of the current reviews will be carried forward alongside the new Dorset Council Local Plan is a matter for the new Dorset Council to decide (as agreed by the Shadow Executive in October). The resource requirements for this will vary depending on how many of the existing reviews are progressed. Further detail is set out in section 5 of this report

3 Available staff resources

- 3.1 Senior appointments to Dorset Council are underway. It is not yet clear when the merging of the existing planning policy teams from district councils and Dorset County Council will be complete. Nor is it clear exactly how teams in Dorset Council will be configured. Officers have carried out an analysis of the finances and staff resources that will be transferring to Dorset Council to support the development of the Dorset Council Local Plan. Officers have made some high level assumptions about resources that will be available and this assessment is therefore an approximation. Officers have assumed that all existing Planning Policy Staff will transfer to the new Council in order to deliver a new Local Plan in four years instead of five.
- 3.2 There are nearly 16 full time equivalent (FTE) professional policy planning officers in the districts, currently occupying a range of roles including planners, senior planners, team leaders and managers.
- 3.3 Dorset County Council's minerals and waste policy team also has just over 2.5 FTE dedicated policy officers, as well as a manager covering both policy and development management (minerals and waste). Dorset Council will have a responsibility to review minerals and waste policy, but these staff may also have some limited capacity to contribute to the Dorset Council Local Plan, for example where there is an opportunity to coordinate evidence gathering or prepare generic policies.
- 3.4 It is likely that the Planning Policy team in Dorset Council will be responsible for a range of other essential work in addition to developing the Dorset Council Local Plan. This work is also statutory or required under national policy and guidance. The Local Plan would need to be given the highest priority and this other work kept to a minimum, but it is likely to include:
- producing other strategic plans such as the minerals and waste plans;
 - producing or updating any essential supplementary planning documents, such as those needed to manage the council's obligations in relation to international nature conservation designations;

- producing other key planning policy documents such as the Community Infrastructure Levy (CIL) charging schedules; statement of community involvement (SCI); and statements of common ground for the duty to co-operate;
- providing the required support to local communities in the development of neighbourhood plans;
- joint working with colleagues in Bournemouth, Christchurch and Poole Council on key joint strategic evidence work;
- monitoring work to ensure policies are effective, including the assessment of the five-year housing land supply; and
- keeping up to date with national changes and ensuring Dorset is portrayed in a positive light on the regional and national stage.

3.5 An assessment of the amount of time that existing staff spend on these activities suggests that there is likely to be in the region of 8-10 FTE planning professionals available to work on the Dorset Council Local Plan assuming that it does not include minerals and waste matters and that such matters continue to be the subject of discrete development plans. Officers believe that it would potentially be possible to produce a Dorset Council Local Plan in 4 years with this resource, if this work were prioritised and if rapid progress towards preferred options could be made, using the work already undertaken on current local plan reviews. In addition to our own staff, some additional resource is likely to be required to produce the evidence required to support the new plan; to ensure resilience; and provide a critical external review at key points in the process. This resilience and assurance could be secured through a range of means including:

- Employing additional permanent staff, once a detailed project plan has been produced setting out the detailed resource requirements and existing gaps.
- Employing agency staff to deal with peaks and troughs.
- A contract for services – there are a range of companies that can provide this service. For a fee, the Council would be able to call off additional senior planning expertise to deal with peaks of workload as well as securing milestone reviews during the production of the plan. In this scenario, it is also possible to include a risk transfer where the company prices for delivering the plan to the specified date and takes on the risk for delivery. This has worked well with the current Purbeck Local Plan where external staff have worked alongside the Policy Team. The contract has been overseen by one of the Council's general managers. The contract would be overseen by a Dorset Council manager.
- Employing specialist consultants to carry out discrete pieces of work to inform the evidence base for the plan.

3.6 The eventual solution will depend on the market and may well include a mix of solutions.

3.7 Colleagues from elsewhere in the Council will also need to be involved to support the local plan development including for example legal advice; and transport modelling.

4 Available financial resources for local plan work

4.1 The district councils have a variety of financial resources currently allocated for local plan work. This is summarised in the table below:

Council	Allocated	Set aside / committed for
East Dorset	£300,000	<ul style="list-style-type: none"> • Additional transport & master-planning work £100,000 • Green Belt Study (Stage 3) £30,000 • Playing pitch Study £6,000 • Examination costs £50,000
North Dorset	£223,000	<ul style="list-style-type: none"> • £115,000 examination costs • £108,000 consultants for evidence base, and plan production
Purbeck	£105,000	<ul style="list-style-type: none"> • £80,000 examination • £15,000 specialist consultants to attend hearings or provide additional information • £10,000 contribution to Dorset wide playing pitch study that will be updated evidence base for local plan
West Dorset	£178,000	<ul style="list-style-type: none"> • £95,000 examination costs • £83,000 consultants and plan production
Weymouth & Portland	£169,000	<ul style="list-style-type: none"> • £80,000 examination costs • £89,000 consultants and plan preparation

4.2 A total of £975,000 is available from existing reserve budgets to be transferred in to Dorset Council to progress local plan work. This budget will be available for buying in specialist support and additional capacity as needed (e.g. viability appraisals; consultation specialists; habitats assessments; etc.) and for contributing towards examination costs. If this were all used to contribute towards the preparation of the Dorset Council Local Plan, it is likely that it would cover all or most of the costs, though additional financial resources would be needed if all the individual plan reviews were also to be continued. Once Dorset Council decides which individual plan reviews to continue with, detailed costings can be provided at that time.

5 Taking Forward Current Local Plan Reviews

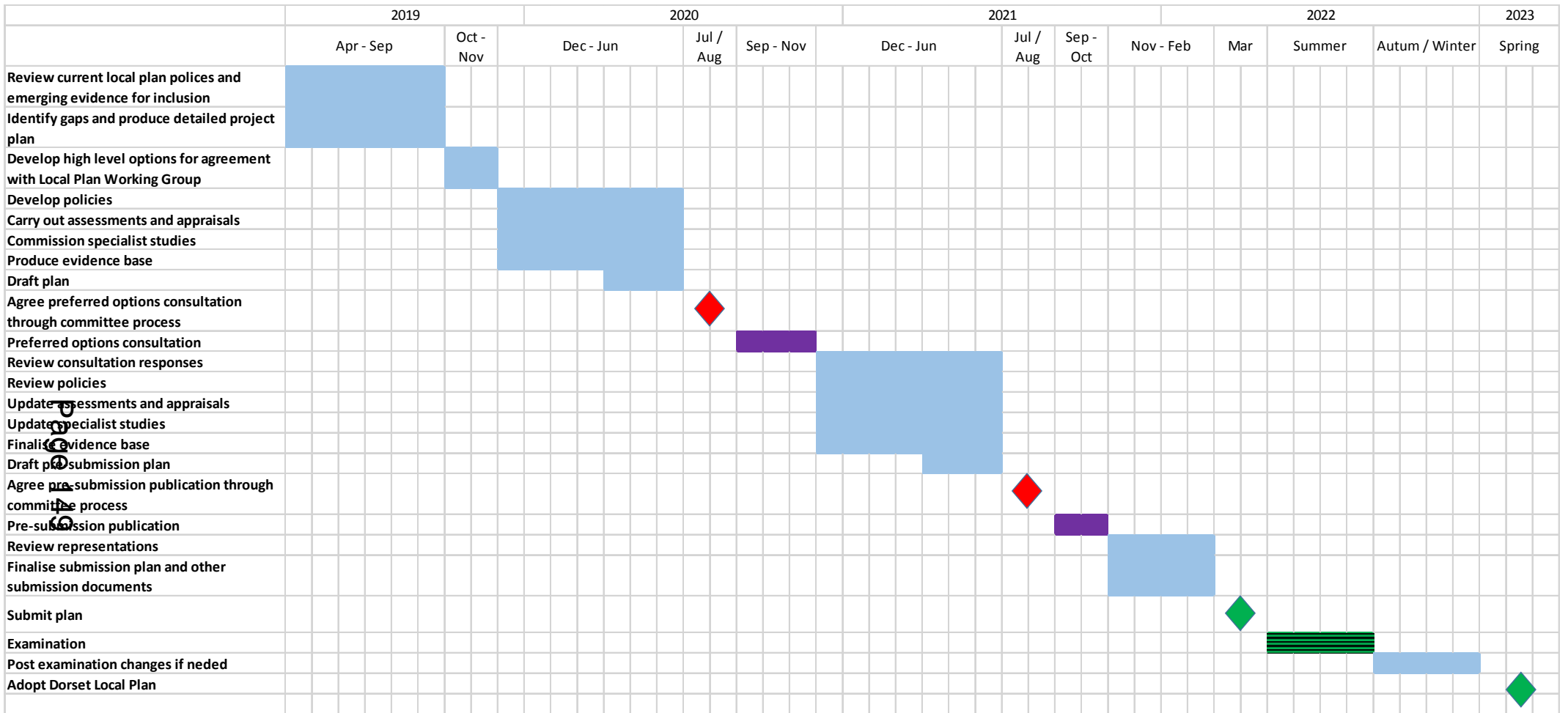
5.1 All the current local plan reviews have made significant progress, and the Shadow Executive Committee has agreed that work on the reviews should continue until the new Dorset Council makes a decision on their future. However, a great deal of further work would be required to take them all forward to adoption. The overall level of housing (and other) development that needs to be provided varies. For example, the pre-submission version of the Purbeck Local Plan includes plans for 2,688 new homes, whereas the Preferred Options for the West Dorset, Weymouth & Portland Local Plan Review plans for 19,016 new homes. Those reviews promoting more development would require more staff resource to take them through to adoption, as estimated in the table below. Purbeck's plan is the most advanced and would require the least staff resource to progress to completion. North's plan is the least advanced and the joint plan for West Dorset, Weymouth & Portland would require the most staff resource to progress to completion.

Area	Staff required	
	Number	Approximate date required until (potential adoption date)
East Dorset	3.5	End 2020
North Dorset	3.5	Autumn 2021
Purbeck	2.5	Late 2019
West Dorset, Weymouth & Portland	4.5	Late 2020
Total	14.0	

- 5.2 It is estimated that taking forward all the reviews would require about 14 FTE staff in total. After late 2019, when the Purbeck Local Plan Review would be adopted, it is estimated this would fall to 11.5 FTE until the end of 2020 / start of 2021. However, even this level of staffing exceeds the available resource of about 8-10 FTE at the districts. If work on the Dorset Council Local Plan was delayed until the bulk of these reviews had been completed in early 2021, this would only leave 2 years to prepare the Dorset Council Local Plan, which would not be possible.
- 5.3 It will be for the new Dorset Council to decide which of the current local plan reviews are taken forward to adoption, but the staff resource implications of doing so are clear. Significant additional staff resource would be required. The reviews would also use up all of the financial resources carried over from the districts outlined earlier in this report, requiring significant additional financial provision to be made to fund the examination and other costs associated with the Dorset Council Local Plan.

6 Proposed approach and potential timeline for completion of the Dorset Local Plan

- 6.1 Officers propose an initial assessment of work completed to date and a gap analysis to produce a detailed project and resource plan. This would include:
- clarifying what in-house expertise is available and what specialist work will need to be contracted out;
 - detailing what joint work can be produced with colleagues at Bournemouth, Christchurch and Poole Council; and
 - contacting the Planning Advisory Service (PAS) – part of the Local Government Association – to see what support it could provide.
- 6.2 Officers propose setting up a task and finish group of Councillors (a Local Plan Working Group), reporting to the Dorset Cabinet, to provide the strategic lead for the Dorset Council Local Plan and ensure that it stays on track to meet a demanding timeline. The Group would meet monthly to receive updates about progress and provide the necessary strategic steer to officers.
- 6.3 A high level draft project plan for the Dorset Council Local Plan is set out below. This has assumed a single further period of consultation prior to the pre-submission publication, and rapid progress to reach that stage. Members need to be aware of the risks inherent in the plan-making process, in particular of those elements that are not within the Council's control, such as the examination stage which is led by the independent inspector. The Dorset Council Local Plan will also require close cooperation with the Bournemouth, Christchurch and Poole plan under the duty to cooperate, particularly in relation to housing numbers, and this could affect the programme.



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Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Cllr Barry Quinn
Officer	Marc Eyre, Risk, Emergency Planning and Resilience Manager, Dorset County Council Nigel Osborne, Emergency Management Officer, Dorset County Council
Subject of Report	Emergency Planning Work Package – Emergency Response Plan
Executive Summary	<p>The structural change order sets out the requirement for Dorset Council to be able to fulfil its emergency planning duties as a Category One responder under the Civil Contingencies Act from Day One. A work package with active input from all sovereign councils is developing the emergency response plan and accompanying arrangements. The implementation plan remains on target.</p> <p>The Emergency Response Plan has been drafted in advance of Day One, and has been out for consultation with officers that deliver the emergency planning function at the sovereign councils, as well as the Chief Executive (Designate) together with existing Gold and Silver officers. The draft document has been well received. It has also been presented to both the Corporate Theme Board and Programme Board. The attached draft plan incorporates the output from consultation and is therefore being presented to the Shadow Executive for approval, subject to some largely cosmetic changes where information is not yet available (highlighted in yellow in the plan).</p> <p>The Emergency Response Plan is supported by a Command and Control structure approved through the Corporate Theme Board. Gold (Strategic) roles will be undertaken by Executive and Corporate Directors. Silver (Tactical) roles will be undertaken by Heads of Service. The structure will be supported by a 24/7 Duty Emergency Planning Officer, who acts as the first point of call and co-ordinator for incidents, and a pool of duty Local Authority Liaison Officers to attend the scene.</p> <p>For avoidance of doubt, the work package is also engaged in updating the other statutory plans required within the order:</p> <ul style="list-style-type: none"> • Off-site emergency plans under the Control of Major Accident Hazards Regulations 1999; • Off-site emergency plan under the Radiation Emergency Plans 2001; • The Pipelines Safety Regulations 1996

	<p>These are purely cosmetic changes to replace references to existing councils with Dorset Council. It is therefore not envisaged that this work would need ratification through the Programme and Shadow Executive.</p>
Impact Assessment:	<p>Equalities Impact Assessment: The emergency planning service is currently subject to an equality impact assessment.</p>
	<p>Use of Evidence: Existing sovereign council plans.</p>
	<p>Budget:</p> <p>No significant budget implications.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as:</p> <p>Current Risk: MEDIUM Residual Risk LOW</p>
	<p>Other Implications: None</p>
Recommendation	<p>That the Shadow Executive Board:</p> <ul style="list-style-type: none"> • Approves the draft Emergency Response Plan
Reason for Recommendation	<p>To ensure the new council can respond to an emergency incident from Day One, to fulfil its obligations under the Civil Contingencies Act.</p>
Appendices	<p>Appendix A – Draft Emergency Response Plan [Exempt from Publication]</p>
Background Papers	<p>None</p>
Officer Contact	<p>Marc Eyre, Risk, Emergency Planning and Resilience Manager, Dorset County Council m.eyre@dorsetcc.gov.uk 01305 224358</p> <p>Nigel Osborne, Emergency Management Officer, Dorset County Council n.osborne@dorsetcc.gov.uk 01305 224953</p>

Date agreed by Lead Member	
Date agreed by Statutory Officers	Matt Prosser – Jason Vaughan - Jonathan Mair –

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Shadow Dorset Council

SHADOW OVERVIEW AND SCRUTINY COMMITTEE

Extract from the minutes of the meeting held
on 3 January 2019.

68. Call to Account - Transfer of Assets

A brief introduction was provided by Councillor C Brooks, Vice-Chairman (in the Chair), as the Chairman Councillor T Jones indicated that he would not chair the meeting as he wished to take a full part in the meeting.

Members were informed that written statements had been received from:

- Councillor Keith Day
- Councillor David Rickard
- Councillor David Harris
- Verwood Town Council
- Bridport Town Council

The following councillors had informed the Scrutiny Officer, prior to the meeting, that they wished to speak to the item.

Councillor C Reynolds, representing West Dorset District Council (WDDC), stated her belief that the same standards for transferring assets had not been upheld across the county, using the proposals WDDC had put forward to the Shadow Executive Committee as an example of this.

Councillor D Rickard, WDDC, stated that he believed the benefits of transferring assets in West Dorset had been ignored by the Shadow Council. He informed members that much of what had been proposed would have returned assets to their communities and be funded at a local level.

Councillor M Rennie stated that Dorchester Market was not an asset as it had been described in transfer documents, and that it was important historically for the town. Councillor Rennie believed that discussion should continue with Dorchester Town Council, so that not only the market continued beyond April 2019, but also so that relations with the current operator could continue.

Councillor Susie Hosford represented Dorchester Town Council and wished to express support for the previous statements.

Councillor D Harris stated he was representing Weymouth and Portland. Councillor Harris also stated he believed that initial discussions over transfer of assets had been clear that the Unitary Authority would not be taking on assets that did not contribute to its statutory functions. Councillor Harris stated that whilst he understood why an asset such as the crematorium in Weymouth should be run by the new authority, he did not understand why the seafront hotels owned by Weymouth and Portland Borough Council should be under

the control of the new Dorset Council. Councillor Harris also stated that he believed the transferring of the car parks in Weymouth to the Town Council could also encourage its relationship of working with the Unitary Authority.

Will Austin, Clerk of Bridport Town Council, stated that he believed the Shadow Executive Committee had exceeded its powers by considering matters beyond physical assets and that the Shadow Council should not have a say in the £1.3 million reserve WDDC had earmarked for service/asset transfers. Mr Austin also stated that he did not believe the minutes of the meeting of the Shadow Executive Committee were accurate and that the actual debate was also inadequate, as there was no discussion of assets or revenue savings. Mr Austin also did not believe that Town/Parish Councils had been given any input into the Shadow Executive's initial decision, or the Call to Account.

Councillor Alan Thacker expressed support for the statements that had already been given, and also wished to thank officers who had contributed to the proposals.

For clarity Councillor S Bartlett informed the committee he was also a member of Wimborne Minster Town Council.

Some members expressed concern that the same standards for the transfer of assets had not been upheld across the county.

Members suggested that some Town and Parish Councils may need some reassurance the asset transfers would proceed as expected.

The Call to Account also included the panel of the following members and officers, who were involved in the decision making process:

- Councillor Rebecca Knox – Leader of Shadow Dorset Council
- Councillor Tony Ferrari – Executive Lead, Finance
- Councillor Jeff Cant – Executive Lead, Property and Assets
- Jonathan Mair – Monitoring Officer
- Jim McManus – Chief Accountant, Deputy Section 151 Officer DCC

Stuart Caundle, Head of Paid Service, Dorset Councils Partnership had also been invited to the meeting.

In reference to the first line of enquiry, the Monitoring Officer informed members that they had received information from Rebecca Kirk, General Manager (PDC) on how these principles had been developed. The General Manager (PDC) had stated that they were asked by the Chief Executives to provide an update to themselves and the programme board relating to asset transfers from predecessor councils. This report was drafted and circulated to the Chief Executives, who then asked for a set of principles to be drafted. The report was presented to the programme board, who gave their feedback and amendments. The report was then presented at the Shadow Executive Committee on 20 July 2018, where the principles were amended further.

Members asked the panel if the structural change order was considered by officers when creating these principles. The Monitoring Officer replied that during meetings between MHCLG and Chief Finance Officers it had been discussed whether it would be necessary to impose Article 24, which would limit the ability of predecessor Councils to transfer assets of a certain value. However, it was decided that this would not be necessary. The Monitoring Officer informed members that the decision of the threshold value had been decided locally, although in previous Local Government Reorganisations this had also been set at £100,000.

The Leader of the Shadow Dorset Council confirmed that whilst they had been working with advice from MHCLG, the formulation of these principles had been a local decision. She explained the principles were developed in line with previous experiences of officers and also by the judgement of the Section 151 Officer.

In reference to the second line of enquiry, the Leader of the Dorset Shadow Council stated that the principles did not only apply to asset transfers. She informed members that each proposal for a transfer of assets was looked at individually, therefore the principles were needed to make sure decisions were consistent.

The Executive Lead for Property and Assets recognised that this process could be seen as confusing to those not on the committee. He informed members their main focus had been to look at whether there had been the chance of substantial or valuable assets being transferred, to the detriment of residents.

Members questioned the consistency of the Shadow Executive Committee, as the proposed asset transfers by West Dorset District Council were not approved as they had exceeded £100,000. However the committee had then approved Weymouth and Portland Borough Council (WPBC) securing an £11 million loan. The Executive Lead for Property and Assets explained to members that the two proposals were not comparable, as WPBC were not borrowing from the unitary tax base and would not have any impact on the new authority.

Some members stated concerns as to whether the Lead Member for Property and Assets may have had a conflict in interest in promoting the £11 million loan that had been proposed by WPBC, as they were also the Leader of WPBC. The Leader of the Shadow Dorset Council stated that there was not a conflict, as all members of the Shadow Executive Committee were leaders of the sovereign Councils, or had been nominated by their leader. The Lead Members were then decided based on who would be most appropriate for the role. The Monitoring Officer also added that the Lead Members had not been agreed when the set of principles had been agreed. The Monitoring Officer informed members that the Lead Member for Property and Assets had no pecuniary interest. The officer also informed the committee the structural change order allowed all members to participate, as nothing ruled out members from participating and decision making if it affected their predecessor Council.

Councillor R Bryan left the meeting at 10.46 am.

In reference to the third line of enquiry, members were informed that the report that went to the 18 June 2018 meeting of the Shadow Executive Committee stated that each asset would be considered individually.

Members asked how the values of some assets were determined and if their marriage value was considered. The example of Kiosks in Lyme Regis was given, if they would be considered in isolation or together. The Monitoring Officer replied that this would depend on the proposal. The Lead Member for Property and Assets agreed, stating that they had worked with a list of potential assets but could only work out their value under certain circumstances.

In reference to the fourth line of enquiry, the Lead Member for Property and Assets informed the committee that the Weymouth Town Council had been considered to have 'unique circumstances' as it was a brand new Council still being created.

Members asked the panel if the loan secured by WPBC could have been delayed and considered by the new Unitary Authority. The Lead Member for Property and Assets stated that a lot of work had already gone into securing the loan, and that they were aware the new authority would probably not be able to carry on this work during its initial set up.

In reference to the fifth line of enquiry, the Monitoring Officer informed members that principle (vii) and principle (viii) were separate and did not have a relationship. They explained that principle (vii) ensured that all transfers were cost neutral, whereas principle (viii) set out that ongoing revenue support of an asset should not be provided.

Members asked if that where a Town or Parish Council carried out a statutory service on behalf of the Unitary Authority, would there be a contribution for this? The Monitoring Officer replied that Town or Parish Councils had been contracted on behalf of the Unitary Authority.

Following questions from members, the Monitoring Officer confirmed that principle (vii) would mean there would be no negative effect on Dorset Council.

In reference to the sixth line of enquiry, the Leader of the Shadow Dorset Council stated that this presumed how the new authority would proceed. By creating these principles, the Shadow Executive Committee was instead trying to establish ways of working and what the new Dorset Council should be looking at. The Leader of the Dorset Shadow Council also informed members that through the constitutional structure of the new Unitary Authority, there would be a forum for these discussions to take place.

In reference to the seventh line of enquiry, the Monitoring Officer stated that under the current circumstances the Secretary of State would not do this, as

there was not enough time left. The Monitoring Officer also informed members that the Shadow Council could also use a direction to restrict a predecessor Council from transferring assets, as this was a provision of the structural change order.

In reference to the eighth line of enquiry, the Leader of the Shadow Dorset Authority stated that they could not speak as to the reasons for individual members of the committee. However as Chairman, after questioning they felt that the proposal went against the agreed principles. The Shadow Executive Committee felt these proposals could be considered in the future, but that it was not currently appropriate to consider these at present.

Members asked if the Shadow Executive Committee had considered the Wednesbury Principles when deciding on proposals, as some members felt that other Market Towns should have also been looked at under 'unique circumstances'. The Monitoring Officer informed members that this didn't apply to the decision surrounding Weymouth Town Council.

Members expressed concern at the first principle as they felt the wording was vague. However, they stated that clarification from the panel had addressed these concerns.

In reference to the ninth line of enquiry, the Leader of the Shadow Dorset Council stated that she believed previous answers had revealed where these parameters had been set, after new members had been elected.

Members expressed the view that whilst great efforts had been made into communication, this had not reached the Town and Parish Councils in enough detail. Members also hoped this would be corrected under the new authority. The Leader of the Shadow Dorset Council agreed that a discussion in further depth would have been of great benefit, but due to time constraints this was not able to take place.

Members also stated that there was also a reliance on Shadow Executive members to filter information back to the members of their sovereign Councils.

Recommendation A, that the Shadow Overview and Scrutiny Committee agree with the evidence provided by members and officers during the Call to Account, was proposed.

Decision

That the Shadow Overview and Scrutiny Committee:

- (a) Agree with the evidence provided by members and officers during the Call to Account;
- (b) That this decision be forwarded to the Shadow Executive Committee, for their information.

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Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Cllr. Andrew Parry – Lead Member for Economic Growth, Education, Learning & Skills
Officer	Nick Jarman - Director of Children’s Services
Subject of Report	School Admissions Arrangements 2020-2021
Executive Summary	<p>As a result of successive Acts and associated Regulations, admission authorities are required to consult on proposed admissions arrangements prior to determination. A consultation had to be carried out by the 31st January 2019, the outcomes determined by the 1 March 2019, published by the LA by the 15 March 2019 for admissions into schools in September 2020.</p> <p>Department for Education December 2014 Admissions Code requires admission authorities to consult for a minimum period of 6 weeks between 1 October and 31 January in any given year and to include relevant parents and other groups in that consultation.</p> <p>The consultation on Dorset’s Admissions Arrangements was completed on 21 December 2018 after a 6 week period. This report summarises the consultations that have taken place and invites members to approve the policies as a result of those consultations in order to meet the Local Authority’s statutory duties.</p> <p>All Admissions Authorities, of which Dorset County Council is one and Dorset Council will be one, are required to ‘determine’ their admissions arrangements on an annual basis.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>This process is bound by the 2014 School Admissions Code.</p> <p>There are no proposed changes to the any of the policies – this is an annual statutory duty to consult.</p> <hr/> <p>Use of Evidence:</p> <p>Details and links to the consultation was circulated to all schools, all neighbouring Local Authorities, all nursery settings, all DCC Elected Members, Association of Parish and Town Councils and Ministry of Defence. Schools were then asked to notify parents through their website and newsletters.</p>

	<p>The Consultation did not generate any responses.</p> <p>The latest guidance from the Department of Education with regards to Admissions Law has been used.</p> <p>Budget:</p> <p>There are no significant budget risks.</p> <p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p> <p>Other Implications:</p> <p>None</p>
<p>Recommendation</p>	<p>1. That The Shadow Executive formally agrees to the adoption of the following policies:</p> <ul style="list-style-type: none"> • Dorset County Council Admissions Arrangements including the Co-Ordinated Scheme and the Admissions Arrangements for Community and Voluntary Controlled Schools in Dorset 2020-2021, • Armed Forces Policy 2020-2021 • Guidance on the Placement of a Pupil Outside His or Her Normal Age Group 2020-2021 • 6th Form Admissions Policy 2020-2021 • Nursery Admissions Policy 2020-2021 • Guidance on Consulting on Admissions Arrangements 2019
<p>Reason for Recommendation</p>	<ul style="list-style-type: none"> • To determine admissions arrangements in accordance with statutory requirements including the Schools Admissions Code December 2014. • To ensure compliance with the latest legislation and subsequent regulation/statutory guidance.
<p>Appendices</p>	<p>Appendix 1:</p> <ul style="list-style-type: none"> - The Co-Ordinated Scheme Timetable 2020-2021 - Local Authority Admissions Arrangements for Community and Voluntary Controlled Schools in Dorset 2020-2021 - Armed Forces Policy 2020-2021 - Guidance on the Placement of a Pupil Outside His or Her Normal Age Group 2020-2021 - 6th Form Admissions Policy 2020-2021 - Nursery Admissions Policy 2020-2021 - Guidance on Consulting on Admissions Arrangements – November 2019

Background Papers	<p>DFE Schools Admissions Code - <i>December 2014</i> https://www.gov.uk/government/publications/school-admissions-code--2</p> <p>DFE Guidance on Summer Born Children - <i>December 2014</i> https://www.gov.uk/government/publications/summer-born-children-school-admission</p> <p>DFE Guidance on Admissions and The Armed Forces Covenant – <i>April 2013</i> https://www.gov.uk/government/publications/admissions-to-schools-in-england-and-the-armed-forces-covenant</p>
Officer Contact	<p>Name: Ed Denham Tel: 71819193 Email: e.denham@dorsetcc.gov.uk</p>
Date agreed by Lead Member	
Date agreed by Statutory Officers	<p>Matt Prosser – Jason Vaughan - Jonathan Mair –</p>

1. Co-ordinated Schemes

- 1.1 The new timetable for the Co-ordinated Admissions Scheme meets with the requirements of the Schools Admissions Code of Practice and is attached in Appendix 1.
- 1.2 The scheme co-ordinates with neighbouring local authorities and the national offer dates as set out in the code of practice. There have been no responses to this consultation

Elected members are asked to support the adoption of the co-ordinated scheme in order to meet statutory requirements.

2. Admissions Arrangements for Community and Voluntary Controlled Schools in Dorset 2020-2021 including The Sixth Form Admissions Policy 202-2021 and the Nursery Admissions Policy 2020-2021

- 2.1 Admissions arrangements for all maintained schools are bound by the DFE Schools Admissions Code, which was revised and updated in December 2014.
- 2.2 DCC has made no changes to the oversubscription criteria for Community and Voluntary Controlled Schools.
- 2.3 DCC has made no changes to the Sixth Form Admissions Policy nor The Nursery Admissions Policy.
- 2.5 There were no responses to the consultation.

Elected members are asked to adopt the Admissions Arrangements for Community and Voluntary Controlled Schools in Dorset 2016-2017 and note that Local Authority Sixth Form Admissions Policy, Local Authority Nursery Admissions Policy are unchanged.

3. Dorset Admissions of Armed Forces Community Children Policy

- 3.1 This policy applies to all schools where Dorset is the admissions authority (community and voluntary controlled schools) – it is also promoted for adoption with Dorset Schools which are their own admissions authorities (academies, foundation, voluntary aided, studio and free schools). A copy of the policy is found in Appendix 1.
- 3.2 This policy recognises the Armed Forces Covenant and reflects the DFE Guidance issued in April 2013.
- 3.3 The Guidance from the DFE and DCC's policy is designed to ensure that admissions arrangements do not disadvantage service families, and the policy provides the admissions authority flexibility in how they may process applications from service families.
- 3.4 The policy ensures that an admission authority has flexibility in determining main residence when managing place allocations using base and future addresses where a family is subject to a new posting/rotation.
- 3.5 There is flexibility in the application of the Infant Class Size (ICS) legislation, which allows admissions authorities to place over number as an 'exception', though it is still incumbent on the admissions authority to respect the philosophy of ICS and not to necessarily make an 'exception' of every service family.
- 3.6 The policy also allows and requires an admission authority to act flexibly when an allocated school place through a future service or base address is then not appropriate to the residential address that the service family has once they are finally settled.
- 3.7 There have been no responses to the consultation including the Ministry of Defence who were consulted.

Elected members are asked to adopt the attached policy in order to support military families and to meet the requirements of the Armed Forces Covenant.

4. Guidance on the Placement of a Pupil Outside His or Her Normal Age Group

- 4.1 This policy applies to all schools where Dorset is the admissions authority (community and voluntary controlled schools) – it is also promoted for adoption with Dorset Schools which are their own admissions authorities (academies, foundation, voluntary aided, studio and fee schools). A copy of the policy is found in Appendix 1. There have been no changes to this policy.
- 4.2 There have been no responses to the consultation

Elected members are asked to adopt the policy that relates to the placement of children outside of their normal age group, thus ensuring that DCC is adhering to DFE statutory guidance.

5. Guidance on Consultations for Admissions Arrangements.

- 5.1 DCC are required to consult on how it determines the scope of any consultation. This guidance details the duties of various admission authorities when consulting on their admissions arrangements.
- 5.2 This Guidance also includes further detail on how the Local Authority will fulfil its duty to engage with families of 2-18 year olds when consulting on Admissions Arrangements and Home to School Transport.
- 5.3 Schools and Admissions Authorities were consulted on the document in September/October 2016. The principles agreed were then used to guide the formal consultation on the LA Admissions Arrangements for September 2020.
- 5.4 The Guidance was also published as one of the documents that the wider public could comment on during this consultation. No responses were received.

Elected members are asked to agree the adoption of the ‘Guidance on Consultation for Admissions Arrangements’.

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Dorset Co-ordinated Admission Scheme 2020-2021

	Secondary	Primary
Closing date for applications* (SEN** and Children in Care)	31/10/19 1/02/20	15/01/20 22/03/20
Dorset LA exchanges other applications with other LAs	08/11/19	31/01/20
Deadline for Admission Authorities to complete the process of verifying criteria for their applications	10/01/20	28/02/20
Dorset LA first exchange of offers between LAs	24/01/20	13/03/20
Final exchange of offers between LAs	07/02/20	27/03/20
Dorset LA to inform all schools of final allocations	14/02/20	03/04/20
Dorset LA sends notification to home applicants	02/03/20	16/04/20
Parents respond to the offer	16/03/20	30/04/20

Dorset County Council will have a single late round inline with all neighbouring authorities. The single late round for each cycle will close the day prior to the National Offer Day of that cycle. All applications after the National Offer day will no longer be co-ordinated and will be dealt with as In-Year Transfers and will be dealt with as they are received.

Round	Closing Date	Offer Date	Response Date
Secondary Year – Round 2	28/02/20 Secondary Only	30/03/20 Secondary Only	13/04/20 Secondary Only
Primary Year – Round 2	15/04/20 Primary Only	15/05/20 Primary Only	1/06/20 Primary Only

Secondary Applications received after 28th of February and Primary Applications after the 15th April will be processed as quickly as possible as they are received and as In-Year Transfers. Please note applications received within the last few weeks of term and during the summer holidays may not be processed until the schools return from their summer break.

*Applicants applying on aptitude/ability will be advised of the outcome of the testing (not guarantee of a placement) in good time to complete a preference application by the closing date.

Dorset Council
Admission Arrangements for Community and Voluntary
Controlled Schools in Dorset

2020-2021

This is Dorset Council Local Authority's (LA's) admissions policy which applies to statutory school aged children in mainstream schools. This policy commences for children applying to schools starting in September 2019 and should be read in conjunction with the parent's guide. The guide along with admissions policies for other types of schools and further information and clarification are available on Dorset's school admissions website.

1. Admission of Pupils – General Principles

- The School Admissions Code, legislative guidance including co-ordination, equal preference scheme and infant class size legislation are adhered to,
- The majority of schools serve traditional areas (catchments/communities) to ensure fair access. The school's catchment area is a geographical area defined by the authority following consultation with the governors and neighbouring schools and is available for parents to view on the Dorset for You website,
- Where possible, within the current constraints and legislation, children attend schools preferred by their parents,
- Every (Dorset Council) child will be allocated a place in an educational setting once an application is submitted,
- Admission arrangements are consistently and equally applied to all,
- Resources are used efficiently,
- Allocation of school places are made up to the planned admission number, in accordance with the oversubscription criteria.
- The Dorset Council Admissions Arrangements adhere to the principles of the Equalities Act 2010.

2. Published Admission Numbers (PANs)

All admission authorities must set an admission number for each 'relevant age group' and places will be allocated according to the published oversubscription criteria.

A school will be asked to exceed the admission number only where:-

- The last place within PAN is allocated to one of multiple birth siblings, then the other birth siblings will be admitted,
- Where an error occurs and the child should have been offered a place,
- A large group of families with children arrive in the area where it has not been possible to accommodate them within the normal allocation of places because of the short notice. If this is the case, the Local Authority will identify an appropriate setting to accommodate the children as quickly as possible,
- An unexpected event/incident occurs necessitating urgent/temporary placement,

- There is a need to comply with other agreed protocols, e.g. Children in Care, Fair Access, SEN Code of Practice and the Military Covenant

In Year Admissions only

- Where no other school would provide suitable education within a reasonable distance of the home. In this instance the distance will be considered based on the transport offered to the alternative setting, following national guidance on transport times i.e. the alternative placement will not exceed a journey of 45 minutes for primary aged children and 75 minutes for secondary aged children. The length of journey does not include walking to the 'stop'. Transport is also based on consideration of efficient use of resources and prejudice to the school or neighbouring schools.

3. Admission of Pupils to School for the First Time at Age 4+/5

3.1 Statutory school age

Children reach compulsory school age the school term following their fifth birthday. The start of term is defined as 1 September/January/April (this may not be the first day of term for the school being considered).

3.2 Admission at 4+

An application must be submitted for every child to the LA. Children are able to attend full-time in September of the year they are due to start school. Some schools offer a phased integration. Parents can request part-time attendance until compulsory school age is reached. This needs to be agreed with the headteacher of the school where a place is offered. Parents can also request deferred entry within the first academic year or until compulsory school age. A record of the deferment should be kept by the school and parent. The place is held and is not available to be offered to another child unless it is not taken up by the agreed date when it will be considered vacant. If this request for deferred entry goes beyond the start of the academic year, the parent will need to reapply for a school place in the next academic year for entry to year 1.

4. Transfer to the next school by age – Normal Year of Entry

Different age ranges of schools in the Dorset Council area means children may transfer to the next school, depending on where they live, at ages 7+ (Year 3), 9+ (Year 5), 11+ (Year 7) or 13+ (Year 9). In all cases an application should be submitted by the published closing date and through the Home Local Authority. This is the local authority in whose area the child resides. Applications should be submitted by the person who has parental responsibility for the child.

5. In Year Admissions

In year or casual admissions will be processed either through the LA where schools have opted in to the LA co-ordinated scheme (subject to availability) or directly to the school, where the school has opted out. If uncertain of whether the preferred school

takes in year applications direct, parents can contact the school itself or contact Dorset's school admissions department. A formal application must be made in all instances with relevant information attached to the application. Should a place not be allocated at a preference school the parents have a right of appeal. Any alternative placement offered will take account of the distance to travel consistent with the national guidance on journey times i.e. the alternative placement will not exceed a journey of 45 minutes for primary aged children and 75 minutes for secondary age children.

6. Admission of children outside their normal age group

This section of the policy should be read in conjunction with the guidance on the placement of a pupil outside his or her normal age group. Normal age group refers to the year group in which the child would normally be according to their chronological age. The guidance is available on Dorset's school admissions website.

Applications for a child to be placed outside of their normal chronological year group will only be considered under the most exceptional circumstances. The placement of a child outside his or her normal age group is not an appropriate strategy for meeting special educational needs. This is in recognition of the significant and long term impact on children who are placed outside of their normal year group.

6.1 Decision Making Process

Parents and carers wishing to request that their child be placed outside of their normal age group must do so through the Head Teacher of the pupil's actual or proposed school. Where the school is their own admissions authority the decision to place a child outside of their normal age group rests with the Head Teacher and governing body of the school that would be affected. Where Dorset Local Authority is the admissions authority for the affected school, the case will be considered by the local authority's In Year Fair Access Panel. This panel meets regularly during term time.

6.2 Admission above Normal Age

Only in exceptional circumstances, where a child is outstanding in every respect, will a child be considered for admission early or above their normal year group. It will also only be considered through the agreement of the Head Teacher, in conjunction with other professionals, where they have identified exceptional medical, physical, social or/and educational reasons for this. If advanced in a Dorset Council school it is expected that the arrangement will continue in a Dorset Council school.

6.3 Back Yearing and Delayed Transfer

There are instances when a child's overall best interests are served by delaying admission or remaining in the existing year. The social and educational implications of this must be considered. Such arrangements will be considered only if agreed or recommended by the child's Head Teacher and/or any other professional involved. Any decision will also be in line with the LA's 'Guidance on the Placement of a Pupil outside of his or her normal age group' and with the parent's agreement.

6.4 Out of Dorset Requests

Some families seek places in Dorset schools (e.g. where they have moved in from elsewhere outside the Dorset Council area) for their children to be placed in a year group other than their chronological year group. Requests are dealt with and recommendations made by the admitting school, regardless of the child's home address, in line with the decision making process indicated above.

Such requests are refused unless there are very exceptional circumstances.

6.5 Admission/Transfer of Children Outside Normal Year Groups – PAN

Where it is agreed that children can be admitted/transferred to a year group which is not the chronological year group, the application will be considered against the relevant school's PAN (not in addition) and the school's oversubscription criteria, along with all other applications received.

6.6 Delaying entry into Reception Year Group – Summer Born Children

Where a child is summer born and parents wish to consider the delay of their child starting school in the Reception Class until after their 5th birthday will have to discuss this directly with the Head Teacher and/or the Admission Authority of the proposed school. These requests will be considered on a case by case basis and with reference to the 'Guidance on the Placement of a Pupil Outside his or her Normal Age Group'.

If a parent applies for a reception place to be taken up after the child's 4th birthday and is allocated a place in the normal transfer round and then subsequently wishes for their child to enter the school in reception after their 5th birthday – they will have to make a new application in the next application year and surrender their current place. Their application will be considered afresh and no guarantee will be given that they will get a place at the same school in the subsequent allocation as it will be subject to the relevant admissions code and the overall number of applications.

7. Placements in Alternative Settings and Managed Moves

Policies are available on In Year Fair Access and Managed Move protocols on Dorset's school admissions webpage.

Pupils from outside of Dorset Council area who have been placed in alternative provision (PRU) and move into Dorset will initially be placed in a Learning Centre where consideration will be given to the most suitable placement to support the child's educational achievement. Should integration to mainstream be considered appropriate, and on receipt of an application from the parent, this will be considered by the In Year Fair Access Panel.

8. Children in Care

There is an additional policy and guidance available for Children in Care and children who have previously been in care applications. Children in Care applications are given the highest priority on the oversubscription criteria.

9. School Transport

Details about school transport are provided in the Home to School Transport Policy. Advice is also provided in the Policy and Parents' Guide to ensure parents, guardians and carers are aware that their preference of school and the admissions criteria will affect their entitlement to 'free' school transport. This includes later changes (e.g. change of address) which could have a bearing on continued eligibility for school transport.

10. Withdrawal of School Places

Places will only be withdrawn where:

- A place has been offered in error by the admission authority and the affected child/ren have not yet started at the preferred school,
- A place has been offered on the basis of a false, fraudulent or deliberately misleading application. The place will be withdrawn if the case has been identified by the first October half-term following admission,
- The place has not been taken up by the specified date – the parent will be contacted in advance of the withdrawal of a place,
- The place has been declined by the parent.

11. Waiting Lists

The LA operates a limited waiting list policy. Parents can apply to have their child's name placed on a waiting list for a period of one term following refusal. If parents wish to keep a child on a waiting list beyond this term they will need to write in for an extension. There is no guarantee of a school place by remaining on the waiting list.

12. Appeals

If the LA is unable to offer a place at a school that has been applied for, the parent has the right to appeal to an independent Appeals Panel. The decision of the Panel is binding on all parties and where parents succeed with their appeal, the place at the school originally offered by the LA will be automatically withdrawn.

OVERSUBSCRIPTION CRITERIA

The admission of children with Education Health & Care Plans and Statements of Special Educational Needs is covered by Sections 324 to 328 of, and Schedule 27 to, the Education Act 1996. Guidance on the Admission of EHCP and Statemented pupils is given in the Special Education Needs Code of Practice.

1. Where all parental preferences for places at the school can be satisfied, all children seeking a place will be admitted.
2. Where there are too few places available to satisfy all preferences, places will be allocated according to the following priority order:-
 - i) A "Child in Care" or who was "previously a Child in Care" (see footnote 1)
 - ii) Children who the authority accepts have an exceptional medical or social need and where there is a need for a place at one specific school (see footnotes 2).
 - iii) Children living within the school's catchment area who will have a sibling(s) attending the school at the time of admission. (see footnote 3)
 - iv) Children living within the school's catchment area who are attending the preferred school's recognised maintained feeder school during the previous year and are on that school's roll at the time of application. (see footnote 4).
 - v) Children living within the school's catchment area.
 - vi) Children living outside the school's catchment area who will have a sibling(s) attending the school at the time of admission. (see footnote 3,5)
 - vii) Children living outside the school's catchment area and who are attending one of the preferred school's recognised maintained feeder schools during the previous year at the time of application. (see foot note 5)
 - viii) Children living outside the school's catchment area and whose parents wish them to attend a CE Voluntary Controlled school on denominational grounds. (see footnote 6)
 - ix) Children of staff with at least two years continuous service at the school or who have been recruited to a vacancy to meet a demonstrable skills shortage as at the date of application (in year) or relevant closing date under the LA co-ordinated scheme (normal year of entry) and who still intend to be employed at the school at the time of the child's admission. (see footnote 7 & 8)
 - x) All other children living outside the school's catchment area.
3. If oversubscribed within any of the priority order categories above, places will be allocated on the basis of the shortest straight-line measurement using a geographical information-based system which identifies an Easting and Northing for the home address and the school and calculates the distance between the two locations. NB. School transport is based on walking and driven distances.

4. In the event that the LA is unable to distinguish between applications despite applying the priority categories above, lots will be drawn by an independent (of the LA) person to determine the final place(s).
5. Where applications are received from families with multiple birth siblings and by adhering to PAN these siblings could not be offered the same school, the admission number will be exceeded to accommodate the multiple birth siblings. This is not an indication that schools can exceed the admission number other than under these exceptional circumstances.

Footnotes

1. A "Child in Care" means any child who is in the care of a local authority in accordance with Section 22 (1) of the Children Act 1989. A child who was "previously a Child in Care" means a child who after being Looked After became subject to an Adoption Order under Section 46 of the Adoption and Children Act 2002, a Child Arrangement Order under Section 8 of the Children Act 1989 or Special Guardianship Order under Section 14A of the Children Act 1989.
2. Applications will only be considered under this category if there is evidence provided such as a Child Protection Order, Children in Need document or a written statement from a doctor, social worker or other relevant independent professional. The information must confirm the exceptional medical or social need and demonstrate how the specified school is the only school that can meet the defined needs of the child. The local authority is all inclusive and will meet all legislative requirements to accommodate children within their educational setting as appropriate to their need.
3. The term 'sibling' means full brother or sister, half or step brother or sister, adoptive brother or sister and other non-blood related children who live with married or cohabiting parents in the same household and relates to all year groups provided by the school. In the case of an infant school the sibling link will apply to the related junior school and vice versa.
4. The feeder school criteria only applies to children attending the recognised feeder Infant School and are applying to the recognised receiver Junior School. This applies to Upton Infant & Junior School and Wyke Regis Infant & Junior School.
5. This does not include independent schools, pre-schools or nurseries.
6. In order to qualify for consideration under this category, parents/guardians will need to show that at least one adult family member and the child to whom the application relates to have been attending their local church at least once a month for a minimum of a year prior to the closing date for applications. The application must also be supported by a written statement from the vicar/priest/minister or leader of the church confirming this.
7. The term 'children' includes full, half, step, adopted and those non-blood related but resident through marriage, civil partnerships or single family co-habitation arrangements at the time of application or deadline.
8. Staff are defined as all Dorset Council employed teaching and support staff at the preferred school. 'Children of staff' refers to situations where the staff member is the natural parent, the legal guardian or a resident step parent. If applicants wish

to be considered under this criterion then a letter from the Headteacher confirming the above applies to the applicant must be provided at the time of application.

Failure to provide sufficient evidence will result in the application being processed against the next highest criteria. Separate admission policies apply to Primary/First schools in Gillingham and Verwood. Details of these policies can be found on the School Admission website.

All policies and the Parents' Guide which provides further information and clarification are all available at www.dorsetforyou.com/schooladmissions.

Dorset Council Admission of Armed Forces Community Children Policy 2020-2021

This policy applies to all schools where Dorset Council (DC) is the admissions authority (community and voluntary controlled schools) – it will also be promoted for adoption with Dorset schools which are their own admissions authorities (academies, foundation, voluntary aided and free schools).

Dorset Council wishes to recognise the Armed Forces Covenant which is a promise between the Government, the Nation and the Armed Forces. It's there to make sure that people in the Armed Forces Community aren't disadvantaged because of their Service, and that the people who have given the most receive special consideration for the sacrifices they have made for the country.

DC is committed to look out for any problems these families might face because of their part in the Armed Forces Community, and then to assist in finding solutions to those problems.

A family may be disadvantaged when applying for a school place (during service or upon leaving service). When an application is made from the Armed Forces Community and a place cannot ordinarily be offered, an assessment will be made of the circumstance.

In order to establish (by admissions department or appeal committee) whether a place should be offered, it needs to be identified as to whether being a member of the armed forces has disadvantaged the family in applying for a specific school place and consider the impact of placing the child over number (see Consideration of Prejudice).

The School Admissions Code has been revised to enable schools to admit service children as exceed the 30-pupil limit for infant classes in order to accommodate Service children.

Infant class size – Infant classes (those where the majority of children will reach the age of 5, 6 or 7 during the school year) must not contain more than 30 pupils with a single school teacher⁴⁴. Additional children may be admitted under limited exceptional circumstances. These children will remain an 'excepted pupil' for the time they are in an infant class or until the class numbers fall back to the current infant class size limit. The excepted children are....

f) children of UK service personnel admitted outside the normal admissions round;

Admissions Authorities when considering admissions placement from Forces Families should take account of the expectation that families will move as a new posting comes

through or when discharged at the end of service: the family have little or no choice in the location or the timing of this move and so, in many cases, will be forced to apply to schools outside of the normal admissions round.

In order to ascertain if they should be considered for a place at a school that is full in the year group applied for (especially where this would contravene infant class size legislation) it should be considered whether or not it would have been reasonable for a family living at the stated address and applying 'on time' at the normal year of transfer to obtain a place.

1. Did the fact that a parent is serving in the armed forces prevent an 'on time' application being made?

Yes – This should be taken into account in the decision-making process

No – There has been no disadvantage and therefore no account need be taken.

2. Would it have been reasonable to expect a place at the named school had the application been made 'on time' at the normal age of transfer?

Yes – This should be taken into account in the decision making process

No – There has been no disadvantage and therefore no account need be taken.

3. Would the alternative offer NOT have been one that other families in the locality were offered?

Yes – This should be taken into account in the decision making process

No – There has been no disadvantage and therefore no account need be taken.

4. Would the alternative placement offered have a negative long term impact e.g. not keep them within the same pyramid of schools for next age of transfer?

Yes – This should be taken into account in the decision making process

No – There has been no disadvantage and therefore no account need be taken.

If all the answer to all questions is 'No', then there has been no disadvantage and normal procedures should be followed.

If the answer to one or more questions is 'Yes', then the case will need to be considered more carefully in line with this undertaking but this does not mean that a child will automatically be admitted, as there still remains a need to balance the case of the child and the specific situation of school.

Consideration of prejudice

The admissions officer/appeal panel must balance the prejudice to the school against the appellant's case for the child to be admitted to the school.

It must take into account the appellant's reasons for expressing a preference for the school, including what that school can offer the child that the allocated or other schools cannot.

In reaching a decision as to whether or not there would be prejudice the panel may consider the following factors:

- a) what effect an additional admission would have on the school in the current and following academic years as the year group moves through the school;
- b) the impact on the organisation and size of classes, the availability of teaching staff, and the effect on children already at the school.

If the admissions authority/appeals panel considers that the appellant's case outweighs the prejudice to the school it must admit the child/uphold the appeal.

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Dorset Council
Guidance on the Placement of a Pupil
Outside His or Her Normal Age Group
2020-2021

1. Introduction

- 1.1 The purpose of this guidance is to provide schools and Admission Authorities (see Section 9) in Dorset with a framework within which to make decisions about whether or not a pupil should be educated in a group outside his or her normal age group.
- 1.2 While the final decision rests with the Admission Authority. The Head teacher of the school or prospective school will be best placed to advise the Admission Authority on the appropriateness of the proposed course of action.
- 1.3 Parents and carers wishing to request that their child be placed outside his or her normal age group must do so through the Head teacher of the pupil's actual or proposed school.
- 1.4 Placing a pupil outside his or her normal age group can have significant implications for the pupil as he or she moves through schools. This guidance therefore aims to ensure that full consideration is given of both short and long term impact.
- 1.5 There is no requirement for schools to move those pupils who are currently outside their normal age group. It is suggested that in these circumstances the school should ensure that parents and carers are aware of the possible implications of the pupil remaining outside his or her normal age group. This relates in particular to phase transfers. Some of the possible implications are outlined in section 3 of this guidance document.

2. Principles

- 2.1 The principles behind educational inclusion stress the importance of all pupils being educated alongside their peers in their local communities. This national perspective is reflected in Dorset's Inclusion Vision. The emphasis is on schools meeting individual needs, including those of pupils with special educational needs, through personalised learning.
- 2.2 Expectations of good practice are based upon a child's entitlement to be educated alongside their age equivalent peers. The responsibility for addressing individual needs lies with the school through an appropriately differentiated curriculum. Personalised learning is at the heart of ensuring that the provision that is made meets the individual pupil's needs.

- 2.3 The needs of the child or young person need to be viewed holistically. The individual's social, emotional and physical development and well-being need to be considered alongside educational needs.
- 2.4 Where a child has special, additional or individual educational needs, then their educational programme should be enhanced with appropriate support. For pupils with SEN, this support will be outlined in the Individual Education Plan (IEP) or, where appropriate, in a Statement of Special Educational Needs.
- 2.5 **The placement of a child or young person outside his or her normal age group is not an appropriate strategy for meeting special educational needs.** Special educational needs are not a justification for placing a pupil outside his or her normal age group. Special Schools will **always** register pupils in their correct year group, as they will then be placed within the most appropriate teaching group (which are mixed age as they are based on pupils needs rather than solely chronological age).
- 2.6 There are significant and long term issues for the pupil, the school and the Local Authority/Academy Trust that arise from a decision to place a pupil outside his or her normal age group. These are set out in Section 3 of this policy.
- 2.7 If a Head teacher decides to recommend that a pupil be placed outside his or her normal age group, this should only be in truly exceptional circumstances and in full light of the possible implications for the pupil. Recommendations should be made in accordance with procedures published in this guidance, and with the full involvement of parents/carers and all relevant professionals involved with the pupil's education. Guidance on the decision making framework is set out in Section 4 of this policy.

3. Implications for pupils who are placed outside their normal age group

- 3.1 All recommendations and decisions should be made with the following factors in mind. It is particularly important that parents/carers are aware of possible implications for the remainder of the pupil's progress through the school system:
- If a Head teacher recommends that a pupil is placed in a group below his or her chronological year, then a reduced set of general expectations is in place, and areas of strength are at risk of not receiving appropriate stimulation. If a pupil is placed above his or her chronological year then the converse can happen, although most requests are for delayed rather than accelerated movement.
 - Parents/carers should be made aware that a decision which has been recommended by one Head teacher may be sought to be overturned in another setting.
 - The implications are long term as, once the year/group change has been made, it is difficult to reverse as:
 - a) the pupil may miss out on a national curriculum year programme of work

- b) the pupil may need to join an unfamiliar class group and will need to form new friendships and support networks
- c) the consequences of making up a year can be negative for the pupil

The above is likely to put additional pressure on an already vulnerable pupil.

- If the pupil remains outside his or her normal age group, his or her physical, emotional and social needs may be unmet.
- At phase transfers, which could mean a change of school and new friendship groups, pupils will be older than the rest of their new peer group.
- National Curriculum Tests and GCSEs and other accredited courses are completed a year or more late, as assessment takes place at the same time as the rest of the year group in which the pupil has been placed and not in line with his or her chronological age.
- A pupil who is outside his or her normal age group, and reaches Year 10 may choose to leave school at the official school leaving date for their age group– which is always the last Friday in June at the end of the academic year in which he or she is 16, thereby not completing GCSEs or other accredited courses and thus damaging his or her prospects for future employment or further education placement.
- A pupil who does not remain in his or her cohort will experience fractured peer relationships; this is likely to be detrimental to well-being.
- A pupil who is moved to a lower age group may well receive negative messages which will impact adversely on his or her sense of acceptance, achievement and belonging.

4. The decision making framework

4.1 The following general framework applies to all requests for placing a pupil outside his or her normal age group, regardless of specific circumstances.

- Head teachers should set out why this course of action is being considered and his or her recommendation. This recommendation should be based on written advice from members of other professional groups who are involved in supporting the child.
- In no instance should movement be of more than a single National Curriculum year.
- Schools should be able to evidence that **this is not a response to unmet need** and that

- the pupil's educational, social and emotional well-being would be best met through placement outside his or her normal age group
 - there is full parental support and agreement
 - there is pupil support and agreement following explanation and counselling at a level the pupil is able to understand
 - there are clear objectives and time scales to the change, with plans in place to manage phase transfers and examinations if appropriate
- In all aspects schools are advised to ensure that parent/carers are fully involved in the decision to recommend this course of action, that they understand the long-term implications and that they have provided written agreement (See template agreement to place outside of the normal age group – BYIY 002 at the end of this document, please attach any other supporting documentation).
 - The attached form should be completed and forwarded to the Dorset Admissions Team.
 - Where the request has been made by a parent/carer but is not recommended by the Head Teacher, both parties may set out reasons to support their recommendation/ request and these will be considered by the In Year Fair Access Panel. (See Dorset School Admissions website for an application form).
 - Completed recommendations/requests will be considered by The Local Authority's In Year Fair Access Panel which meets regularly during term time. It will make decisions on the basis of the circumstances of each case and will inform parents of their statutory right to appeal should they disagree with the panel's decision.
 - Non-Dorset children / non-Dorset schools. Requests are dealt with and recommendations made by the admitting school, regardless of the child's home address. For a child with a statement of special educational needs, where another Local Authority is responsible for the statement, the school would need to consult with the SEN team of the Local Authority having responsibility for the statement.

5. Guidance on special circumstances

5.1 Medical needs

- 5.1.1 Some pupils may have significant absence from or intermittent attendance at school due to a medical condition or accident. During the absence from school pupils may have accessed differing amounts of education and as a result will be better or less well-prepared to re-engage with full-time education.
- 5.1.2 The age of the student is important. Absence from school which has affected preparation for GCSE courses of study may have greater significance on a student's future life chances than prolonged absence at other times.

5.1.3 Recommendations in respect of pupils who have missed extensive periods of time from education due to illness or accident should be made on an individual basis and in a multi professional forum.

5.1.4 Further information relating to pupils with medical needs may be found in Dorset's Access to Education for Children and Young people with Medical Needs.

5.2 **Pupils learning English as an additional language, refugees and asylum seekers**

5.2.1 If a pupil from overseas arrives with limited or no English into Year 11, it would be difficult for the school to make provision in respect of GCSE courses. Every chance to undertake those GCSEs should be explored and consideration might be given to placing the pupil in Year 10 to maximise his or her opportunities (with agreement from the parents and the young person). Advice and support should be requested from specialist staff where appropriate.

5.2.2 A pupil arriving in any other year group from overseas with limited or no English would not normally be considered for placement outside his or her normal age group.

5.3 **Twins or other multiple births**

5.3.1 Where twins or other multiple birth siblings have birthdays on either side of midnight on 31 August, the siblings will have been born in different academic years. In anticipation that parents will want the children to be admitted to school together, when applying for admission to Reception, a parent may specify that both twins (or all triplets etc) be admitted to the same academic year. This will mean that one or more of the children is admitted out of his or her chronological cohort. The expectation will then be that the children will continue to be taught within that cohort as their school career progresses.

6. **Pupils already out of their normal age group**

6.1 Where pupils have been placed outside their normal age group and that decision is now not considered to be appropriate, the school should meet with the parents/carers and other professionals involved and determine the future course of action.

6.2 The school and the parents or carers should have a clear plan as to the future educational arrangements for the pupil. This should take into account how any potentially negative implications will be managed.

6.3 A move of school may provide a suitable opportunity for the pupils to be returned to their normal age group. (N.B. This will **always** occur if the placement is at a special school.)

7. **Deferred Entry to the reception class**

- 7.1 Every child must legally start their full time education the term after their fifth birthday. However a September admission date is expected to be maintained for the majority of four year old children in Dorset. A parent having applied for a place in September, may wish to *defer* the entry until later in that academic year but not beyond the point at which they reach compulsory school age and not beyond the beginning of the final term of the school year for which the application was made. This action will not result in the pupil being placed outside his or her normal age group and is therefore outside the remit of this policy. With deferred entry the pupil is placed in the appropriate age group. For further information please contact the school admissions team (01305 221060).
- 7.2 Where parents/carers consider a **deferred entry** will be of benefit to the child, the parents/carers must contact their preferred school for further information and agree a date for entry to school for the child. The date of entry must not be beyond the start of the final term of the academic year (Foundation year). If the parents/carers do not take up the place at the agreed time, the place will be considered vacant and offered to another applicant. This applies to all schools.
- 7.3 Parents/carers opting for deferred entry need to be aware of the possible implications. The child will miss part of the Foundation Stage curriculum and also the period of induction that the pupils starting in September will receive.

8. Delayed Entry to Reception Class – Summer Born Children

- 8.1 Where a child is summer born and parents wish to consider the delay of their child starting school in the Reception Class until after their 5th birthday they will have to discuss this directly with the Head Teacher and/or the Admission Authority of the proposed school. These requests will be considered on a case by case basis and with reference to this Guidance.
- 8.2 If a parent applies for a reception place to be taken up after the child's 4th birthday and is allocated a place in the normal transfer round and then subsequently wishes for their child to enter the school in Reception after their 5th birthday – they will have to make a new application in the next application year and surrender their current place/application. Their application will be considered afresh and no guarantee will be given that they will get a place at the same school in the subsequent allocation as it will be subject to the relevant admissions code and the overall number of available places.
- 8.3 If a parent has deferred entry into reception and subsequently decides to re-apply for a reception place for the next academic year after the normal 4+ closing date, then a new application will have to be made and will be considered as a late application and a place cannot be guaranteed at the preferred school. The application will be subject to the oversubscription criteria should applications be in excess of the places available.
- 8.4 A parent is required to make an application for a school place for entry in September after the child's 4th birthday. If the parent intends to apply for a delayed entry they must then get agreement from the school or schools that they intend to apply to and fill the form at the end of this guidance prior to withdrawing

their original application. One form for each school applied for is required. They will then have to make a further new application for the new intended year of entry.

- 8.5 Once the parent and school agree to the delayed entry into reception, the form BYSB 001 at the back of this Guidance should be completed by the parent and signed by them and the Head Teacher to confirm the delayed entry.
- 8.6 Once a summer born child has delayed entry in reception in September following their 5 birthday – the ability to engage in a part-time timetable or graduated start will not be available as it would be to a 4 year –old as once a child has reached 5, they are required to attend full time.

9. Admissions Authorities in Dorset

- 9.1 The decision making body is dependent on the type of school:

Type of School	Who is the admission authority?	Who is the decision maker for placement outside of normal year group?
Community Schools	Local Authority	Head Teachers/Governing Bodies will make a recommendation to the DCC Admissions Team as the Admissions Authority. The Admissions Authority may accept the recommendation or wish to refer to the In Year Fair Access Panel.
Voluntary controlled schools	Local Authority	
Academies	Academy Trust	As 'Own Admissions Authority' the Governing Body will decide outcome.
Foundation Schools	Governing body	
Voluntary aided schools	Governing body	

10. Request /Recommendation for pupil to be placed outside his or her normal age group

- 10.1 Parents are requested to discuss this option with the school prior to completing the attached form.

BYSB 001 - Application for Delayed Entry to a Reception Class.

This form is to be filled and signed by the parent when they have decided to delay their child's entry into a Reception Class under the Admission of Summer Born Children Protocols. The Head Teacher's signature is confirmation that a discussion with the parent has taken place about the implications of the decision to delay entry though is not a statement that the school has made a professional decision on the educational or developmental needs of the child.

Parents are advised to refer to the following Documents:

1. Department for Education – Advice on the admissions of summer born children - December 2014
2. Dorset County Council - Guidance on the Placement of a Pupil Outside His or Her Normal Age Group – April 2014

Name of Child_____ Date of Birth_____

Name of School_____

Having read both the Department for Education and Dorset County Council Guidance on summer born children I wish to delay entry into reception until September _____ (Enter appropriate year).

I acknowledge I will have to make a new school application which will be subject to the Dorset Admissions Code and oversubscription criteria for that year and any offer of a school place I currently hold will be withdrawn.

I confirm that I understand the following:

- when my child moves to another school, that a new application for the continuation of the placement outside of their normal year group will have to be made to the new school.
- another school or local authority is not required to continue the placement of a child outside their normal year group.
- that there is no option of my child starting Reception at aged 5 on a part-time timetable.
- once a child is admitted to a school it is for the Head Teacher to decide how best to educate them. In some cases it may be appropriate for a child who has been admitted out of their normal age group to be moved to their normal age group, but in others it will not.
- any subsequent decision to move a child to a different age group or back into their chronological age group should be based on sound educational reasons and made by the Head Teacher in consultation with the parents.

Parents Name_____

Signature_____ Date:_____

Head Teachers Name_____

Signature_____ Date_____

A copy of this to be retained by the school, a copy to be retained by the parent and a copy to be sent to Dorset County Council School Admissions

BYIY 002 - Agreement for the Placement of a Child Outside of their Normal Age Group.

This form is to filled and signed by the parent and the relevant school when agreement has been reached for an existing enrolled pupil to be placed outside of their normal year group.

Parents are advised to refer to the following Documents:

1. Department for Education – School Admissions Code - December 2014
2. Dorset County Council - Guidance on the Placement of a Pupil Outside His or Her Normal Age Group

Name of Child _____ Date of Birth _____

Name of School _____

National Curriculum Year Group - Current _____ Proposed _____

Having read both the Department for Education and Dorset County Council Guidance on placement of children outside of their normal age group I wish to confirm that I have agreed for my child to be placed in the proposed National Curriculum Year Group.

I confirm that I understand the following:

- when my child moves to another school, that a new application for the continuation of the placement outside of their normal year group will have to be made to the new school.
- another school or local authority is not required to continue the placement of a child outside their normal year group.
- once a child is admitted to a school it is for the Head Teacher to decide how best to educate them. In some cases it may be appropriate for a child who has been admitted out of their normal age group to be moved to their normal age group, but in others it will not.
- any subsequent decision to move a child to a different age group or back into their chronological age group should be based on sound educational reasons and made by the Head Teacher in consultation with the parents.

Parents Name: _____

Signature: _____ Date: _____

Head Teachers Name: _____

Signature: _____ Date: _____

A copy of this to be retained by the school, a copy to be retained by the parent and a copy to be sent to Dorset County Council School Admissions

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Dorset Council Sixth Form Admissions Policy 2020 - 2021

Dorset LA is the Admissions Authority for all Community and Voluntary Controlled schools in the Dorset Council Area. Arrangements for entry to Sixth Forms are administered by the respective governing bodies. The policy set out below does not apply to Voluntary Aided, Free Schools, Academies and Foundation schools.

Should more than one parent have parental responsibility, only one application will be considered. Unless a court order rules otherwise, the application must be made by the parent who has day to day care of the child for the majority of the school days/weeks. Where this is unclear, disputed, or care is split equally and there is no agreement between the parents, the application considered will be that made by the parent at the address identified on the child's registered General Practitioner (GP) record. If separated parents reside at the same address, they should reach agreement or, if not possible, obtain a Court Order to clarify the preferences before an application can be considered by the Local Authority.

1. Where all parental preferences for places at the school can be satisfied, all children seeking a place will be admitted.
2. Where there are too few places available (see footnote 1) to satisfy all preferences, places will be allocated according to the following priority order:-
 - i) A "Child in Care" or who was "previously a Child in Care" (see footnote 2)
 - ii) Children who the authority accepts have an exceptional medical or social need and where there is a need for a place at one specific school (see footnote 3).
 - iii) Children living within the school's catchment area who will have a sibling(s) attending the school at the time of admission. (see footnote 4)
 - iv) Children living within the school's catchment area.
 - v) Children living outside the school's catchment area who will have a sibling(s) attending the school at the time of admission. (see footnote 4)
 - vi) Children living outside the school's catchment area and whose parents wish them to attend a CE Voluntary Controlled school on denominational grounds. (see footnote 5)
 - vii) Children of staff with at least two years continuous service at the school or who have been recruited to a vacancy to meet a demonstrable skills shortage as at the date of application (in year) or relevant closing date under the LA co-ordinated scheme (normal year of entry) and who still intend to be employed at the school at the time of the child's admission. (see footnote 6 & 7)
 - viii) All other children living outside the school's catchment area.
3. If oversubscribed within any of the priority order categories above, places will be allocated on the basis of the shortest straight line measurement using a geographical information based system which identifies an Easting and Northing

for the home address and the school and calculates the distance between the two locations. NB. School transport is based on walking and driven distances.

4. In the event that the LA is unable to distinguish between applications despite applying the priority categories above, lots will be drawn by an independent (of the LA) person to determine the final place(s).
5. Where applications are received from families with multiple birth siblings and by adhering to PAN these siblings could not be offered the same school, the admission number will be exceeded to accommodate the multiple birth siblings. This is not an indication that schools can exceed the admission number other than under these exceptional circumstances.

Footnotes

1. The places are defined as the published admission number for year group 12.
2. A “Child in Care” means any child who is in the care of a local authority in accordance with Section 22 (1) of the Children Act 1989. A child who was “previously a Child in Care” means a child who after being Looked After became subject to an Adoption Order under Section 46 of the Adoption and Children Act 2002, a Residence Order under Section 8 of the Children Act 1989 or Special Guardianship Order under Section 14A of the Children Act 1989.
3. Applications will only be considered under this category if there is evidence provided such as a Child Protection Order, Children in Need document or a written statement from a doctor, social worker or other relevant independent professional. The information must confirm the exceptional medical or social need and demonstrate how the specified school is the only school that can meet the defined needs of the child. The local authority is all inclusive and will meet all legislative requirements to accommodate children within their educational setting as appropriate to their need.
4. The term ‘sibling’ means full brother or sister, half or step brother or sister, adoptive brother or sister and other non-blood related children who live with married or cohabiting parents in the same household and relates to all year groups provided by the school.
5. In order to qualify for consideration under this category, parents/guardians will need to show that at least one adult family member and the child to whom the application relates to have been attending their local church at least once a month for a minimum of a year prior to the closing date for applications. The application must also be supported by a written statement from the vicar/priest/minister or leader of the church confirming this.
6. The term children includes full, half, step, adopted and those non-blood related but resident through marriage, civil partnerships or single family co-habitation arrangements at the time of application or deadline.

7. Staff are all Dorset Council employed teaching and support staff at the preferred school. 'Children of staff' refers to situations where the staff member is the natural parent, the legal guardian or a resident step parent. If applicants wish to be considered under this criterion then a letter from the Headteacher confirming the above applies to the applicant must be provided at the time of application.

Failure to provide sufficient evidence will result in the application being processed against the next highest criteria.

All policies and the Parents' Guide which provides further information and clarification are all available at www.dorsetforyou.com/schooladmissions.

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Dorset Council Maintained Nursery Units Policy 2020-2021

This Admissions Policy applies to the following schools that have maintained nursery units attached to the schools:

- Weymouth, Bincombe Valley Primary School
- Weymouth, Holy Trinity CE VC Primary School
- Weymouth, Wyke Regis Infant School

The maximum number of children that can be admitted is determined by the individual nursery with regard to staffing and square footage in accordance with national guidance. Admissions are administered by each individual nursery unit. Applications should be submitted by the adult who has parental responsibility for the child (see footnote 1).

Admission to a Nursery Unit does not guarantee admission to the attached school. A separate application must be made for transfer from the Nursery Unit to the School which will be considered in accordance with the LA's admissions policy for community and voluntary controlled schools.

- (1) Where all parental preference applications for places at the Nursery Unit can be satisfied all children seeking a place will be admitted.
- (2) Where there are too few places available to satisfy all parental preference applications (as measured against the maximum limit identified above), places will be allocated according to the following priority order:
 - i) A "Child in Care" or who was "previously a "Child in Care" (see footnote 2).
 - ii) Children who the authority accepts have an exceptional medical or social need and where there is a need for a nursery place at one specific nursery (see footnote 3).
 - iii.) Children living within the attached school's catchment area who will have a sibling(s) attending the Nursery Unit at the time of application and admission (see footnote 4, 5).
 - v.) Children living within the attached school's catchment area (see footnote 4).
 - vi.) Children living outside the attached school's catchment area and who will have a sibling(s) attending the Nursery Unit at the time of admission (see footnote 5).
 - vii.) Children of staff with at least two years continuous service at the Nursery Unit or who have been recruited to a vacancy to meet a demonstrable skills

shortage as at the date of application and who still intend to be employed at the Nursery Unit at the time of the child's admission (see footnote 6).

viii.) All other children living outside the attached school's catchment area.

- (3) Where there are too few places available to satisfy preferences expressed within any of the priority order categories set out above, places will be allocated on the basis of the child's closeness to the preferred Nursery Unit (defined by straight line measurement using a geographical information based system which identifies the straight line distance between the home address and the school from an easting and northing for the two locations).
- (4) In the event that the Governing Body is unable to distinguish between applications despite applying the criteria set out above, lots will be drawn by an independent person (of the Governing Body) to determine the final place(s).

Footnotes

1. Should more than one adult have parental responsibility, only one application will be considered. Unless a court order rules otherwise, the application must be made by the parent who has day to day care of the child for the majority of the school days/weeks. Where this is unclear, disputed, or care is split equally and there is no agreement between the parents, the application considered will be that made by the parent at the address identified on the child's registered General Practitioner (GP) record. If separated parents reside at the same address, they should reach agreement or, if not possible, obtain a Court Order to clarify the preferences before an application can be considered by the Local Authority.
2. A "Child in Care" means any child who is in the care of a local authority in accordance with Section 22 (1) of the Children Act 1989. A child who was "previously a Child in Care" means a child who after being Looked After became subject to an Adoption Order under Section 46 of the Adoption and Children Act 2002, a Residence Order under Section 8 of the Children Act 1989 or Special Guardianship Order under Section 14A of the Children Act 1989.
3. Applications will only be considered under this category if there is evidence provided such as a Child Protection Order, Children in Need document or a written statement from a doctor, social worker or other relevant independent professional. The information must confirm the exceptional medical or social need and demonstrate how the specified nursery is the only nursery that can meet the defined needs of the child. The local authority is all inclusive and will meet all legislative requirements to accommodate children within their educational setting as appropriate to their need.
4. The school's catchment area is a geographical area defined by the LA. Details are held by the school.

5. The term “sibling” means full brother or sister, stepbrother or sister, adoptive brother or sister and non-blood related children who live with married, single cohabiting parents in the same household.

6. Staff are all Dorset Council employed staff at the preferred nursery school. ‘Children of staff’ refers to situations where the staff member is the natural parent, the legal guardian or a resident step parent. If applicants wish to be considered under this criterion then a letter from the nursery must be provided at the time of application.

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Dorset Council

Guidance on Consulting on Admissions Arrangements

1.1 Relevant Area

The School Standards & Framework Act 1998 requires Local Authorities to establish Relevant Area (s) for admission policy consultations. The Relevant Area is the area in which admission authorities must consult with schools regarding their proposed admission arrangements before finalising them.

It is proposed that the Relevant Area for the 2019 and 2020 academic years for Dorset schools, including any schools that may subsequently become academies, be the geographical area of Dorset Council (DC).

Proposed consultation requirements for each type of admission authority are listed below:

The local authority will consult on the admissions arrangements for Community and Voluntary Controlled schools with:

- All schools within Dorset
- All neighbouring local authorities
- Any out of county academy, foundation, free and voluntary aided primary schools within 4.8 kilometres (3 miles) of the Dorset Council border
- Any out of county academy, foundation, free and voluntary aided secondary schools within 8 kilometres (5 miles) of the Dorset Council border

1. Having consulted with their Diocese, primary schools designated as having a religious character, will consult with:

- Dorset Council
- All other primary schools whose catchment partially or wholly falls within a 4.8 kilometre radius (3 miles)
- Other local authorities within a 4.8 kilometre radius (3 miles)
- Other faith primary schools within their own deanery, according to guidance issued by their Diocese

2. Primary academies and foundation schools will consult with:

- Dorset Council
- All other primary schools whose catchment partially or wholly falls within a 4.8 kilometre radius (3 miles)
- Other local authorities within a 4.8 kilometre radius (3 miles)

3. Having first consulted with their Diocese, secondary schools designated as having a religious character, will consult with:

- Dorset Council
- All other primary and secondary schools whose catchment partially or wholly falls within an 8 kilometre radius (5 miles)
- Other local authorities within an 8 kilometre radius (5 miles)
- Other primary and secondary faith schools within their own deanery, according to guidance issued by their Diocese

4. Secondary Academies, Foundation, Free and Trust schools will consult with:

- Dorset Council
- All other primary and secondary schools whose catchment partially or wholly falls within an 8 kilometre radius (5 miles)
- Other local authorities within an 8 kilometre radius (5 miles)

Relevant area consultation does not change the duties that an Admissions Authority has in undertaking consultation on changes in admissions arrangements as laid down in 1.42 to 1.45 of the School Admissions Code December 2014¹. (see Section 1.2).


1.2 Partners and Stakeholders

Dorset Council endeavours to consult as widely as possible, and in fulfilling its duty under the Admissions Code, it will notify the following organisations of a consultation on Admissions Arrangements or School Transport Arrangements:

- Elected Dorset Councillors
- Town / Parish Councils
- Relevant Nursery and Pre-School settings

DCC will fulfil its duty to consult with parents of children between the ages of two and eighteen by:

- advertising the consultation on the Dorset Council Website
- Requesting each school to inform parents in their newsletter that DC is consulting on Admissions Arrangements and/or School Transport Arrangements
- Requesting that each school places a notice on their school website that DC is consulting on Admissions Arrangements and/or School Transport Arrangements

- 
- Requesting each nursery/pre-school setting to inform parents that DC is consulting on Admissions Arrangements and/or School Transport Arrangements
 - Publishing the consultation through the Family Information Service e-Newsletter circulated 20,000+ families across Dorset.

ⁱ See paragraph 1.3 Regulations 12 to 17 of the School Admissions Regulations 2012 which covers consultation arrangements

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Shadow Dorset Council

Date of Meeting	11 February 2019
Lead Member	Cllr Jeff Cant, Leader, Weymouth & Portland Borough Council
Officer	David Brown, Head of Assets and Infrastructure, Dorset Councils Partnership
Subject of Report	Former Weymouth & Portland Borough Council Offices, North Quay, Weymouth
Recommendation	Further to discussion at this Committee about the former Council offices at North Quay, Weymouth, on 17 December 2018, the Shadow Executive Committee is asked to support the recommendations outlined at section 6 of the report below, particularly recommendation 6 (v) [That Members of the Weymouth & Portland Management Committee] ' <i>seek support from the Shadow Executive Dorset Council to the ... recommendations</i> '.
Reason for Recommendation	To ensure continuity of the project, as Dorset Council will be the body that will be the authority responsible for taking the redevelopment forward from 1 April 2019.
Appendices / Background Papers	See attached report for details
Officer Contact	Name: David Brown, Head of Assets & Infrastructure Tel: 01305 252997 Email: dbrown@dorset.gov.uk

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Management Committee

5th February 2019

Former WPBC offices, North Quay, Weymouth.

Appendix 3-Not for publication by virtue of paragraph 3 of Schedule 12A, Part 1 of The Local Government Act 1972, as amended. The public interest in maintaining the exemption outweighs the public interest in disclosing it.

For Decision

Briefholder

Cllr Jeff Cant, Assets and Finance Briefholder
Cllr Gill Taylor, Housing Briefholder

Senior Leadership Team Contact:

S Caundle, Assistant Chief Executive

Report Author:

D.Brown, Head of Assets & Infrastructure.

Statutory Authority

Sections 123 and 111 Local Government Act 1972

Purpose of Report

- 1 To allow members to consider and comment on a series of site layouts and scheme mixes that Magna Housing Association (Magna) have utilised to consult on with the public, as per Appendix 1
- 2 To review the initial schemes utilised by Magna and to consider the public response to these, as per Appendix 2
- 3 To agree support to an appropriate initial scheme design so as to allow a more detailed design and planning application to then be submitted by Magna.
- 4 To agree as set out in confidential Appendix 3 the requirements of Homes England grant and that this is signed by 31st March 2019.
- 5 To agree to sign a joint venture agreement with Magna Housing Association but acknowledging that this may follow the Homes England grant.

Recommendations

- 6 Members agree to:-
 - i) Support one of the initial scheme designs in Appendix 1 as is presented or with additional comment.
 - ii) Proceed to enter into the grant agreement with Homes England accepting that this may be in advance of the signing of the joint venture agreement between Magna and the Council.

- iii) Enter into the joint venture agreement with Magna Housing Association
- iv) Agree to delegate to the Head of Paid Services or any successor level officer authority to conclude the necessary legal agreements and also to procure the works identified as part of the Homes England grant agreement.
- v) Seek support from the Shadow Executive Dorset Council to the above recommendations.

REASON FOR DECISION

7

- i) To enable members to progress their strategy for the disposal and re-development of North Quay site, taking into account comment received from the public consultation.
- ii) To secure the Homes England grant but acknowledging that in doing so there is potentially some risk in not having a simultaneously signed joint venture agreement with Magna.
- iii) To thus allowing demolition of the current building and permit a redevelopment of the site with an appropriate range of good quality affordable and other residential units, plus other facilities suitable for the location.
- iv) To ensure continuity of the project to seek support from Shadow Dorset Council since Dorset Council will be the body that will be taking forward this redevelopment post 31st March 2019.

BACKGROUND

- 8 Members received a report to Management Committee on the 11th December 2018 considering a range of options for the progression and redevelopment of the North Quay site.
- 9 These options included a stand-alone council partnership regeneration offering, and alternatives including agreeing to market the site on an outright site disposal either conditionally or unconditionally, and subject to planning or not, with all these being to the open market. It was identified that there was still market interest in the site from a variety of potential purchasers and there was the opportunity to still achieve a significant capital receipt with a sale on this basis. Members acknowledged this but determined that none of these options delivered an optimum solution for their wider aspirations.
- 10 Members then considered offers from a range of Registered Social Landlords/Housing Associations, all of whom had been invited to submit bids and initial scheme proposals. Of those invited to bid a number chose not to do so but three bids were received and these were considered by members. It was agreed that the council would work with Magna Housing Association to take forward a joint venture scheme with them based upon their offer. This approach was supported by the Shadow Executive Dorset Council.

- 11 In addition members also noted that discussions had been ongoing with Homes England, and that there was the potential for a grant agreement up to circa £3m to fund abnormal site costs but that there is a Homes England requirement that any grant agreement had to be signed by 31st March 2019.

CURRENT POSITION

Homes England Grant

- 12 The Homes England grant can greatly assist the site redevelopment but the grant agreement can only be with the council and so the delivery elements etc. need to be considered and accepted by members.
- 13 The grant agreement is a lengthy document with a lot of conditionality and the details and implications of this are considered in more detail in confidential Appendix 3.

Magna Housing Association

- 14 A series of initial site layout options have been produced and these are included in Appendix 1. These provided a range of different site layout schemes, with a mix of different components which were used as a base for the public consultations. In addition a range of questions were asked, and these and the overall public responses are indicated in Appendix 2. These are from not only the public who attended in person, but also who responded on line etc.
- 15 Magna will be developing their plans using their expertise and following significant public consultation, along with member comment, with the aim of submitting a planning application, at their own risk and cost but in accordance with their initial offer as developed and planning guidance.
- 16 In parallel to site layout consultations meetings have also taken place to consider the basis of the intended joint venture which will be used to bring forward the site. The details of this is considered in more detail in confidential Appendix 3.
- 17 As part of this the Council will be responsible for procuring the demolition of the existing Building on the site, site clearance and enabling works in accordance with its procurement rules and if agreed by members the council will be in receipt of Homes England grant funding to deliver these works. Timing of the enabling works will be driven by the Council's receipt of Homes England grant.

Implications

Financial

- 18 Interim funding is being utilised from existing budgets to allow an appropriate review of the Homes England grant agreement, and to assist with progression of necessary legal and other planning initial investigations.

Legal Issues

19 As indicated in confidential Appendix 3

Equalities

20 None directly arising from this report.

Environmental

21 None directly arising from this report.

Economic Development

22 Utilising the Homes England grant funds that are potentially available will enable this brownfield site to be brought into beneficial use.

Risk Management (including Health & Safety)

23 This report addresses the risks associated with the current offer in relation to the North Quay disposal.

Human Resources

24 None directly arising from this report.

Consultation and Engagement

25 None directly arising from this report.

Appendices

Appendix 1 – Proposed Scheme Options

Appendix 2 – Summary of Consultation

Appendix 3 – Confidential Appendix

Background Papers

11th December 2018 Management Committee Report

Footnote

Issues relating to financial, environmental, economic and equalities implications have been considered and any information relevant to the decision is included within the report.

Report Author: David Brown, Head of Assets & Infrastructure

Telephone: 01305 252997

Email: dbrown@dorset.gov.uk

North Quay

Weymouth

Site Approach 1 'Historic Street'



What does it show?

- Homes for older persons
- Homes for families couples & single people
- 3, 4 and 5 storey buildings
- Parking some basement parking and some parking courts
- Potential for community facing commercial space

Some Benefits and Challenges

- Re- instatement of the historic road across the site
- Consideration of narrower road along North Quay
- Can enhancement to historic locations in cliffside be made?
- Some basement parking within flood zone
- Outline approval of similar urban design layout already achieved



whitedesign

North Quay

Weymouth

Site Approach 2

'Harbour Views'



- Older persons accommodation
- 1 bed homes
- 2 bed homes
- 3 bed homes
- Listed Buildings, i.e those of historic value
- Place or point of focus, e.g enhanced landscape
- Possible access to covered parking area

Some Benefits and Challenges

What does it show?

- Homes for older persons
- Homes for families, couples and single people
- Parking mainly in ground floor/ basement under residential
- 4 and 5 storeys
- Potential for community facing commercial space

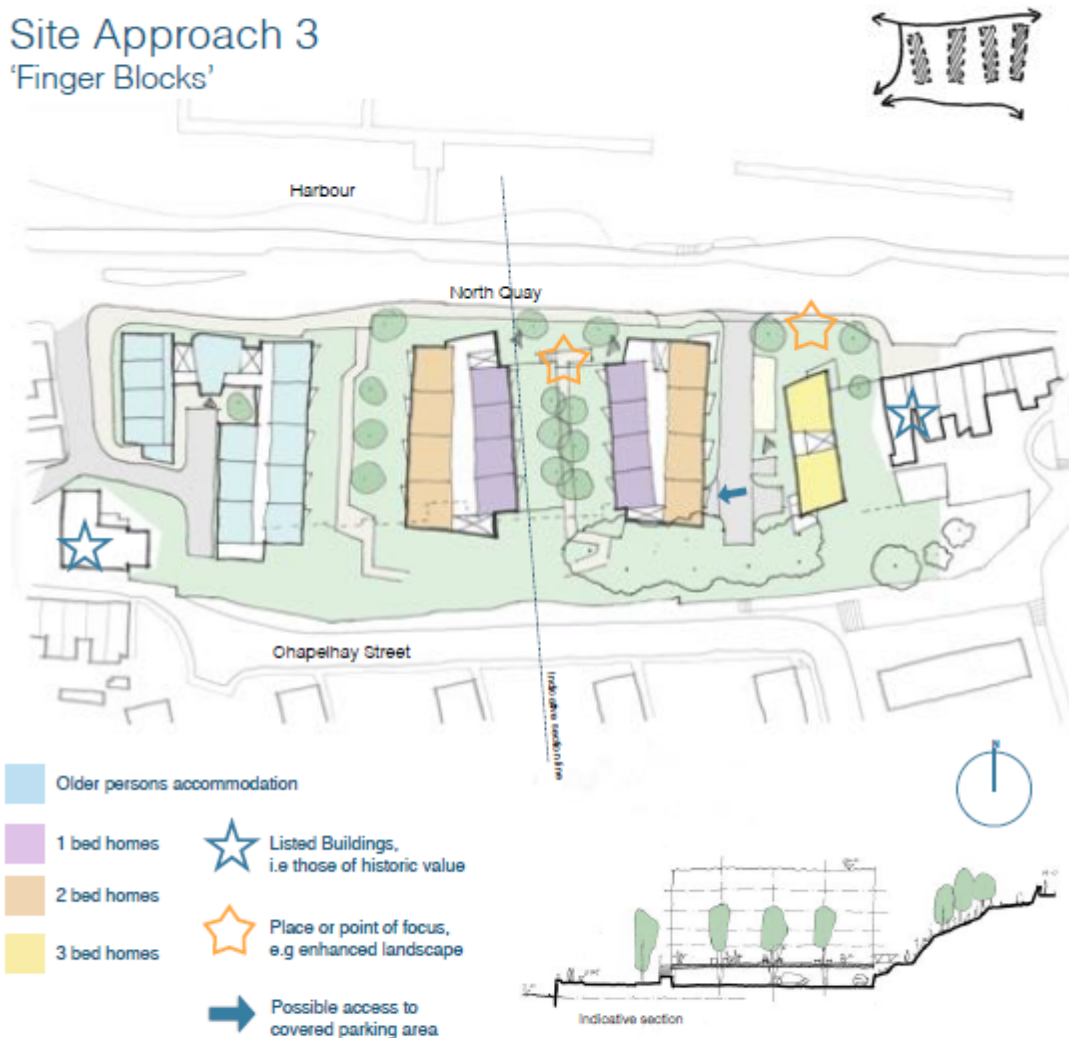
- Townhouses to reflect angle of neighbouring listed buildings
- No change to North Quay highway alignment
- Older person scheme could better relate to Kingdom hall
- South facing gardens for residential development
- South facing or harbour view accommodation



North Quay

Weymouth

Site Approach 3 'Finger Blocks'



What does it show?

- Homes for older persons
- Homes for families, couples and single people
- Parking mainly in ground floor/ basement under residential
- 4, 5 and 6 storey buildings
- Potential for community facing commercial space

Some Benefits and Challenges

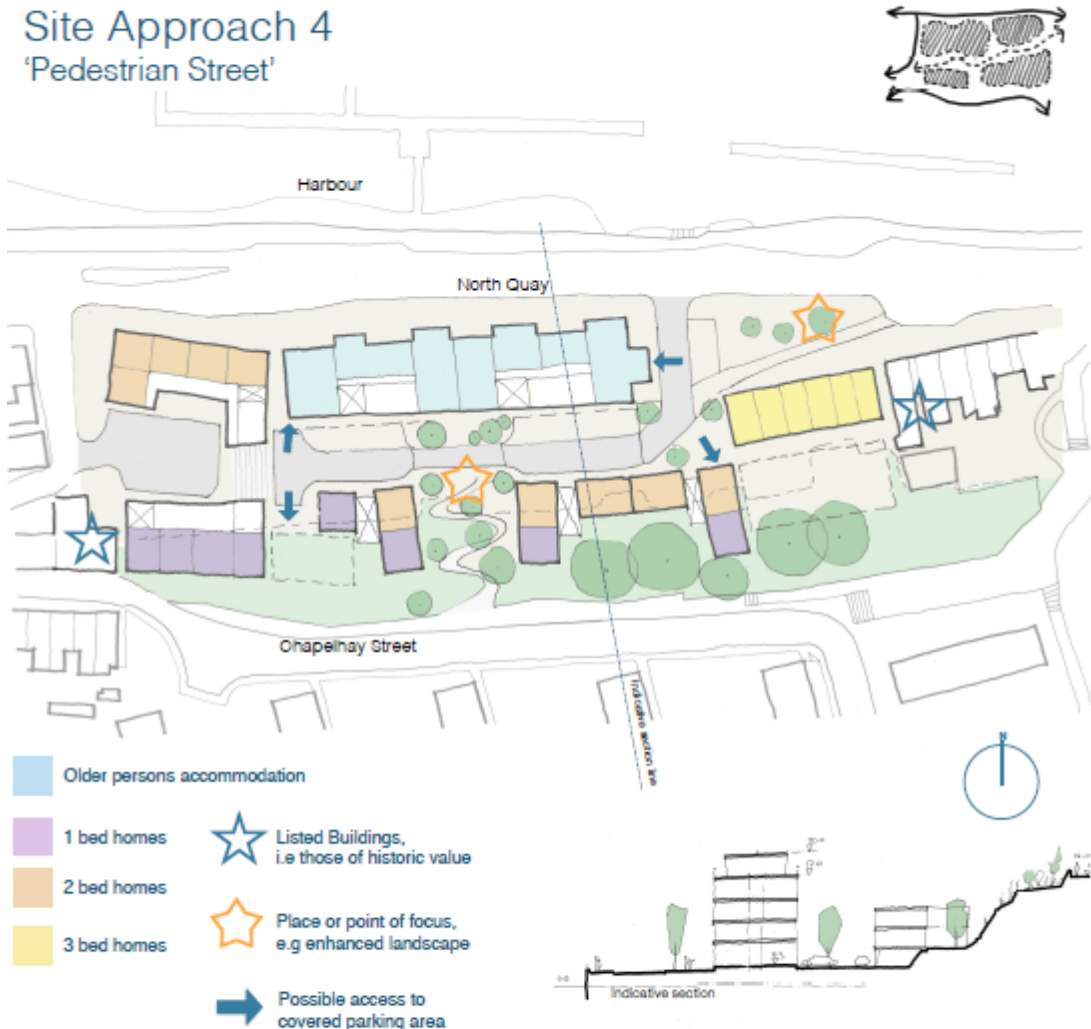
- Views through the site retained and improved
- No change to North Quay highway alignment
- Is 6 storeys acceptable to some buildings?
- Some basement parking within flood zone
- All rooms have access to potential views of harbour
- Can routes through to historic locations in clifside be made?



North Quay

Weymouth

Site Approach 4 'Pedestrian Street'



Some Benefits and Challenges

What does it show?

- Homes for older persons
- Homes for families, couples and single people
- Parking ground floor/ basement under residential and on street
- 3, 4, and 5 storey buildings
- Potential for community facing commercial space

- Acknowledgement of existing historic street with pedestrian route created
- No change to North Quay highway alignment
- Existing road entrance retained to access new parking below front block
- Parking numbers harder to achieve
- Some buildings to rear of site protruding into the hillside - is this possible?



white design

North Quay Consultation

Welcome to our consultation for North Quay, Weymouth. We have information around the room and staff available to talk to. We are now consulting with you to see how our bid proposals work from the community perspective.

Magna Housing is a not for profit organisation that aims to help people meet their housing needs. A bid proposal from Magna comprising of 75 homes for rent and shared ownership and 50 homes exclusively for older people has been selected by Weymouth and Portland Borough Council to develop the site of the former council offices at North Quay. The bid retains some parking for the wider community and a community facing commercial space associated with the older person housing.

Thank you for taking the time to complete this form which will help us decide what happens next.

Do you like Magna's proposal?

Yes	129 (66.8%)
No	64 (33.2%)

Do you think the mix of shared ownership and rented homes is about right?

Yes	117 (61.2%)
No	74 (38.7%)

Do you think these homes will be affordable to local people?

Yes	107 (62.2%)
No	65 (37.8%)

Do you think some space open to the community to use would be good here?

Yes	145(76.7%)
No	44 (23.3%)

Would you like to see the following?

	Yes	No
Cafe	135 (69.6%)	59 (30.4%)
Leisure facilities	102 (55.4%)	82 (44.6%)
Retail units (shops)	101 (55.2%)	82 (44.8%)

Do you have any other suggestions for a community space?

108

We are aware of the local interest in archaeology, road network, design options, flood risk and parking. Please could you rank these in order of importance to you. Select '1' for your most important issue, '2' for the next and so on. Select '5' for the least important issue to you. Please only select each number once.

	1	2	3	4	5
Archaeology	59 (27.2%)	30 (13.8%)	29 (13.4%)	39 (17.9%)	42 (19.4%)
Road Network	25 (11.5%)	54 (24.9%)	56 (25.8%)	41 (18.8%)	21 (9.7%)
Design Options	72 (33.2%)	58 (26.7%)	26 (11.9%)	19 (8.8%)	23 (10.6%)
Flood risk	30 (13.8%)	34 (15.7%)	28 (12.9%)	50 (23.0%)	51 (23.5%)
Parking	45 (20.7%)	26 (12.0%)	46 (21.2%)	36 (16.6%)	46 (21.2%)

Do you have any other concerns about the proposal?

Which site approach do you prefer (please select 1)?

Site approach 1	56 (53.8%)
Site approach 2	16 (15.4%)
Site approach 3	9 (8.7%)
Site approach 4	23 (22.1%)

Site approach 1:

What do you like most?	96
What do you like least?	79

Site approach 2:

What do you like most?	63
What do you like least?	67

Site approach 3:

What do you like most?	57
What do you like least?	63

Site approach 4:

What do you like most?	66
What do you like least?	65

Do you have any other comments?

77

What age group are you in?

Under 18	0 (0.0%)
18-24	7 (3.5%)
25-34	9 (4.5%)
35-44	15 (7.6%)
45-54	23 (11.6%)
55-64	63 (31.8%)
65+	81 (40.9%)

What is your postcode?

138

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

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