

CORPORATE GOVERNANCE & AUDIT COMMITTEE 26 JUNE 2014

APPENDICES TO REPORTS ON THE AGENDA

Agenda no.		Page numbers
6.	<p>Annual Audit and Certification Fees 2014/15 – Ernst & Young LLP</p> <p>- Appendix 1 - Audit Commission report on Work Programme and Scales of Fees 2014/15 for Local Government and Police Bodies</p>	1-10
9.	<p>Carry Forward Requests</p> <p>- Appendix 1 – Carry Forward Requests</p>	11-13
10.	<p>Revised Treasury Management Strategy</p> <p>Appendix 1 – Treasury Management Policy Statement, Treasury Management Strategy Statement and Annual Investment Strategy for 2014-15</p> <p>Appendix 2 – Schedule A for Specified and Non Specified Investments</p> <p>Appendix 3 – Treasury Management Practices (TMP's)</p>	14-51
11.	<p>Strategic & Organisational Risk Registers Update</p> <p>Appendix 1 – Risk Management Policy & Strategy</p> <p>Appendix 2 – Strategic Risk Register</p> <p>Appendix 3 – Mitigation plans for high scoring organisational risks</p>	52-85
12.	<p>S106 Annual Monitoring Report</p> <p>Appendix 1 – Details of new S106 Agreements signed between 1 April 2013 and 31 March 2014</p> <p>Appendix 2 – Details of income received between 1 April 2013 and 31 March 2014</p> <p>Appendix 3 - Receipts and Expenditure by Service (including WSCC and SDNP)</p> <p>Appendix 4 – Unspent contributions approaching or beyond target expenditure date</p> <p>Appendix 5 – Current S106 Agreements by Ward showing Non-Financial Obligations</p>	86–211

Continued...

13.	Audit Reports and Progress Report Appendix 1 – Progress Report, Audit Plan Appendix 2 – Amended Three Year Plan 2014 – 2017	212-215
-----	--	---------

Work programme and scales of fees 2014/15

Local government and police bodies

March 2014



The Audit Commission's role is to protect the public purse.

We do this by appointing auditors to a range of local public bodies in England. We set the standards we expect auditors to meet and oversee their work. Our aim is to secure high-quality audits at the best price possible.

We use information from auditors and published data to provide authoritative, evidence-based analysis. This helps local public services to learn from one another and manage the financial challenges they face.

We also compare data across the public sector to identify where services could be open to abuse and help organisations fight fraud.

Contents

Introduction.....	2
Background	2
Scales of fees for 2014/15	2
Fees from 2015/16	3
Work programme 2014/15	4
Audit	4
Auditors' local value for money work	4
National reports	5
Certification work	5
Assessment and inspection work.....	6
Scales of fees for 2014/15	7
Scales of audit fees for local government, police and fire and rescue bodies.....	7
Pension fund audits	7
Certification work	8
Value added tax.....	8

Introduction

1 This document sets out the work the Audit Commission plans to undertake at local government and police audited bodies during 2014/15, with the associated scales of audit fees. Separate documents cover the Commission's work in the [NHS](#) and at [small bodies](#).

Background

2 The work of the Commission and its appointed auditors is carried out under the Audit Commission Act 1998 and the Code of Audit Practice 2010 (the Code). Copies of [the Code](#) and the associated [Statement of Responsibilities of Auditors and Audited Bodies](#) are on the Commission's website. Responsibility for the conduct of the audit remains, always, that of the appointed auditor.

3 Under section 7 of the Audit Commission Act 1998, the Commission has a statutory duty to prescribe scales of fees for the audit of accounts. Before prescribing any scales of fees, we consult audited bodies in local government, their representative associations, the Department for Communities and Local Government (DCLG) and the accountancy profession.

4 Fees are the principal way the Commission finances its activities. In law, audit fees are not a fee for audit services, but a levy to fund the costs of the Commission, out of which it meets the costs of audits and its other statutory functions. It has a statutory duty to cover its costs, taking one year with another.

5 The Commission publishes the [scale fees for individual bodies](#) each year on its website, to support transparency and to help audited bodies compare their fees with those of similar bodies. A [fee comparator tool](#) is also available on the website.

6 Section 28 of the Audit Commission Act 1998 requires the Commission to charge fees for certification work that cover the full cost of the work we undertake. The Commission publishes [indicative certification fees](#) for individual bodies each year on its website.

Scales of fees for 2014/15

7 The Commission made significant reductions of up to 40 per cent in audit and certification fees in April 2012, on the basis that these lower fee levels would apply for the five years of the contracts let to audit firms, for the audit of the accounts for 2012/13 to 2016/17. These fees are subject to annual review. The fee reductions were achieved as a combined result of the Commission's bulk purchasing power and internal efficiency savings.

- 8** We do not plan to make any changes to the work programme for local government and police audited bodies for 2014/15. Following consultation, we have therefore set scale audit fees at the same level as the fees applicable for 2013/14.
- 9** We will keep the scale fees for police bodies, as relatively new bodies, under review to ensure they continue to be consistent with auditors' local assessments of audit risks.
- 10** While we have not made any change to the 2014/15 scale audit fees for pension funds, we are aware that the complexity of some pension funds makes the necessary audit work difficult to deliver within the scale fee. We will keep the fees for pension fund audits under review.
- 11** We received a limited response to our consultation on the 2014/15 work programme and scales of fees, with only 13 replies across all our sectors and stakeholders. A [summary of the consultation responses](#) is available on our website.

Fees from 2015/16

- 12** The Audit Commission expects to close on 31 March 2015, as a result of the Local Audit and Accountability Act 2014. This Act provides for the introduction of a new framework for local public audit.
- 13** The Commission will set the fees and work programme for 2015/16 before it closes. This will be the first year of audit following our closure. We continue to work with officials at DCLG on this basis.
- 14** The Commission's current contracts with audit suppliers run until 2016/17, with a possibility of extension for up to three years. The responsibility for overseeing these contracts, and for setting fees under them, will pass to a transitional body from April 2015. Ministers have announced that an independent private company to be set up by the Local Government Association (LGA) will be the transitional body.
- 15** The Commission is undertaking a further audit procurement exercise, for the contracts with audit firms let in 2006 and 2007. These contracts cover 30 per cent of principal bodies in the Commission's regime. We expect to make further savings for all audited bodies from 2015/16 as a result of this exercise. An announcement on the outcome of the procurement will be made at the end of March 2014.

Work programme 2014/15

Audit

16 Auditors tailor their work to reflect local circumstances and their assessment of audit risk. They do this by assessing the significant financial and operational risks facing the body, and the arrangements it has put in place to manage those risks.

17 Under the Code of Audit Practice, the Commission may specify additional audit work to supplement the local risk-based approach to planning the audit. For 2014/15, the Commission will specify work on Whole of Government Accounts (WGA) only.

18 Following consultation on proposals for changes to the measurement requirements for transport infrastructure assets, the Chartered Institute for Public Finance and Accountancy (CIPFA) now expects that full implementation of the expected changes will be reflected in 2016/17 accounts, with 2015/16 being the preparatory year. There will therefore be no impact on auditors' work or scale audit fees for 2014/15.

Auditors' local value for money work

19 Under the Audit Commission Act 1998, auditors must satisfy themselves about an audited body's arrangements to secure economy, efficiency and effectiveness in its use of resources (the value for money conclusion).

20 Auditors of single-tier, county and district councils, fire and rescue authorities and police bodies will apply a risk-based approach to their local value for money work, giving a conclusion on the arrangements in place. The approach is based on criteria specified by the Commission relating to financial resilience and prioritising resources.

21 Auditors of larger national parks authorities, waste disposal authorities, integrated transport authorities, passenger transport executives, joint committees, and other miscellaneous local government bodies will continue to apply a tailored approach to their local value for money conclusion work. The approach is based primarily on review of the annual governance statement, and any other specific work the auditor considers necessary.

22 A conclusion on value for money arrangements is not required for audited bodies with annual income or expenditure of less than £6.5 million, which are subject to limited assurance audit. This is in line with the threshold set in the Accounts and Audit (England) Regulations 2011 defining smaller relevant bodies.

23 Where a body with annual income or expenditure of less than £6.5 million elects to prepare accounts as a larger relevant body, it is subject to a full Code audit including a value for money conclusion.

24 Our website provides further [information about the VFM conclusion](#).

National reports

25 The Commission publishes the annual [Auditing the Accounts](#) and [Protecting the Public Purse](#) reports. These summarise, respectively, the results of auditors' work on audited bodies' financial statements and arrangements to secure value for money, and the results of our annual survey of fraud in local government. The reports are published in November-December each year.

26 As the Commission expects to close in March 2015, it will not be publishing these reports at the end of 2015. The last reports will be published in 2014, on the results of auditors' 2013/14 work.

27 The counter-fraud function at the Audit Commission will transfer to a new 'Public Sector Counter Fraud Centre of Excellence' to be established by the Chartered Institute of Public Finance and Accountancy (CIPFA). In setting up the centre, CIPFA will build on the Commission's existing counter-fraud work, including the annual *Protecting the Public Purse* report.

28 The Commission's responsibilities that transfer to the transitional body, to be established as a private company by the LGA, may include publishing a summary of auditors' work similar to *Auditing the Accounts*.

29 Central government departments are accountable to Parliament for the billions of pounds of taxpayers' money paid by them to local bodies, and will continue to need access to the results of local external audit. DCLG is considering this as part of the work programme to close the Commission.

Certification work

30 As well as their work under the Code, appointed auditors certify certain claims and returns as agents of the Commission.

31 DCLG and HM Treasury are working with grant-paying bodies to develop assurance arrangements for certifying claims and returns after the closure of the Commission. Arrangements will be based on tri-partite agreements between grant-paying bodies, auditors and audited bodies, with fees agreed locally between audited bodies and auditors.

32 Auditors will continue to certify local authority claims for housing benefit subsidy to the Department for Work and Pensions (DWP) under the arrangements put in place by the Commission. The DWP has asked the Commission to prepare the auditor guidance for 2014/15, and it is expected that arrangements for 2015/16 onwards will be made on the same basis by the independent private company to be set up by the LGA.

Assessment and inspection work

33 The Local Audit and Accountability Act 2014 sets out new arrangements for inspection, under which the Secretary of State may require an inspection to be undertaken.

34 The Commission's power to conduct corporate governance inspections will be repealed in April 2014, with the Secretary of State gaining powers to commission such inspections from that date. However, to support transition to the new arrangements, DCLG has asked the Commission to retain its capability until March 2015, when the Commission will close.

Scales of fees for 2014/15

Scales of audit fees for local government, police and fire and rescue bodies

35 The scales of fees for 2014/15 reflect the cost of the work programme outlined above. The 2014/15 scale fee for each [local government](#) and [police](#) audited body is available on our website.

36 The Commission has the power to determine the fee above or below the scale fee where it considers that substantially more or less work is required than envisaged by the scale fee. The scale fees are based on the expectation that audited bodies are able to provide the auditor with complete and materially accurate financial statements, with supporting working papers, within agreed timeframes.

37 As the 2014/15 scale fees for individual bodies are based on the fees for previous years, they already reflect the auditor's assessment of audit risk and complexity. Therefore, we expect variations from the scale fee to occur only where these factors are significantly different from those identified and reflected in the 2013/14 fee.

38 It is a matter for the auditor to decide the work necessary to complete the audit. Where an auditor considers more or less work is required than is represented in the scale fee, they must, subject to approval by the Commission, seek to agree a variation to the scale fee with the audited body.

39 The Commission obtains updated fee information from appointed auditors, and explanations for any proposed variations from the scale fee, on a regular basis. The Commission will consider the reasonableness of the explanations provided by auditors before agreeing to any variation to the scale fee. Only fee variations approved by the Commission can be invoiced or refunded to audited bodies.

40 The Commission will charge fees to cover the costs of considering objections, from the point at which auditors accept an objection as valid, as a variation to the scale fee. This also applies to costs incurred on any special investigations, such as those arising from disclosures under the Public Interest Disclosure Act 1998.

Pension fund audits

41 The 2014/15 scale audit fee [for each pension fund audit](#) is available on our website.

Certification work

42 The indicative fee for certification work at [individual audited bodies](#) is available on our website. The fees are based on the latest final certification fees available, for 2012/13 certification, and cover certification of housing benefit subsidy claims only. The 2014/15 indicative certification fees have been reduced to reflect the removal of council tax benefit from subsidy claims from April 2013.

43 The indicative fees are based on the expectation that audited bodies are able to provide the auditor with complete and materially accurate claims and returns, with supporting working papers, within agreed timeframes.

44 It is a matter for the auditor to decide the work necessary to certify the claim or return and to seek to agree any proposed variation to the indicative fee with the audited body.

45 As 2014/15 indicative certification fees for individual bodies are based on the latest certification fees available, they already reflect the auditor's assessment of the work required. We expect variations from the indicative fee to occur only where issues arise that are significantly different from those identified and reflected in the actual 2012/13 fee.

46 Information must be submitted by auditors to the Commission for any proposed variations to indicative certification fees. Only fee variations approved by the Commission can be invoiced or refunded to audited bodies.

Value added tax

47 All the 2014/15 fee scales exclude value added tax, which will be charged at the prevailing rate of 20 per cent on all work done.

Carry Forward Requests from 2013-14 To 2014-15

Appendix 1

Business Improvement

There is an underspend on both ICT and the Area Office salaries. The ICT underspend is due to vacancies within the team and the Area Office underspend is due to closing the offices. The carry forward is required to extend an existing temporary contract within the Web team. The current postholder is funded until June 2014 and this funding seeks to extend that for 12 months. This is to enable to Web team to support the Council in achieving its programme of change to encourage online delivery of services and improved web functionality. It also enables customers to receive automated information and improve the efficiency and customer experience of online services. These will provide an improved service to customers and an extension of service availability outside of normal office hours. There is the potential to deliver considerable organisational efficiencies if resources are made available.

This carry forward is requested to fund 3 apprentices for one year in ICT, Building Services and Public Relations. They would be recruited through Chichester College with commencement in September 2014. This scheme has already been a success with the Customer Service Centre who had an apprentice during 2013/14. The placement was successful for the authority and also enabled the young person to gain the experience needed to secure a permanent job immediately on completion of the apprenticeship.

Chichester Contract Services

Half of the trees in the district were surveyed in 2012 resulting in a programme of works on health and safety grounds. The winter storms have delayed the progress significantly and less than half of these programmed works have been completed. The budget carry forward is required as the second half of trees were surveyed in the winter and will result in further programmed works from the 2014-15. There are also a significant number of trees within the council's car parks which require pruning etc. These works will help to improve the safety in the car parks as a result of better viewing images from the CCVT office.

Due to the need to resolve traffic management issues only 3 grass cuts were completed on the A27 roundabouts in 2013/14. A fourth cut was intended for the end of March but the volume of clearance work from the winter storms meant the cut had to be moved into April. The April cut cost £3,400. A predicted budget shortfall of £5,200 had already been flagged by Finance. 6 cuts should be completed this year in order to maintain standards and meet sponsor expectations. Therefore the loss of £3,400 so early in the season presents us with a challenge. As only 3 cuts were completed last year there is a £9,128.37 underspend. A carry forward of £8,600 is requested to cover the April cut and 2014/15 shortfall.

Budget Manager	Amount	Change of Purpose?
	£	
J.Dodsworth	26,000	No
J.Dodsworth	24,000	No
A.Howard/T Murphy	35,900	No
A.Howard	8,600	No

Carry Forward Requests from 2013-14 To 2014-15

Appendix 1

Commercial Services

There has been great difficulty in filling the vacant Estates post and it has been necessary to recruit using an employment agency who have supplied a suitable appointee for the post. A fee of £5,000 must be paid to the agency. There is budget provision in 2014/15 for the new post but not for the agency fee and the carry forward will provide funding to cover that cost.

There are several pay and display machines which require replacing within the council car parks. Some of the machines are relatively old and they do not always work properly and the service receives complaints as a result of this. In addition the new machines have the facility to see remotely the amount of money held in the machine which is important to ensure the cash collection process is efficient. The carry forward will allow a discount as a result of the bulk purchasing of the machines.

A number of the walls in the car parks need repairing and investigating as a result of health and safety concerns. Structural surveys are being undertaken of the walls which are causing concern and works to rebuild them could prove quite costly as the walls are constructed using specialised material such as flint and lime.

There are outstanding lining works to be carried out in some of the car parks due to a contractor only just being tendered for and appointed. The backlog of works needs to be completed to comply with health and safety requirements. It will also lead to a reduction in complaints, clarity on areas which are and are not enforceable and better use of the car parks. This could result in the service being more successful when challenges for Penalty Charge Notices are received.

Westgate Leisure is asking to carry forward unused, but allocated, funds for facilities and equipment. These funds are intended to continue to be used for the purchase of spinning bikes and enhanced disabled access to the gym which was unable to be completed in the 2013-14 financial year. This was as a direct consequence of staff dedicating resources towards the opening of the Grange. The need for these funds, rather than diminish, has been exacerbated predominantly following customer feedback and improving service sustainability. Investment in spinning bikes at Bourne would provide a service that is currently not available (whereas it is in our Chichester and Midhurst sites). It is anticipated that it will generate a net surplus of £6,000 a year for an £18,000 investment. The disabled access to the gym would be greatly improved by making the disabled access door automatic. This would be linked to the leisure management system. The £5,000 required to carry out this work would help retain, in particular, wheelchair users and prevent leakage from any customer that attempts to circumnavigate the front of house reception.

Budget Manager	Amount	Change of Purpose?
	£	
P.Legood	5,000	No
T.Murphy	32,000	No
T.Murphy	13,700	No
T.Murphy	19,400	No
K.McCoy	23,000	No

Carry Forward Requests from 2013-14 To 2014-15

Appendix 1

Community Services

In 2013-14, monies were allocated to the Targeted Communities / Think Family Neighbourhood Project. West Sussex County Council later indicated it would provide a central budget to support some work under the Think Family element. Planning for Neighbourhood work was delayed and commitments of support to projects could not be fulfilled in the 2013-14 financial year. Projects that will be supported in 2014-15 are:

1. NNDR equivalent cost committed to Selsey works - £5,400
2. Selsey works - Digital Still for job search and Choose Work Network Support - £1,100
3. Think Family Neighbourhood Consultation Equipment - £2,500
4. Tour of Britain Cycle race - Budget for safety barrier and signage to manage roads - £6,000.

Housing & Environment

To undertake proactive work on land drainage in advance of the dissolution of the Internal Drainage District (IDD). This professional services budget, together with the £50,000 from WSCC for Ordinary Water Course Consenting and Enforcing, will enable proactive work to identify future maintenance, investigations and contributions, where justified, to drainage improvement scheme.

SUB-TOTAL

Pre-Approved Carry Forwards

Creation of a one-off grant pot from salary underspends at Midhurst Tourist Information Centre to assist the delivery of tourism north of the downs, approved by Cabinet on 4th February 2014.

To ensure the Elections team is adequately resourced to deliver Individual Electoral Registration (IER) within the statutory timescales, and to deliver an effective 2015 election.

SUB-TOTAL

TOTAL CARRY FORWARDS

Budget Manager	Amount	Change of Purpose?
	£	
S. Hansford	15,000	No
A.Stevens	12,000	No
	214,600	
J.Hotchkiss	10,000	Yes
J.Ward	23,300	No
	33,300	
	247,900	

Treasury Management Policy Statement, Treasury Management Strategy Statement and Annual Investment Strategy for 2014-15

1. Treasury Management Policy Statement

Chichester District Council defines its treasury management activities as:

- The management of the organisation's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
- The Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation, and any financial instruments entered into to manage these risks.
- The Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.
- The investment policy objective for this Council is the prudent investment of its treasury balances. The Council's investment priorities are security of capital and liquidity of its investments so that funds are available for expenditure when needed. Both the CIPFA Code and the DCLG guidance require the Council 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 generation of investment income to support the council's spending plans is an important, but secondary objective.
- The Council's borrowing objective, being debt free and with relatively substantial resources still available for its capital investment spending plans, means that it does not intend to borrow any monies, except for short term cash flow purposes for revenue and capital commitments.

2. Treasury Management Strategy Statement

The Treasury Management Strategy details the expected activities of the treasury function in the forthcoming year 2014-15. The publication of the strategy is a statutory requirement.

3. The Treasury Management Strategy Statement and Annual Investment Strategy are underpinned by the CIPFA Code of Practice and Treasury Management Practices (TMPs) which provide prescriptive information as to how the treasury management function should be carried out.

4. Risk Appetite Statement

As a debt free authority with substantial balances to invest the Council's highest priority in its treasury management function is the security of those investments in accordance with the priorities set out in the CIPFA Code. The investment interest earned is used to fund one-off expenditure or capital investment and not to balance the revenue budget. Sums are invested with

a diversified range of counter parties using a wide range of instruments consistent with avoiding the risk of the capital sum being diminished through movements in prices.

This means that the Council ~~is not totally~~ whilst fundamentally risk adverse, but will accept some modest degree of risk and will consider the range of risks as set out specifically in the Treasury Management Practices (TMP 1), and how to prudently manage those different risks, whilst ensuring that priority is given to security and liquidity when investing funds before seeking to optimise yield. The use of different investment instruments and the diversification of high credit quality counter parties including consideration of country, sector and group limits, as set out in the Strategy, enables the Council to balance the consideration of the different risks. One risk not set out in TMP1 which also needs to be considered when placing longer term investments is the political risk, such as in relation to a possible change of Government, the Scottish independence vote and any EU referendum, and their effect on the treasury management function.

In particular when investing surplus cash, the Council will not necessarily limit itself to making deposits with the UK Government and local authorities, but may invest in other bodies including unrated building societies and money market funds. The Council may also invest surplus funds through tradable instruments such as gilts, treasury bills, certificates of deposit and corporate bonds. The duration of such investments will be limited so that they do not have to be sold (although they may be) prior to maturity, thus avoiding the risk of the capital sum being diminished through movements in prices.

External Context

3.5. Updated Economic background

UK economic growth has steadily strengthened, and the initial estimate of Q1 of 2014 shows a year on year GDP growth of 3.1% up from the previous quarter's 2.7% rate. Underlying this growth is the suggestion that the economic recovery is becoming better balanced rather than only being consumer-led, as business investment has expanded in the last quarter of 2013.

Also Britain's unemployment rate fell more than economists forecast, dropping below the 7% threshold that the Bank of England Governor, Mark Carney, set under the first stage of his forward guidance policy. The jobless rate measured by the International Labour Organisation (ILO) methods dropped to 6.9% in February from 7.2% in January. Also wage growth has accelerated in the period to 1.7%, matching the inflation rate in February.

The Bank of England's Monetary Policy Committee (MPC) continue to state that it would not rush to increase its key interest rate from the record low of 0.5% as the economy recovers, even after the 7% in the ILO unemployment rate is reached, in order to allow some of the spare capacity in the economy to be used up.

In the global economy, the US Federal Reserve is likely to continue slowing its asset purchases ("tapering") through the year, but appears to be committed to keeping policy rates low for longer, despite the mixed messages from its Board. The Eurozone economic climate is slightly more stable, the issue of deflation may need to be considered by the ECB prompting further monetary stimulus. The Chinese authorities and trying to improve growth in their economy with a mini-stimulus package, as private sector investment and consumption wanes.

The Bank of England's Monetary Policy Committee (MPC) through its recent forward guidance is committed to keeping policy rates low for an extended period using the Labour Force Survey unemployment rate of 7% as a threshold for when it would consider whether or not to raise interest rates, subject to certain knock-outs. Unemployment was 7.7% in August 2013, but is not forecast to fall below the threshold until 2016, due to the UK's flexible workforce.

The flow of credit to households and businesses is slowly improving but is still below pre-crisis levels. The fall in consumer price inflation from the high of 5.2% in September 2011 to 2.7% in September 2013 will allow real wage increases (i.e. after inflation) to slowly turn positive and aid consumer spending.

Stronger growth data in 2013 (0.4% in Q1, 0.7% in Q2 and 0.8% in Q3) alongside a pick-up in property prices mainly stoked by government initiatives to boost mortgage lending have led markets to price in an earlier rise in rates than warranted under Forward Guidance and the broader economic backdrop. However, with jobs growth picking up slowly, many employees working shorter hours than they would like and benefit cuts set to gather pace, growth is likely to only be gradual. The Council's treasury management advisers forecasts the MPC will maintain its resolve to keep interest rates low until the recovery is convincing and sustainable.

In the US expectations for the slowing in the pace of asset purchases ('tapering') by the Federal Reserve and the end of further asset purchases will remain predominant drivers of the financial markets. The Fed did not taper in September and has talked down potential tapering in the near term. It now looks more likely to occur in early 2014 which will be supportive of bond and equity markets in the interim.

4.6. Credit outlook

The credit risk of banking failures has diminished, but not dissipated altogether. Regulatory changes are afoot in the UK, US and Europe to move away from the bank bail-outs of previous years to bank resolution regimes in which shareholders, bond holders and unsecured creditors are 'bailed in' to participate in any recovery process. This is already manifest in relation to holders of subordinated debt issued by the Co-op which have suffered a "haircut", or a reduction in value of the debts following its conversion bail-in to alternative securities and/or equity. There are also proposals for EU regulatory reforms to Money Market Funds which will, in all probability, result in these funds moving to a VNAV (variable net asset value) basis and losing their 'triple-A' credit rating wrapper. Diversification of investments between creditworthy counterparties to mitigate bail-in risk will become even more important in the light of these developments.

5.7. Prospects for Interest Rates

As part of the service to the Council its appointed treasury adviser assist the Council to formulate a view on interest rates. The advisers forecast that the Bank Rate will remain flat until ~~mid~~ late 2016. The Bank of England Base Rate, the official base rate paid on commercial bank reserves has been 0.50% since March 2009.

6.8. The table below shows the ~~May~~ November 2014~~3~~ HM Treasury Survey Medium Term forecasts for the average annual Official Bank Rate.

Table 1: HM Treasury Survey Medium Term Forecasts for Average Annual Official Bank Rate

	Average Annual Official Bank Rate %				
	2014	2015	2016	2017	<u>2018</u>
Highest	0.60 <u>0.90</u>	1.70 <u>0.80</u>	2.50 <u>2.0</u>	2.80 <u>2.63</u>	<u>3.50</u>
Average	0.50 <u>0.53</u>	0.90 <u>0.78</u>	1.60 <u>1.34</u>	2.20 <u>2.11</u>	<u>2.70</u>
Lowest	0.50	0.60 <u>0.50</u>	1.20 <u>0.69</u>	1.50 <u>1.40</u>	<u>1.70</u>

Source: HM Treasury Forecasts for the UK economy: May 2014

For the purpose of setting the budget, it has been assumed that new investments will be made at an average rate of 1.00% for 2014-15.

7.9. Current Portfolio Position

The Council's treasury portfolio position as at ~~6th June 2014~~ 3rd January 2013 comprised:

Table 2: Current Investment Portfolio Position.

Investments	Actual Portfolio £m	Annualised Average Rate %
Call Accounts	5.55 <u>5.2</u>	0.63 <u>0.64</u>
Short Term investments	28.50 <u>30.5</u>	<u>0.53</u>
<u>Medium Term Investments</u>	<u>13.00</u>	<u>1.73</u>
Long Term Investments	1.00 <u>11.0</u>	3.00 <u>1.91</u>
Total Investments	48.05 <u>46.7</u>	0.92 <u>1.18</u>

Forecast changes in these sums are shown in the balance sheet analysis in table 1 below.

Definitions of investment periods are:

(i) Short Term - up to one year (excluding call accounts with immediate access to funds)

(ii) Medium Term - One to four years

(iii) Long Term - Over four years

Table 3: Balance Sheet Summary and Forecast

	31.3.13 Actual £m	31.3.14 Actual Estimate £m	31.3.15 Estimate £m	31.3.16 Estimate £m	31.3.17 Estimate £m	31.3.18 Estimate £m
General Fund CFR	-1.297	-1.440	-1.440	-1.440	-1.440	-1.440
Internal borrowing	-0.143	0	0	0	0	0
Borrowing CFR	-1.440	-1.440	-1.440	-1.440	-1.440	-1.440
Fund Balances						
Usable reserves	-32.584	-32.792 -26.735	-35.820 -23.011	-36.783 -21.689	-36.842 -21.331	-36.401 -20.911
Working capital	-0.826	-2.718 -1.325	-1.290 -1.109	-1.052 -0.862	-0.799 -0.624	-0.590 -0.407
Investments	34.850	36.950 29.500	38.550 25.560	39.275 23.991	39.081 23.395	38.431 22.758

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 Council is currently debt free and its capital expenditure plans do not currently imply any need to borrow over the forecast period. Investments are forecast to fall to ~~£38.431~~ ~~22.758~~m as capital receipts and other revenue resources are used to finance capital expenditure, and reserves are used to finance the revenue budget.

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 3.4 shows that the Authority expects to comply with this recommendation during 2014-15 as it maintains its debt free status.

8.10. Borrowing Strategy

As part of the Council's Financial Strategy the Resources and Capital Principles are stated as:

"Borrowing could be used for "invest to save" projects providing the cost of servicing the debt is contained within the revenue savings/income the project generates. The payback period for invest to save projects should be shorter than the life of the asset.

- (a) At present, there are no plans to borrow to finance new capital expenditure in the current 5 year plan but this remains an option if deemed to be prudent. Short term internal borrowing (for schemes that pay back within the 5 year time frame of the capital programme) can be accommodated without incurring external interest charges, provided the resulting savings are recycled into reserves. Longer term pay back periods will have to accommodate both the external interest and a minimum revenue provision (MRP) in accordance with the Council's MRP policy, which links repayment of the debt to the life of the asset.

- (b) Borrowing would add pressure on the revenue budget as MRP and interest would become payable. The capacity to make these payments would need to be identified in advance, namely the further efficiency savings generated by the investment in the assets.”

9-11. Investment Strategy

The Council holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. In the past 12 months, the Council’s investment balance has ranged between £34.85 and £50.35 million, but this is expected to reduce to lower levels in the forthcoming year due to the anticipated capital programme spending.

10-12. Both the CIPFA Code and the CLG Guidance require the Council 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 Council’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 receiving unsuitably low investment income.

11-13. The Council may invest its surplus funds with any of the counterparties in table 4 below, subject to the cash and time limits shown.

Table 4: Approved Investment Counterparties

Counterparty		Cash limit	Time limit
Banks ¹ , building societies and other organisations whose lowest published long-term credit rating from Fitch, Moody’s and Standard & Poor’s is:	AAA	£ 8m £5m each, of which no more than £3m over 1 year	5 years
	AA+		5 years
	AA		4 years
	AA-		3 years
	A+		2 years
	A	£2m each	1 year
	A-		6 months
UK Central Government (irrespective of credit rating)		unlimited	5 years
UK Local Authorities ¹ (irrespective of credit rating)		£ 8m £5m each	5 years
UK Building Societies whose lowest published long-term credit rating is BBB+ or <u>BBB or above</u> , and societies without credit ratings with <u>gross</u> assets greater than £250m		£2m each <u>£1m each (Unrated)</u>	6 months <u>(Higher Rated)</u> 3 months <u>(Lower UnRated)</u>
Money market funds and similar pooled funds	<u>AAA</u>	£4m each £5m each	1 year

¹Pending the decision on Scottish independence, no new lending is allowed to Scottish local authorities, banks or building societies maturing after the referendum date.

12-14. There is no intention to restrict investments to bank deposits, and investments may be made with any public or private sector organisations that meet the above credit rating criteria. This reflects a

lower likelihood that the UK and other governments will support failing banks as the bail-in provisions in the *Banking Reform Act 2014* and the *EU Bank Recovery and Resolution Directive* are implemented.

~~13-15.~~ **Current Account Bank:** Following a competitive tender exercise held in 2008, the Council's current accounts are held with HSBC plc which is currently rated above the minimum A- rating in table 4.

~~14-16.~~ **Building Societies:** UK building societies without credit ratings will be considered to be of "high credit quality", but subject to a shorter time limit than rated societies. The Council ~~is aware of~~ ~~takes additional comfort from~~ the building societies' regulatory framework and insolvency regime where, in the unlikely event of a building society liquidation, the Council's deposits would be paid out in preference to retail depositors, ~~although the Government has plans to change this~~. The Council will therefore consider investing with unrated building societies where independent credit analysis shows them to be suitably creditworthy and with ~~gross~~ assets greater than £250m. ~~As t~~The Government has announced plans to amend the building society insolvency regime alongside its plans for wide ranging banking reform, ~~the and~~ investments in lower rated and unrated building societies will therefore be kept under continuous review.

~~15-17.~~ **Money Market Funds:** These funds are pooled investment vehicles consisting of money market deposits and similar instruments. They have the advantage of providing wide diversification of investment risks, coupled with the services of a professional fund manager. Fees of between 0.10% and 0.20% per annum are deducted from the interest paid to the Council. Funds that offer same-day liquidity and aim for a constant net asset value will be used as an alternative to instant access bank accounts. ~~The AAA credit rating will apply for 2014-15 only, in the expectation that the EU Regulatory reforms referred to in paragraph 6, will result in these funds losing their 'triple A' credit rating wrapper.~~

~~16-18.~~ **Risk Assessment and Credit Ratings:** The Council uses long-term credit ratings from the three main rating agencies Fitch Ratings, Moody's Investors Service and Standard & Poor's Financial Services to assess the risk of investment default. The lowest available counterparty credit rating will be used to determine credit quality, unless an investment-specific rating is available. Credit ratings are obtained and monitored by the Council'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

If in the case of a decision to recall or sell an investment at a cost over the approved virement limits, the Council's urgent action procedure in its Constitution would be invoked by officers.

~~17-19.~~ Where a credit rating agency announces that a A- 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 in a timely manner 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.

~~18-20.~~ **Other Information on the Security of Investments:** The Council 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 and

reports in the quality financial press. No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may meet the credit rating criteria.

19-21. 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 Council 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 Council’s cash balances, then the surplus will be deposited with the UK Government, via the Debt Management Office 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.

20-22. **Specified Investments:** The CLG Guidance defines specified investments as those:

- denominated in pound sterling,
- due to be repaid within 12 months of arrangement,
- not defined as capital expenditure by legislation, and
- invested with one of:
 - the UK Government,
 - a UK local authority, parish council or community council, or
 - a body or investment scheme of “high credit quality”.

The Authority defines “high credit quality” organisations as those having a credit rating of A- or higher that are domiciled in the UK or a foreign country with a sovereign rating of AAA. For money market funds and other pooled funds “high credit quality” is defined as those having a credit rating of A- or higher.

21-23. **Non-specified Investments:** Any investment not meeting the definition of a specified investment is classed as non-specified. The Council does not intend to make any investments denominated in foreign currencies, nor any that are defined as capital expenditure by legislation, such as company shares. Non-specified investments will therefore be limited to medium and long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement, and investments with bodies and schemes not meeting the definition on high credit quality. Limits on non-specified investments are shown in table 5 below.

Table 5: Non-Specified Investment Limits

	Cash limit
Total <u>medium and</u> long-term investments	£15m
Total investments without credit ratings or rated below A-	£10m
Total investments in foreign countries rated AAA	£10m
<u>Total Limit on non-specified investments</u>	<u>£25m</u>

24. Use of Specified and Non-Specified Investments

The **selection** use of specified and non-specified investments is limited to those set out in Schedule A. The Head of Finance and Governance will keep the **making** use of such investments under continuous review in the light of risk, liquidity and return. No additions will be made without the approval of the Council, following appropriate consultation.

22-25. **Investment Limits:** The Authority's revenue reserves available to cover investment losses are forecast to be £25.64 million on 31st March 2014. In order that no more than 19.5% of available reserves will be put at risk in the case of a single default, the maximum that will be lent to any one organisation (other than the UK Government) will be £5 million. A group of banks under the same ownership or a group of funds under the same management will be treated as a single organisation for limit purposes. Limits will also be placed on investments in brokers' nominee accounts, foreign countries and industry sectors as below:

Table 6: Investment Limits

	Cash limit
Any single organisation, except the UK Central Government	£5m each
UK Central Government	unlimited
Any group of organisations under the same ownership	£5m per group
Negotiable instruments held in a broker's nominee account	£5m per broker
Foreign countries	£5m per country
Building Societies	£8.5m in total
Money Market Funds	£8.4m in total

23-26. **Approved Instruments:** The Council may lend or invest money using any of the following instruments:

- interest-bearing bank accounts,
- fixed term deposits and loans,
- callable deposits and loans where the Council may demand repayment at any time (with or without notice),
- callable deposits and loans where the borrower may repay before maturity, but subject to a maximum of £3 million in total,
- certificates of deposit,
- bonds, notes, bills, commercial paper and other marketable instruments, and
- shares in money market funds ~~and other pooled funds.~~

Investments may be made at either a fixed rate of interest, or at a variable rate linked to a market interest rate, such as LIBOR, subject to the limits on interest rate exposures below.

24-27. **Liquidity management:** The Council uses spread sheets for cash flow forecasting to determine the maximum period for which funds may prudently be committed. The forecast is compiled on a pessimistic basis, with receipts under-estimated and payments over-estimated to minimise the risk of the Authority being forced to borrow on unfavourable terms to meet its financial commitments. Limits on ~~medium and~~ long-term investments are set by reference to the Council's medium term financial plan and cash flow forecast.

25-28. **Treasury Management Indicators**

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

- a. **Security:** The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit rating 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.

Table 7: Portfolio Average Credit Rating

	Target
Portfolio average credit rating	A+

- b. **Liquidity:** The methods for cash flow forecasting is set out in paragraph 27. ~~and the on long term investments are set by reference to the Council's medium term financial planning for both revenue and capital spending plans.~~

The Council seeks to maintain its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments ~~by adhering to the limit below~~ and minimising the use of its overdraft facility ~~of £350,000.~~

The liquidity measure is to have a minimum of £3m available within 3 months.

- ~~Liquid short term deposit limit of 65% of investments to remain liquid (specified investments) with a maturity date of 12 months or less.~~
- ~~Bank overdraft of £350,000.~~
- ~~The Long term investments limit is £15m of available surplus funds.~~

- c. **Interest Rate Exposures:** This indicator is set to control the Council's exposure to interest rate risk. The upper limits on fixed and variable rate interest rate exposures, expressed as an amount of net principal of investments will be:

Table 8: Upper Limits on Interest Rate Exposures

	2014/15	2015/16	2016/17
Upper limit on fixed interest rate exposure of net investment principal	£22m	£20m	£18m
Upper limit on variable interest rate exposure of net investment principal	£55m	£50m	£45m

Fixed rate investments and borrowings are those where the rate of interest is fixed for the whole financial year. Instruments that mature during the financial year are classed as variable rate.

Performance measure of a time weighted average v interest rate risk exposure, such that the investment portfolio should be in the range of 4 to 4.5 credit risk score.

- d. **Maturity Profile of Borrowing**

As the Council is debt free it currently holds no fixed long term borrowing for which a maturity profile exists. ~~The investment profile for short term investments (under 364 days) needs to take account of the liquidity/cash flow requirements of the Council's spending plans for the year to maintain sufficient funds available to meet those obligations 65% of investments under 364 days, and the long term investment limits as set in paragraph 29 e.~~

- e. **Principal Sums Invested for Periods Longer than 364 days:** 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 total principal sum invested to final maturities beyond the period end will be:

Table 9: Principal Sums Invested for Periods Longer than 364 days

	2014/15	2015/16	2016/17
Limit on principal invested beyond year end	£15.6m	£9m.5m	£6m.4m

Table 9 sets out the upper limit for each forward financial year period for the maturing of investments for periods longer than 364 days up to their final maturities beyond the end of the financial period. The limit for 2014-15 equals the total medium and long term investment limit stated in table 5. The next two financial year limits are smaller, effectively limiting the investments that can be made for longer than 2 years and 3 years. In essence this reflects a maturity pattern of the medium and long term debt, in that £6m should mature in 2015-16, and another £3m in 2016-17. The remaining balance would mature beyond 2016-17.

26-29. Other Items

There are a number of additional items that the Authority is obliged by CIPFA or CLG to include in its Treasury Management Strategy.

27-30. Policy on Use of 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 Council 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 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.

28-31. Investment Training:

Member and officer training is an essential requirement in terms of understanding roles, responsibilities and keeping up to date with changes and in order to comply with the CIPFA Treasury Management Code of Practice.

The training needs of the officers involved on treasury management are identified through the annual performance and development appraisal process, and additionally when the responsibilities of individual members of staff change. Staff attend relevant training courses, seminars and conferences.

To address the training need of members, training will be provided to members of both Cabinet and the Corporate Governance and Audit Committee in advance of them considering the forthcoming year's strategies. The training was provided by the Council's treasury advisers in January 2014.

~~29-32.~~ **Treasury Management Advisers:** The Council currently contracts with Arlingclose Limited as its treasury management advisers and receives specific advice on investment, debt and capital finance issues. However, responsibility for final decision making remains with the Council and its officers.

The quality of this service is controlled and monitored against the contract by the Accountancy Services Manager.

~~30-33.~~ The current contract was due to end on 30th April 2014, but was been extended to 30th June 2014, so ~~the a~~ procurement exercise, in accordance with the Council's Contract Standing Orders, could will be undertaken to obtain a new contract.

~~31-34.~~ **Investment of Money Borrowed in Advance of Need:** As the Council does not anticipate the need to borrow in the foreseeable future, except in the short-term for cash flow purposes only, it is therefore not expecting to borrow in advance of need, and so does not need to set out any operational criteria for this situation in 2014-15 Strategy.

~~32-35.~~ **Financial Implications**

The budget for investment income in 2014-15 is £0.331million, based on an average investment portfolio of £33.1 million at an interest rate of 1.00%. If actual levels of investments and actual interest rates differ from those forecast, performance against budget will be correspondingly different.

Investment Specified (up to 364 days)(Short Term)**Schedule A**

Specified investments as those denominated in sterling, with a maturity of no more than a year and invested with one of (i) the UK Government, (ii) a UK local authority, parish council or community council or (iii) a body or investment scheme of “high credit quality.”

Investment Type	Why use it? Associated risks?	Repayable/redeemable within 12 months & Maximum Investment Period	Security / minimum credit rating	Maximum value
Deposits and Term deposit structures with credit rated deposit takers (banks and building societies) including structure deposits, with maturities up to 364 days	High quality credit rated counterparties. Includes use of call and notice accounts. Enables diversity, managing counter party risk and minimise impact if default occurs. Probability of default low.	Yes 364 day	Yes, apply strategy criteria as set out in Table 4. Including minimum country (Sovereign) rating of AAA if not a UK institution.	£5m per organisation / group
Certificates of Deposits issued by credit rated deposit takers (banks and building societies). <i>Custodial arrangement required prior to purchase for Certificates of Deposits</i>	This is money market instrument which will be redeemed on the maturity date with interest. The difference between a certificate of deposit and a term deposit is that a certificate of deposit can be sold on in the money markets to other investors. Although in theory tradable, they are relatively illiquid.	Yes 364 days	Yes, apply strategy criteria as set out in Table 4. Including minimum country (Sovereign) rating of AAA if not a UK institution.	£5m per organisation / group
Debt Management Agency Deposit Facility (DMADF or DMO)	Used as deposit of last resort due to low rates. Low risk	Yes 364 days	UK Government backed considered to be high security, irrespective of Sovereign credit rating.	Unlimited
Term deposits with UK local authorities (as defined by Section 23 of the 2003 Act and similar authorities in Scotland)	Enables diversity across a sector and number of counter parties available.	Yes 364 days	Considered to be linked to UK Government credit rating, if no individual credit rating applies.	£5m per authority
Money Market Funds These are pooled investment vehicles consisting of instruments similar to those that can be used by the Council, these funds do not have any maturity date.	To assist with liquidity and for cash flow management.	Yes	Yes / AAA	£4m per fund

Investment Type	Why use it? Associated risks?	Repayable/redeemable within 12 months & Maximum Investment Period	Security / minimum credit rating	Maximum value
<p>Forward Deals with credit rated banks, building societies and other local authorities < 364 days i.e. forward deal period plus period of deposit must not exceed 364 days.</p>	<p>To assist with cash flow management and liquidity.</p>	<p>Yes</p>	<p>Apply strategy criteria as set out in Table 4. Including minimum country (Sovereign) rating of AAA if not a UK institution.</p>	<p>£5m</p>

Non-specified Investments (Over 364 days) (Medium / Long Term)

Schedule A

Non-specified investments are long-term investments i.e. those that are due to mature 12 months or longer from the date of arrangement, unrated funds and unrated organisations.

All investments listed below must be sterling-denominated; the overall limit that can be held in non-specified investments is £15m.

Investment Type	Why use it? Associated risks?	Repayable / redeemable within 12 months	Security / minimum credit rating	Maximum value	Maximum Period
Term deposits with UK Central Government	Diversity of counter parties used and to achieve certainty over income from investments for a proportion of the portfolio.	Will depend on terms of the investment up to 5 years	UK government security	Unlimited	> 1 year, up to 5 years
Term deposits with UK local authorities (as defined by Section 23 of the 2003 Act and similar authorities in Scotland)	Enables diversity across a sector and used to achieve certainty over income from investments for a proportion of the portfolio. New lending to Scottish local authorities limited to dates prior to the independence referendum decision.	Will depend on terms of investment up to 5 years	Considered to be linked to UK Government credit rating, if no individual credit rating applies	£5m per Council	> 1 year, up to 5 years
Term deposits structures with credit-rated deposit takers (banks and building societies), including deposits with maturities up to 5 years	To achieve certainty over income from investments for a proportion of the portfolio. Credit rating risk mitigated by using rating agencies information, interest rate risk will need to be considered to manage exposure to fluctuations in interest rates and liquidity risk to ensure the Council has sufficient cash available.	Will depend on terms of investment up to 5 years	Yes Apply strategy criteria as set out in Table 4. Including minimum country (Sovereign) rating of AAA if not a UK institution.	£3m per institution over a year	> 1 year, up to 5 years

Investment Type	Why use it? Associated risks?	Repayable / redeemable within 12 months	Security / minimum credit rating	Maximum value	Maximum Period
<p>Certificates of Deposits with credit rated deposit takers (banks and building societies).</p> <p><i>Custodial arrangement required prior to purchase for Certificates of Deposits</i></p>	<p>This is money market instrument which will be redeemed on the maturity date with interest. The difference between a certificate of deposit and a term deposit is that a certificate of deposit can be sold on in the money markets to other investors. Although in theory tradable, they are relatively illiquid. Yield subject to movement during the life of a certificate of the deposit which could negatively impact on its market price.</p>	<p>Will depend on the terms of the certificate up to 5 years</p>	<p>Yes</p> <p>Apply strategy criteria as set out in Table 4. Including minimum country (Sovereign) rating of AAA if not a UK institution.</p>		<p>Up to 5 years</p>
<p>Forward Deals for Term Deposit structures with credit rated deposit takers (banks and building societies) and UK local authorities, including structured deposits with maturities up to 5 years</p>	<p>To achieve certainty over income from investments for a proportion of the portfolio. Credit rating risk mitigated by using rating agencies information, interest rate risk will need to be considered to manage exposure to fluctuations in interest rates and liquidity risk to ensure the Council has sufficient cash available.</p>	<p>Will depend on terms of investment up to 5 years</p>	<p>Yes</p> <p>Apply strategy criteria as set out in Table 4. Including minimum country (Sovereign) rating of AAA if not a UK institution.</p>	<p>£3m per bank and building societies</p>	<p>The forward deal period plus the deal period should be > 1 year, but not exceed 5 years in aggregate</p>
<p>UK Building Societies with long term credit ratings of BBB and above</p>	<p>Increase diversity of counterparties. Shorter maximum period to take account of lower rating</p>	<p>Yes</p>	<p>Yes</p> <p>BBB and above subject to the information / advice from the Treasury Advisors.</p>	<p>£2m per institution</p>	<p>184 days or 6 months</p>
<p>UK Building Societies without credit ratings, but with gross assets greater than £250m</p>	<p>Increase diversity of approved counterparties. Lower rated counterparties so probability for default higher than high quality rated counterparties, so shorter maximum period.</p>	<p>Yes</p>	<p>Yes,</p> <p>Unrated with gross assets greater than £250m and subject to the information / advice from the Treasury Advisors.</p>	<p>£1m per institution – <i>Change to £1m</i></p>	<p>92 days or 3 months</p>

Investment Type	Why use it? Associated risks?	Repayable / redeemable within 12 months	Security / minimum credit rating	Maximum value	Maximum Period
Gilts <i>Custodial arrangement required prior to purchase</i>	Provide a high level of security in addition to yield, tradable and can be liquidated when it is advantageous to do so.	Will depend on terms of investment up to 10 years	Yes UK government security	£15m	up to 10 years
Covered Bonds Debt instrument issued by financial institution backed by pool of financial assets <i>Custodial arrangement required prior to purchase</i>	High level of security as exempt from bail in arrangements. Interest rate risk will need to be considered to manage exposure to fluctuations in interest rates and liquidity risk to ensure the Council has sufficient cash available.	Will depend on terms of investment up to 10 years	Yes Instrument highly rated AAA to AA	£3m per institution	up to 10 years
Corporate Bonds Unsecured tradable loans <i>Custodial arrangement required prior to purchase</i>	Increase diversity of approved counterparties and sectors used. Exempt from bail-in arrangements. Rate of return reflects a higher risk than Government or Covered Bonds. Interest rate risk will need to be considered to manage exposure to fluctuations in interest rates and liquidity risk to ensure the Council has sufficient cash available.	Will depend on terms of investment up to 5 years	Yes Minimum credit rating A	£3m per institution	up to 5 years

TREASURY MANAGEMENT PRACTICES (TMPs)

Chichester District Council has in place the following Treasury Management Practices to which schedules will be attached where appropriate to specify the systems and routines employed and the records to be maintained.

TMP 1

Risk Management

TMP 2

Performance Measurement

TMP 3

Decision Making and Analysis

TMP 4

Approved Instruments, Methods and Techniques

TMP 5

Organisation, Clarity and Segregation of Responsibilities, and Dealing Arrangements

TMP 6

Reporting Requirements and Management Information Arrangements

TMP 7

Budgeting, Accounting and Audit Arrangements

TMP 8

Cash and Cash Flow Management

TMP 9

Money Laundering

TMP 10

Training and Qualifications

TMP 11

Use of External Service Providers

TMP 12

Corporate Governance

TREASURY MANAGEMENT PRACTICE NOTES

TMP 1 – RISK MANAGEMENT

General Statement

The Section 151 Officer will oversee the design, implementation and monitoring of all arrangements for the identification, management and control of treasury management risk. The Section 151 Officer will ensure that reports are presented at least annually, on the adequacy/suitability thereof and will report, as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the Council's objectives.

In respect of each of the following risks, the arrangements that seek to ensure compliance with these objectives are set out in this document [and take into account the risk appetite statement in the Council's Treasury Management Strategy Statement.](#)

[1] Credit and Counter party risk management

The Office of the Deputy Prime Minister, (now Communities and Local Government), issued Investment Guidance in 2004, and also the Local Authorities (Capital Finance and Accounting) (Amendment) (England) Regulations 2007 (SI 2007/573), which constrain the types of investments that local authorities can use, and so forms the structure of the Council's policy. The CLG issued further guidance effective from 1 April 2010, where the Council had to state its approach to assessing the risk of loss of investments; this has been incorporated into the Council's policy.

The key intention of the Guidance is to maintain the current requirement that councils invest prudently, and that priority is given to security and liquidity before yield. In order to facilitate this objective the guidance requires the Council to have regard to the CIPFA publications Treasury Management in Public Services: Code of Practice and Cross-Sectoral Guidance Notes and the sector specific guidance; Guidance Notes for Local Authorities including Police Authorities and Fire Authorities. The Council first adopted the TM Code in 2003, and adopted the revised 2009 TM Code in March 2010, and adopted the revised 2011 TM Code February 2012. Accordingly, the Council will ensure that its counter party lists and limits reflect a prudent attitude towards organisations with whom fund may be deposited, and will limit its investment activities to the instruments, methods and techniques referred to in TMP4 (Approved instruments, methods and techniques) and listed in the schedule to this document.

It also recognises the need to have, and will therefore maintain, a formal counter party policy in respect of those organisations from which it may borrow, or with whom it may enter into other financing or derivative arrangements.

Monitoring Investment Counterparties

The assessment of credit worthiness or credit rating of investment counterparties will be monitored regularly. The Council obtains credit rating via its treasury advisers who monitors all 3 credit ratings (FITCH, Moody's and Standard and Poor's), and will notify any changes in ratings as they occur. This includes and takes account of changes, ratings watches and rating outlooks as necessary. In accordance with the revised TM

Code the Council will need to have regard to the ratings issued by the three main agencies, and base its decisions on the lowest rating. The Council is already mindful of the other possible sources of information available to assess the credit worthiness of investment counterparties. This includes information direct from brokers, the Financial Times, news agencies and its treasury advisers monitoring the Credit Default Swaps (CDS) market. Officers assess trends of interest rates offered by counterparties.

Officers monitor the credit ratings via the information supplied by its treasury advisers, to ensure compliance to the rating criteria, and where necessary taking into account any other information which may influence the decision as to whether to exclude a counter party or not. Monthly counterparty lists matching the Council's criteria are supplied by its treasury advisers.

On occasions ratings may be downgraded after an investment has been made, however, the criteria used are such that a minor downgrading should not affect the full receipt of the principal and interest. Any counterparty failing to meet the criteria or due to adverse information in the public domain, will be removed from the approved list immediately by the Section 151 Officer, and if required new counterparties which meet the criteria will be added to the list.

[2] Liquidity Risk Management

The Council will ensure it has adequate though not excessive cash resources, borrowing arrangements, overdraft facilities to enable it at all times to have a level of funds available to it which are necessary for the achievement of its business/service objectives.

The Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current capital programme.

To maintain flexibility ~~and liquidity of specified investments with a maturity of date of 12 months or less~~ the maximum amount of medium and long term lending is set at £15m; the balance of surplus funds will be held short term, with a minimum of £3m available within a 3 month period.

[3] Interest rate risk management

The Council will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues, in accordance with the amounts provided in its budgetary arrangements as amended in accordance with TMP6 (Reporting requirements and managing information arrangements).

The effects of varying levels of inflation, in so far as they can be identified as impacting directly on its Treasury Management activities, will be controlled by the Council as an integral part of its strategy for managing its overall exposure to inflation.

It will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues, but at the same time retaining a sufficient degree of flexibility to take advantage of unexpected, potentially advantageous changes in the level or structure of

interest rates. This should be subject to the consideration and, if required approval of any policy or budgetary implications.

To minimise the financial risk to which the Council is exposed in both cash deposits and borrowing i.e.

- (i) to minimise the interest burden to the Council arising from any borrowing:
- (ii) to optimise the interest earned. Unless otherwise directed by the Council whilst protecting capital sums deposited.

In order to achieve this objective the following specific policies should be adopted:

- (i) to maintain the Council's debt free position and undertake no new borrowing unless the business case is proven for invest to save projects
- (ii) to retain an appropriate minimum level of reserves in order to maintain flexibility in the use of interest earned from deposits
- (iii) to lend surplus funds only to approved institutions in accordance with DCLG Investment Guidance. A list of Approved Cash Deposit Instruments is attached at TMP 4 [5] [and schedule A](#).
- (iv) To minimise short term borrowing by efficient cash flow management.
- (v) To ensure that the use of any hedging tools such as derivatives are only used for the management of risk and prudent management of the financial affairs of the council, and that the policy for the use of derivatives is clearly detailed in the annual strategy.

In balancing risk against return, ~~the Council's local authorities~~ should be primarily more concerned with the security of the investment rather than before ~~to~~ seeking to maximise returns.

[4] Exchange rate Risk Management

Whilst the Council does not invest in foreign denominations, it does occasionally make payments to suppliers. In so doing it will manage its exposure to fluctuations in exchange rates so as to minimise any detrimental impact on its budgeted income expenditure levels. Any large contracts let by the Council must be denominated in £Sterling and the Section 151 Officer consulted on any proposed departure from this policy.

[5] Refinancing risk management

The Council will ensure that its borrowing, private financing and partnership arrangements are negotiated, structured and documented, and the maturity profile of the monies so raised are managed, with a view to obtaining offer terms for renewal or refinancing, if required, which are competitive and as favourable to the Council as can reasonably be achieved in the light of market conditions prevailing at the time.

The Council will actively manage its relationship with counter parties in these transactions in such a manner as to secure this objective, and will avoid over reliance on any one source of funding if this might jeopardise achievement of the above.

[6] Legal and regulatory risk management

The Council will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance if required to do so, to all parties with whom it deals in such activities. In framing its credit and counter party policy the Council will ensure that there is evidence of counter parties' powers, authority and compliance in transactions they may effect with the Council, particularly with regard to duty of care and fees charged.

The Council recognises that future legislative or regulatory changes may impact on its treasury management activities and, in so far as it is reasonable to do so, will seek to minimise the risk of these impacting adversely on the organisation.

[7] Fraud error and corruption, and contingency management

The Council will ensure that it has identified the circumstances that may expose it to the loss through fraud, error, corruption or other eventualities in its treasury management dealings. Accordingly it will employ suitable systems and procedures and will maintain effective contingency management arrangements, to these ends.

[8] Market Risk Management

The Council will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests. ~~and will accordingly seek to protect itself from the effects of such fluctuations.~~ The Council limits itself to short term moderate fluctuations for investments principally held to manage market risk.

TMP2 – BEST VALUE AND PERFORMANCE MEASUREMENT

The Council is committed to the pursuit of best value in its treasury management activities, and use performance methodology in support of that aim, within the framework set out in the treasury management policy statement.

Accordingly, the treasury management function will be the subject of ongoing analysis of the value it adds in support of the Council's stated business or service objectives. It will be the subject of regular review in terms of service delivery and the scope for innovation.

The actual performance of the Treasury Management function will be measured using the criteria in TMP 2 [1].

TMP 2 [1]

Performance Measurement

The key performance measures have been approved:

- a) Investment rates achieved compared to Local Authority 7 Day Deposit Index, 3 Month London Interbank Offer Rate (LIBOR), and 3 Month London Interbank Bid Rate (LIBID)
- b) Adherence to investment guidelines
- c) Full investment of free balances.
Free balances exceeding £500,000 are to be invested. This figure may be revised by the Section 151 Officer throughout the year dependent upon interest rates and any dealing costs incurred.
- d) Maintenance of a balanced investment portfolio.
- e) Capital Financing Requirement monitored
- f) Borrowing limits not exceeded
- g) Benchmarking using CIPFA Treasury Management Club exercises on a regular basis and the benchmarking by the treasury advisor's other local authority clients.
- h) Monitoring the portfolio average credit rating against the approved target
- i) Maintaining the liquidity of the portfolio in relation to the approved minimum balance available for 3 months
- h)i) Monitoring of interest exposure in the portfolio by using a time weighted average v interest rate/ return, so that the investment portfolio should be in the range of 4 to 4 ½ credit risk score.

~~In addition, CIPFA's treasury management bulletin dated March 2009 stated, that whilst benchmarking has a role in treasury management, benchmarking should not only refer to yield but also reflect risk inherent in treasury management activities. As a minimum they should include information on security, liquidity and yield. Yield benchmarking can be measured by reviewing budget interest v actual interest. The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the weighted average credit rating of its investment portfolio, and in terms of liquidity risk officers monitoring the amount of cash available to meet unexpected payments within a rolling three month period.~~

TMP3 – DECISION MAKING AND ANALYSIS

The Council will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions, both for the purposes of learning from the past, and for demonstrating that reasonable steps were taken to ensure that all issues relevant to the decisions were taken into account at the time. The issues to be addressed and processes to be pursued in reaching decisions are detailed in the following paragraphs.

TMP 3 [1]

Formulation of the Treasury Management Strategy **Statement**

1. Whilst this document outlines the procedures and considerations for the treasury function as a whole, requiring revision occasionally, the Treasury Management Strategy **Statement** sets out the specific expected treasury activities for the forthcoming financial year. This strategy will be submitted to full Council for approval prior to the commencement of each financial year.

2. DCLG guidance allows the strategy to be varied at any time during the year with the approval of full Council.
3. The formulation of the ~~annual~~ Treasury Management Strategy Statement involves determining the appropriate borrowing and investment decisions in light of the anticipated movement in both fixed and shorter term variable interest rates.
4. The Treasury Management Strategy Statement is concerned with the following elements:
 - The current investment portfolio position
 - Cash flow issues based on current activities
 - The Medium Term Financial Strategy/Plan
 - The Prudential Code
 - A view of the economic climate and effects on the investment market
 - Prospects for future interest rates
 - Treasury limits in force which will limit the treasury risk and activities of the Council
 - The investment strategy
 - The use of external advisers
 - Any extraordinary treasury issues
5. The Treasury Management Strategy Statement will establish the expected move in interest rates against alternatives (using all available information such as published interest rate forecasts where applicable), and highlight any sensitivities to different scenarios and information from the Council's treasury advisers.

TMP 3 [2]

Policy on Interest Rate Exposure

In accordance with the Local Government Act 2003 and the CIPFA Prudential Code the Council is required each year, to determine:-

- (i) an Authorised Limit for borrowing
- (ii) an Operational Boundary for borrowing
- (iii) Prudential indicators that limit on the proportion which is subject to fixed and variable interest rates, limit the maturity structure of borrowings and limit the use of long term investments.
- ~~(iii)~~(iv) Monitoring of the time weighted average versus interest rate risk exposure against the target set in the Treasury Management Strategy Statement.

TMP 3 [3]

Investment Guidelines – Roles

1. An The Accountancy Assistant (~~FIN/18~~) designated by the Section 151 Officer, has responsibility for the daily management of the cash flow, and has the

authority to invest monies for a period up to 6 months, within the policy guidelines.

2. Monies invested for periods exceeding 6 months require the prior authorisation of the Section 151 Officer or the Deputy Section 151 Officer.
3. No “new” investment instruments are to be used without the prior authorisation of the Section 151 Officer.

TMP 4 – APPROVED INSTRUMENTS, METHODS AND TECHNIQUES

The officers of the Council will undertake its treasury management activities by employing only those instruments, methods, and techniques detailed in the schedule to this document and within the limits and parameters defined in TMP1 (Risk Management).

TMP 4 [1]

Approved Activities of the Treasury Management Operation

The Section 151 Officer shall be **responsible** for the management of all the Council’s borrowing and cash deposit operations in accordance with the Treasury Management Strategy as determined by the relevant delegations set by this Council.

Subject to the scheme of Treasury Management approved by the Council:

- (a) to undertake negotiation and receipt of or repayment of loans in accordance with such policy as may be laid down from time to time by the **Cabinet Executive Board**, and subject to the receipt of Government sanctions and consents.
- (b) To make suitable arrangements for the investment and realisation of monies surplus to the immediate requirements of the Council.

TMP 4 [2]

Approved Methods of Raising Capital Finance

Part 1, Section 1 of the Local Government Act 2003 allows local authorities to borrow (provided it is in Sterling) for the purposes, providing the authority adheres to the Prudential Code:

- (i) for any purpose relevant to its functions under any enactment
- (ii) for the purposes of prudent management of its financial affairs

TMP 4 [3]

Approved Sources of Funding

There is no general restriction on the sources of local authority borrowing (except in foreign currency) but in practice it is anticipated that the Council will borrow on a short term basis from authorised banks, the Bank of England, Public Works Loans Board (PWLB), or other local authorities.

TMP 4 [4]

Approved Organisations for Cash Deposits

The Section 151 Officer will maintain a counterparty list in compliance with the following criteria, and will revise the criteria and then submit them to Council for approval, as necessary. This criteria is separate to that which chooses Specified or Non-Specified investments as it selects which counterparties the Council will choose rather than defining what its investments are. The rating criteria used to select counterparties needs to be the lowest common denominator and apply limits.

The grades of credit rating are as follows with the best credit ratings at the top.

Table 1 – Credit Ratings Grades by the 3 Main Agencies

Fitch - Long Term	Moody's - Long Term	S & P's - Long Term
AAA	Aaa	AAA
AA+	Aa1	AA+
AA	Aa2	AA
AA-	Aa3	AA-
A+	A1	A+
A	A2	A
A-	A3	A-
	Baa1	BBB+
	Baa2	BBB

Table 2 – Approved Investment Counterparties

The Table below sets out the criteria in relation to the different ratings.

Counterparty		Cash limit	Time limit
Banks ¹ , building societies and other organisations whose lowest published long-term credit rating from Fitch, Moody's and Standard & Poor's is:	AAA	£5m each, of which no more than £3m over 1 year	5 years
	AA+		5 years
	AA		4 years
	AA-		3 years
	A+	2 years	
	A	£2m each	1 year
A-	6 months		
UK Central Government (irrespective of credit rating)		unlimited	5 years
UK Local Authorities ¹ (irrespective of credit rating)		£5m each	5 years
UK Building Societies whose lowest published long-term credit rating is BBB+ or BBB or above and societies without credit ratings with gross assets greater than £250m		£2m each £1m each (Unrated)	6 months (Rated) 3 months (unrated)
Money market funds	AAA	£4m each	1 year

¹Pending the decision on Scottish independence no new lending is allowed to Scottish local authorities, banks or building societies maturing after the referendum date.

These limits cover both Specified and Non-Specified Investments.

Glossary of Rating Terms:

Long Term Rating: These indicate the likelihood of the counterparty not being able to honour its financial commitments and its capacity to withstand adverse foreseeable events. In investment terms the highest credit rating is AAA, with AA indicating a very high credit quality and an A equal to a high quality. The “+” or “-“ is to indicate status within the major rating category.

TMP 4 [5]

Approved Instruments for Investments

Annual Investment Strategy – The key requirements of both the Code and the investment guidance are to set an annual strategy, as part of its annual treasury strategy for the following year, covering the identification and approval of the following:

- The strategy guidelines for choosing and placing investments, particularly non-specified investments.
- The principles to be used to determine the maximum periods for which funds can be committed.
- Specified investments the Council will use. These are high security (i.e. high credit rating, although this is defined by the Council, and no guidelines are given), and high liquidity investments in sterling and with a maturity of no more than a year.
- Non-specified investments, clarifying the greater risk implications, identifying the general types of investment that may be used and a limit to the overall amount of various categories that can be held at any time.
- The intention and reasons for using derivative instruments is for the management of risks, (especially interest rate risk), and the objectives are set out in the Council’s annual strategy along with limits, including the need to seek proper advice, which is considered before entering into such arrangements to ensure that the Council fully understands the products and associated risks.

The Investment policy proposed for the Council is:

Strategy Guidelines – The main strategy guidelines are contained within the body of the treasury management strategy statement- and the definitions of the investment periods to be used within the approved strategy are:

- (i) Short Term – up to one year (excluding call accounts with immediate access to funds)

(ii) Medium Term – One to four years

(iii) Long Term – Over four years

Specified Instruments – These ~~are investments~~ are sterling investments of not more than one year maturity, or those which could be for a longer period but where the Council has the right to be repaid within 12 months if it wishes. These are low risk assets where the possibility of loss of principal or investment income is small. These would include investments with:

1. The UK Government (such as the Debt Management Office, UK Treasury Bills or Gilts with less than one year maturity).
2. A local authority, parish council or community council.
3. Pooled investment vehicles (such as money market funds) that have been awarded a high credit rating by a credit rating agency.
4. A body that has been awarded a high credit rating by a credit rating agency (such as a bank or building society).

The Council defines "high credit quality" organisations as those having a credit rating of A- or higher that are domiciled in the UK or a foreign country with a sovereign rating of AAA. For money market funds and other pooled "high credit quality" is defined as those having a credit rating of A- or higher.

Non-Specified Investments – Non-specified investments are any other type of investment (i.e. not defined as Specified as above.)

- This classification covers all other approved investments, including those over 364 days and those investments which are not with a "high" credit rated counterpart irrespective of their duration.
- Where investments are undertaken in excess of 364 days, the Council will only invest its monies in cash, or certificates of deposit, or Gilts, or bonds with institutions that meet the high credit rating criteria detailed above.
- For Non Specified Investments the maximum amounts which may be held in each identified category at any time during the financial year are:-
 - Cash – 100%
 - Certificates of Deposit – 100%
 - Gilts – 100% (but subject to external advice)
 - Bonds – (but subject to external advice)

Non-specified investments will therefore be limited to medium and long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement, and investments with bodies and schemes not meeting the definition on high credit quality. Limits on non-specified investments are shown in table 3 below.

Table 3: Non-Specified Investment Limits

	Cash limit
Total medium and long-term investments	£15m
Total investments without credit ratings or rated below A- ¹	£10m
Total Limit on non-specified investments	£25m

¹ This includes unrated local authorities and building societies.

Schedule A sets out the approved investment instruments that can be used for specified and non-specified investments.

Approved Instruments: The Council may lend or invest money using any of the following instruments:

- interest-bearing bank accounts,
- fixed term deposits and loans,
- callable deposits and loans where the Council may demand repayment at any time (with or without notice),
- callable deposits and loans where the borrower may repay before maturity, but subject to a maximum of £3 million in total,
- certificates of deposit,
- bonds, notes, bills, commercial paper and other marketable instruments, and shares in money market funds

TMP 4 [6]

Approved Organisations for Investment – Criteria for selecting

The Council uses long-term credit ratings from the three main rating agencies Fitch Ratings, Moody's Investors Service and Standard & Poor's Financial Services to assess the risk of investment default. The lowest available counterparty credit rating will be used to determine credit quality, unless an investment-specific rating is available. Credit ratings are obtained and monitored by the Council's treasury advisers, who will notify changes in ratings as they occur.

Also as the Council 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 and reports in the quality financial press. Any further information supplied by its treasury advisers. No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may meet the credit rating criteria.

~~To date the Council has not employed any external professional advisors, but has continued to select counterparties based on the lowest credit rating by the 3 main rating agencies as required under the TM Code.~~

~~However, due to the continued complexity of the market conditions it is now felt reasonable to obtain more detailed analysis from specialists to aid where investments can be placed, including the use of money market funds.~~

TMP 4 [7] **Country & Sector Limits**

In order to limit the impact on reserves and the capital programme, no more than £5m will be put at risk in the case of a single default, as the maximum that can be lent to any one organisation (other than the UK Government) will be £5m.

Investments in foreign countries will be limited to those that hold a AAA sovereign credit rating from all three major credit rating agencies, and to a maximum of £5 million per foreign country. No country limit will apply to investments in the UK, irrespective of the sovereign credit rating.

Overseas subsidiaries of foreign banking groups will normally be assessed according to the country of domicile of the parent organisation. However, Santander UK plc (a subsidiary of Spain's Banco Santander) and Clydesdale Bank plc (a subsidiary of National Australia Bank) will be classed as UK banks due to their substantial UK franchises and the arms-length nature of the parent-subsidary relationships.

Sovereign credit rating criteria and foreign country limits will not apply to investments in multilateral development banks (e.g. the European Investment Bank and the World Bank) or other supranational organisations (e.g. the European Union).

Due care will be taken to consider the country, group and sector exposure of the Council's investments. In part the country selection will be chosen by the credit rating of the Sovereign state i.e. AAA (Fitch) or equivalent and meet the rating criteria as set out in TMP 4 [4]. In addition:

- Limits in place above will apply to Group companies;
- • Sector limits will be monitored regularly for appropriateness

Table 4 set out the investment limits to be applied

	<u>Cash limit</u>
<u>Any single organisation, except the UK Central Government</u>	<u>£5m each</u>
<u>UK Central Government</u>	<u>unlimited</u>
<u>Any group of organisations under the same ownership</u>	<u>£5m per group</u>
<u>Negotiable instruments held in a broker's nominee account</u>	<u>£5m per broker</u>
<u>Foreign countries</u>	<u>£5m per country</u>
<u>Building Societies</u>	<u>£8 m in total</u>
<u>Money Market Funds</u>	<u>£8 m in total</u>

Use of additional information other than credit ratings

Additional requirements under the Code of Practice now require the Council to supplement credit rating information. Whilst the above criteria relies primarily on the application of credit ratings to provide a pool of appropriate counterparties for officers to use, additional operational market information will be applied before making any specific investment decision from the agreed pool of counterparties. This additional market information (for example Credit Default Swaps, negative rating watches/outlooks) will be applied to compare the relative security of differing investment counterparties, taking into account any additional information supplied by the Council’s treasury advisers-

Principal sums Invested for Periods Longer than 364 days

There is a further treasury prudential indicator limiting the amount placed for greater than 364 days. The purpose of this indicator is to control the Council’s exposure to the risk of incurring losses if there is a need to seek early repayment of its investments:

Table 3: Principal Sums Invested for Periods Longer than 364 days

	2014-15	2015-16	2016-17
	£m	£m	£m
Maximum principal sums invested > 364 days	15	<u>9</u>	<u>6</u>

~~The maximum principal sums invested is also restricted by adherence to the liquidity benchmark, as set out in TMP 1 [2], where the maximum liquidity level of short term investments is set at 65%.~~

The table sets out the upper limit for each forward financial year period for the maturing of investments for periods longer than 364 days up to their final maturities beyond the end of the financial period. The limit for 2014-15 equals the total medium and long term investment limit stated in table 5. The next two limits are smaller effectively limiting investments made for longer than 2 years and 3 years. In essence this reflects a maturity pattern of the medium and long term debt, in that £6m should mature in 2015-16, and another £3m in 2016-17. The remaining balance would mature beyond 2016-17.

TMP 5 – ORGANISATION, CLARITY AND SEGREGATION OF RESPONSIBILITIES, AND DEALING ARRANGEMENTS

The Council considers it essential, for the purposes of effective control and monitoring of its treasury management activities, for the reduction of the risk of fraud or error, and for the pursuit of optimum performance, that these activities are structured and managed in a fully integrated manner, and that there is at all times a clarity of treasury management responsibilities.

The principle upon which this is based is a clear distinction between those charged with setting treasury management policies and those charged with implementing and controlling the policies. This is particularly important with regard to the execution and

transmission of funds, the recording and administering of treasury management decisions and the audit and review of the treasury management function.

If at any time the Council, as a result of a lack of resources or other circumstances, departs from these principles, the Section 151 Officer will ensure that the reasons are properly reported in accordance with TMP 6 (reporting requirements and management information arrangements), and the implications properly considered and evaluated.

The Section 151 Officer will ensure that there are clear written statements of the responsibilities for each post engaged in treasury management and the arrangements for absence cover. Detailed procedure notes will also be maintained and updated as necessary.

The Section 151 Officer will ensure that there is proper documentation for all deals and transactions, and that procedures exist for the effective transmission of funds. The present arrangements are detailed in the schedule to this document.

The Section 151 Officer has full delegated powers under financial regulations to manage the Council's Treasury management function and make all necessary banking arrangements. The Section 151 Officer will fulfil all such responsibilities in accordance with the organisation's policy statement and TMP's and, as a CIPFA member, the Standard of Professional Practice on Treasury Management.

TMP 5 [1]

Delegation of Treasury Management Responsibilities

Full Council

1. Determine the Investment Strategy and Prudential Indicators within the Treasury Management Strategy and determine any variations required throughout the year.

Cabinet

1. Make recommendations to Full Council on the Investment Strategy and Prudential Indicators within the Treasury Management Strategy and variations required.
2. Receive reports on treasury management activities and performance at least twice per year, such reports to show performance on a quarterly basis.
3. Consider a report on the previous year's treasury management activities, prior to 30 September of the succeeding year.

Corporate Governance and Audit Committee

1. To consider the Treasury Management policies and procedures with an emphasis on risk management and scrutiny of performance against the Council's Treasury Management and Investment Strategies.

TMP 5 [2]

Statement of Responsibilities

Section 151 Officer

Absence Cover: Deputy Section 151 Officer

1. Ensure treasury management policy documents exist and are adhered to, and that they are regularly reviewed.
2. Ensure that a review of the treasury management function and its performance occurs quarterly, and that the results are reported to the Executive Board at least twice per year.
3. Ensure that an annual report is presented to the Cabinet before the 30 September of the succeeding year on the performance and activities of the treasury management function.
4. Ensure that there is a clear written statement of the responsibilities delegated to each post and arrangements for absence cover.
5. Ensure that the appropriate levels of resources are provided so that the organisation of the treasury management function is adequate to meet current needs.
6. Determine all investments over 6 months (in accordance with the Investment guidelines).
7. Ensure that all staff are adequately trained and those members who are responsible for governance arrangements receive training as necessary.
8. Ensure that the appropriate levels of resources are provided so that the organisation of the treasury management function is adequate to meet current needs.
9. Ensure that proper division of duties within the organisation and procedures are adhered to.
10. Ensure that the treasury management strategy is prepared, reviewed and complied with, and that this statement complies with the law.
11. Assess and review the role of brokers and fund managers' performance where used.
- ~~11-12.~~ Assess whether it is possible to recall or sell investments, if the counter party's credit rating is downgraded to a point where it no longer meets the Council's approved investment criteria. Where the decision to recall or sell an investment is possible, but the cost is over the approved virement limits, the Council's urgent action procedure in its Constitution should be invoked.

Deputy Section 151 Officer

Absence Cover: Section 151 Officer

Accountancy Services are responsible for advising the Section 151 Officer on treasury management policy and for ensuring that investment guidelines and the strategy are adhered to:

1. Ensure production of a report detailing Investment Strategy, and Prudential Indicator limits prior to the forthcoming financial year for consideration by the Cabinet and determination by full Council.
2. Review quarterly the performance of the treasury management function.

3. Ensure that the strategy is monitored and reviewed throughout the year and make recommendations to the Section 151 Officer on the appropriateness of rescheduling and /or redeeming debt, new borrowing and the timing thereof, refinancing and the timing thereof, borrowing instruments, and all investment matters.
4. Ensure all new borrowing is in accordance with the agreed Strategy.
5. In the event of a disaster (or absence of cover) ensure appropriate arrangements are put in place to ensure the effective management of the Treasury Management function.

In addition, as Accountancy Services are responsible for the day to day activities involved in treasury management and ensuring that investment guidelines are adhered to. Specifically the Accountancy Services Manager will:

1. Ensure that all persons engaged in treasury management are adequately trained.
2. Ensure that the organisation of the treasury management function is adequate to meet current needs and that procedures are adhered to.
3. Ensure appropriate division of duties within the section.
4. Ensure that comprehensive records are maintained of all investment and borrowing activities.
5. Ensure that monthly reconciliations are carried out to the General Ledger, and that any losses or unaccountable balances are reported to the Section 151 Officer.
6. Assist in the preparation of the annual strategy document as necessary.
7. Monitor and review the strategy and Prudential Indicators throughout the year and make recommendations to the Section 151 Officer on the appropriateness of rescheduling and /or redeeming debt, new borrowing and the timing thereof, refinancing and the timing thereof, borrowing instruments, and investment matters.

Deals Officer (Assistant Accountant FIN/18) as currently designated by the Section 151 Officer

Absence Cover: Assistant Accountant FIN/07
 Service Accountants FIN/08, FIN/10
 Technical & Systems Accountant FIN/21
 Insurance Administration Officer FIN/20

1. Production of quarterly Performance reports and assists in drafting Cabinet reports.
2. Arrange new borrowing, refinancing following liaison with the Section 151 Officer.
3. Produce, implement and maintain treasury management procedure notes
4. Prepare Cash flow projections
5. Make daily decisions on funding, lending, acceptability of institutions as counter parties in accordance with investment guidelines.
6. Dealing and recording deals
7. Comply with the Non-Investment Products Code (NIPs) and the Treasury Management strategy.

8. Provide weekly reports in a format agreed with the Section 151 Officer. At the end of the month send additional copies to the Cabinet Member for Finance and only advise the Leader of the Council if counterparty likely to default.

Assistant Accountant FIN/17

1. Reconciliation of debt and investment to General Ledger

Internal Audit

1. Review compliance with approved policy and procedures
2. Review division of duties and operational practice

The above responsibilities are to be carried out in accordance with being part of the approved audit plan.

TMP6 – REPORTING REQUIREMENTS AND MANAGEMENT INFORMATION ARRANGEMENTS

The Council will ensure that regular reports are prepared and considered on the implementation of its treasury management policies; on the effects of decisions taken and transactions executed in pursuit of those policies; on the implications of changes, particularly budgetary, resulting from regulatory, economic, market or other factors affecting its treasury management activities and on the performance of the treasury management function.

The Council/Cabinet will receive as a minimum:

- An annual report on the strategy and plan to be pursued in the coming year and on the need to review the requirements for changes to be made to the Treasury Management Strategy Statement.
- A mid-year review
- An annual report on the performance of the treasury management function, on the effects of decisions taken and the transactions executed in the past year, such reports to be submitted by 30th September in the succeeding financial year, including any circumstances of non compliance with the organisation's treasury management policy statement and Treasury Management Practices.

The body responsible for scrutiny, Corporate Governance and Audit Committee will have responsibility for the scrutiny of treasury management policies and practices.

The Council should report their treasury management indicators as detailed in the sector specific guidance notes; these are set out in [an aAppendix to the Treasury Management Strategy Statement 3](#) for the Prudential Indicators and Treasury Management Indicators of this report for the forthcoming year, and will be reported [eding](#) for [the](#) out turn in the June after the year end.

TMP7 – BUDGETING, ACCOUNTING AND AUDITING ARRANGEMENTS

As part of the annual budget process, a separate budget for treasury management will be prepared and maintained in accordance with proper accounting practice. All costs associated with the treasury management operation will be contained within the budget, which will be monitored on a regular basis. The matters to be included in the budget will at a minimum be those required by statute or regulation, together with such information as will demonstrate compliance with TMP 1 Risk Management, TMP 2 Performance Measurement and TMP 4 Approved instruments, Methods and Techniques.

The Section 151 Officer will exercise effective controls over this budget, and will report upon and recommend any changes required in accordance with TMP 6 Reporting Requirements

The Council will account for its treasury management activities, for decisions made and transactions executed, in accordance with proper accounting practices and standards and with statutory and regulatory requirements in force.

The Council will ensure that its auditors, and those charged with regulatory review have access to all information and supporting documentation as ~~a re~~ necessary to fulfil their roles, and that such information and papers demonstrate compliance with internal and external policies and approved practices.

TMP 8 - CASH AND CASH FLOW MANAGEMENT

Unless statutory or regulatory requirements require otherwise, all monies in the hands of the Council will be under the control of the Section 151 Officer or in his absence the Deputy Section 151 Officer, and will be aggregated for cash flow and investment management purposes. Cash flow projections will be prepared on a weekly basis and the Section 151 Officer will ensure that these are adequate for the purposes of monitoring compliance with TMP 1 [2] (Liquidity Risk Management) and the treasury management liquidity indicator stated in the Treasury Management Strategy Statement.

TMP 9 – MONEY LAUNDERING

Whilst the Council is not directly required to implement the requirements of the Money Laundering Regulations 2003 (except through this TMP), the implications of the Terrorism Act 2000, the Anti-Terrorism, Crime & Security Act 2001 and the Proceeds of Crime Act 2002 place an onus of responsibility on individuals associated with the treasury process to consider its implications.

The Council is alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, only known and respected counter parties will be dealt with. Any suspicions must be reported immediately to the Section 151 Officer.

TMP 10 – TRAINING AND QUALIFICATIONS

The Council recognises the importance of ensuring all staff involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocate to them. Only suitably capable and experienced individuals will be employed on the function. Training will be provided for staff to enable them to acquire and maintain appropriate levels of expertise, knowledge and skill. The Section 151 Officer will oversee the training arrangements.

The Section 151 Officer will ensure that the Board/Council members tasked with treasury management responsibilities, including scrutiny, have access to training relevant to their needs and those responsibilities.

Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.

TMP 11 – USE OF EXTERNAL SERVICE PROVIDERS

The Council recognises the value of using brokers and the potential value of external providers of treasury management services, in order to acquire specialist skills and resources. Therefore when it employs such service providers, it will do so for reasons which will have been submitted to a full evaluation of the costs and benefits. It will also ensure that the terms of any appointment and the methods by which their value is assessed are properly agreed and documented and subject to regular review. The Council will ensure, where feasible and necessary, that a spread of service providers is used, to avoid over reliance on one or a small number of companies. Where services are subject to tender, legislative requirements will always be observed.

The monitoring of such arrangements rests with the Section 151 Officer or the Deputy Section 151 Officer.

To aid the council in its assessment of counterparties the credit rating information will be obtained via an external advisor, along with their expertise with other information and advice on counter party assessment, and of advice on the selection of money market funds or other investment instruments. This ~~potential~~ contract also gives access to annual training courses, technical advice on IFRS codes for treasury management transactions and benchmarking with other local authorities.

TMP 11 [1]

Brokers and Direct Deals

The brokers listed below are currently authorised to arrange the Council's investments, new brokers can only be used after written consent from the Section 151 Officer.

Sterling Brokers Ltd.
Tullett Prebon
R.P. Martin
Tradition

In addition to the use of Brokers, the Treasury Management team also deals directly with some Banks & Building Societies, providing there are on the approved Counterparty list.

The broker of King & Shaxson and Arlingclose (treasury advisers) may be used for accessing the different Money Market Funds, in accordance with the Council's TM Strategy.

TMP 11 [2] Treasury Advisers

The Council's treasury management advisers are Arlingclose Limited, who provide advice and information on the Council's investment and borrowing activities, although responsibility for final decision making remains with the Council and its officers. The services received include:

- advice and guidance on relevant policies, strategies and reports,
- advice on investment decisions,
- notification of credit ratings and changes,
- other information on credit quality,
- advice on debt management decisions,
- accounting advice,
- reports on treasury performance,
- forecasts of interest rates, and
- training courses.

Performance against the agreed terms and conditions of the contract specification are monitored by the Accountancy Services Manager. The current contract ended on the 30th April 2014, and whilst the procurement exercise is being undertaken an extension has been negotiated for 2 months with the current service provider.

TMP 12 – CORPORATE GOVERNANCE

The Council is committed to the pursuit of proper Corporate Governance throughout its businesses and services, and to establishing the principles and practices by which this can be achieved. Accordingly, the treasury management function and its activities will be undertaken with openness and transparency, honesty, integrity and accountability.

This organisation has adopted and has implemented the key recommendations of the code. This together with the other arrangements detailed in this document and the Treasury Management Strategy are considered vital to the achievement of proper corporate governance in treasury management. The Section 151 Officer will monitor and, if and when necessary, report upon the effectiveness of these arrangements.

Chichester District Council

**Risk Management Policy
and Risk Management Strategy**

June 2014

Risk Management Policy

Introduction

Chichester District Council is aware that risk management is a fundamental issue for consideration in the delivery of its services and how it serves its community. It is a discipline that cuts across all of the council's activities and is a process that aims both to raise awareness and protect the council against potential risks and the consequences of those risk occurring.

However, some risks will always exist and cannot be eliminated. Against this ethos there is the clear understanding that risks need to be managed rather than avoided, and consideration of risk should not stifle innovation.

The council recognises that it has a responsibility to manage its significant business risks and supports a structured and focused approach to managing those risks as part of the corporate governance framework. This includes the adoption of this policy and strategy, as risk management is an integral part of its business processes, assists with decision making and achievement of key objectives, whilst also providing evidence of effective management and control in support of the Annual Governance Statement.

The council's Corporate Plan states that 'the Corporate Plan provides.... the opportunity to manage the Council's strategic risks and any significant risks that may impact on the community.' The Council will assist with managing community risks as part of the Local Strategic partnership, and play an active part in managing those risks which the Council is able to materially influence and have impact upon.

Objectives

The council is committed to implementing a proactive approach to risk management that is based on the following key principles:

- Risk management activity will be aligned to corporate and service plan aims, objectives and priorities. It will encompass all strategic and operational risks that may affect the council achieving its objectives.
- Risk management is key to achieving the council's Corporate Plan.
- The council will anticipate and take preventative action to actively manage risks rather than dealing with the consequences.
- Risk management is a process to assist in understanding risks and so contribute to improved decision making. The purpose therefore is not to design out risk at disproportional costs, but to manage it effectively.

- A consistent approach to the identification, assessment and management of risk will be embedded throughout the council.
- Any risk control and mitigation measures will be considered for their effectiveness as well as being appropriate, proportional, affordable and flexible.
- All council officers are responsible for the management of the risks that surround their role and adherence to the risk management framework. Managers also have a responsibility to ensure that their service areas have service continuity plans in place which are periodically reviewed and tested.

To achieve these key principles the management of risk is woven throughout the council's key governance frameworks and as such these are specific requirements for all officers to adopt a **formal** approach to risk management in the following areas:

Key decision making reports
Corporate, Directorate and Service planning processes
Programme and Project Management
Procurement Processes
Partnership working arrangements
Change management process

There are clearly defined roles and responsibilities and reporting lines within the Council for risk management.

Management of risk is a continuous and dynamic process and the Council's approach will be kept under regular review.

Risk Management Strategy

Overview

In order to manage risk Chichester District Council considers that a proactive approach in respect of its significant business risks will enable it to be in a stronger position to deliver the corporate priorities and serve its community.

Risk Management Framework

To achieve this, it is envisaged that members and officers develop an embedded enterprise wide risk management framework which gives a robust and systematic approach that aids the authority to:

- Help officers to fully understand the causes and impacts of the risks that they face, and in turn make more informed decisions on how best to manage risks.
- Allow officers to analyse and prioritise risks; helping inform decisions on the management, escalation and communication of risks.
- Creates a management tool which promotes discussion and helps reinforce officers' understanding of risks and how they will be managed; as well as encouraging the assignation of roles and responsibilities.
- Provide senior managers and members with the assurance that risks are being considered and managed across the organisation, and where 'need be' risks have to be taken; these are escalated for their input and guidance beforehand.

Key Risk Management Objectives

In order to realise the organisational benefits of managing risk and to deliver upon the remit of developing and embedding a risk management framework, the following objectives have been identified:

1. To maintain and review the risk management framework which takes into account new and emerging risk management practices in accordance with good practice.
2. To develop and maintain a service continuity planning framework that allows the council to continue to deliver its most important services in accordance with the Civil Contingencies Act 2004.
3. To actively manage risks and opportunities by identifying the risks in the delivery of the council's plans i.e. corporate, directorate and individual service plans. The risks identified should be assessed for likelihood and impact, along with identifying any mitigating controls, and should be allocated to a named officer (s) who is responsible for those risks and their mitigation controls.

4. To ensure that risks in the present and the future are considered and discussed as part of the council's key decision making processes.
5. To ensure that all programmes and projects in the council have a robust approach to risk management which includes risk identification, analysis, prioritisation, control, communication, review and escalation.
6. To ensure officers consider the management of risk within the procurement process.
7. To integrate and embed risk management throughout the working culture of the council by providing support, guidance and training to officers, and members where appropriate.
8. To monitor adherence to the Risk Management Framework and report on performance to the Corporate Management Team (CMT), the Corporate Governance and Audit Committee, and Cabinet.

Definition of Risk Management

CIPFA's Better Governance Forum's definition of risk is described as:

“Risk arises as much from failing to capture opportunities, as it does from a threat that something bad will happen.”

This definition is complemented in the context of risk management as detailed in the British Standard 31100, which states;

“Risk management is as much about exploiting potential opportunities as preventing potential problems.”

Risk Identification Process

Managers should concentrate on events that might affect the council's achievement of its objectives. Strategic risks linked to the Corporate Plan objectives and operational risks linked to service and project plans need (as a minimum) to be identified and monitored.

Roles and Responsibilities

In order to ensure the successful implementation of the Risk Management Strategy, there needs to be clear roles and responsibilities, with clear processes, which are set out in the risk management framework and also within this policy.

Group/Individuals	Role/ Responsibilities
Council	<ul style="list-style-type: none"> a. Agree the Risk Management Policy and Strategy b. Receive and act upon reports from Cabinet, and reports, recommendations and advice from Corporate Governance and Audit Committee
Cabinet	<ul style="list-style-type: none"> a. Considers the Risk Management Policy and Strategy and receive reports on them b. Hold the political responsibility for risk within each individual portfolio c. Identify a lead portfolio holder for risk management
Cabinet Portfolio Member Risk Champion	<ul style="list-style-type: none"> a. To champion risk management at a strategic level in the council from a member's perspective b. To promote and support the development and implementation of the Risk Management Policy and Strategy
Corporate Governance & Audit Committee	<ul style="list-style-type: none"> a. Consider corporate risks and control and monitoring arrangements b. Review Internal Audit priorities and risk assessments c. Report to full Council each year on corporate governance issues and internal arrangements to monitor and control risks
Strategic Risk Group	<ul style="list-style-type: none"> a. Consider strategic and operational risks, the associated controls, management and any mitigation. b. Review of previously identified strategic risks and any detailed consideration of any newly identified risks to be incorporated in the report to Corporate Governance & Audit Committee
Chief Executive & Lead Officer Risk Champion	<ul style="list-style-type: none"> a. Overall responsibility for ensuring that strategic risks are effectively managed within the council b. To champion risk management at a strategic level in the council from an officer's perspective c. To promote the development and implementation of the Risk Management Policy and Strategy d. Ensure that Risk and Performance frameworks are aligned so that corporate plans are appropriately monitored e. Act as the CMT Lead Officer for Risk Management f. Ensure that relevant staff and members are trained on risk management
Corporate Management Team	<ul style="list-style-type: none"> a. Contribute towards the identification and management of strategic and cross cutting risks b. Responsibility for effectiveness of risk management and assurance frameworks and any mitigation c. Regularly review the strategic risk register d. Quarterly monitoring of corporate risks and associated action

Group/Individuals	Role/ Responsibilities
Executive Directors and Chief Executive (<u>Strategic Leadership Team (SLT)</u>)	<ol style="list-style-type: none"> a. To provide annual assurance on the effectiveness of controls in place to reduce risks within their services to an acceptable level. b. To maintain awareness of and promote the risk management strategy and policy to relevant staff.
<u>District Treasurer Head of Finance and Governance</u>	<ol style="list-style-type: none"> a. Applies strong internal controls in all areas of financial management, risk management and asset control. b. Promotes arrangements to identify and manage key business risks, including safeguarding assets, risk mitigation and insurance. c. To assist the Chief Executive in: <ul style="list-style-type: none"> • The development and implementation of the Risk Management Policy and Strategy • To ensure that Risk and Performance frameworks are aligned so that corporate plans are appropriately monitored • To ensure that relevant staff are trained on risk management
All Service Managers (Through Departmental Management Team meetings & CMT)	<ol style="list-style-type: none"> a. Contribute towards the identification and management of operational risks, incorporating in service plans b. Maintain awareness of and promote risk management policy and strategy to staff. c. Ensure that risks that have been identified are addressed and mitigated. Any that are scored as high/high using the 4 by 4 matrix to be addressed urgently. d. Ensure that risk management is incorporated into service and project plans e. Ensure that supplier and procurement risk is considered in their service plans
Internal Audit – Principal Auditor	<ol style="list-style-type: none"> a. To independently review and report to the Corporate Governance and Audit Committee on strategic and operational risk management, plus any review as part of the Annual Governance Statement.
All Employees	<ol style="list-style-type: none"> a. To manage risk effectively in their job and to highlight to management any risks arising and contribute to the control process to mitigate the risks to an acceptable level.

Different Types of Risks

Officers and members need to consider the different types of risks in relation to how the council delivers its services and how it serves its community e.g. strategic, operational or community risks.

Strategic Risks

Possible examples of strategic risk are as follows:

- **Political:** Linked to possible failure to deliver Council objectives or Central Government policy.
- **Economic:** Affecting the ability of the Council to achieve its commitments.
- **Social:** Relating to the Council's ability to meet the effects of changes in demographic, residential or social-economic trends.
- **Technological:** The ability to identify technological changes and using technology to meet changing demands
- **Legislative:** The ability to meet the legislative demands affecting the Council
- **Environmental:** Relating to the environmental impact of the Council's Service delivery

Operational Risks

Operational risks are those that could prevent achievement of operational objectives, as stated in service and project plans. Only those risks that are of a concern need recording and monitoring. However, these should include contingency or disaster recovery plans. Possible examples are:

- **Professional:** Associated with the professional competence of council officers and the recruitment and retention of staff
- **Financial:** Associated with the financial resources and related controls
- **Legal:** Relating to potential breaches of legislation, or other duties
- **Physical:** Related to physical damage, security, accident prevention and health & safety
- **Contractual:** Associated with the failure of the council's contractors to deliver services or products to the agreed cost and specification
- **Technological:** Associated with reliance on operational equipment
- **Environmental:** Associated with pollution, noise, energy
- **Customers:** Associated with the ability to engage all our customers and the identification of their changing needs and related issues of equality

Community Risks

Risk management has traditionally been an inward focused exercise which looks at the potential risks to the council and how they are managed. An alternative approach to measuring risk is to look at the significant impact on a community and the outcomes they may face. This is particularly evident in the partnership approach to service delivery with the customer as the focus point and not the individual organisation providing the service.

Cross Cutting Risks

All involved in the risk management process, should consider whether any corporate/operational activities result in risks with cut across other areas of the council. The relevant management should liaise to determine the appropriate method of treating any cross cutting risks.

Projects & Contract Risks

All new projects and contracts should have had their various risks considered before being approved. In the case of a contract, the relevant director is responsible for ensuring relevant risks have been considered.

Partnership Risks

Before any significant partnerships are entered into, their risks should be assessed, and where unacceptable, mitigating controls put in place. The partnership risks should be reviewed periodically, and assurances obtained about the management of these risks by named officers.

Financial Risk

Financial Risk e.g. loss of income or greater expenditure than anticipated is the primary risk identified and measured. However, this is just one of several different types of risk that can be measured. It is not just the impact of an event happening in financial terms that need to be evaluated, but also the potential damage that such an event could have upon other things such as the reputation of the council.

Governance and Compliance

A formal approach to risk management involves undertaking a risk assessment or detailing risks in a report. The council recognises that the approach to risk management should be proportionate to the level of risk present.

Compliance with the Risk Management Framework

This policy and strategy is just one part of the council's risk management framework, which also includes a 4x4 risk scoring system, risk assessment template, corporate risk register system, and service continuity plans are held on [the Corporate Management Team's smart phone devices and a hard copy is held remotely at the Careline. the Shadow Planner system.](#)

To ensure consistency it is important these roles are adopted across the council and that any variations or dispensations are kept to a minimum. To aid consistency in scoring risks using the risk assessment matrix, the severity of impact is set out in the following table:

Severity of impact matrix						
Score	Personal safety	Failure to provide statutory duties or meet legal obligations	Financial loss	Service disruption	Personal privacy infringement	Embarrassment or reputation
1 Minor	Minor injury or discomfort to an individual or several people	Litigation, claims or fines up to £5k	Loss of money or uninsured costs of less than £5k	1 day	Isolated individual personal detail compromised or revealed	Contained within section or unit
2 Significant	Severe injury to an individual or several people	Litigation, claims or fines between £5k to £10k	Loss of money or uninsured costs of less than £100k	2-3 days	Some individual personal details compromised or revealed	Local public or press interest
3 Serious	Major injury to an individual or several people	Litigation, claims or fines between £10k to £50k	Loss of money or uninsured costs of less than £500k	3-5 days	Many individual personal details compromised /or revealed	National public or press aware
4 Major	Death of an individual or several people	Litigation, claims or fines between over £50k	Loss of money or uninsured costs of more than £500k	5+ days	All personal details compromised or revealed	Executive Director forced to resign

Definitions of Likelihood:

Likelihood		
Score	Factor	Description
1	Unlikely	No occurrence in the last 2 years or for foreseeable future
2	Possible	No occurrence within the last 12 months anticipated within the next 12 months
3	Probable	At least one occurrence in last 12 months or anticipated within the next 12 months
4	Certain	At least one occurrence in last 6 months or anticipated within next 6 months

Further guidance on the use of the matrix is part of a future guide to be issued to officers and will be available on the staff intranet.

Monitoring, Reporting & Escalation

The Corporate Management Team is responsible for ensuring that the key risks on the strategic risk register are managed and the progress with the risk mitigation measures should be monitored at appropriate intervals. Executive Directors and Heads of Service Assistant Directors are also responsible for ensuring that the key risks in the risk registers linked to respective Service Plans (SP) are managed. It is recommended that high risks feature as a standing item on DMT/Service Managers meeting agendas. CMT receives monthly reports on major projects and performance to monitor risks and will monitor the strategic risks on a quarterly basis.

On at least an annual basis, the strategic and Service Plan risk registers high risk items should be reviewed and where necessary risks re-prioritised by the Strategic Member Group and SLT CMT. Risks should be amended so they reflect the current situation, obsolete risks should be deleted and new risks identified. This ensures that the risk registers and resulting risk mitigation measures are appropriate for the current service and corporate objectives. The review of the strategic risk register must be undertaken by Corporate Management Team and the SP registers must be reviewed and updated by the respective Executive Directors and Heads of Service Assistant Directors with their management teams.

Reporting and escalating risks

As new risks arise they should be promptly recorded on the relevant risk register. Also the environment in which the risks exist will change making some risks more critical or others less important. Risk registers and matrices at each level should be updated to reflect these changes as they occur. If such risks require corporate ownership and management then consideration should be given as to whether they should be incorporated into the strategic risk register. If the management of such risks is more appropriate at a service level then it should be included in the respective SP/service risk register.

It is recognised that some service risks have the potential to impact on the corporate objectives. High risks from service risk registers should be reported to CMT where a decision will be taken on whether to prioritise any of these risks on the strategic risk matrix and include them on the strategic risk register.

Each service area will need to consider their operational risks to ensure their business continuity arrangements are robust. Executive Directors and Heads of Service Assistant Directors should test their plans at least annually.

CMT/ Head of Finance and Governance District Treasurer will report the strategic and any service high risks to the Corporate Governance & Audit Committee and Cabinet, and an up to date risk register and matrix will be sent to Full Council.

Corporate Risk Register - Strategic Risks Quarterly Update

Report Author: Helen Belenger
Generated on: 13 June 2014



Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown

Controlled

Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous 1/4ly Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 01	Deficit Reduction (Balanced Budget)	JW	9	3	6	3	31-Mar-2015	Improving
	CRR 03	Visions / Priorities	DS	9	3	3	3	31-Mar-2015	Good
	CRR 04	Project Management	PEO	9	6	4	4	31-Oct-2014	Improving
	CRR 06	Partnerships	PEO	6	4	2	4	31-Mar-2015	Improving
	CRR 07	Cessation of Agency Arrangement for South Downs National Park	SC	9	3	3	6	30-Mar-2015	Improving
	CRR 08	Skills / Capability / Capacity	PEO	3	6	4	3	31-Dec-2014	Improving
	CRR 68	Health and Safety	JW	9	4	4	4	31-Mar-2015	Good

Control Pending

Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous 1/4ly Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 02	Local Plan	SC	12	9	6	6	31-Oct-2014	Improving
	CRR 09	Business Continuity	JW	9	6	6	4	31-Mar-2015	Improving
	CRR 10	Contract Management	JW	12	6	6	4	31-Mar-2015	Improving
	CRR 86	Contaminated Land LSVT sites and Orphaned Sites in the District	SC	3	-	3	2	31-Mar-2015	Pending

CRR 01 Deficit Reduction (Balanced Budget)	Management	Controlled
	Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently.

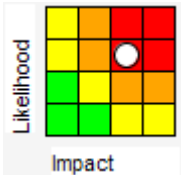
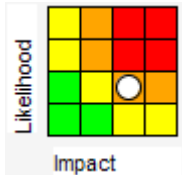
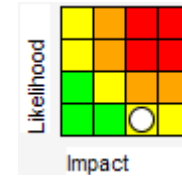
Risk Description:

- Failure to maintain a robust and deliverable budget will lead to a lack of resources to fund services and council priorities, leading to reactionary decision making, and reputational consequences.
- Failure to maximise efficient use of resources and so unsuccessful redirection of resources and not achieving objectives and outcomes of the council including deficit reduction plans.
- Failure to maximise income streams.

SLT Risk Owner: Diane Shepherd

Responsible Officer: John Ward.

Risk Assessment

	Assessment Date	31-Jul-2012		Date Reviewed	13-Jun-2014		Target Date	31-Mar-2015
	Original Score	9		Current Score	6		Target Score	3

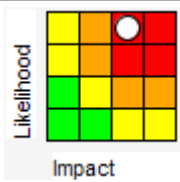
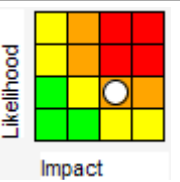
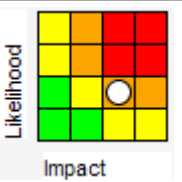
Internal Controls

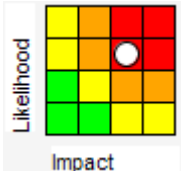
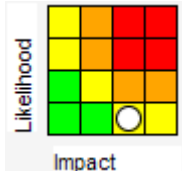
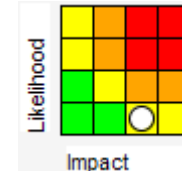
		Current Status
Five Year Financial Model and Deficit Reduction Plan	<ol style="list-style-type: none"> 1. Monitor and update the 5 year financial model as required and review with CMT. 2. Assess against progress on Deficit Reduction Plan and savings targets. 3. Monitor income volatility in relation to use of NHB (Policy approved) and localisation of both CTS (policy updated July 2013) & NNDR. 	Good
<u>Control of Expenditure</u>	<ol style="list-style-type: none"> 1. <u>Approval limits and routes for additional funding are detailed in the Council's Constitution and Financial Regulations.</u> 2. <u>Quarterly monitoring of major variances by CMT.</u> 	<u>Good</u>
Income Streams	<ol style="list-style-type: none"> 1. Monitor income performance and review with CMT so remedial action can be taken. 2. Heads of Service and budget managers monitor income monthly from budget monitoring reports. 3. Service managers to assess fee setting for services in accordance with Fees & Charging Policy, and react when if income reductions occur. 	Improving
Reconciliation of Income	<ol style="list-style-type: none"> 1. Monthly reconciliations by services. 2. Non compliant services are identified by Internal Audit when service is reviewed as part of the Audit Plan. 3. Support given by Accountancy Services when setting up new income streams and reconciliation processes. 	Improving

Latest Position Statement

13-Jun-2014 IC 3 - Income Reconciliations.

Currently the completion of income reconciliations by services is the subject of an ongoing audit review, which will set out an action plan to address the shortcomings identified.

CRR 02 Local Plan		Management	Control Pending					
		Corporate links	Corporate Plan Priority - Ensure Housing is Relevant and Balanced.					
Risk Description: Failure to have an approved plan in place that enables the council to protect the local environment, deliver the housing target for the district, employment opportunities and influence improvements of the infrastructure in the district to support such developments, due to substantive objections from statutory bodies and/or neighbouring authorities, or housing target assessed need not robust. Council unable to collect Community Infrastructure Levy due to lack of local plan. SLT Risk Owner: Steve Carvell From May 2014 Responsible Officer: Andrew Frost								
Risk Assessment								
	Assessment Date	31-Jul-2012		Date Reviewed	29-May-2014		Target Date	31-Oct-2014
	Original Score	12		Current Score	6		Target Score	6
Internal Controls								Current Status
Availability and Capacity of Infrastructure		1. Development of an affordable package of mitigation measures to address the delivery of Council strategic sites (Infrastructure Delivery Plan to be considered by DPP September 2013). 2. Consulting & working with WSCC for A27 improvements & Ofwat for waste water management.						Improving
Meeting Test of Soundness for Housing Requirement & Locations and Economic Growth & Land Allocations		1. Develop robust evidence to support housing target. 2. Ensure clear audit trail of decisions on all housing sites considered. 3. Local study to be commissioned to assist with locational advice for employment opportunities. 4. Critical review by Planning Advisory Service or critical friend. Use PAS self assessment checklist to test soundness of approach.						Improving
Loss of key staff		1. Staff whose fixed term contracts were nearing their end dates were reviewed during the 2014-15 budget cycle, and where appropriate, staff were engaged on new permanent contracts.						Good
Latest Position Statement								
13-Jun-2014 The highest risk relates to the housing numbers in the Local Plan not meeting the assessed need.								

CRR 03 Visions / Priorities		Management	Controlled					
		Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently, Clear Leadership and Effective Influence.					
Risk Description: Failure to have a clear vision and priorities that is forward looking with both members and senior officers not adhering to that shared vision and priorities. Leads to disjointed approach and waste of both staff and financial resources. SLT Risk Owner: Diane Shepherd Responsible Officer: Jane Dodsworth/ Joe Mildred.								
Risk Assessment								
 Likelihood Impact	Assessment Date	31-Jul-2012	 Likelihood Impact	Date Reviewed	06-Jun-2014	 Likelihood Impact	Target Date	31-Mar-2015
	Original Score	9		Current Score	3		Target Score	3
Internal Controls								Current Status
Annual Update of Corporate Plan		1. New priorities developed and owned by key members. 2. Outcome based measures linked council's priorities.						Good
Latest Position Statement								
06-Jun-2014 The Corporate Plan was updated and approved by Council in January 2014. An informal review of the priorities by Cabinet was undertaken and the emphasis on objectives and outcomes for the Council's priorities is being completed by Corporate Policy.								

CRR 04 Project Management	Management	Controlled
	Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently.

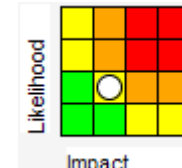
Risk Description:

Failure to deliver key projects due to ineffective programme and/or project management skills which leads to non achievement of success objectives/outcomes or outputs and unable to deliver on time and within budget.

SLT Risk Owner: Paul Over.

Responsible Officer: Jane Dodsworth.

Risk Assessment

	Assessment Date	31-Jul-2012		Date Reviewed	28-May-2014		Target Date	31-Oct-2014
	Original Score	9		Current Score	4		Target Score	4

Internal Controls

Project Management Programme Linked to Corporate Priorities and Regular Monitoring

1. A clear and robust reporting mechanism for all key projects.
2. Key projects clearly linked to Corporate Plan and council priorities.
3. Approval of new projects considered in annual update of plan by both members and senior officers.
4. Improve monitoring - better milestones on Covalent and CMT monitoring on exception basis.

Current Status

Improving

Latest Position Statement

06-Jun-2014 Project Management training was delivered on 25th April 2014 to key staff. Training to be arranged annually thereafter linked, for all staff delivering corporate projects.

Project Management guide was updated and made available to all staff via the intranet.

The Project Management business case is considered prior to completion a full PID by Corporate Policy. The procedures for the project management cycle have been made more robust.

Contract Management has also been provided to key staff on 3rd June 2014.

Proposed Corporate Plan Projects where risks will need to be considered and managed are:

Existing Projects:

- Barnfield drive

- Local Plan
- CHP and health site plant
- Gypsy & Traveller transit site

New Projects:

- Enterprise gateway
- Community Infrastructure Levy (CIL)
- Master Plans
- Depot redevelopment
- Leisure commissioning
- Careline
- Service Transformation changes
- Depot - Authorised Test Facility VOSA (MOT's)

A key member of staff on a number of large projects have been provided with additional support to reduce their operational work requirements to aid their focus on project work/deadlines.

CRR 08 Skills / Capability / Capacity	Management	Controlled
	Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently.

Risk Description:

Failure to have resilience in the staff structure due to cost reductions, and so lack the right number of staff with the right skills to deliver services, along with unrealistic expectations of services, which could lead to service failure, reputational damage and potential litigation.

SLT Risk Owner: Paul Over.

Responsible Officer: Jane Dodsworth / Tim Radcliffe.

Risk Assessment

	Assessment Date	31-Jul-2012		Date Reviewed	29-May-2014		Target Date	31-Dec-2014
	Original Score	3		Current Score	4		Target Score	3

Internal Controls

		Current Status
Workforce Development Plan	<ol style="list-style-type: none"> 1. Ensure commissioning and objectives remain relevant and up to date. 2. Review personnel literature, marketing CDC as an employer at recruitment fairs. 3. CDC salaries - benchmarking exercise to be undertaken. 	Good
Appraisal Process	<ol style="list-style-type: none"> 1. Succession planning considered during appraisal process. 2. Completion of appraisals on time. 3. Strategic training needs identified using Belbin or equivalent. 4. Possible use of 360 degree appraisals. 	Good
Training Plan and Budget	<ol style="list-style-type: none"> 1. Use First Line Managers course to develop new managers. 2. Use diploma management studies for senior managers. 3. Specific training programme for new Directors and Heads of Service. 	Good
Recruitment Benefits	<ol style="list-style-type: none"> 1. Use of benefits packages for relocation, assisted house purchase scheme to aid recruitment. 2. Guidance to be issued for how to use recruitment benefits. 	Good
Staff Satisfaction Survey	<ol style="list-style-type: none"> 1. Staff survey to be undertaken after NWOW project. 	Improving
Strategic Leadership Team & Heads of Service Training & Action Plan	Training programme to be delivered to SLT & HoS to address core competencies.	Improving

Latest Position Statement

06-Jun-2014 The training plan for the Strategic Leadership Team (SLT) and Head of Service (HoS) development programme structured around the core competencies which are set out below.

The following development sessions have been identified with SOLACE:

- Being Commercial
- Working with members at a senior level
- Partnership and Collaborative working

Other development possibly include:

- Risk management
- Financial awareness
- Negotiating complex contracts
- HR programme to make HoS more self sufficient in areas such as disciplinary and sickness management.
- Leadership
- Performance management
- Planning and delivering relevant outcomes

Other training delivered includes:

Strategic Crisis and Emergency Management Course (21st March 2014)

In addition to core competencies each SLT will need to assess development needs relevant to the job. Specific training for the new HoS will start being delivered from June 2014.

A NWOW Survey is provisionally scheduled for June/July 2014.

Succession Planning - Critical posts within service areas across the Council are currently being identified where succession planning is of concern. This assessment has been completed.

The risk score has been reduced to reflect that the new HoS are in place and handovers have been completed.

Within Service Plans loss of key staff is considered and most service areas have a risk score below 6 except Personnel due to a key post vacant pending the outcome of the service transformation, which is expected to be completed by the end of June 2014.

The deadline for the completion of all appraisals has been extended to the 30th June 2014.

A number of service transformations will take place during 2014-15.

CRR 09 Business Continuity	Management	Control Pending
	Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently.

Risk Description:

Failure to react to an incident that would adversely affect the delivery of services, including leading to a breach of the council's statutory duties under the Civil Contingencies Act and result in both inability to service the community and suffer reputational damage.

SLT Risk Owner: Diane Shepherd.

Responsible Officer: John Ward.

Risk Assessment

	Assessment Date	31-Jul-2012		Date Reviewed	29-May-2014		Target Date	31-Mar-2015
	Original Score	9		Current Score	6		Target Score	4

Internal Controls		Current Status
Robust BC Plans	<ol style="list-style-type: none"> 1. Refresh B.I.A. 2. Critical services to prepare plans. 3. Test Plans. 4. Retrain where necessary, embed BC into culture of the council. 5. Identify system to store BC plans. 6. Non critical services to make appropriate arrangements. 7. Audit of Plans in high risk service areas. 	Improving
BC Management Strategy	<ol style="list-style-type: none"> 1. Annual BCM corporate meetings held. 2. Key managers identified for BC plans. 3. Articles for team briefs. 	Improving
Disaster Recovery Team	<ol style="list-style-type: none"> 1. Training and repeated messaging to embed BC cultural into organisation. 2. Annual appraisals targets. 	Poor

Latest Position Statement

06-Jun-2014 **Please update schedule for completed actions and if dates are slipping**

Action Plan for Annual Business Continuity Management (ABCM) - with details of who & by when

1. Emergency planning to added to the agenda for ABCM meetings. (H&S Manager - 15.11.13) COMPLETE

2. HoS to notify IT of their relevant staff to have email continuity service (HoS - 30.11.13). Some HoS have identified key officers, but further work required.
3. Text alerters for environmental monitoring required. Careline to be added to current email alerters to notify responsible officer (HoS JD - 30.11.13).
4. Critical services (per BIA) must nominate, in BC Plans, key members of staff (by job title) to sort post at Westgate to identify items for urgent action (HoS - 31.12.13)
5. VPN testing - set up exercise to test robustness of high volume usage of VPN access (H&S Manager - 31.12.13) Increased capacity needs to be tested in a BC test exercise.
6. Investigate "hosted solutions" for council key pieces of software. List of all systems and identify which can be hosted (HoS JD - 28.02.14) HoS JD to review post SOCITIM feedback.
7. Nominated staff (by HoS) to attend BC plan writing training scheduled for 13th January (H&S Manager - 15.01.14) COMPLETE - new action - BC Plans to be written up by services for 3 day critical services. (Deadline 31.03.14) COMPLETE - subject to H&S Manager review
8. HoS to identify key documents required for each of the 4 scenarios. (HoS & H&S Manager - 31.03.14)
9. Storage of key documents options resolved, guidance issued to staff - (HoS JD - 30.11.13, H&S Manager - 31.03.14) Solution options still being assessed.
10. HoS LR issued with a copy of the Housing service BIA - (H&S Manager - 15.11.13) Actioned 08.11.13
11. HoS LR given access to Housing Service section on Shadow planner - (H&S Manager - 15.11.13) Actioned 08.11.13
12. Testing programme of the BC plans implemented as they have been written and reviewed - (H&S Manager - 31.05.14)

Emergency Planning - Recruitment of a part time Emergency Planning Officer has been completed.

Corporate Governance & Audit Committee received a report in March setting out the progress made to date on the action plan.
Shadow Planner contract ends in 2015.

Risk Score remains 6.

CRR 10 Contract Management	Management	Control Pending
	Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently.

Risk Description:

Failure to manage contracts where contractor or key partner fails to deliver goods and/ or services which prevents the council from delivering its corporate plan objectives for both projects and services.

SLT Risk Owner: Diane Shepherd.

Responsible Officer: John Ward

Risk Assessment

	Assessment Date	07-Feb-2013		Date Reviewed	29-May-2014		Target Date	31-Mar-2015
	Original Score	12		Current Score	6		Target Score	4

Internal Controls		Current Status
Improve Knowledge and Skills	<ol style="list-style-type: none"> 1. Identify CMT lead or Procurement Champion. 2. Develop clear guidance of roles and responsibilities to be issued to staff. 3. Assistance and guidance from key officers from legal and procurement. 4. Identify and address training need via appraisal process. 	Improving
Improve Protocols and Governance	<ol style="list-style-type: none"> 1. High profile specifications signed off by Directors/Assistant Directors. 2. Ensure any lessons learned where shortcomings occur are highlighted and feedback to procurement champion as part of the post project review. 3. Amend the Council's Constitution and Contract Standing Orders as necessary from lessons learned. 	Improving

Latest Position Statement

06-Jun-2014 An action plan is in the early stages of development to mitigate the risks with contract management and improve the skills of officers with this type of responsibility.

(TARGET DATES REQUIRED)

- Clarification of pre tender and post tender arrangements, including ownership and responsibility - Part of Contract Management training and action point on roles and responsibilities.
- Review role of procurement and legal advise and guidance - subject to reporting line review by Head of Finance & Governance
- Training key staff on contract management was delivered on 2nd June 2014.
- Update spend analysis to identify areas where contracts/procurement arrangements could be improved - Contract Module available in Civica System will be used -

Completion target November 2014.

- Financial Management System - Workflow and authorisation procedures reviewed and update with new management structure (COMPLETE)
- Under EU thresholds - further mandatory in-house procurement training to be provided (EU rules still to be agreed into UK legislation)
- Competencies of procurement and contract management added to staff appraisal annual assessment. (COMPLETE?)

Target dates for action plan required.

A schedule of current Contracts and high spend contractor analysis was circulated by 31st March 2014 for input by HoS. Results to be reviewed by JW/HB/PP on 17th June 2014.

Mandatory procurement training for key staff will be programmed to take place in September/October now that project management & contract management training has been delivered.

Risk score considered to be remains at 6 .

CRR 68 Health and Safety		Management	Controlled					
		Corporate links	Corporate Plan Priority - Use Resources Effectively and Efficiently.					
Risk Description: Failure to adhere to H&S policies and procedures leading to death or injury of an employee or third party resulting in prosecution under H&S and Corporate manslaughter legislation, adverse publicity, fines and possible prison sentences.								
SLT Risk Owner: Diane Shepherd.								
Responsible Officer: John Ward.								
Risk Assessment								
	Assessment Date	03-Sep-2013		Date Reviewed	29-May-2014		Target Date	31-Mar-2015
	Original Score	9		Current Score	4		Target Score	4
Internal Controls								Current Status
H&S policies & procedures	Clear statements on H&S available to all staff via intranet including: 1. Statement of intent. 2. Hierarchy for communication. 3. Roles and responsibilities. 4. H&S arrangements. 5. Policies and procedures. 6. Evidence compliance forms with guidance for specific H&S issues e.g. control of contractors, COSHH assessment forms etc.							Good
Training Programme & Competencies	1. Specific training programmes for all aspects of H&S skills and competencies required with the Council's business. 2. Staff names with relevant competencies available on staff intranet.							Good
Legionella Testing	1. Written protocol available. 2. Regular testing.							Improving
Quarterly service meetings for high risk service areas	1. CCS - Quarterly insurance & H&S meetings with Director & Assistant Director for CCS with insurance, H&S Corporate & CCS H&S. To assess accident trends and claims and agree any actions required to staff duties, policies and procedures. 2. Leisure & Wellbeing - Quarterly insurance & H&S meetings with Assistant Director and service managers for parks/open spaces & foreshores, museum and Westgate Leisure, to discuss claims & accidents to identify any necessary changes to procedures/policies etc.							Good

PAT testing	Annual testing of all electrical equipment carried out by qualified contractor.	Good
Safety Committee	A group of managers and employees meet 3 times a year to discuss health and safety issues and matters of interest. Westgate and Westhampnett also have local 'Safety Forums', meeting bi-monthly, that feed into this committee.	Good
Caution Alert Register (CAR)	<ol style="list-style-type: none"> 1. Specific procedures and decision tree guidance in place for staff to follow on staff intranet. 2. Nominated person CR Keeper who maintains register and advises staff. 3. Procedures in place for appropriate staff to access CAR. 4. Compliance with data protection legislation included in policies and procedures. 5. Violence & aggression response team available to support staff at EPH if an incident occurs. 	Good
Emergency arrangements for EPH	<ol style="list-style-type: none"> 1. Evacuation procedures in place for EPH on intranet. 2. Known competent staff with allocated roles & responsibilities for evacuation procedures. 3. Regular testing of evacuation procedures carried out. 	Good
Corporate H&S Audits & Action Plans for Service H&S Improvement	Programme of H&S audits of service areas, improvements and observations which are fed back to Service H&S and management with any necessary improvement action plans. These are reviewed again after an agreed period.	Improving
Latest Position Statement		
<p>06-Jun-2014 H & S audits will now assess whether Legionella training recently given has been successful in managing this risk now. Some service specific training needs covering the corporate inspection regime has been delivered and further external training dates for managers and service inspectors will be delivered by Zurich, dates yet to be agreed. Remedial work following fire risk assessment work was completed in the year, following a full office shut down.</p> <p>Now that all the office moves are complete officers are required to review their fire risk assessment which forms part of the Council's fire risk management strategy. This will involve a thorough inspection of all of the offices and associated areas within East Pallant House. These inspections will be taking place over the next couple of weeks. Prior to the assessment all areas will need to be cleared of excess storage items that are in corridors and walkways.</p> <p>The fire inspection will include checking for good electrical cable management and good housekeeping beneath and around desks and generally in office areas. Please check the desks that are used by your teams and remove or control such hazards, where necessary.</p> <p>Risk Score remains at 4.</p>		

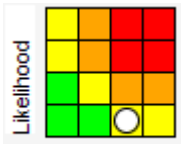
CRR 86 Contaminated Land LSVT sites and Orphaned Sites in the District	Management	Control Pending
	Corporate links	

The Council is currently uninsured against any claims relating to 'land contamination' arising from properties and/or land transferred to RSLs under Large Scale Voluntary Transfer (LSVT) and from any similar claims relating to CDC estate. Such claims might be for alleged impact on human health and/or other statutorily defined receptors. Whilst the likelihood of such claims arising seems remote they remain possible and could give rise to significant unbudgeted expenditure.

SLT Risk Owner: Steve Carvell

Responsible Officer: Louise Rudziak (Simon Ballard)

Risk Assessment

 Likelihood Impact	Assessment Date	28-May-2014	 Likelihood Impact	Date Reviewed	28-May-2014	 Likelihood Impact	Target Date	31-Mar-2015
	Original Score	3		Current Score	3		Target Score	2

Internal Controls		Current Status
Identify and assess risks from known contamination sites and relevance to LSVT sites	Informal officer group set-up to investigate & semi-quantify the potential risks and recommend risk management actions. Target date for draft report 31-07-14. The most appropriate risk mitigation and risk management options will be defined in due course. Possibilities include taking out an insurance policy, setting aside a capital sum to cover any eventuality, pooling a sum with similar LA's or some other mechanism.	

Latest Position Statement

06-Jun-2014 **Project plan for:**
Risk assessment for CDC with regard to potential risks arising from the Large Scale Voluntary Transfer and CDC estate land

Overview:

In relation to managing potential risks arising from land contamination associated with both CDC land holdings and land LSVT'd to Hyde then CDC is carrying out a risk screening exercise to better understand any risks arising. In this regard the risks are limited to 'human health risk' and liabilities that might arise through claims made against the warranties issued at the time of LSVT or other claims made directly against the council for harm to health.

The output from the project should be as a separate project in GIS that provides an auditable resource as to how we formed our view on risk, this will be augmented by a report which records our considerations and professional opinions on the highest risk sites. This will be reported back to SLT such that it provides a transparent trail with regard to CDC managing any high risks identified. This includes decisions about how best to provide for the eventuality that any site becomes the source of any

claim against the council.

Project Plan:

Action required, with tasks assigned to Officers and target dates

1. Install LSVT and CDC Estate land holdings on CDC GIS Contaminated land project (installed as separate layers). KS, SB, MJ. 30th May 2014.
2. Initial review of the two installed layers to assess the scale of the undertaking and to inform the review and enhancement of this project plan accordingly. KS, SB. 12th June 2014.
3. Discuss with Mark Jennings/David Bolton the possibility of interrogating 'drilling down' through the GIS layers to colour code the LSVT and CDC land holdings according to the previous human health risk scores generated through CDC's PtIIA activities. (stored in the attribute tables for the risk scored polygons as a risk screen score 'A' to 'E'). KS, SB, MJ, DB. 18th June 2014.
4. Review the data delivered by 3) above and agree the medium to low risk scores that will progress no further through the risk assessment process. Record these to provide transparency to CDCs assessment and management of risk.
KS, SB. 9th July 2014
5. Identify the sites (that remain) with a potential for 'high risk'. Gather information for these sites with a view to informing the final view as to the potential for risk arising from the sites. KS, SB. 16th July 2014
6. Write up and agree the draft report with the group of officers originally involved with the LSVT Insurance issue. NB, LR, HB, KS, SB. 25th July 2014
7. Provide the draft report to SLT for their consideration. SB, KS. 31st July 2014

Where:

NB - Nick Bennett
LR- Louise Rudziak
HB - Helen Belenger
KS - Kate Simons
SB - Simon Ballard
MJ - Mark Jennings

Corporate Risk Register - Organisational Risks Quarterly Update Summary of high risk scores only





Report Author: Helen Belenger
Generated on: 06 June 2014



Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown

Business Improvement Services								
Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 81	ICT - Insufficient staff resources to deliver projects	4	4	6	4	31-Mar-2015	Poor
	CRR 83	ICT - Savings identified through partnership working not fully achieved	4	4	6	4	31-Mar-2015	Poor


Commercial Services								
Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 40	The Novium - Loss of key staff	6	9	6	2	31-Mar-2015	Improving
	CRR 41	Government Policy - Heritage	12	9	6	2	31-Mar-2015	Improving
	CRR 42	Economic Climate - Heritage	9	9	6	2	31-Mar-2015	Improving
	CRR 43	Reduction of heritage resources due to service efficiencies	6	9	6	2	31-Mar-2015	Improving
	CRR 54	Westgate - Increased utility costs	9	8	8	4	31-Mar-2015	Improving
	CRR 57	Car Parking Service - Inadequate resources	9	4	6	2	31-Mar-2015	Improving
	CRR 58	Reduced Income from Car Parking - Deviation from budget	12	6	6	4	31-Mar-2015	Improving
	CRR 60	Estates - Inadequate staff resources	4	12	9	2	31-Mar-2015	Improving
	CRR 61	Estates - Rent arrears	9	9	9	4	31-Mar-2015	Improving

Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 62	Estates - Increased rental voids	9	9	9	4	31-Mar-2015	Improving
	CRR 75	The Novium - increased costs in service provision	6	6	6	3	31-Mar-2015	Improving





Community Services

Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 66	Foreshore Management	9	Not declared	8	4	31-Mar-2015	Improving
	CRR 72	Careline - Reducing income due to cancellation of contracts by both individuals and commercial clients	9	9	8	6	31-Mar-2015	Improving


Finance & Governance Services

Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 70	Individual Elector Registration (IER) - IT & Staff loss	6	6	6	4	01-Dec-2014	Improving

Housing & Environment Services



Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 33	Coast defence contractors - Emergency response to major storm event	6	6	6	6	31-Mar-2015	Good
	CRR 51	Changes to LHA & welfare reforms	9	12	6	4	31-Mar-2015	Good
	CRR 53	Residents unable to access affordable homes	9	12	9	4	31-Mar-2015	Improving
	CRR 67	Emergency Planning - loss of key staff, long term sickness (single point of failure)	12	Not declared	6	6	31-Mar-2015	Improving

Planning Services




Status	Risk No.	Risk Area	Original Score	Previous 1/4ly review score	Current Score	Target Score	Target Date	Internal Controls
	CRR 20	Planning - Application or enquiry targets not met	9	6	6	4	31-Mar-2015	Good









High Scoring Organisational Risks – Mitigation Actions

Business Improvements



Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 81	ICT - Insufficient staff resources to deliver projects	JD	4	4	6	4	31-Mar-2015	Poor
Additional resources identified in NWOV project. Resources requested. Identified as optional extra in PID. Staff vacancies currently in IT team, service experiencing difficulties attracting candidates. Several posts advertised a number of times. Three posts re-evaluated to encourage more interest.									
	CRR 83	ICT - Savings identified through partnership working not fully achieved	JD	4	4	6	4	31-Mar-2015	Poor
Negotiations of terms and conditions. Savings from WAN delayed 12 months due to contract timescales and need to renew internet line with third party.									

Commercial Services


Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 40	The Novium - Loss of key staff	JH	6	9	6	2	31-Mar-2015	Improving
Staff on permanent contracts, training and development opportunities, realistic and achievable forward planning. Museum manager post recruited. Related to delivery of the Novium's revised business plan, so is linked to risks CRR 41, 42 & 43.									
	CRR 41	The Novium - Government Policy	JH	12	9	6	2	31-Mar-2015	Improving
Keep informed of emerging policies. Accreditation obtained for storage and some new grant funding has been received. Risk is really related to delivery of the Novium's revised business plan and so is linked to risks CRR 40, 42 & 43.									
	CRR 42	The Novium - Economic Climate	JH	9	9	6	2	31-Mar-2015	Improving
Identify new income generation opportunities/ funding streams. Economy improving. The Novium's business plan being refreshed. Related to delivery of the Novium's revised business plan, so is linked to risks CRR 40, 41 & 43. This is also linked to CRR 1.									

Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 43	Reduction of heritage resources due to service efficiencies	JH	6	9	6	2	31-Mar-2015	Improving
Look at alternative ways of working and identify partnership opportunities. Investigate external funding for projects. No planned reduction. Related to delivery of the Novium's revised business plan, so is linked to risks CRR 41, 42 & 43.									
	CRR 54	Westgate - Increased utility costs	JH	9	8	8	4	31-Mar-2015	Improving
Budgets have been produced to recognise the challenge. Carbon Trust working party looking at replacing units as expediently as possible. Still awaiting CHP project completion, this is anticipated to be completed by Autumn 2014.									
	CRR 57	Car Parking Service - Inadequate resources	JH	6	4	6	2	31-Mar-2015	Improving
Maintain staffing levels to agreed model. Effective absence management and reporting. Staffing still in review process, as a number of operational issues to resolve.									
	CRR 58	Reduced Income from Car Parking - Deviation from budget	JH	12	6	6	4	31-Mar-2015	Improving
Monthly monitoring of income. Efficient use of resources. Links to economy – i.e. car park usage is affected by this. Marketing use of car parks effectively (work with Estates and PR). Effective marketing of permits. Assessment of pricing policy. Income still low but improving. Linked to CRR 1.									
	CRR 60	Estates - Inadequate staff resources	JH	4	12	9	2	31-Mar-2015	Improving
Maintain good staff relations and working environment to retain existing staff. Contingency of using agents or temporary staff for some work. Additional member of the team now recruited.									
	CRR 61	Estates - Rent arrears	JH	9	9	9	4	31-Mar-2015	Improving
Monitor arrears and chase tenants / refer to legal where required. Additional member of the team should assist but too early to influence risk score.									
	CRR 62	Estates - Increased rental voids	JH	9	9	9	4	31-Mar-2015	Improving
Monitor and liaise with tenants to be aware of problems. Take prompt action to re-let vacant premises									
	CRR 75	The Novium - increased costs in service provision	JH	6	6	6	3	31-Mar-2015	Improving
Monitor price change by facilities and finance. Corporate budget provision. Grant received for Biomass boiler.									


Community Services




Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 66	Foreshore Management	SH	9	Not declared	8	4	31-Mar-2015	Improving
Review conducted, small reduction in hours of operation to realise a required saving, but continued level of funding and staffing now confirmed, and risk reduction measures in place. The nature of the service remains high risk.									
	CRR 72	Careline - Reducing income due to cancellation of contracts by both individuals and commercial clients	SH	9	9	8	6	31-Mar-2015	Improving
Increasing telephone demand and on costs against threat of reduced referrals due to WSCC contract. Recent launch of free introductory period has seen increase in new private client business.									

Finance & Governance Services


Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 70	Individual Elector Registration (IER) - IT & Staff loss	JW	6	6	6	4	01-Dec-2014	Improving
Ensure temporary staff is available to assist. Whilst IT back up every night and offsite back up is rotated weekly only.									

Housing & Environment Services

Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 33	Coast defence contractors - Emergency response to major storm event	LR	6	6	6	6	31-Mar-2015	Good
Response to recent weather events show our contractors were able to respond effectively.									

Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 51	Changes to LHA & welfare reforms	LR	9	12	6	4	31-Mar-2015	Good
Most reforms are now in place and have been mitigated effectively; however, actions are reliant on continued government funding. Universal Credit still to come.									
	CRR53	Residents unable to access affordable homes	LR	9	12	9	9	31-Mar-2015	Improving
Deliver tailored products to prevent home loss. The private sector are already “dipping their toes” in the share ownership market and may be a potential vehicle to help maximise products within this area. Equity loan and share scheme. Government help to buy scheme. Current score reduced following reassessment against criteria. Also some evidence of limited interest in shared ownership homes in some parishes, and affordable rent levels, which could impact on the housing strategy delivery.									
	CRR 67	Emergency Planning – loss of key staff, long term sickness (single point of failure)	LR	12	Not declared	6	6	31-Mar-2015	Improving
Incorrectly not declared in 2014–15 service plan. Knowledge sharing and increased resourcing in this area of work should now improve the risk score in future.									

Planning Services

Status	Risk No.	Risk Area	HoS Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 20	Application or enquiry targets not met	AF	9	6	6	4	31-Mar-2015	Good
Use of external consultants for WR appeals and Inquiries Service, restructure proposals implemented has enabled greater focus on Pre apps. Corporate improvement review to assess scope for further efficiencies and ways of generating capacity in Admin and Application Handling processes. 2 out of 3 application performance targets were met due to staffing restructure in 2013, and additional capacity created to deal with Pre apps.									

Appendix 1 - Details of new S106 Agreements signed between 01/04/2013 and 31/3/2014

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
O/11/05283/OUT Land On The North Side Of CDC Financial CDCNon-Financial
Shopwhyke Road

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	475,674.00	0.00	791,000.00	0.00	0.00	0.00	0.00	0.00	25,000.00	0.00	0.00	0	500

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
O/12/00072/EXT Land At Portfield Westhampnett By-Pass WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
CCE/12/00680/OUT Land Adjacent To Homebase Barnfield Drive CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	100,000.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 TG/12/01739/OUT Land On The East Side Of Meadow Way CDC Financial CDCNon-Financial WSCC
 Meadow Way

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
41,400.00	57,329.00	0.00	100,890.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	23	59

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 WH/12/02360/OUT Maudlin Nursery Stane Street CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	85,645.00	0.00	165,900.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	40	100

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 EWB/12/02461/FUL Land North East Of Beech Avenue Beech Avenue CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	44,606.00	0.00	82,950.00	17,510.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	20	50

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 SB/12/03205/FUL Land at Prinsted Court Longlands Road CDC Financial CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8,600.00	20	20

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 BI/12/04147/OUT Land At Tawny Nurseries Bell Lane CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	27,478.00	0.00	49,770.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	12,900.00	12	30

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCN/12/04307/REM Graylingwell Hospital College Lane WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
D/12/04410/FUL Land At Southfields Close CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	104,201.00	0.00	185,808.00	42,154.00	0.00	0.00	0.00	51,496.00	0.00	0.00	0.00	45	112

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
SB/12/04701/OUT Land West Of Garsons Road CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
422,000.00	60,428.00	0.00	116,330.00	19,980.00	0.00	0.00	0.00	32,995.00	0.00	0.00	0.00	0	70

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
CH/12/04778/FUL Land West Of Broad Road Broad Road CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
17,000.00	25,693.00	0.00	46,452.00	9,786.00	0.00	0.00	0.00	0.00	0.00	0.00	5,600.00	11	28

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 NM/12/04780/FUL Land East Of Palmer Place Lagness Road CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	15	15

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCN/13/00239/FUL Little London Walk 44 East Street CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	11,844.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCS/13/00288/FUL Car Park The Woolstaplers CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	6,900.00	27,360.00	4,192.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	16

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCN/13/00907/REM Graylingwell Hospital College Lane WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CH/13/01093/OUT Land North Of The Willows Hambrook Hill South CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
34,000.00	10,845.00	7,200.00	18,810.00	4,053.00	0.00	0.00	0.00	0.00	0.00	0.00	4,730.00	0	11

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 SB/13/01179/FUL Land West Of Garsons Road CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	5	5

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCN/13/01302/FUL Former Chichester District Museum CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
69,000.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 BI/13/01391/FUL Field North West Of The Saltings Crooked Lane CDC Financial CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6,450.00	15	15

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CH/13/01398/FUL Brooklands Green Lane CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
EWB/13/01493/FUL Royal Oak, Stocks Lane Stocks Lane CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	8,195.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
O/13/02190/FUL Land adjoining A27 (T) Portfield WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
FB/13/02278/OUT Land East Of Follis Gardens CDC Financial CDCNon-Financial WSCC

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	22,468.00	0.00	42,750.00	6,750.00	0.00	0.00	0.00	0.00	0.00	0.00	5,000.00	10	25

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
O/13/02674/FUL Land North Of Gribble Lane CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	11	11

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
SB/13/02886/FUL Land To The Rear Of Fairways Priors Leaze Lane CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,580.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
SB/13/02966/FUL Land East Of Manor Way CDC Financial CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,000.00	10	10

Parish/Planning Reference BI/13/03105/P3JP
A
Name/No Premier Marinas Limited
Street Chichester Marina
Contribution Types CDC Financial CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4,300.00	0	0

Parish/Planning Reference EWB/13/03223/FUL
Name/No Plot Adjacent To Westerlies
Street Bracklesham Lane
Contribution Types CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00	0	1

Parish/Planning Reference EWB/13/03463/FUL
Name/No Demacroft, Pond Road
Street Pond Road
Contribution Types CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00	0	1

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 SB/13/03608/FUL Land South Of Green Orchards Inlands Road CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	516.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 SB/13/03618/FUL Willow House 1 Southbourne Avenue CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00	0	1

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 WE/13/03787/FUL Land West Of Hopedene Common Road CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,092.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 WH/14/00010/FUL The Old Coach House Stane Street CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	400.00	0	3

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 SB/14/00294/FUL 20A & 21 Eastfield Close CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00	0	1

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCS/14/00335/P3JPA 44 - 45 West Street CDC Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	800.00	0	0

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 CCN/14/00783/P3JP Little London Walk 44 East Street CDC Financial
 A

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	372.00	0	2

Parish/Planning Reference **Name/No** **Street** **Contribution Types**
 TL/SDNP/12/00304/FUL Land at Upperton Farm CDCNon-Financial

Affordable Housing Due	Leisure Due	Public Open Space Due	Community Facilities Due	Public Art Due	Recycling Due	CCTV Due	Chichester Harbour Due	Primary Care Trust Due	Eco Mitigation Due	Transport Due	Recreation Disturbance Due	Affordable Housing Units	Total Housing Units
£	£	£	£	£	£	£	£	£	£	£	£		
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	0

TOTALS

Affordable Housing	Leisure	Public Open Space	Community Facilities	Public Art	Recycling	CCTV	Chichester Harbour	Primary Care Trust	Eco Mitigation	Transport	Recreation Disturbance	Affordable Housing Units	Total Housing Units	GRAND TOTAL
£	£	£	£	£	£	£	£	£	£	£	£			£
583,400.00	914,367.00	14,100.00	1,628,020.00	124,464.00	0.00	0.00	0.00	84,491.00	25,000.00	100,000.00	57,140.00	237	1086	3,530,982.00

Appendix 2 - Details of income received between 01/04/2013 to 31/3/2014

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 CCS/07/01527/FUL Osborne House Stockbridge Road 11/06/2008

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
61,000.00	0.00	0.00	0.00	20,000.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 BI/07/05640/FUL Longmeadow Main Road 21/01/2009

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
61,814.61	0.00	3,665.16	24,322.56	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 CCN/08/03533/OUT Graylingwell Hospital College Lane 28/05/2009

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	52,500.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 CH/09/04314/OUT Marshalls Site, Hambrook Broad Road 17/09/2010

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	70,012.42	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 CCS/10/02034/FUL The Heritage Winden Avenue 28/02/2013

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	30,409.83	9,034.96	58,509.58	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 CCN/10/03490/FUL Roussillon Barracks Broyle Road 24/02/2011

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	20,000.00	0.00	0.00	0.00	19,132.01	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
D/11/01198/FUL Selsey Tram - land at St George's Drive St George's Drive 15/08/2011

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
74,495.07	0.00	6,482.14	35,779.37	6,089.29	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
CCS/12/00106/FUL The Regnum Club 45A South Street 01/11/2012

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
43,420.18	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 HN/12/02692/FUL Land at Northmark Foxbridge Drive 22/03/2013

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
17,211.00	16,389.83	2,347.53	30,479.08	5,885.15	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 D/12/04410/FUL Land At Southfields Close 20/06/2013

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	52,309.99	0.00	93,277.56	0.00	0.00	0.00	0.00	51,703.06	0.00	0.00	0.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 SB/13/02886/FUL Land To The Rear Of Fairways Priors Leaze Lane 18/12/2013

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,580.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 EWB/13/03223/FUL Plot Adjacent To Westerlies Bracklesham Lane 23/01/2014

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 EWB/13/03463/FUL Demacroft, Pond Road Pond Road 18/12/2013

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 SB/13/03618/FUL Willow House 1 Southbourne Avenue 23/01/2014

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 WE/13/03787/FUL Land West Of Hopedene Common Road 19/03/2014

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,092.00

Parish/Planning Reference **Name/No** **Street** **S106 Date**
 WH/14/00010/FUL The Old Coach House Stane Street 20/02/2014

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	400.00

Parish/Planning Reference Name/No Street S106 Date
 SB/14/00294/FUL 20A & 21 Eastfield Close 17/03/2014

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	200.00

Parish/Planning Reference Name/No Street S106 Date
 CCS/14/00335/P3JPA 44 - 45 West Street 21/02/2014

Affordable Housing Received	Leisure Received	Public Open Space Received	Community Facilities Received	Public Art Received	Recycling Received	CCTV Received	Chichester Harbour Received	Primary Care Trust Received	Eco Mitigation Received	Transport Received	Recreation Disturbance Received
£	£	£	£	£	£	£	£	£	£	£	£
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	800.00

Total Receipts 01/04/2013 to 31/3/2014

Affordable Housing	Leisure	Public Open Space	Community Facilities	Public Art	Recycling	CCTV	Chichester Harbour	Primary Care Trust	Eco Mitigation	Transport	Recreation Disturbance	GRAND TOTAL
£	£	£	£	£	£	£	£	£	£	£	£	£
257,940.86	99,109.65	21,529.79	332,380.57	31,974.44	0.00	0.00	71,632.01	51,703.06	0.00	0.00	6,672.00	872,942.38

S.106 Receipts and Payments by Service

1. Affordable Housing

Housing						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	451,786	786,786	903,586	970,786	974,313	1,142,216
Total Receipts	500,000	116,800	67,200	0	245,019	196,941
Interest	0	0	0	3,527	12,076	10,474
Monitoring Fee Deduction	0	0	0	0	2,392	6,756
Total Expenditure	165,000	0	0	0	86,800	210,000
Balance Remaining	786,786	903,586	970,786	974,313	1,142,216	1,132,874
Commitments						
Uncommitted Balance						

In recent years, the council's registered provider partners have been very successful in attracting grant from the Homes and Communities Agency. Commuted sums received in lieu of affordable housing have therefore accumulated. However, the current situation is now very different. Grants are now longer available on s106 sites and have been much reduced even on social housing developments. Consequently these funds will be vital to facilitate future housing developments to meet our affordable housing targets and assist people in housing need.

Payments have been made from the Commitments and Uncommitted Balance section of the above table towards projects associated with the following planning applications:

Affordable Housing - Spending officer: Linda Grange.

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
AP/09/01441/OUT	89 Birdham Road, Donnington	47,841.93	0.00	45,450.00	15-Oct-17*	45,449.83
One Affordable Dwelling Unit and a commuted sum. All to be used to partly fund the provision of 7 rented units at Malt House Cottages, W Wittering (£116,220 in total) as approved by Cabinet on 8th October 2013.						
BI/07/05640/FUL	Longmeadow Main Road	61,814.61	0.00	0.00	12-Sep-23	61,814.61
Contribution - 10 Affordable Housing units and a commuted sum.						
CCS/07/01527/FUL	Osborne House Stockbridge Road	61,000.00	0.00	61,000.00	09-Apr-23	61,000.00
All the Affordable Dwelling Units have been provided and transferred to the Housing Association. Block E was transferred at the end of March 2012 and Block D at the end of April 2012. All money to be spent on 3 rented units at Bosham Fire Station, as approved by Cabinet on 8th October 2013.						
CCS/12/00106/FUL	The Regnum Club 45A South Street	43,420.18	0.00	0.00	28-Feb-19*	41,249.17
No projects identified yet.						
CH/13/01093/OUT	Land North Of The Willows Hambrook Hill South	35,425.81	0.00	0.00	13-May-24	33,654.52
No projects identified yet.						
D/11/01198/FUL	Selsey Tram - land at St George's Drive	74,495.07	0.00	70,770.00	14-May-18*	70,770.32
8 AH units. All to be used to partly fund the provision of 7 rented units at Malt House Cottages, W Wittering (£116,220 in total) as approved by Cabinet on 8th October 2013.						

FB/07/05319/FUL	Caspian Close, Fishbourne Caspian Close	15,600.00	0.00	15,600.00	04-Jan-15*	15,600.00
The single affordable unit to be taken as a discounted sale at 65% of market value. No spend on the remaining £15,600.00. All to be used to partly fund the provision of 3 affordable rented units at Nicholsfield Loxwood (£49,200 in total) by Hyde Martlet as approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have advised that they will start on site and draw down these funds in August						
HN/12/02692/FUL	Land at Northmark Foxbridge Drive	17,211.00	0.00	0.00	07-Jan-19*	16,350.45
Money received January 2014, no projects identified yet.						
LX/09/02451/FUL	Hall Hurst Farm, Loxwood	33,600.00	0.00	33,600.00	24-Sep-14*	33,600.00
All to be used to partly fund the provision of 3 affordable rented units at Nicholsfield Loxwood (£49,200 in total) by Hyde Martlet. As approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have advised that they will start on site and draw down these funds in August						
PW/08/00797/FUL	Downview and Ridge House Station Road	136,177.00	0.00	136,177.00	28-Aug-20	136,177.00
Money to be spent on the provision of 4 affordable rented units at Down Close, Heyshott (£60,000), 4 affordable rented units at Oakfield, Lodsworth (£60,000) and 6 affordable rented units at Parsonage Estate, Rogate (£16,177 - total for Rogate is £91,177) as approved by Cabinet on 8th October 2013.						
WE/07/01464/FUL	Chantry Hall, Westbourne Foxbury Lane	67,600.00	14.00	67,586.00	27-Aug-14*	67,586.00
The 8 affordable units were completed in 2008-09. All money (£67,586) all to be used towards the provision of 5 affordable rented units at Garsons Road, Southbourne and 4 rented units at Manor Way Southbourne (£134,786 total) as approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have now commenced work on both sites and their application for the draw-down of this grant is expected to be received in June.						

WE/08/01208/FUL	Abbeyfield House, Westbourne	67,200.00	0.00	67,200.00	24-May-15*	67,200.00
<p>All money (£67,200) to be spent towards the provision of 5 affordable rented units at Garsons Road, Southbourne and 4 rented units at Manor Way Southbourne (£134,786 total) as approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have received additional funding from the Homes & Communities Agency for these sites and therefore no-longer require this allocation of commuted sums towards these sites. These funds will be re-allocated to an alternative affordable housing development within the district once details of the Homes & Communities Agency Affordable Housing Programme allocations have been received in July and gaps in funding identified.</p>						
CCN/05/00430/FUL	Shippams Factory (Roman Quarter) And Social Club	376,000.00	210,000.00	166,000.00	20-Aug-18	166,000.00
<p>Spending officer – Linda Grange. The allocation of the £271k is as follows: £95,000 and £115,000 towards The Heritage (these sums have different expiry dates 27/02/17 and 19/08/18 respectively) and £61,000 for Stone Pillow 8 bedspaces. Rural Enabler post being funded from previously committed £105,000. 03/03/14 £210,000 has now been spent on The Heritage.</p>						
CCN/13/02972/FUL	Roussillon Barracks	10,200.00	0.00	0.00	20-May-24	9,690.00
<p>No projects identified yet.</p>						
CCE/06/03992/FUL	79, 81 and 91 Spitalfield Lane	324,000.00	0.00	324,000.00	25-Nov-18	324,000.00
<p>The proposed allocation is: £150,000 - 10 rented units at Manhood Lane, Sidlesham. £105,000 - 7 rented units at Flatt Road Nutbourne. £69,000 - 6 rented units at Parsonage Estate, Rogate (total funding of £91,177).</p>						

2. Leisure and Public Open Space

Leisure						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	316,954	430,193	360,888	351,403	253,364	255,104
Total Receipts	123,039	(49,305)	25,159	100,739	0	99,110
Interest	0	0	0	1,148	3,687	3,079
Monitoring Fee Deduction	0	0	648	5,037	0	4,955
Total Expenditure	9,800	20,000	33,996	194,889	1,947	12,650
Balance Remaining	430,193	360,888	351,403	253,364	255,104	339,687
Commitments						
Uncommitted Balance						

According to the SPG, the Council can secure the provision of public open space and sporting, recreational, social or other community facilities as part of larger mixed developments through S.106 Agreements. Such agreements can cover the provision of on-site and offsite recreational facilities related to the development.

Implementation of this provision is generally expected to be the responsibility of the developer. In other cases the District may take land, and/or a commuted sum where off site works are required. Financial contributions collected from development are allocated to a fund specifically for new and improved leisure facilities to serve the additional population.

Payments have been made from the Commitments and Uncommitted Balance section of the above table towards projects associated with the following planning applications:

Leisure - Spending officer: Sarah Peyman

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
BX/10/05085/FUL	Land at Windmill Park, Halnaker	28,537.00	0.00	0.00	04-Aug-16*	27,110.15
13/05/13 Met with Boxgrove PC clerk to discuss funds and this is to be discussed at their annual meeting.						
CCS/07/01527/FUL	Osborne House Stockbridge Road	12,202.00	0.00	0.00	18-Feb-21	12,202.00
Projects under consideration. Nothing spent to date.						
CCS/10/02034/FUL	The Heritage Winden Avenue	30,409.83	0.00	0.00	28-Feb-19*	28,889.34
No projects identified yet.						
D/12/04410/FUL	Land At Southfields Close	52,309.99	0.00	0.00	11-Nov-23	49,694.49
No projects identified yet.						
EWB/12/02461/FUL	Land North East Of Beech Avenue	22,724.49	0.00	0.00	21-May-19	21,588.27
No projects identified yet.						
HN/12/02692/FUL	Land at Northmark Foxbridge Drive	16,389.83	0.00	0.00	07-Jan-24	15,570.34
Money received January 2014, no projects identified yet. Early discussions with parish regarding new play/leisure project May 2014.						
LV/08/01497/FUL	Meadow Lodge, Lavant	25,913.00	19,789.00	0.00	05-Apr-21	4,828.35
£12,090.07 of the Sport and Leisure contribution has been spent on the Centurion Way Pedestrian Cycle Link. £7,699 was spent on a nest seat swing and safety surfacing.						

LX/07/05855/FUL	Hall Hurst Farm	9,788.00	0.00	0.00	05-Jun-19	9,788.00
Loxwood PC are looking at reporting to May Parish Council committee with a suggestion for providing enhanced play opportunities adjacent to the village hall.						
LX/09/02451/FUL	Hall Hurst Farm	630.00	0.00	0.00	24-Sep-14*	630.00
Loxwood Parish Council has now developed a scheme for enhancement to the play area adjacent to the Village Hall. They have submitted an application to the CDC Grants for funding towards the project and this was considered by the Grants Panel on Tuesday 22nd October. The panel were supportive of the scheme but deferred their decision on how much funding will be awarded from the grants until the New Homes Bonus grants had been agreed and the outcome of the parishes application to Biffa/Sita. The application will go back to grants panel on 23rd January 2014. 25/02/2014 Grants and Concessions Panel met in Jan 2014 and agreed a £15,000 grant towards this project. This leaves a funding gap for the project which will hopefully be addressed by outstanding funding bids, but the contribution could now be passed to the Parish Council for partial or scaled down implementation.						
WH/04/01070/FUL	Land West Of Devils Rush (former Apollo Garage site)	20,000.00	6,670.00	13,330.00	15-Mar-17	13,330.00
The Leisure payment £6,670 was for the provision of the bus shelter and the remaining balance is for maintenance. Nothing has been spent on maintenance yet.						
CCN/05/00430/FUL	Shippams Factory (Roman Quarter) And Social Club	84,212.00	0.00	0.00	20-Aug-18	84,212.00
No projects identified yet						
CCN/08/03533/OUT	Graylingwell Hospital	59,245.00	0.00	0.00	30-Mar-21	56,282.75
Both contributions for Phase 1 have been received including indexation. We are waiting for all contributions from the development to be received to implement a larger improvement project.						

CCE/00/01073/FUL	Farrs Field, Swanfield Drive Swanfield Drive	25,000.00	0.00	25,000.00	29-Jan-13*	25,000.00
------------------	--	-----------	------	-----------	------------	-----------

The contribution was specifically for a bus shelter costing £25,000 and was paid in two instalments of £12,500 each. The first was paid in October 2001 and the final payment was made on 29th January 2008. The full amount has been allocated for spending on a bus shelter as part of an on-going building programme. 13/05/13 - WSCC are going to carry out the necessary consultation on the two proposed sites on Swanfield Drive at the rear of the Community Centre. Once this has been completed a report will need to be taken to Cabinet to approve the release of funding. 17/10/13 - Proposal for bus shelter has been approved but still awaiting permission via a licence from WSCC to go ahead and install. February 2014 - From the feedback it looks as if we can only proceed with one of the shelters. I unfortunately do not have resources at the moment to deliver the project as I have been seconded to the Grange which is due to complete on 24th Feb. Without additional resources this will need to wait until April at the earliest. 12/05/14 Issues and Options paper being developed for CMT as bus shelter maintenance agreement is due to expire in June 2018 and currently the company will only provide costs for installation and maintenance up until that date. The paper will look at the ownership and on-going maintenance from June 2018 onwards for existing bus shelters in addition to any new provision. Early discussions have also taken place with Chichester City Council about them taking on the responsibility for bus shelters in the city.

Bracklesham						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	1,308,030	1,194,123	1,131,453	164,412	122,443	88,363
Total Receipts	0	0	0	0	0	0
Interest	41,819	8,791	2,397	443	1,203	804
Monitoring Fee Deduction	0	0	0	0	0	0
Total Expenditure	155,726	71,461	969,438	42,413	35,282	2,714
Balance Remaining	1,194,123	1,131,453	164,412	122,443	88,363	86,454
Commitments						
Uncommitted Balance						

Public Open Space

Play & Open Space						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	31,180	201,786	219,617	215,496	142,051	199,067
Total Receipts	170,606	17,973	6,000	12,383	62,782	15,048
Interest	0	0	0	284	1,161	1,382
Monitoring Fee Deduction	0	141	121	400	869	569
Total Expenditure	0	0	10,000	85,712	6,058	40,246
Balance Remaining	201,786	219,617	215,496	142,051	199,067	174,682
Commitments						
Uncommitted Balance						

Payments have been made from the Commitments and Uncommitted Balance section of the above tables towards projects associated with the following planning applications:

Public Open Space - Spending officer: Sarah Peyman

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
BI/07/05640/FUL	Longmeadow Main Road	3,665.16	0.00	0.00	15-Aug-23	3,665.16
No projects identified yet						
BX/10/05085/FUL	Land at Windmill Park	8,000.00	0.00	0.00	04-Aug-16*	7,600.00
13/05/13 Met with Boxgrove PC clerk to discuss funds and this is to be discussed at their annual meeting.						
CCS/07/04483/FUL	Byten, South Pallant	170.00	0.00	0.00	08-Jul-19	170.00
New project to be considered due to Priory Park masterplan not being progressed.						
CCS/07/04532/FUL	10 South Pallant	1,017.00	800.00	0.00	08-Jul-19	217.00

New project to be considered due to Priory Park masterplan not being progressed.						
CCS/07/04727/FUL	1-5 Theatre Lane	847.00	0.00	0.00	08-Jul-19	847.00
New project to be considered due to Priory Park masterplan not being progressed.						
CCS/06/03446/FUL	Chichester Post Office & Telephone Exchange	3,051.00	0.00	0.00	27-Oct-16	3,051.00
Due to the Priory Park masterplan project not being taken forward, this funding will now be considered for improvements to parks and open spaces within Chichester.						
CCS/10/02034/FUL	The Heritage Winden Ave	9,034.96	0.00	0.00	28-Feb-19*	8,583.21
No projects identified yet.						
CCS/05/00876/FUL	St Georges Hall Cleveland Road	3,051.00	2,194.25	0.00	02-Oct-11	856.75
The contribution has been spent in Florence Park as follows: £2,567.25 - benches; 17/10/13 Remaining funds are being used to provide a new interpretation board at Whyke Amphitheatre. Amphitheatre illustration completed. Next steps; commission graphic design services, obtain scheduled monument consent, produce panel, fit to City Walls lectern frame and install.						
CH/13/01093/OUT	Land North Of The Willows Hambrook Hill South	7,282.89	0.00	0.00	13-May-24	6,918.75
No projects identified yet.						
CH/10/01013/FUL	Land at 30 The Avenue, Hambrook	6,000.00	0.00	0.00	14-Mar-16*	5,878.88
Chidham and Hambrook PC have been approached and made aware of the deadlines for the spend. We are awaiting a response and spend will then be authorised under delegated powers.						
D/07/04732/FUL	Stockbridge Garage	2,034.00	0.00	0.00	26-Jul-16*	2,034.00
Discussions will take place with the Parish Council to identify potential projects.						

D/11/01198/FUL	Selsey Tram - land at St George's Drive	6,482.14	0.00	0.00	03-Apr-18*	6,158.03
No projects identified yet.						
HT/07/01474/FUL	The Forge, South Harting	2,349.00	0.00	0.00	06-Mar-17*	2,349.00
No projects identified yet.						
HN/12/02692/FUL	Land at Northmark	2,347.53	0.00	0.00	07-Jan-24	2,230.15
Money received January 2014, no projects identified yet.						
LV/08/01497/FUL	Meadow Lodge, Lavant	2,828.00	0.00	0.00	21-Oct-19	2,686.60
No projects identified yet.						
TG/12/02262/FUL	Land At Windmill Drive	45,400.00	22,713.00	0.00	12-Nov-17*	22,687.00
£22,713 spent on Tangmere Recreation Ground extension of toddler play area in 2013/14						
TG/07/04577/FUL	West Sussex Fire Depot	87,000.00	81,774.85	5,225.15	09-Apr-18	5,225.15
The Executive Board meeting on 30/11/10 resolved that £85,842 Section 106 funding was approved for released to Tangmere Parish Council for the redevelopment of their Multi-Use Games Area. Completed.						
CCN/05/00430/FUL	Shippams Factory (Roman Quarter) And Social Club	81,553.00	12,533.39	0.00	20-Aug-18	69,019.61
£11,370.31 spent on Priory Park Play area in 2011/12. £1,183.08 spent on Westgate Skatepark in 2013/14. Balance available for the Parks Improvement Programme						
CCN/06/04244/FUL	Site D St Richards Hospital	12,202.00	0.00	0.00	15-Aug-17	12,202.00
No project currently identified						
CCN/05/01970/OUT	91-95 Broyle Road	3,216.00	0.00	0.00	27-Feb-18	3,216.00

This is now likely to be used at Oaklands Park to make improvements to the area.						
CCW/06/02510/FUL	10-12 Fishbourne Road East	3,137.80	3,051.00	0.00	06-Jul-17	86.80
Following consultation with the Parklands Residents Association, a scheme has been approved under delegated powers for meadow planting, trees and bench seating at Sherborne Recreation ground. 13/05/13 Meadow area and tree provided at Sherborne Road. £2,040 spent and the remainder is to provide benches and/or boulders.						
CCE/04/03596/FUL	Land To The East Of East Walls	13,111.00	0.00	0.00	15-Dec-19	13,111.00
This contribution will be considered for the Priory Park improvements. We are waiting for a response from external funding providers before progressing with the project further.						

3. Community Facilities

Community Facilities						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	218,756	549,398	506,172	473,251	540,436	484,998
Total Receipts	414,329	70,012	163,625	125,859	178,138	332,381
Interest	0	0	0	1,956	5,851	5,694
Monitoring Fee Deduction	0	0	4,956	4,210	6,833	14,403
Total Expenditure	83,687	113,238	191,589	56,420	232,594	57,623
Balance Remaining	549,398	506,172	473,251	540,436	484,998	751,047
Commitments						
Uncommitted Balance						

According to the Supplementary Planning Guidance, Community Facility contributions can be requested for developments of 10 units or more. With on-site provision only achievable with major development, smaller developments are required to contribute to improving existing facilities within the area of the development. Records of the condition and needs of existing facilities are maintained through the Community Facilities Audit, which is used to identify projects for funding, and to justify requests from developers.

Payments have been made from the Commitments and Pending payments section of the above table towards projects associated with the following planning applications:

Community Facilities - Spending officer: David Hyland

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
BI/07/05640/FUL	Longmeadow Main Road	24,322.59	0.00	24,322.59	15-Aug-23	24,322.59
No projects identified yet.						
BX/10/05085/FUL	Land at Windmill Park	45,725.00	0.00	43,438.75	04-Aug-16*	43,438.75
The development has commenced, and all contributions received, but no spend to date. In discussion with Parish Council and the Village Hall.						
CCS/07/01527/FUL	Osborne House Stockbridge Road	64,500.00	55,550.41	8,949.59	18-Feb-21	8,949.59
A payment of £550.41 was made to the 8th Chichester Scout Group for tables for their Hut/Hall has been made. £35k to New Park Community and Arts Association. Remainder up to £9k approved for Regnum Guides (towards updating their toilet facilities and small extension to provide an additional meeting room, currently fund raising). 07/05/14 £20k paid to 5th Scout Hut for improvements to car parking area.						
CCS/10/02034/FUL	The Heritage Winden Ave	58,509.58	0.00	55,584.10	28-Feb-19*	55,584.10
No projects identified yet.						
CCS/09/02417/FUL	34 and 36 Hay Road	68,247.08	0.00	64,834.73	15-Jan-18*	64,834.73
In discussion with local Resident's Association regarding a community centre.						
CH/09/04314/OUT	Marshalls Site, Hambrook	138,420.21	0.00	131,499.20	16-Jan-18	131,499.20

Spend going towards refurbishment of Chidham and Hambrook village hall, to be managed in 3 phased projects. Project 1: The provision of a two floor extension providing a wheelchair lift giving those with impaired mobility access to the first floor. Also, additional storage, refurbished toilets, provision of disabled toilets and replacement emergency and access staircase. The Management Committee are currently fund raising for these works as this will be the next new project to start. (Estimated cost £190,000)						
D/12/04410/FUL	Land At Southfields Close	93,277.56	0.00	88,613.68	11-Nov-23	88,613.68
Proposed Donnington Parish Hall extension - all Donnington planning application will contribute to this project						
D/07/04732/FUL	Stockbridge Garage	7,500.00	0.00	7,500.00	26-Jul-16*	7,500.00
Discussions are underway for a possible extension to the Parish Hall, though there has been no spend to date.						
D/11/01198/FUL	Selsey Tram - land at St George's Drive	35,779.37	0.00	33,990.40	21-Aug-18*	33,990.40
Discussions are underway for a possible extension to the Parish Hall, though there has been no spend to date.						
EWB/12/02461/FUL	Land North East Of Beech Avenue	42,258.81	0.00	40,145.87	21-May-24	40,145.87
No projects identified yet.						
FB/10/00994/FUL	Land North of Clay Lane	73,750.00	64,989.77	5,072.73	13-Nov-15*	5,072.73
£64,989.77 has been paid to Fishbourne Parish Council towards various works at the Fishbourne Centre. The balance has been identified for other improvements at the Fishbourne Centre, which includes a possible extension to this and the Church Hall (to be rebuilt and relocated near St Peter and St Mary's Church).						
HT/07/01474/FUL	The Forge, South Harting	12,992.00	7,934.96	5,057.04	06-Mar-17*	5,057.04
Community Facility spend 29/6/12 - £7,934.96 to Harting Parish Council - Refurbishment of the kitchen at Harting Village Hall.						
HN/12/02692/FUL	Land at Northmark	30,479.08	0.00	28,955.13	07-Jan-24	28,955.13
Money received January 2014, no projects identified yet.						

LV/08/01497/FUL	Meadow Lodge	50,750.00	24,944.00	23,268.50	23-Jun-20	23,268.50
Spending officer - David Hyland. 17/10/11 Communities: £14,000 paid to Lavant Parish Council towards improvements to the car park at the Village Hall. 2/2/12 - £2,944 to Lavant Parish Council towards improvements to the car park at the Memorial Hall. £8000 spent on solar panels 27/09/12. On-going discussion with Parish Council and Village Hall regarding spend.						
PW/08/00797/FUL	Downview and Ridge House	21,483.00	16,704.50	4,778.50	18-Sep-20	4,778.50
Spending officer - David Hyland. £16,704.50 spent from this application towards Hampers Green Community Centre – a new roof - £19,355 Petworth & District Over 60s Day Centre – secondary double glazing to their windows £1,706.						
TG/07/04577/FUL	West Sussex Fire Depot	76,500.00	74,488.30	2,011.70	09-Apr-18	2,011.70
The Communities contribution so far has been spent on updating Tangmere Village Centre. Remainder for Tangmere Village Centre.						
WE/07/01464/FUL	Chantry Hall, Foxbury Lane	17,250.00	10,650.40	6,599.60	27-Aug-14*	6,599.60
Money has been spent as follows: £3,000 paid to Westbourne Parish Council towards picnic tables and benches at Monks Hall and Mill Road play areas. £7,000 paid to the Parish Hall, Westbourne for acoustics, roof insulation, furniture and roller blinds at the Hall. £650 spent on electrics in Scout Hut - with remainder allocated to the Scout Hut. March 2014 Refurbishment works are underway.						
WH/04/03947/OUT	Goodwood Estate Gravel Pit Site	98,712.00	0.00	98,712.00	20-Nov-18	98,712.00
The Communities payment is being held for Westhampnett's on-going project to build a village hall - this is the same for all other Westhampnett planning applications.						
CCN/06/04244/FUL	Site D St Richards Hospital	75,000.00	0.00	75,000.00	15-Aug-17	75,000.00
Community Facilities are anticipating developments at Graylingwell or Rousillion (or both). Contributions will be required to enhance facilities in this area of Chichester, so the Community contribution has not yet been allocated.						

CCN/13/02972/FUL	Roussillon Barracks	1,170.00	0.00	1,111.50	20-May-24	1,111.50
No projects identified yet.						
CCN/05/01970/OUT	91-95 Broyle Road	18,716.00	9,358.00	9,358.00	27-Feb-18	9,358.00
Part of the contribution has been spent on the new partition for the North Hall community hall belonging to Chichester Baptist Church costing £9,358. The rest is allocated to St Michael's church hall with whom projects are under discussion for kitchen refurbishment.						

4. Public Art

Public Art						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	22,762	19,947	19,947	29,065	54,261	54,275
Total Receipts	0	0	25,000	25,000	6,089	5,885
Interest	0	0	0	196	619	309
Monitoring Fee Deduction	0	0	0	0	304	294
Total Expenditure	2,815	0	15,882	0	6,390	47,065
Balance Remaining	19,947	19,947	29,065	54,261	54,275	13,110
Commitments						
Uncommitted Balance						

Contributions are collected in accordance with the adopted Public Art Strategy for the Chichester District based on a tariff system charged per dwelling where the total number of dwellings is 10 or more, or per square metre in the case of non-residential property. Contributions from a number of smaller developments where an artwork may not necessarily be the best option would be pooled to fund strategically identified artworks at a site with wider neighbourhood significance and where a 'sense of place' would be strengthened.

Payments have been made from the Commitments and Uncommitted Balance section of the above table towards projects associated with the following planning applications:

Public Art - Spending officer: Lone Le Vay

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
CCS/07/01527/FUL	Osborne House Stockbridge Road	45,000.00	44,695.00	0.00	02-Sep-16*	305.00
Artwork now installed. £20,000 additional funding from unspent WSCC contributions was transferred to CDC and used to commission additional artwork and artist design commemorative bench. Some of the unspent commissioning budget is due to be paid to Chichester High School for Girls to cover the cost of materials used for an exhibition of school artwork and photos of the installation process displayed at the unveiling event.						
D/11/01198/FUL	Selsey Tram - land at St George's Drive	6,089.29	0.00	0.00	03-Apr-18*	5,784.83
It is hoped to pool this contribution with other S106 receipts from developments in the area and commission reasonable sized art installation. If nothing is forthcoming it is proposed to involve the new residents of the development in the commissioning of a small piece of art for location within that development.						
HN/12/02692/FUL	Land at Northmark	5,885.15	0.00	0.00	07-Jan-24	5,590.89
Money received January 2014, no projects identified yet.						
CCN/05/00430/FUL	Shippams Factory (Roman Quarter) And Social Club	25,000.00	24,695.00	0.00	07-Jun-15	305.00
Art work is now installed, this obligation is complete. Outstanding commissioning budget will be used to publish some leaflets explaining the artwork and/or maintenance if required.						

5. Chichester Harbour Mitigation

Chichester Harbour						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	0	0	0	77,499	69,003	89,279
Total Receipts	0	0	143,890	52,500	84,825	141,006
Interest	0	0	0	250	903	1,190
Monitoring Fee Deduction	0	0	6,882	2,625	4,241	7,050
Total Expenditure	0	0	59,509	58,621	61,211	55,733
Balance Remaining	0	0	77,499	69,003	89,279	168,691
Commitments						
Uncommitted Balance						

Contributions are collected towards measures to mitigate the impact of recreational disturbance arising from new housing development of the Chichester Harbour Special Protection Area. These measures include dog control measures, management and safeguarding, education and interpretation.

Payments have been made from the Commitments and Pending payments section of the above table towards projects associated with the following planning applications:

Chichester Harbour - Spending officer: Tom Day

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
CH/09/04314/OUT	Marshalls Site, Hambrook	56,704.93	0.00	0.00	16-Jan-18	53,869.68

The Manhood Wildlife and Heritage Group is taking on some parts of the Graylingwell work directly so freeing up 1 day a week of Sarah Hughes' time for work on the three s106 agreements in the Bournes (Land North of Clay Lane, Fishbourne, Marshalls). The initial allocation of time has been a day a week on the Bournes. This will have to increase over time to ensure that the total from the agreements is spent in time.

CH/10/01013/FUL	Land at 30 The Avenue, Hambrook,	9,890.00	0.00	0.00	14-Mar-16*	9,690.35
The Manhood Wildlife and Heritage Group is taking on some parts of the Graylingwell work directly so freeing up 1 day a week of Sarah Hughes' time for work on the three s106 agreements in the Bournes (Land North of Clay Lane, Fishbourne, Marshalls). The initial allocation of time has been a day a week on the Bournes. This will have to increase over time to ensure that the total from the agreements is spent in time.						
FB/10/00994/FUL	Land North of Clay Lane	21,500.00	18,510.00	0.00	13-Nov-15*	1,915.00
Spending officer – Tom Day. The Manhood Wildlife and Heritage Group is taking on some parts of the Graylingwell work directly so freeing up 1 day a week of Sarah Hughes' time for work on the three s106 agreements in the Bournes (Land North of Clay Lane, Fishbourne, Marshalls). The initial allocation of time has been a day a week on the Bournes. This will have to increase over time to ensure that the total from the agreements is spent in time. Initial spending is from this s106 out of the three) as it has the closest re-payment date						
CCN/10/03490/FUL	Roussillon Barracks	64,125.45	0.00	0.00	17-Aug-22	60,919.18
Spending officer - Tom Day. Development making good progress. Trigger dates for later S106 payments not yet reached. CH SPA £122,500 to be paid in seven equal installments of £17,500 each. £10,000 for CH educational purposes. £10,000 for CH interpretation to include signage/boards at key locations. £5,000 for purchase of CH Recreational land for dog walking. Due to the long repayment date our intention is to bring forward a Cabinet report in 2014 in order to approve an extension in time of the main Graylingwell project from March 2015 to March 2017, utilizing the monies from this s106.						
CCN/08/03533/OUT	Graylingwell Hospital College Lane	270,000.00	216,564.00	0.00	21-Oct-15	39,936.00
Spending officer – Tom Day. Chi Harbour Interpretation; SPA; Education contributions. Progress on the mitigation project is monitored jointly with the Manhood Wildlife and Heritage Group through monthly Service Level Agreement meetings and is on track to spend the remaining sum by October 2015.						

6. Recreation Disturbance Mitigation

Recreation Disturbance Mitigation						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	0	0	0	0	0	0
Total Receipts	0	0	0	0	0	6,672
Interest	0	0	0	0	0	31
Monitoring Fee Deduction	0	0	0	0	0	0
Total Expenditure	0	0	0	0	0	0
Balance Remaining	0	0	0	0	0	6,703
Commitments						
Uncommitted Balance						

This contribution has been taken on the understanding that it will be passed onto the Solent wide Interim avoidance scheme. This is due to start by September 2014, but has not yet been formally agreed by the PUSH authorities (and ourselves). Once a central 'banker' authority has been agreed (expected to be Hampshire CC as they have offered their services) money will be passed on to help fund five education and ranger posts Solent-wide.

Natural England advised on 28th October 2013 that all net increases in dwellings will have an impact in combination and so even one new dwelling will have to contribute to the Solent wide scheme.

Recreation Disturbance - Spending officer: Tom Day

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
AP/14/01291/COUP A	Crouchers Farm 163 Birdham Road	372.00	0.00	0.00	03-Jun-19*	344.00

BO/14/00667/FUL	Spindlewood Bosham Lane	200.00	0.00	0.00	30-Apr-19*	172.00
CCS/14/00335/P3JP A	44 - 45 West Street	800.00	0.00	0.00	17-Mar-19*	800.00
CCS/14/00842/P3JP A	The Chambers, 28 Chapel Street	1,060.00	0.00	0.00	15-May-19*	1,032.00
D/14/01101/FUL	Post Office Cottage 3 Birdham Road	372.00	0.00	0.00	29-May-14*	344.00
EWB/13/03463/FUL	Demacraft, Pond Road	200.00	0.00	0.00	19-Dec-18*	200.00
EWB/13/03223/FUL	Plot Adjacent To Westerlies Bracklesham Lane	200.00	0.00	0.00	12-Feb-19*	200.00
EWB/14/00430/FUL	Garden Cottage 54 Oakfield Avenue	200.00	0.00	0.00	22-Apr-19*	172.00
FU/14/01267/FUL	Land East Of Tower View Nursery West Ashling Road	716.00	0.00	0.00	03-Jun-19*	688.00
SB/14/00294/FUL	20A & 21 Eastfield Close	200.00	0.00	0.00	24-Mar-19*	200.00
SB/13/02886/FUL	Land To The Rear Of Fairways Priors Leaze Lane	2,580.00	0.00	0.00	19-Dec-18*	2,580.00
SB/13/02966/FUL	Land East Of Manor Way	2,000.00	0.00	0.00	23-May-24	1,900.00

SB/13/03608/FUL	Land South Of Green Orchards Inlands Road	516.00	0.00	0.00	07-Apr-19*	516.00
SB/13/03618/FUL	Willow House 1 Southbourne Avenue	200.00	0.00	0.00	12-Feb-19*	200.00
WE/13/03787/FUL	Land West Of Hopedene Common Road	2,092.00	0.00	0.00	24-Mar-19*	2,092.00
WH/14/00010/FUL	The Old Coach House Stane Street	400.00	0.00	0.00	24-Feb-19*	400.00
CCN/14/00783/P3J PA	Little London Walk 44 East Street	372.00	0.00	0.00	22-Apr-19*	344.00

7. Waste and Recycling

Waste and Recycling						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	0	0	855	6,939	6,099	22,608
Total Receipts	0	900	6,404	15,291	24,955	0
Interest	0	0	0	22	164	176
Monitoring Fee Deduction	0	45	320	726	1,248	0
Total Expenditure	0	0	0	15,427	7,363	7,297
Balance Remaining	0	855	6,939	6,099	22,608	15,487
Commitments						
Uncommitted Balance						

Cabinet agreed in July 2011 that the provision and replacement of bins should be the responsibility of occupiers of domestic premises. Therefore developers are no longer asked for contributions towards the cost of waste and recycling bin provision. There is currently £16,199 remaining in the budget from agreements prior to this date, which will be spent on new waste and recycling bins for those developments from which the contributions were made when the individual properties are occupied in accordance with the Council's obligations under those agreements. £36,157 is due to come in for Agreements that have been signed, but either the development has not commenced or houses within a development have not been occupied.

Payments have been made from the Commitments and Pending payments section of the above table towards projects associated with the following planning applications:

Recycling - Spending officer: Bob Riley

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
CCN/10/03490/FUL	Roussillon Barracks	15,455.88	5,012.00	0.00	17-Aug-22	9,671.09
Bulk bins delivered for Royal Sussex House, Donegall Avenue. It consists of 13 properties. Total spend = £5,012						
CCN/08/03533/OUT	Graylingwell Hospital College Lane	16,803.90	10,324.00	0.00	25-Nov-19	5,639.71
Total spend is £10,324 so far.						

8. CCTV

CCTV						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	0	29,399	89,506	59,577	58,187	58,855
Total Receipts	30,099	72,216	0	0	0	0
Interest	0	0	0	211	668	321
Monitoring Fee Deduction	0	0	0	0	0	0
Total Expenditure	700	12,109	29,929	1,601	0	47,921
Balance Remaining	29,399	89,506	59,577	58,187	58,855	11,255
Commitments						
Uncommitted Balance						

All remaining sums are currently allocated to the New Park Centre Car Park (includes maintenance of CCTV).

Payments have been made from the Commitments and Pending payments section of the above table towards projects associated with the following planning applications:

CCTV - Spending officer: Tania Murphy

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
PW/06/05235/FUL	Exchange House Station Road	6,694.49	0.00	0.00	08-Oct-17	6,694.49
£5000.00 received following enforcement action. Interest on the payment received 08/10/12 - £1694.49.						

CCN/05/00430/FUL	Shippams Factory (Roman Quarter) And Social Club	30,099.00	20,485.00	0.00	20-Aug-18	9,614.00
<p>The full balance of S106 money has been received. Out of £30,099 there has been a spend of £20,485 leaving a total of £9,614 remaining. This relates to the provision of a wall mounted CCTV camera positioned on the corner of one of the properties in Roman Quarters which views East Walls in both directions. Work to install the camera is currently progressing and a BT control cabinet and power supply for the camera has been provided. The installation of the CCTV camera cannot be progressed until the developers sign a Way Leave Agreement to locate a camera on the building.</p>						
CCE/04/03596/FUL	Land To The East Of East Walls	72,216.00	71,775.00	0.00	15-Dec-19	441.00
<p>The full balance of S106 money has been received. Relates to the installation of two new CCTV cameras at the Eastgate retail and housing development and relocate the existing CCTV camera in New Park Road car park to cover the new parking area.</p>						

9. Sustainable Transport

Sustainable Transport						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	48,071	48,071	41,371	41,371	41,521	41,998
Total Receipts	0	0	0	0	0	0
Interest	0	0	0	150	477	388
Monitoring Fee Deduction	0	0	0	0	0	0
Total Expenditure	0	6,700	0	0	0	0
Balance Remaining	48,071	41,371	41,371	41,521	41,998	42,386
Commitments						
Uncommitted Balance						

Approval has been given for up to £20,000 to be spent towards securing a pedestrian and cycle route to extend the Bill Way with the final sum and payment arrangements to be subject to agreement by the Director of Environment in consultation with the Cabinet Member for Environment.

Planning work is on-going for infrastructure improvements for cyclists and pedestrians to enhance the connectivity between Arundel Park and Chichester City Centre via Blackberry Lane; through provision of crossing point(s), improved signage and surface improvements. This will aid with the delivery of connectivity between Chichester City Centre and strategic development locations at Shopwhyke Lakes, Westhampett and Tangmere

10. Park and Ride Car Parks

Park and Ride						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	161,250	153,675	146,789	137,127	128,585	114,820
Total Receipts	0	0	0	0	6,694	0
Interest	0	0	0	465	1,389	1,038
Monitoring Fee Deduction	0	0	0	0	0	0
Total Expenditure	7,575	6,885	9,663	9,007	21,848	4,935
Balance Remaining	153,675	146,789	137,127	128,585	114,820	110,923
Commitments						
Uncommitted Balance						

The commuted sums received for Park and Ride schemes were given in perpetuity for use when parking in Chichester becomes pressurised due to a larger domestic and working population.

Chichester District Council currently provides a Park and Ride service for visitors, shoppers and commuters, which runs during the period leading up to Christmas only. There is, however, no permanent Park and Ride facility within Chichester District at present. There are several successful Park and Ride schemes operating nationally - any Park and Ride scheme must be planned so as to encourage use in preference to driving into the centre, whilst at the same time providing for the needs of those who genuinely require provision closer to the centre.

The Chichester District Car Parking Strategy 2010 – 2020 will play a role in managing growth in car use. The Car Park Strategy indicates that if spare capacity in the city’s car parks falls below a specified level, the need to introduce Park and Ride should be considered. Should this situation arise, a review of the Local Plan may be required in order to revise the transport strategy for the city and identify potential Park and Ride sites.

Capacity is reviewed within CDC owned car parks on a weekly basis and the capacity figures are included within the performance monitoring of Parking Services. Currently these figures reflect that the capacity is well within the acceptable range.

11. Other Organisations

Other Organisations						
	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
	£	£	£	£	£	£
Balance Brought Forward	0	0	0	0	0	0
Total Receipts	0	0	0	0	0	51,703
Interest	0	0	0	0	0	0
Monitoring Fee Deduction	0	0	0	0	0	(2,585)
Total Expenditure	0	0	0	0	0	0
Balance Remaining	0	0	0	0	0	49,118
Commitments						
Uncommitted Balance						

This sum was received for the Primary Care Trust Contribution, and will be transferred to the NHS once they have allocated their capital budgets for 2014-15.

Primary Care Trust - Spending Organisation: NHS

Parish/ Planning Ref	Name/No	Received £	Spent £	Allocated £	Expiry Date	Remaining £
D/12/04410/FUL	Land At Southfields Close	51,703.06	0.00	0.00	11-Nov-23	49,117.91
<p>07/05/14 Update re transfer of funds: NHS are currently carrying out a feasibility Study for property improvements in Chichester and once the outcome of this is known and accepted then we will seek transfer of the S106 funding which is being held to our order. The work is presently being undertaken concurrently but hope to have a conclusion in a few months and we will then have to await capital budgets for 2014- 15 to be allocated following the bidding process.</p>						

12. West Sussex County Council

Chichester North CLC

Service Group	Parish	Planning Application	Site Address	Project Name	Amount Committed	Spent Date
Highways	Kirdford	KD/3095/03	Kirdford Growers Ltd, Village Road, Kirdford, Billingshurst, West Sussex	Kirdford Improvement Schemes	£33,782	09_JAN_2012
					Total S106 contribution towards: Kirdford Improvement Schemes: £33,782	
					Total Highways: £33,782	
Libraries	Boxgrove	BX/5085/10	Land At Windmill Park, Tinwood Lane, Halnaker, Boxgrove, Chichester, West Sussex, PO18 0NF	Chichester Library - RFID Terminals	£4,974	01_JAN_2012
	Lavant	LV/1497/08	Land west of Meadow Lodge and Meadow Lodge, Lavant Chichester, West Sussex		£6,252	01_JAN_2012
					Total S106 contribution towards: Chichester Library - RFID Terminals: £11,226	
	Petworth	PW/797/08	Downview and Ridge House, Station Road, Petworth, West Sussex, GU28 0ES	Petworth Library - RFID Terminals	£3,459	01_MAR_2013
					Total S106 contribution towards: Petworth Library - RFID Terminals: £3,459	
					Total Libraries: £14,685	
					Total spend within CLC: £48,467	

Chichester South CLC

Service Group	Parish	Planning Application	Site Address	Project Name	Amount Committed	Spent Date
Highways	Selsey	SY/837/00	Pye Land, Selsey, West Sussex	2 SID's for Selsey Town Council	£5,178	16_APR_2012
					Total S106 contribution towards: 2 SID's for Selsey Town Council: £5,178	
	Chichester	CC/5262/07	Sainsburys Supermarkets Limited, Westhampnett Road, Chichester, West Sussex. PO19 7YR	Bus Route 99 Chichester to Petworth	£24,150	01_JAN_2012
					Total S106 contribution towards: Bus Route 99 Chichester to Petworth: £24,150	
	Chichester	CC/1130/03	Ambulance Headquarters, Summersdale Road, Chichester, West Sussex	Cycle Link - Winterbourne Road to Graylingwell	£4,500	17_JUL_2013
					Total S106 contribution towards: Cycle Link - Winterbourne Road to Graylingwell: £4,500	
	Chichester	CC/1527/07	Osborne House, Stockbridge Road, Chichester, West Sussex	MOVA - Stockbridge Road	£3,000	01_DEC_2012
					Total S106 contribution towards: MOVA - Stockbridge Road: £3,000	
	Selsey	SY/1188/06	St Wilfreds Walk, 110, High Street, Selsey, Chichester, West Sussex	New footway on Chichester Road	£7,800	01_JUN_2013
					Total S106 contribution towards: New footway on Chichester Road: £7,800	
	Westhampnett	WV_/3108/00	Land north of, Stane Street, Westhampnett, West Sussex	Travel Plan Monitoring and Advice	£5,000	01_JAN_2012

Service Group	Parish	Planning Application	Site Address	Project Name	Amount Committed	Spent Date
					Total S106 contribution towards: Travel Plan Monitoring and Advice: £5,000	
					Total Highways: £49,628	
Libraries	Chichester	CC/1727/07	Theatre Place, Theatre Lane, Chichester, West Sussex	Chichester Library - RFID Terminals	£885	01_JAN_2012
	Chichester	CC/1532/07	10, South Pallant, Chichester, West Sussex		£1,063	01_JAN_2012
	Chichester	CC/1183/07	Byten, South Pallant, Chichester, West Sussex, PO19 1SY		£177	01_JAN_2012
	Chichester	CC/3992/06	79, 81, 91, Spitalfield Lane, Chichester, West Sussex, PO19 6SL		£5,213	01_JAN_2012
	Chichester	CC/3596/04	Unit C, Eastgate Square, East Walls, Chichester, West Sussex		£5,833	01_JAN_2012
	Chichester	CC/2815/04	St Richards Hospital, Spitalfield Lane, Chichester, West Sussex, PO19 6SE		£4,298	01_JAN_2012
	Chichester	CC/2634/06	21, Adelaide Road, Chichester, West Sussex		£605	01_JAN_2012
	Chichester	CC/2117/09	34, Hay Road, Chichester, West Sussex, PO19 8BE		£6,488	01_JAN_2012
	Chichester	CC/166/06	Little London Car Park, St Martins Street, Chichester, West Sussex		£840	01_JAN_2012
	Fishbourne	CB/5319/07	Land South Of Caspian Close, Caspian Close, Fishbourne, West Sussex		£1,352	01_JAN_2012
	Tangmere	O/1117/05	Littlemead School, Tangmere Road, Tangmere, West Sussex		£1,180	01_JAN_2012
	Tangmere	TG/1577/07	Former Fire Depot, City Fields Way, Tangmere, Chichester, West Sussex, PO20 2FY		£15,851	01_JAN_2012
	Westhampnett	W_/2738/07	Former Gravel Pit, Stane Street, Westhampnett, West Sussex		£17,971	01_JAN_2012
					Total S106 contribution towards: Chichester Library - RFID Terminals: £61,789	
	Selsey	SY/2350/04	Land east of Chichester Road, Selsey, West Sussex	Selsey Library - RFID Terminals	£1,172	01_APR_2012
	Selsey	SY/2326/07	45, High Street, Selsey, Chichester, West Sussex		£823	01_APR_2012

Service Group	Parish	Planning Application	Site Address	Project Name	Amount Committed	Spent Date
Libraries	Selsey	SY/1531/01	The Manor House, 83, Manor Road, Selsey, West Sussex	Selsey Library - RFID Terminals	£3,024	01_APR_2012
	Selsey	SY/1277/07	71-73, High Street, Selsey, West Sussex		£609	01_APR_2012
	Selsey	SY/1273/07	The Workshop and Land, Lewis Road, Selsey, West Sussex		£703	01_APR_2012
					Total S106 contribution towards: Selsey Library - RFID Terminals: £6,331	
	East Wittering	EW/1485/01	Former Pontins Site Western Enelcombe Close Bracklesham Bay West Sussex	Witterings Library - RFID Terminals	£9,264	01_APR_2012
	East Wittering	EW/1795/07	Land on Corner of Stocks Lane and, Bracklesham Lane, Bracklesham, Chichester, West Sussex		£2,469	01_APR_2012
	East Wittering	EW/2986/01	Land at Silver Way &, Farm Road, Bracklesham Bay, West Sussex		£8,319	01_APR_2012
	East Wittering	EW/5640/06	Land East Of, 32, Middleton Close, Bracklesham, Chichester, West Sussex, PO20 8SR		£2,236	01_APR_2012
					Total S106 contribution towards: Witterings Library - RFID Terminals: £22,287	
					Total Libraries: £90,407	
					Total spend within CLC: £140,036	

In terms of Highways the two CLC schedules show what has been spent in the last financial year, Chichester District is divided into North and South hence two separate reports.

The reports also show what has spent in Libraries over the last financial year. The report from 2012/13 showed that WSCC had completed the RFID (Radio Frequency Identification) project and only needed to reconcile their payments internally, by allocating the S106 money to the relevant Library. This process has now completed and hence the report shows Library money having been spent.

The next plan for the Libraries service is to develop a policy to spend S106 money improving the Library stock, in terms of books, e-readers, CD's, DVD's and so on, in areas where the stock falls below formally approved levels. WSCC are currently writing a policy for this which it is hoped will be signed off by Members shortly.

Expenditure of WSCC S106 contributions for Total Access Demand (TAD) and Highways is agreed through the County Local Area Committee for North and South Chichester.

Education

PROJECT IN 2013-14 PROGRAMME	Details of Project	Date of Receipt	S106 credits/ income received in year (2013-14)	Contributions allocated to be spent in 2013-14 (as at October 2013)
			-	2,853,610.96
St Richards Primary	Expansion of school from 1 form of entry to 1.5 form of entry (210 to 315 places)	16/02/2009	4,843,650.81	5,833.00
St Richards Primary	" "	30/10/2009		63,856.00
ST RICHARDS	" "	02/02/2010		7,203.00
ST RICHARDS	" "	02/02/2010		6,003.00
ST RICHARDS	" "	03/02/2010		1,201.00

ST RICHARDS	" "			16,904.00
ST RICHARDS	" "	07/07/2010		43,340.00
THE SEAL AND MEDMERRY	Extension, remodelling and external works	05/11/2010		26,286.40
St Richards	Expansion of school from 1 form of entry to 1.5 form of entry (210 to 315 places)	23/11/2010		14,119.00
THE SEAL AND MEDMERRY	Extension, remodelling and external works	14/12/2010		26,286.40
THE SEAL AND MEDMERRY	" "	11/01/2011		26,286.40
PARKLANDS HUT 2013-14	Temporary accommodation to provide more places	03/03/2011		58,860.00
THE SEAL AND MEDMERRY	Extension, remodelling and external works	17/03/2011		26,286.40
PARKLANDS HUT 2013-14	Temporary accommodation to provide more places	14/04/2011		32,263.00
THE SEAL AND MEDMERRY	Extension, remodelling and external works	13/05/2011		26,286.40
BOSHAM HUT	Temporary accommodation to provide more places	07/11/2011		123.00
BOSHAM HUT	" "	07/11/2011		32,880.00
PARKLANDS HUT 2013-14	" "	17/01/2012		87,554.00
St Richards	Expansion of school from 1 form of entry to 1.5 form of entry (210 to 315 places)	27/09/2012		18,765.00
St Richards Primary		177,224.00		
The Seal & Medmerry		131,432.00		
Parklands Hut		178,677.00		
Bosham Hut		33,003.00		

Fire Service

There has been no change since last year's report wherein the WSCC Fire Service has yet to spend their contributions, they have identified a small set number of projects for the South of the County, and contributions received will be divided between these projects. The projects and proposed funding allocation are set out in the table below.

Relocation of Littlehampton Fire Station	£4,000,000
Extension to Bognor Regis Fire Station	£400,000
(New Dimensions Facility)	£1,000,000
Training tower Findon Fire Station	£80,000
Roof ladder Training Rig	£50,000
Total	£5,530,000

These schemes were originally earmarked in 2007, when WSCC first started seeking contributions for the Fire Service, and costs were set at that time. These need to be re-assessed and the Fire Service is now considering consultation on the viability of these schemes.

It must be noted that some of the schemes are not within Chichester District. Because they are an emergency service the Fire Service respond to incidents beyond district boundaries, and will use specialist equipment located in their key locations wherever it is needed in their division. For example, this occurred recently whereby equipment from Bognor Regis was used in Worthing for an incident because all of Worthing's units were at that moment attending an incident in Littlehampton. One of the schemes listed is for a chemical unit to be set up in Horsham. The unit will serve the entire county and so it is not unreasonable to expect Chichester to contribute. Government requires that a facility to deal with CRBN's (chemical, radiological, biological and nuclear) incidents is provided, plus training facilities. The facility for West Sussex, currently earmarked for development in Horsham, will cover the whole County's residents

13. – S106 Contributions due from Agreements within SDNP

11/03310/FULNP - Former St Margarets School, Petersfield Road, Midhurst, GU20 9JN – 05/09/12

Amount Due:	Amount Received:	Purpose:	When is payment due:
£0	None	Serve written notice	Serve written notice, 10 working days before commencement of development and written notice confirming the first date of occupation.
£0		Affordable Housing	Affordable housing units shall be transferred to the Registered Provider who shall execute deeds in favour of the district council
£0		Travel Plan	Not to permit First Occupation of the First dwelling until the Owner has submitted to and had approved, a Travel Plan and agreed arrangements to secure implementation
£140,887		Community Facilities Contribution	Prior to the first occupation of the first Dwelling
£60,591		Education Contribution	As above
£1,483		Fire & Rescue Contribution	As above
£14,177		Libraries Contribution	As above
£22,450		Public Art Contribution	As above
£85,548		TAD Contribution	As above

SDNP/12/00788 - Barfold Farm, Petworth Road, Haslemere – 06/08/2012

Amount Due:	Amount Received:	Purpose:	When is payment due:
-------------	------------------	----------	----------------------

None	N/A	N/A	Unilateral Undertaking - (a) The owner to give written notice to the councils Head of Planning, of its intention to commence development not later than 28 days before commencement of development. (b) not to commence development or otherwise implement planning permission WA/2010/1398 prior to its expiry on 11/10/13. Second Owners covenants - within 3 months of the completion of the development to remove the existing exercise track to pasture during the first available planting season following removal.
------	-----	-----	---

SDNP/12/00120/FUL - Land to the rear of The Croft, Cocking, Chichester – 17/01/2013

Amount Due:	Amount Received:	Purpose:	When is payment due:
None	N/A	Affordable Housing	18 Affordable Dwelling Units in such proportions as follows; 3 Social Rented Units, 4 Shared Ownership Units, 11 Affordable Rented Units.

11/01180/FULNP - The Grange, Bepton Road. Midhurst – 20/12/2012

Amount Due:	Amount Received:	Purpose:	When is payment due:
£0.00	None	Affordable Housing	The affordable dwelling units shall consist of 5 shared ownership units, 3 affordable rented units. No more than 3 of the open market units shall be occupied until the affordable dwelling units have been disposed of to the approved body.
£25,328.00		Community Facilities Contribution	Prior to the 1st occupation of the dwellings
£13,560.00		Sport & Leisure Contribution	Prior to the 1st occupation of the dwellings
£27,762.00		Education Contribution	On or before the operative date 10 years from the date of receipt

£2,684.00		Libraries Contribution	On or before the operative date	10 years from the date of receipt
£28,125.00		Total Access Demand Contribution	On or before the operative date	10 years from the date of receipt
£281.00		Fire & Rescue Contribution	On or before the operative date	10 years from the date of receipt
£5,200.00		Public Art Strategy Contribution	The public art is to be provided on site or in the local vicinity of Midhurst as shall be agreed between the Leisure and Wellbeing Service and CDC.	
£0.00		Notification	To give notice to the authority of the operative date not less than 14 days before such a date.	
£1,944.40		S106 Monitoring Fee	5% of total contributions	

11/03635/FULNP – King Edward VII, Midhurst – 24/11/2011

Amount Due:	Amount Received:	Purpose:	When is payment due:
£800,000	None	Affordable Housing	On completion of 50% of the dwellings 20% of contribution must be paid, another 20% to be paid after 60% completed etc.
£100,000	None	Primary Education	On completion of 50% of the dwellings 20% of contribution must be paid, another 20% to be paid after 60% completed etc.

11/02717/FULNP – The Court House and Courtlea, Rosemary Lane, Petworth – 16/02/12

Amount Due:	Amount Received:	Purpose:	When is payment due:
£158,400	None	Affordable Housing	Contributions due on or before commencement, except Education which is due prior to 1st occupation

£20,821	None	Education	
£2,013	None	Library	
£7,290	None	TAD	
£211	None	Fire and Rescue	

SDNP/13/00982/FUL – Chingford Pond, Barlavington, – 13/08/13

Amount Due:	Amount Received:	Purpose:	Specific Project
£25,000	£25,000	Ecological Mitigation	'North Mill' project - to mitigate the loss of stream habitat on the Duncton Stream. If delivery of the project is not possible at the trigger point the contribution should be re-allocated to the 'Arun & Rother Connections' project. Deadline for spend – 12/09/2023

Appendix 4 - Details of receipts reaching their expenditure target by contribution

In the column 'Expires' an asterisk (*) indicates a notional 5 year repayment date. It shows that a repayment date was not specified in the S106 agreement, but CDC Service Departments aim to spend the Contribution within 5 years, the point at which a developer can ask to vary the agreement if the contribution has not been spent. This includes asking for the contribution to be returned if it has not been spent because the need for it has not been justified.

Expiry date within 2 years of 13/05/2014

Affordable Housing

FB/07/05319/FUL - Caspian Close, Fishbourne Caspian Close		Proposed Development
S106 Date : 18/12/2007		Land south of Caspian Close, Fishbourne. Residential development of 2 no. four bed detached houses and 4 no. two bed terraced houses - one of which will be a new build homebuy / shared ownership (2 bed) house.
Received : £15,600.00	Spending officer – Linda Grange. The single affordable unit to be taken as a discounted sale at 65% of market value. No spend on the remaining £15,600.00. All to be used to partly fund the provision of 3 affordable rented units at Nicholsfield Loxwood (£49,200 in total) by Hyde Martlet as approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have advised that they will start on site and draw down these funds in August	
Remaining : £15,600.00		
Allocated : £15,600.00		
Spent : £0.00		
Expires : 04-Jan-15 *		
LX/09/02451/FUL - Hall Hurst Farm, Loxwood 2		Proposed Development
S106 Date : 24/09/2009		Hall Hurst Farm, Loxwood, Billingshurst. Substitution of plot 20 and erection of one additional unit and associated works in lieu of the public car park. This (LX/09/02451/FUL) is a supplemental agreement to the original agreement numbered LX/07/05855/FUL
Received : £33,600.00	Spending Officer - Linda Grange. All to be used to partly fund the provision of 3 affordable rented units at Nicholsfield Loxwood (£49,200 in total) by Hyde Martlet. As approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have advised that they will start on site and draw down these funds in August	
Remaining : £33,600.00		
Allocated : £33,600.00		
Spent : £0.00		
Expires : 24-Sep-14 *		

WE/07/01464/FUL - Chantry Hall, Westbourne Foxbury Lane		Proposed Development
S106 Date : 17/12/2007		Chantry Hall - shown on map in 106 agreement as Chantry Farm. Demolition of existing buildings at the site. Erection of 28 retirement homes and 8 affordable homes.
Received : £67,600.00	Spending Officer - Linda Grange. The 8 affordable units were completed in 2008-09. All money (£67,586) all to be used towards the provision of 5 affordable rented units at Garsons Road, Southbourne and 4 rented units at Manor Way Southbourne (£134,786 total) as approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have now commenced work on both sites and their application for the draw-down of this grant is expected to be received in June.	
Remaining : £67,586.00		
Allocated : £67,586.00		
Spent : £14.00		
Expires : 27-Aug-14 *		

WE/08/01208/FUL - Abbeyfield House, Westbourne 30 Crockford Road		Proposed Development
S106 Date : 03/06/2010		Abbeyfield House, Westbourne. Demolition of existing building and erection of 6 no. 1 bedroom and 2 no. studio maisonettes.
Received : £67,200.00	Spending officer – Linda Grange. All money (£67,200) to be spent towards the provision of 5 affordable rented units at Garsons Road, Southbourne and 4 rented units at Manor Way Southbourne (£134,786 total) as approved by Cabinet on 8th October 2013. 13/05/14 Hyde Martlet have received additional funding from the Homes & Communities Agency for these sites and therefore no-longer require this allocation of commuted sums towards these sites. These funds will be re-allocated to an alternative affordable housing development within the district once details of the Homes & Communities Agency Affordable Housing Programme allocations have been received in July and gaps in funding identified.	
Remaining : £67,200.00		
Allocated : £67,200.00		
Spent : £0.00		
Expires : 24-May-15 *		

Leisure

LX/09/02451/FUL - Hall Hurst Farm, Loxwood 2		Proposed Development
S106 Date : 24/09/2009		Hall Hurst Farm, Loxwood, Billingshurst. Substitution of plot 20 and erection of one additional unit and associated works in lieu of the public car park. This (LX/09/02451/FUL) is a supplemental agreement to the original agreement numbered LX/07/05855/FUL
Received : £630.00	Spending Officer - Sarah Peyman. Loxwood Parish Council has now developed a scheme for enhancement to the play area adjacent to the Village Hall. They have submitted an application to the CDC Grants for funding towards the project and this was considered by the Grants Panel on Tuesday 22nd October. The panel were supportive of the scheme but deferred their decision on how much funding will be awarded from the grants until the New Homes Bonus grants had been agreed and the outcome of the parishes application to Biffa/Sita. The application will go back to grants panel on 23rd January 2014. 25/02/2014 Grants and Concessions Panel met in Jan 2014 and agreed a £15,000 grant towards this project. This leaves a funding gap for the project which will hopefully be addressed by outstanding funding bids, but the contribution could now be passed to the Parish Council for partial or scaled down implementation.	
Remaining : £630.00		
Allocated : £0.00		
Spent : £0.00		
Expires : 24-Sep-14 *		

Public Open Space

CH/10/01013/FUL - Land at 30 The Avenue, Hambrook, Chidham 30 The Avenue		Proposed Development
S106 Date : 10/11/2010		Land at 30 The Avenue, Hambrook. Erection of 23 residential dwellings with associated garages and car parking, landscaping and highways work.
Received : £6,000.00	Spending officer – Sarah Peyman. Chidham and Hambrook PC have been approached and made aware of the deadlines for the spend. We are awaiting a response and spend will then be authorised under delegated powers.	
Remaining : £5,878.88		
Allocated : £0.00		
Spent : £0.00		
Expires : 14-Mar-16 *		

Community Facilities

FB/10/00994/FUL - Land North of Clay Lane		Proposed Development
S106 Date : 04/11/2010		Land North of Clay Lane. Erection of 50 residential dwellings with associated garages and car parking, landscaping and highway works.
Received : £73,750.00	Spending officer - David Hyland. £64,989.77 has been paid to Fishbourne Parish Council towards various works at the Fishbourne Centre. The balance has been identified for other improvements at the Fishbourne Centre, which includes a possible extension to this and the Church Hall (to be rebuilt and relocated near St Peter and St Mary's Church).	
Remaining : £5,072.73		
Allocated : £5,072.73		
Spent : £64,989.77		
Expires : 13-Nov-15 *		

WE/07/01464/FUL - Chantry Hall, Westbourne Foxbury Lane		Proposed Development
S106 Date : 17/12/2007		Chantry Hall - shown on map in 106 agreement as Chantry Farm. Demolition of existing buildings at the site. Erection of 28 retirement homes and 8 affordable homes.
Received : £17,250.00	Spending Officer - David Hyland. Money has been spent as follows: £3,000 paid to Westbourne Parish Council towards picnic tables and benches at Monks Hall and Mill Road play areas. £7,000 paid to the Parish Hall, Westbourne for acoustics, roof insulation, furniture and roller blinds at the Hall. £650 spent on electrics in Scout Hut - with remainder allocated to the Scout Hut. March 2014 Refurbishment works are underway.	
Remaining : £6,599.60		
Allocated : £6,599.60		
Spent : £10,650.40		
Expires : 27-Aug-14 *		

Public Art

CCN/05/00430/FUL - Shippams Factory (Roman Quarter) And Social Club East Street		Proposed Development
S106 Date : 03/03/2006		Shippams Factory and social club (Roman Quarter). Comprehensive mixed-use redevelopment, comprising of retail and residential accommodation, together with associated car parking landscape and highway works (after demolition of existing factory and former social club building). Phase N1: The social club site Phase N2: Retail and residential block Phase N3: Listed buildings Phase N4: Inland residential block Phase N5: Residential block facing East Walls
Received : £25,000.00	Spending officer – Lone Le Vay. Art work is now installed, this obligation is complete. Outstanding commissioning budget will be used to publish some leaflets explaining the artwork and/or maintenance if required.	
Remaining : £305.00		
Allocated : £0.00		
Spent : £24,695.00		
Expires : 07-Jun-15		

Chichester Harbour

CH/10/01013/FUL - Land at 30 The Avenue, Hambrook, Chidham 30 The Avenue		Proposed Development
S106 Date : 10/11/2010		Land at 30 The Avenue, Hambrook. Erection of 23 residential dwellings with associated garages and car parking, landscaping and highways work.
Received : £9,890.00	Spending officer – Tom Day. The Manhood Wildlife and Heritage Group is taking on some parts of the Graylingwell work directly so freeing up 1 day a week of Sarah Hughes' time for work on the three s106 agreements in the Bournes (Land North of Clay Lane, Fishbourne, Marshalls). The initial allocation of time has been a day a week on the Bournes. This will have to increase over time to ensure that the total from the agreements is spent in time.	
Remaining : £9,690.35		
Allocated : £0.00		
Spent : £0.00		
Expires : 14-Mar-16 *		

CCN/08/03533/OUT - Graylingwell Hospital College Lane		Proposed Development
S106 Date : 28/05/2009		A hybrid outline application for the comprehensive phased residential and mixed use regeneration and change of use for 750 market and affordable dwellings, care home, commercial accommodation within use classes B1, A1, A2, A3, A4, A5, D1, community facilities including use classes D1 and D2. A combined heat and power energy centre, car parking, public open space, sports pitches, art and culture strategy, landscaping, vehicular access and earthworks. Phase 1 fully detailed application for 110 new dwellings, a temporary sales centre/sports changing room to be converted to changing rooms and cafe later, 251sq m energy centre, associated SUDS and landscaping relating to the heart space.
Received : £270,000.00	Spending officer – Tom Day. Chi Harbour Interpretation; SPA; Education contributions. Progress on the mitigation project is monitored jointly with the Manhood Wildlife and Heritage Group through monthly Service Level Agreement meetings and is on track to spend the remaining sum by October 2015.	
Remaining : £39,936.00		
Allocated : £0.00		
Spent : £216,564.00		
Expires : 21-Oct-15		

FB/10/00994/FUL - Land North of Clay Lane		Proposed Development
S106 Date : 04/11/2010		Land North of Clay Lane. Erection of 50 residential dwellings with associated garages and car parking, landscaping and highway works.
Received : £21,500.00	Spending officer – Tom Day. The Manhood Wildlife and Heritage Group is taking on some parts of the Graylingwell work directly so freeing up 1 day a week of Sarah Hughes' time for work on the three s106 agreements in the Bournes (Land North of Clay Lane, Fishbourne, Marshalls). The initial allocation of time has been a day a week on the Bournes. This will have to increase over time to ensure that the total from the agreements is spent in time. Initial spending is from this s106 out of the three) as it has the closest re- payment date	
Remaining : £1,915.00		
Allocated : £0.00		
Spent : £18,510.00		
Expires : 13-Nov-15 *		

Expiry Date prior to 13/05/2014

Leisure

CCE/00/01073/FUL - Farrs Field, Swanfield Drive Swanfield Drive		Proposed Development
S106 Date : 06/09/2002		The erection of 54 no. 2 bedroom apartments, access roads and parking spaces (61 no. parking spaces).
Received : £25,000.00	Spending Officer - Sarah Peyman. The contribution was specifically for a bus shelter costing £25,000 and was paid in two instalments of £12,500 each. The first was paid in October 2001 and the final payment was made on 29th January 2008. The full amount has been allocated for spending on a bus shelter as part of an on-going building programme. 13/05/13 - WSCC are going to carry out the necessary consultation on the two proposed sites on Swanfield Drive at the rear of the Community Centre. Once this has been completed a report will need to be taken to Cabinet to approve the release of funding. 17/10/13 - Proposal for bus shelter has been approved but still awaiting permission via a licence from WSCC to go ahead and install. February 2014 - From the feedback it looks as if we can only proceed with one of the shelters. Without additional resources this will need to wait until April at the earliest. 12/05/14 Issues and Options paper being developed for CMT as bus shelter maintenance agreement is due to expire in June 2018 and currently the company will only provide costs for installation and maintenance up until that date. The paper will look at the ownership and ongoing maintenance from June 2018 onwards for existing bus shelters in addition to any new provision. Early discussions have also taken place with Chichester City Council about them taking on the responsibility for bus shelters in the city.	
Remaining : £25,000.00		
Allocated : £25,000.00		
Spent : £0.00		
Expires : 29-Jan-13 *		

Public Open Space

CCS/05/00876/FUL - St Georges Hall Cleveland Road		Proposed Development
S106 Date : 28/11/2005		St Georges Hall, Cleveland Road. Demolition of redundant hall and construction of 7 no. one bedroom flats and 3 no. two bedroom flats.
Received : £3,051.00	Spending Officer - Sarah Peyman. The contribution has been spent in Florence Park as follows: £2,567.25 - benches; 17/10/13 Remaining funds are being used to provide a new interpretation board at Whyke Amphitheatre. Amphitheatre illustration completed. Next steps; commission graphic design services, obtain scheduled monument consent, produce panel, fit to City Walls lectern frame and install.	
Remaining : £856.75		
Allocated : £0.00		
Spent : £2,194.25		
Expires : 02-Oct-11		

Appendix 5 - Current S106 Agreements by Ward showing Non-Financial Obligations for S106 Agreements attracting financial contributions

Ward - Bosham

CH/13/01093/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development
Land North Of The Willows Hambrook Hill South		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 19/11/2013	Yes	11				No

Proposal for 11 no. dwelling houses with associated garages, car ports and parking together with a new access road.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 4 Affordable Dwelling Units	Prior to Occupation of 4th Open Market Unit		High	

CH/09/04314/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Marshalls Site, Hambrook Broad Road		Proposed	Completed	Proposed	Completed	
S106 Date : 17/09/2010	No	86	36	35	14	Yes
Marshalls Site, Hambrook (Lion Park, Broad Oak): Redevelopment of former concrete products factory to a total of 86 dwellings (12 no. 1 bed flats, 18 no. 2 bed dwellings, 49 no. 3 bed dwellings and 7 no. 4 bed dwellings) and 2500sqm of B1 business employment use.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	35 AH to be provided.		Extra affordable housing fee may potentially be raised through sale of units (see 18/07/12 Committee agenda for info)		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 8 Affordable Dwelling Units.	Prior to first occupation of 13th Open Market Unit	Completed.		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 17 Affordable Dwelling Units.	Prior to first occupation of 26th Open Market Unit	Awaiting occupation levels from Taylor Wimpey.		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide remaining Affordable Dwelling Units.	Prior to first occupation of 40th Open Market Unit	Awaiting occupation levels from Taylor Wimpey.		

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Provide Landscape Management Plan. Obtain written approval.	Prior to Operative Date	Landscape Plan approved though questions about responsibility.		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Provide Railway User Parking Spaces.	Prior to occupation of 20th dwelling.	Completed		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	POS to be at least 0.12 hectares.				
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Pedestrian Routes. Obtain written approval	Prior to Operative Date.			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	SUDS. Obtain written approval.	Prior to Operative Date.	SUDS Approved.		

CH/13/01398/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Brooklands Green Lane		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 23/01/2014	Yes					No
Redevelopment of commercial site to provide live/work unit comprising 1 no. 3 bedroomed dwelling with kitchen, family room and living areas combining as showrooms; central office/reception area; and attached commercial unit for use as a joinery store/workshop for Timboo. (Resubmission of CH/13/00062/FUL).						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	To give notice to CDC of the date of commencement of the development.	Prior to commencement		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	The 3 bed dwelling to be used as residential accommodation only by the Manager and family (as Manager of the workshop/joinery)			Not Applicable	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Not to sell, lease, assign, transfer, let, sub let, share possession or otherwise deal with the 3 bedroom and the joinery/workshop other than as a whole.			Not Applicable	

CH/12/04778/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Land West Of Broad Road Broad Road		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 04/03/2014	Yes	28		11		No

Construction of 28 no. dwellings, new vehicular access, open space and other ancillary works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Written notification of the name of the Registered Provider.	Prior to Commencement		Low	
Affordable Housing	Provide 11 Affordable Dwelling Units			High	
Public Art	To commission : A suitable piece of art, to be approved by the Council, by an artist approved by the Council.	On or before Commencement of the Development.		Low	
Other	Provide one SPA Welcome Pack to each Residential Unit	Before First Occupation.		Low	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	Notify the Council of the Commencement Notice.	Prior to Commencement		Low	

Ward - Bury

EL/09/03800/FUL	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
Seaford College, Petworth The Drive	No	19				Yes
S106 Date : 16/12/2009						

Seaford College. Construction of 19 no. houses with associated parking, access and landscaping preceded by demolition of 13 no. houses, 15 no. flats, existing accommodation block and squash courts/gym building and revocation of planning permissions EL/3/67 (for 6 no. houses) and EL/03/02257/FUL (78 no. bed boarding accommodation).

Assoc applications including this one:
 EL/09/03261/FUL - boarding block for 78 students
 EL/09/03818/FUL - new sports facility
 EL/09/03800/FUL - construction of 19 houses

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Landscaping scheme for the Communal Area	Prior to commencement.			
Other	Submit to CDC the maintenance provisions for the Communal Area.	Prior to First Occupation of First Dwelling constructed under the Third Permission (EL/09/03800/FUL - construction of 19 houses)	Landscaping of former accommodation block has been approved, but case officer not sure if this has been carried out yet.		
Other	Traffic reduction plan for existing Seaford College related traffic.	Within 6 months of commencement of any of the 3 associated apps	Travel Plan has been agreed.		

EL/09/03261/FUL		Capital Scheme?	Total Housing		Affordable Housing		Development
Seaford College, Petworth The Drive			Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 16/12/2009		No					Yes
<p>Seaford College. Proposed new boarding block for up to 78 no. students, together with staff accommodation, following revocation of planning permission EL/03/02257/FUL for a two storey block for up to 80 no. students, plus staff accommodation and the demolition of an existing boarding block (The Johnson Building).</p> <p>Assoc applications including this one: EL/09/03261/FUL - boarding block for 78 students EL/09/03818/FUL - new sports facility EL/09/03800/FUL - construction of 19 houses</p>							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Landscape Management Plan	Prior to commencement - landscaping scheme for the Communal Area						
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Within 6 months of commencement of any of the above apps - traffic reduction plan for existing Seaford College related traffic						
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Prior to occupation of 15th dwelling - provide and lay out Communal Area						
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Prior to First Occupation of First Dwelling constructed under the Third Permission (EL/09/03800/FUL - construction of 19 houses) - submit to CDC the maintenance provisions for the Communal Area.						

EL/09/03818/FUL		Capital	Total Housing		Affordable Housing		Development
Seaford College, East Lavington The Drive		Scheme?	Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 16/12/2009		No					No
<p>Seaford College. Demolition of existing squash courts and gym and construction of new sports facility comprising swimming pool, squash court, gym and changing facilities alongside existing sports hall.</p> <p>Assoc applications including this one: EL/09/03261/FUL - boarding block for 78 students EL/09/03818/FUL - new sports facility EL/09/03800/FUL - construction of 19 houses</p>							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Prior to occupation of 15th dwelling - provide and lay out Communal Area						
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Prior to First Occupation of First Dwelling constructed under the Third Permission (EL/09/03800/FUL - construction of 19 houses) - submit to CDC the maintenance provisions for the Communal Area.						
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Ensure future maintenance of Communal Area - possibly transfer Communal Area to a management company						

Ward - Chichester East

CCE/08/00554/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Portfield Football Ground, Chichester Church Road		Proposed	Completed	Proposed	Completed	
S106 Date : 06/07/2010	No			40		No

Portfield Football Ground, Church Road. Residential development and associated off site works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	40 Affordable Dwelling Units	Prior to 1st Occupation of the 20th Open Market Unit		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Obtain written approval for Scheme.	Prior to commencement High the Lavant Enhancement			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Enhanced junior football pitch and ancillary facilities to be completed to the satisfaction of the Council.	Prior to 1st Occupation of any Dwelling Unit.		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide and lay out open space land.	Prior to 1st Occupation of the 60th dwelling unit		Low	

CCE/10/05597/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land At Kingsmead Avenue		Proposed	Completed	Proposed	Completed	
S106 Date : 23/11/2012	No	43		17		No

Outline application for 43 no. market and affordable dwellings, associated car parking, open space and landscaping.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Water Efficiency Measures - achieve an overall efficiency of 97.5 litres per person per day			Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 17 Affordable dwelling units			High	

CCE/07/04583/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Bartholomews Holdings Limited Bognor Road		Proposed	Completed	Proposed	Completed	
S106 Date : 21/12/2007	No	51		20		No
Land at Bartholomews. Residential development. 51 proposed units						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 20 AH units on site.	Prior to First Occupation of 30th Open Market Unit		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	POS landscape management plan	Prior to Operative date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Layout and prep of Open Space Land	Prior to First Occupation of 26th Dwelling Unit		Medium	

CCE/12/00680/OUT		Capital	Total Housing		Affordable Housing		Development
Land Adjacent To Homebase Barnfield Drive		Scheme?	Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 12/06/2013		Yes					No
Outline planning application for the redevelopment of former quarry and landfill site by the erection of non-food retail units (6,039 sq. m), external garden centre, kiosk (A1/A3), car parking and access together with creation of new landscaped riverside park.							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Maintenance Scheme	Submit for approval the Linear Park Maintenance Scheme	Prior to occupation of the development		Medium			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Provide the Linear Park	Prior to occupation of the development		High			

Ward - Chichester North

CCN/10/03490/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Roussillon Barracks Broyle Road		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 24/02/2011	No	252	50	101	13	Yes

Redevelopment of part of the Roussillon Barracks site to form a new community for 252 new dwellings.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 101 affordable homes.			High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Written approval of Management Plan (incorps Landscape Mgmt/Boundary Walls/Travel Plans and Car Club).	Prior to 1st occupation	Approved.	Medium	01/01/2012

CCN/08/03533/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Graylingwell Hospital College Lane		Proposed	Completed	Proposed	Completed	
S106 Date : 28/05/2009	No	750	170	295	72	Yes
<p>A hybrid outline application for the comprehensive phased residential and mixed use regeneration and change of use for 750 market and affordable dwellings, care home, commercial accommodation within use classes B1, A1, A2, A3, A4, A5, D1, community facilities including use classes D1 and D2. A combined heat and power energy centre, car parking, public open space, sports pitches, art and culture strategy, landscaping, vehicular access and earthworks.</p> <p>Phase 1 fully detailed application for 110 new dwellings, a temporary sales centre/sports changing room to be converted to changing rooms and cafe later, 251sq m energy centre, associated SUDS and landscaping relating to the heart space.</p>						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	The Temporary Changing Facilities (in effect the sports pavilion building permitted under CC/11/01283/FUL). Linden Homes currently in breach of agreement. Discussions currently being held with Linden Homes to resolve issues.				
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Interim Greenspace and Greenspaces.				
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Various other non-financial obligations, dependent on various triggers. Document containing these held on the network.				

CCN/13/01302/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Former Chichester District Museum		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 30/01/2014	Yes					No
Conversion of former District Museum to residential use comprising 5 no. 2-bedroom flats.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Maintenance Scheme	Council to approve a Maintenance Plan in respect of the Cobbled Area (to include details of the Improvement Works, long term management responsibilities and maintenance schedules of the Cobbled Area and a timetable for implementation of the works).	Prior to Operative Date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Maintenance Scheme	Carry out the Improvement Works in accordance with the Maintenance Plan.	Prior to First Occupation of any Dwelling Unit		Medium	

CCN/13/03113/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land North of 20 Otway Road		Proposed	Completed	Proposed	Completed	
S106 Date : 08/04/2014	Yes	17		6		No
The erection of 17 dwellings (12 houses and 5 flats) with associated access road, car parking and landscaping on land associated with former MOD site Roussillon Barracks.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Written notification of the name of the Approved Body.	Prior to Commencement		Medium	
Affordable Housing	Provide 6 Affordable Dwelling Units (2 Shared Ownership Units and 4 Affordable Rented Units)	Prior to First Occupation of 7th Open Market Unit.		High	
Public Art	To commission a suitable piece of art, to be approved by the Council, by an artist approved by the Council by First Occupation.	On or before First Occupation.		Medium	
Open Space Land	Obtain approval of a Landscape Management Plan in respect of the Open Space Land.	Prior to Operative Date.		Low	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide and layout the Open Space Land.	Prior to First Occupation of any Dwelling Unit.		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Obtain approval of the Council to a Boundary Walls Plan in respect of the Barracks Boundary Walls.	Prior to First Occupation		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Maintain the Barracks Boundary Walls in accordance with the Permission and the Boundary Walls Plan.	Ongoing		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Ensure the future maintenance of the Barracks Boundary Walls in accordance with the Boundary Walls Plan.	Ongoing		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Notify the Director (of the Council) of who is to take over responsibility.	In the event of any change in the person or persons responsible for the maintenance of the Barracks Boundary Walls		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	Commencement of development.	Notify the Council not less than 14 days before the event.		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	Notification of the Occupation of any Dwelling Unit.	Notify the Council not less than 14 days before the event.		Medium	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	Notification of the Occupation of the 7th Open Market Dwelling Unit.	Notify the Council not less than 14 days before the event.		Medium	

Ward - Chichester South

CCS/12/00106/FUL	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
The Regnum Club 45A South Street	No	9		1		Yes

S106 Date : 01/11/2012

Change of use and redevelopment of the existing buildings, providing 9 no. residential flats.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide one Low Cost Dwelling Unit		Building work commenced	High	

CCS/10/02034/FUL		Capital Scheme?	Total Housing		Affordable Housing		Development
The Heritage Winden Avenue			Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 28/02/2013		Yes	92		56		Yes
Proposed development of 92 no. dwellings comprising 36 no. open market dwellings (14 no. 1 bed apartments and 15 no. 2 bed apartments and 7 no. houses) and 56 no. supported housing apartments (42 no. 1 bed apartments and 14 no. 2 bed apartments) with associated communal spaces, new landscaped public courtyard and communal garden.							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Affordable Housing	Provide the 56 Age Restricted, Phase 1 Affordable Dwelling Units on the Affordable Dwelling Land.	Prior to First Occupation of any of the Open Market Units		High			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	The Owner shall provide the Council information which the Independent reasonably requires for the purpose of the Viability Assessment	Operative Date	Completed. No AH commuted sum due. Info on Idox Feb 2013.	High	01/02/2013		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Landscape Management Plan	Approval of a Landscape Management Plan in respect of the Open Space Land.	Prior to the Operative Date		Low			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Maintenance Scheme	Construct Pedestrian Access.	First Occupation of any of the Open Market Units	Maintain in perpetuity.	Medium			

CCS/11/04456/OUT		Capital	Total Housing		Affordable Housing		Development
Former Chichester High School For Girls 24 Stockbridge Road		Scheme?	Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 02/03/2012		No					Yes
Alteration and extensions to existing Edwardian School building to facilitate change of use to an 88 room student hall of residence split into 18 flats (sui generis) with associated shared facilities and parking.							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Site Management Scheme to be submitted and approved by CDC in consultation with WSCC.	Prior to Occupation	Approved	High	08/04/2014		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Provide a First Occupation Notice to CDC and WSCC no less than 14 days before occupation.	Prior to First Occupation	First Occupation anticipated this September 2014	Medium			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Provide a Commencement Notice to CDC and WSCC	Not less than 14 days before commencement.	Completed	Low	26/06/2013		

CCS/13/00288/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Car Park The Woolstaplers		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 03/02/2014	Yes	16				No

Erection of 16 no. later living apartments with basement car parking. Access to the car park from access road off The Woolstaplers, Chichester.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	The Commencement of Development.	Not less than 14 days before		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Prior Notification	The first Occupation of any Dwelling.	Not less than 14 days before		High	

Ward - **Donnington**

D/12/04410/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land At Southfields Close		Proposed	Completed	Proposed	Completed	
S106 Date : 20/06/2013	Yes	112		45		Yes

112 Dwellings including 40% affordable, with associated access, landscaping and ancillary works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Landscape Management Plan	Prior to occupation of 56th Dwelling Unit			
Other	Management Company to be set up.			Medium	
Other	Off-site SPA Mitigation - CDC to approve off-site SPA Mitigation Scheme.	Prior to first occupation		High	
Management Plan	CDC to approve a Management Plan in respect of the SPA Mitigation Land	Prior to Operative Date		High	

Ward - East Wittering

EWB/12/03749/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Former Depot Site Piggery Hall Lane		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 20/03/2013	Yes	17		17		Yes

The development of 17 new dwellings and associated external works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 17 Affordable Dwelling Units		Houses are built, not occupied.	High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape	Submit a Landscape High Management Plan approved the LMP of the Open Space Land and Landscape Buffer.	Approved by the Council Management Plan in respect (The date the Development is Commenced)	Work in progress to before the Operative Date		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide and layout the Open Space Land and Landscape Buffer.	Prior to First Occupation of any Affordable Dwelling Unit on the Land	Not started (still in construction phase)	High	

EWB/12/02461/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Land North East Of Beech Avenue Beech Avenue		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 04/06/2013	Yes	50		20		No

Construction of 50 residential dwellings, new vehicular access, open space and other ancillary works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide the first 10 Affordable Dwelling Units.	Prior to First Occupation of any OMUs.		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Public Access Route (to access Open Space Land).	Maintain in perpetuity.		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Public Art	To commission a suitable piece of art to be approved by the Council to a value of not less than the Public Art Contribution (£17,510).	On or before First Occupation.		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	CDC to obtain written approval of a Landscape Management Plan in respect of the Open Space Land.	Prior to Operative Date.		Low	

EWB/13/01493/FUL	Capital	Total Housing		Affordable Housing		Development
Royal Oak, Stocks Lane Stocks Lane	Scheme?	Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 30/01/2014	Yes					No
Demolition of existing buildings, erection of supermarket with associated, car park, new access, hard and soft landscaping.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	To commission a suitable piece of art to be approved by the Council by an artist, for external display at the site in a location approved by the Council.	On or before First Occupation		Medium	

Ward - **Fishbourne**

FB/09/02431/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Salthill Road, Fishbourne Salthill Road		Proposed	Completed	Proposed	Completed	
S106 Date : 30/11/2010	No	20		8		No
Salthill Road, Fishbourne. Residential development comprising 20 no.dwellings and associated works, landscaping and open space and car parking.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide all 8 Affordable Housing Units	Prior to 1st occupation of 7th Open Market Unit		High	
Open Space Land	Plant Hedgerow/provide and layout Open Space	Prior to 1st occupation of 11th Dwelling Unit		Medium	
Landscape Management Plan	Written approval for Landscape Mgmt Plan/Details of Cycleway and location of Fire Hydrant (WSCC)	Prior to Operative Date		Low	

FB/10/00994/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land North of Clay Lane		Proposed	Completed	Proposed	Completed	
S106 Date : 04/11/2010	No		50		20	Yes

Land North of Clay Lane. Erection of 50 residential dwellings with associated garages and car parking, landscaping and highway works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 10 affordable units.	Prior to occupation of 14th open market unit.		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Play Area	Preparation and equipping of play area	Prior to occupation of 40th dwelling unit.		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	SUDS certificate	Prior to occupation of last dwelling unit		High	

FB/13/02278/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land East Of Follis Gardens		Proposed	Completed	Proposed	Completed	
S106 Date : 25/02/2014	Yes	25		10		No

Outline application for the erection of 25 dwellings with new access from Clay Lane.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Written notification of the name of the Approved Body.	Prior to Commencement.		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 10 Affordable Dwelling Units.	Prior to Occupation of 5th Open Market Unit.		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	CDC to approve an SPA Welcome Pack.	Prior to First Occupation of any Dwelling Unit.		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Supply the SPA Welcome Pack.	Upon First Occupation		Low	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Obtain approval of a Landscape Management Plan in respect of the Open Space Land and Landscape Buffer.	Prior to Operative Date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Buffer	Provide the Landscape Buffer and ensure future maintenance .	Prior to First Occupation of any Dwelling Unit		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide the Open Space Land and ensure future maintenance.	Before First Occupation of 13th Dwelling Unit		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	Provide evidence to Council for future maintenance of SUDS.	Prior to First Occupation of the First Dwelling Unit		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Notification to the Council regarding potential connection to waste water main.	Prior to Commencement		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	If not possible then: Design and construct a Foul Water Drainage System to the approval of the statutory water undertaker.	Prior to First Occupation		High	

Ward - Harting

HT/10/05065/FULNP	Capital Scheme?	Total Housing		Affordable Housing		Development
Clarefield Copse, Nyewood Dumpford Lane		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 30/03/2011	No					No
Stockman's dwelling to replace temporary stockman's dwelling (revised siting).						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Demolish temporary herdsman's dwelling (to include base, foundations, resulting debris)	Within 6 Mths of completion of development or within 12 months from date of agreement		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Not to erect, re-erect or position any building or structure (mobile or fixed) for use as dwellinghouse/residential use with exception of proposed development in accordance with the permission.			Medium	

Ward - Lavant

LV/11/03912/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Hunters Rest, Lavant Road Lavant Road		Proposed	Completed	Proposed	Completed	
S106 Date : 03/01/2013	No	24		9		No
Erection of 24 dwellings, including 2 x one bed flats, 6 x two bed houses, 7 x three bed houses and 9 x four bed houses with ancillary car parking, landscaping and public open space.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 9 Affordable Dwelling Units.	Prior to First Occupation of 7th Open Market Unit		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Submit to the Council and obtain written approval of the Council to a Landscape Management Plan in respect of the Open Space Land.	Prior to Operative Date (the date the Proposed Development is Commenced)		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	To obtain a written certificate as to the satisfactory completion of the construction of the SUDS.	Prior to First Occupation of the first Dwelling Unit		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Submit to the Council and obtain written approval of the Council to a Wildlife Relocation Plan in respect of the Wildlife Relocation Areas.	Prior to Operative Date		Low	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide the Open Space Land	Prior to First Occupation of the first Dwelling Unit		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Provide the Wildlife Relocation Areas in accordance with Wildlife Relocation Plan	Prior to First Occupation of the 7th Open Market Unit		High	

WH/04/01070/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land West Of Devils Rush (former Apollo Garage site) Stane Street		Proposed	Completed	Proposed	Completed	
S106 Date : 12/01/2005	No		18		6	Yes
Residential development of 7 no. houses and 12 no. flats.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 6 AH units (or 30% of total no of dwellings granted permission to be AH) on site.	Prior to occupation of 10 Open Market Dwellings	Provided. When?		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Bus shelter to be erected.	Prior to First Occupation	Completed. When?		

WH/12/02360/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development
Maudlin Nursery Stane Street		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 14/05/2013	Yes	100		40		No

Outline application for a community extension comprising of 100 new homes, including 40% affordable accommodation, a village hall, a village green and a restaurant / public house (Class A3/A4), with associated access, parking, amenity space and landscaping.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Affordable Dwelling Units 40%			High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Approve Landscape Management Plan	Prior to Operative Date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Provide Village Green	Before first Occupation		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide Open Space Land			Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Pub/Restaurant site			Medium	

Ward - Midhurst

MI/08/03823/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Holmbush Caravan Park The Fairway		Proposed	Completed	Proposed	Completed	
S106 Date : 06/02/2009	No	85		34		No

Holmbush Caravan Park. Residential development comprising 13 no. one bed flats, 42 no. two bed flats, 2 no. two bed houses, 22 no. three bed houses and 6 no. four bed houses (including 40% affordable housing).

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 34 Affordable Dwelling Units.	Prior to First Occupation of 21 Open Market Units		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Submit Landscape Management Plan in respect of POS	Prior to Operative Date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape	Layout POS including prep, High Management Plan	Prior to Operative Date topsoil and planting.			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	POS to be completed	Prior to First Occupation of any Dwelling Unit.		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	SUDS completion certificate	Prior to First Occupation of any Dwelling Unit.		High	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Appoint Estate Management Company responsible for SUDS	Prior to First Occupation of any Dwelling Unit.		High	

MI/11/01180/FULNP	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
The Grange Leisure Centre Bepton Road						
S106 Date : 20/12/2012	Yes	16		8		No

Erection of 16 no. new dwellings with private parking and landscaping.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	CDC to notify SDNPA with details of Registered Provider	Before commencement		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	CDC to provide 8 Affordable Dwellings Units (5 shared ownership and 3 affordable rented units)	Prior to first occupation of 3 Open Market Units		High	

Ward - **North Mundham**

NM/12/04780/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land East Of Palmer Place Lagness Road		Proposed	Completed	Proposed	Completed	
S106 Date : 27/11/2013	Yes	15		15		Yes

Development of 15 affordable residential units, (11 houses and 4 flats) with associated car parking, cycle storage, waste storage, large gardens and communal green space.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 15 Affordable Dwelling Units			High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	To give notice to the Council of the Operative Date	Not less than 14 days before such date.	Notification letter from Hyde for Commencement	Low	20/03/2014
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Written approval to a Landscape Management Plan in respect of the Open Space Land and Landscape Buffer.	Prior to Operative Date	Work in progress with approval of LMP	Medium	

O/11/05283/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development
Land On The North Side Of Shopwhyke Road		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 09/08/2013	Yes	500				No

Urban extension comprising a residential development of 500 dwellings within a parkland setting together with employment redevelopment and associated vehicular, cycle and pedestrian access, drainage and landscape, community facilities, elderly care village, localised retail units, major new public open spaces.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Council to approve the Sub Phase Affordable Housing Scheme for that Sub Phase. Each Sub Phase to contain 30% to 40% affordable housing.	Prior to commencement of each Sub Phase.		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Provide the Community Building and make available for Community Use. Provide such other Community Facilities as may have been approved pursuant to the Community Facilities Scheme.	Prior to occupation of more than 475 dwelling units		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	CDC to approve the Sports Pitches Specification.	Prior to occupation of 400th dwelling unit		High	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Not to occupy and Dwelling Units on the relevant Phase until the Open Space and Play Area Specification for the Phase has been approved in writing by CDC. (CDC to inspect the Areas)	Occupation of the relevant Phase		High	

O/13/02674/FUL	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
Land North Of Gribble Lane	Yes	11		11		No
S106 Date : 16/10/2013						
Eleven affordable dwellings with associated landscaping and car parking. (Resubmission of O/13/00992/FUL).						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 11 Affordable Dwelling Units			High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	CDC to approve Landscape Management Plan in respect of Landscape Areas and Landscape Buffer	Prior to Operative Date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Buffer	Provide and layout the Landscape Areas and Landscape Buffer	Prior to First Occupation		High	

Ward - Petworth

PW/11/02717/FULNP	Capital Scheme?	Total Housing		Affordable Housing		Development
The Court House And Courtlea Rosemary Lane		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 16/02/2012	No	9				No
Demolition of existing vacated courthouse and adjacent nursing home. Provision of a residential courtyard development of 9 x 2 bedroomed houses in total comprising a terrace of 5 houses and 2 semi detached.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	To retain and preserve the Wall in perpetuity			Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Maintain Public Access Land (for public to gain access to the Wall)			Low	

TL/SDNP/12/00304/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Land at Upperton Farm		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 05/02/2014	Yes					No

Replacement of existing dwelling and attached annex.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	1. Buildings on land within Existing Domestic Curtilage (edged blue on plan) shall be demolished and land returned to pasture.	Within 3 months of 1) Substantial Completion or 2) Occupation, whichever is sooner.		Low	
Other	2. Any parking spaces present on land edged blue shall be removed and shall not be re-instated.	Prior to the date the Proposed Development is Commenced.		Low	
Other	3. Two parking spaces to be provided within New Domestic Curtilage in area edged red on plan	n/a		Low	
Other	4. The Farmhouse and proposed annex to be constructed within New Domestic Curtilage	n/a		Medium	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Obligations 1-4 to be completed before First Occupation	Before First Occupation		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Various restrictions on Occupation	n/a	Ongoing	Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	The annex to be used only for purposes ancillary to the use of the Farmhouse as a dwelling and not as a separate unit of accommodation	n/a	Ongoing	Low	

Ward - Plaistow

LX/07/05855/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Hall Hurst Farm, Loxwood		Proposed	Completed	Proposed	Completed	
S106 Date : 05/03/2008	No		20		8	Yes

Hall Hurst Farm, Loxwood, Billingham, West Sussex, RH14 0SA. Construction of 20 residential units with associated works, public car park, landscaping, POS and equipped childrens' play area.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 8 Affordable Dwelling Units.	Prior to occupation of 6 Open Market Dwellings	Completed - the units have been handed over and let.		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Play Area	Provide Equipped Play Area.	Prior to First Occupation of First Dwelling Unit			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Provide POS.	Prior to First Occupation of First Dwelling Unit			

PS/12/00285/FUL		Capital	Total Housing		Affordable Housing		Development
Kings Copse Loxwood Road		Scheme?	Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 07/11/2012		No					Yes
Demolition of existing chalet bungalow and construction of replacement 2 storey 5 bedroom detached dwellinghouse. PS/13/00780/FUL permitted with S106 (Relocation of permitted replacement dwelling)							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Either, To demolish the Existing Dwelling and clear debris from Property	Within 1 month of substantial completion of the Replacement Dwelling	20/03/14 Construction underway	Low			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Or, Demolish the Existing Dwelling and clear debris from Property.	Within 18 months of Commencement of the Development		Low			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Whatever shall be sooner: Discontinue use of the land edged green on the Plan as garden land/domestic curtilage and return the said land to a paddock. Thereafter, not to erect outbuildings on the said land without first obtaining Planning Permission from the Council;	From the date of the demolition of the Existing Dwelling		Low			

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Or: Commence use as a domestic curtilage the land not built upon within the area edged red on the Plan in conjunction with use and enjoyment of the Replacement Dwelling	From the date of the demolition of the Existing Dwelling		Low	

Ward - Selsey North

SYN/03/01154/COU	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
The Ferry Yard, Selsey Chichester Road	No					No
S106 Date : 02/11/2004						

The Ferry Yard. Following demolition of building 3, change of use of building 1,2,5 and 6 to B1 (C) B2 or B8 and use of building 7 to B8. Use of eastern part of this site for open storage.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	To demolish to ground level and remove all debris resulting from the Old Buildings no 1,2,5,6 & 7 on Plan 2 - these are the buildings being given Change Of Use permission under this application.	Prior to any building operation being undertaken pursuant to the Existing Consents	Case officer specified monitoring to be every 2 years. Next check 18/11/13		
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	No building or engineering to be undertaken prior to demolition and removal of the Old Buildings.	Prior to demolition and removal of the Old Buildings.	Case officer specified monitoring to be every 2 years. Next check 18/11/13		

SYN/11/04954/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Park Farm Park Lane		Proposed	Completed	Proposed	Completed	
S106 Date : 07/12/2012	No	50		20		No

Park Farm, Selsey: Outline application for 50 dwellings, access, landscaping and associated works

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 20 Affordable Dwelling Units			High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Submit to the Council and obtain written approval to a Landscape Management Plan in respect of the Open Space Land	Prior to Operative Date		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide the Open Space 45th Dwelling Unit	Prior to First Occupation of High Land and the Play Area		the	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Submit to the Council a written report setting out the Ecological Mitigation Measures and a proposed timeframe for their	On or before the Operative Date		Medium	

SYN/12/00706/FUL		Capital	Total Housing		Affordable Housing		Development
Sessions House, Selsey 22 High Street		Scheme?	Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 23/05/2012		No					No
Sessions House, Selsey: Reinstate and refurbish listed building following fire with some minor alterations and demolition in order to create 2 no. dwellings. Residential development to rear providing 3 no. dwellings and new access to the north with highway improvements.							
Non Financial Information							
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	Part demolition, refurbishment and creation of 2 dwellings within the existing building at 22 High Street	First Phase	Work not started				
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	The construction of 3 new dwellings to the rear of the building at 22 High Street.	Second Phase					
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date		
Other	The Proposed Development of the Second Phase shall not be commenced until the First Phase has been completed.						

Ward - Sidlesham

HN/12/02692/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Land at Northmark Foxbridge Drive		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 22/03/2013	Yes	18		7		Yes

Erection of 18 dwellings (including 7 affordable dwellings).

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 7 Affordable Dwelling Units	Prior to occupation of 5th Open Market Unit		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Submit to the Council and obtain the written approval of the Council to a Landscape Management Plan in respect of the Landscape Buffer	Prior to the Operative Date	Received, but under negotiation between developer and CDC.	Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Lay out the Landscape Buffer	Prior to the occupation of the 15th Dwelling Unit		High	

SI/11/00555/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Berryrose Garden Cottage Chichester Road		Proposed	Completed	Proposed	Completed	
S106 Date : 10/11/2011	No					Yes
Berryrose Garden Cottage - Proposed replacement dwelling, garage and associated external works.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	To demolish the Existing Dwellinghouse outbuildings (including concrete bases and foundations shown blue on the attached plan and remove all materials and debris resulting from such demolition from the land - BC to carry out Building control inspections until the new house is completed.	Within one calendar month of the substantial completion of the Proposed development or within one calendar month of first occupation of the Proposed Development or within one calendar year of the Operative Date whichever is the earlier	Construction is under way for the new dwelling. Building Control are carrying out inspections until it is completed.	Low	

Ward - Southbourne

SB/12/03205/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Land at Prinsted Court Longlands Road		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 13/02/2014	Yes	20		20		No

Provision of 20 no. new residential dwellings with associated landscaping and parking for affordable rent and shared ownership on site of a former sheltered housing development. Accommodation comprises 14 no. family houses and 6 no. flats.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 20 Affordable Dwelling Units	n/a		High	

SB/13/02966/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land East Of Manor Way		Proposed	Completed	Proposed	Completed	
S106 Date : 08/01/2014	Yes	10		10		Yes
Demolition of existing garages and construction of 10 affordable homes, comprising 2 three-bed houses, 4 one-bed flats and 4 two-bed flats, with parking provision and improved vehicular access.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	CDC to receive written notification of the name of the Approved Body for its approval except where the Approved Body is the owner.	Prior to Operative Date			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 10 Affordable Dwelling Units	N/A			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Management Plan	Submit for approval of the Council a Management Plan in respect of the Amenity Land, Landscape Buffer and Allotments.	Prior to Operative Date.			
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Provide and lay out the Amenity Land, Landscape Buffer and Allotments.	Prior to First Occupation of any Affordable Dwelling Unit			

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	Give notice to the Council of the Operative Date.	Not less than 14 days before such date (Commencement Notice).	Notification sent by email	Low	03/04/2014

SB/13/01179/FUL	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
Land West Of Garsons Road	Yes	5		5		Yes

S106 Date : 15/01/2014
Demolition of existing garage block and construction of 2 no. one-bed flats and 3 no. three-bed houses with landscaping and parking.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 5 Affordable Dwelling Units	n/a		High	

SB/12/04701/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development
Land West Of Garsons Road		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 06/02/2014	Yes	70				No
Development of a 60 bed care home (comprising cafe, hairdresser, treatment room, shop and cinema) 40 assisted living units, 30 age-restricted cottages for occupation by the over 55's, access, sustainable drainage measures, allotments, structural landscape planting and associated works.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide the Affordable Dwelling Units on the Affordable Housing Land.	Prior to Occupation of 5th Open Market Unit		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	CDC to approve a Landscape Management Plan in respect of the Open Space Land, Landscape Buffers and Landscape Areas in that Phase.	As part of the REM application, in respect of a Phase.		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Open Space Land	Provide and layout the Open Space Land, Landscape Buffers and Landscape Areas.	Prior to first Occupation of the relevant Phase.		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	CDC to approve a maintenance scheme for the SUDS.	As part of any REM application, for any Phase.		High	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Public Art	To commission a suitable piece of art, approved by the CDC to a value not less than the Public Art Contribution.	On or before First Occupation of any Assisted Living Unit or Age Restricted Unit.		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	The first occupier of every Assisted Living Unit, Affordable Housing Unit and Care Home Unit shall be provided with a Chichester Harbour Information Pack	No later than 1 week after Occupation.		Low	

Ward - Stedham

CK/12/00120/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Land to the rear of The Croft		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 07/01/2013	No	18		18		Yes

SDNP - Demolition of existing garages and flats to the North of The Croft on land owned by Hyde Martlet, and redevelop the site to provide 18 new affordable homes, including off-site parking and enclosing an area of off-site amenity space.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide of 18 affordable dwelling units			High	

Ward - Tangmere

TG/11/00640/EXT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Former Airfield Hanger Area (Aviation Museum) Gamecock Terrace		Proposed	Completed	Proposed	Completed	
S106 Date : 11/10/2011	No	160		64		No

Land To North East Of Tangmere Military Aviation Museum - Former Airfield Hanger Area, Gamecock Terrace. Known as former Grain Stores, Churchwood Drive, Tangmere. Mixed use redevelopment with access from Meadow Way and including land for community use, 160 dwellings and ancillary car parking, open space and landscaping.

Extension of Permission (DoV): 11/00640/EXT. S106 dated 11/10/2011
Original application: TG/08/01390/OUT. S106 dated 17/11/2008.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 64 Affordable Dwelling Units on the land	Prior to the last 4 Open Market Units reaching practical completion		High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Landscape Management Plan re POS and Landscaping Belt.	Prior to Operative Date		Medium	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Play Area	POS, Landscaping Belt, Play Area.	Prior to First Occupation of 81st Dwelling Unit		High	

TG/11/04058/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
RAF Tangmere City Fields		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 08/08/2012	No	11		4		No

Conversion of existing Block 116 former RAF barracks building to 11 self contained flats.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 4 Affordable Housing Units	Prior to First Occupation of the 6th OMU		High	

TG/12/01739/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Land On The East Side Of Meadow Way Meadow Way		Proposed	Completed	Proposed	Completed	
S106 Date : 02/10/2013	Yes	59		23		No
Outline planning permission for development of the site comprising 59 residential units, associated public open space, landscaping, access and car parking.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 23 Affordable Dwelling Units.	Prior to Occupation of 50% of Open Market Units.		High	
Other	Commission a suitable piece of art to a value not less than the Public Art Contribution Value.	On or before First Occupation		Low	
Landscape Management Plan	CDC to approve Landscape Management Plan in respect of Landscape Buffer.	Prior to Operative Date		Medium	
SUDS	CDC to approve a Maintenance Scheme in respect of the SUDS (may include a Management Company.)	Prior to Operative Date		Medium	

Ward - West Wittering

BI/12/04147/OUT	Capital Scheme?	Total Housing		Affordable Housing		Development
Land At Tawny Nurseries Bell Lane		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 19/11/2013	Yes	30		12		No

Residential development up to 30 dwellings including new access road, parking and associated garaging, open space and play area (incorporates 12 affordable dwellings).

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Written notification and approval of the name of the Approved Body	Prior to Commencement		Medium	
Affordable Housing	Provide 12 Affordable Dwelling Units.	Prior to 9th Occupation of any of the Open Market Units.		High	
SUDS	CDC to receive written first Dwelling Unit satisfactory completion of the construction of the SUDS.	Prior to First Occupation of High certificate as to the		the	
SUDS	Written evidence to CDC that the future maintenance of the SUDS is assured (maybe in the form of a Management Company).	Prior to First Occupation		High	

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
SUDS	Construct the SUDS to written satisfaction of CDC.			High	

BI/12/00475/FUL	Capital Scheme?	Total Housing Proposed	Total Housing Completed	Affordable Housing Proposed	Affordable Housing Completed	Development Commenced
Land at Chichester Yacht Basin Chichester Marina	No					Yes
S106 Date : 28/06/2012						
Demolition of three workshops/sheds for the comprehensive redevelopment of the South-West area of the marina comprising four purpose built buildings including marine related workshops, offices, storage, reprovion and extension of the retail (chandlery) and a cafe/restaurant together with an additional 23 car parking spaces, boat parking and storage and appropriate landscaping.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Public Art	Commission a suitable piece of art to be approved by CDC to a value of not less than the Public Art Contribution Value (£11,410)	On or before First Occupation	26/02/14 Specification agreed with Frances Lord. (Premier Marinas Limited)	Medium	

BI/13/01391/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Field North West Of The Saltings Crooked Lane		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 29/11/2013	Yes	15		15		No

The development of 15 new affordable dwellings and associated external works.

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Affordable Housing	Provide 15 Affordable Dwelling Units			High	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Provide SPA Welcome Pack	First Occupation		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	CDC to obtain written approval of a Landscape Management Plan in respect of the Open Space Land, Landscape Area and Landscape Buffer	Prior to Operative Date		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Landscape Management Plan	Provide and layout the Open Space Land, Landscape Area and Landscape Buffer.	Prior to First Occupation		Medium	

BI/13/03105/P3JPA	Capital Scheme?	Total Housing		Affordable Housing		Development Commenced
Premier Marinas Limited Chichester Marina		Proposed	Completed	Proposed	Completed	
S106 Date : 27/09/2013	Yes					No
Change of use of office building to residential use. (Class B1 (a) to Class C3).						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	Operative Date	Give notice not less than 14 days after the occurrence.		Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Commencement Notice	First occupation	Give notice not less than 14 days after the occurrence.		Medium	

Ward - Wisborough Green

KD/11/05210/FUL	Capital Scheme?	Total Housing		Affordable Housing		Development
Foxleigh Farm Staples Hill		Proposed	Completed	Proposed	Completed	Commenced
S106 Date : 06/11/2012	No					Yes
Replace existing disused farm shop building with new building to be used as two holiday lets in connection with Foxleigh farmhouse.						

Non Financial Information

Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	Restrictions on use: The Annex shall only be used and occupied Either as ancillary accommodation to the Existing Property; or As Holiday Lets in connection with the Existing Property	In perpetuity.	The development is currently under construction	Low	
Obligation Type	Obligation	Trigger	Delivery	Risks	Completion Date
Other	The Existing Property and the Annex shall not be divided by the Owners or allowed to be so divided by any fence, wall or other boundary either temporary or permanent and the Existing Property and the Annex shall remain as part of the same curtilage in perpetuity.	In perpetuity.	The development is currently under construction	Low	

Progress Report – Audit Plan

Appendix 1

As at 31st May 2014

Audits	Auditor	No of Days	Days Remaining	Position with Audit
Customer Services Centre - Customer Care	Stephen James	20	20	
Contract Compliance - Assurance Testing	Sarah Hornsby	10	10	
Income Management	Sue Shipway / Sarah Hornsby	30	9	Testing
Key Financial Controls	Sue Shipway / Ann Kirk / Julie Ball	30	30	
Data Collection - How do we treat data	Sarah Hornsby / Ann Kirk / Julie Ball	40	37	
Budgetary Control	Ann Kirk / Julie Ball	15	15	
Trade Waste	Sue Shipway	15	15	
Post Implementation Testing - FMS - CIVICA	Sue Shipway / Sarah Hornsby / Ann Kirk / Julie Ball	40	36	Background
Community Wardens	Sarah Hornsby	10	10	
Council Tax	Sue Shipway	15	15	
NNDR	Sarah Hornsby	15	15	
Cash Management (Banking Arrangements & Collection)	Sue Shipway	20	20	
CRB Checks	Julie Ball	10	10	
Audits	Auditor	No of Days	Days Remaining	Position with Audit
Complaints Customer Care	Ann Kirk / Julie Ball	5	2	Testing
Business Continuity	Sarah Hornsby	10	10	
Emergency Planning	Sue Shipway	15	15	
Procurement	Sue Shipway	15	15	
Carry Forwards	Stephen James / Sue Shipway	10	9	
Other Audit Activities	Auditor	No of Days	Days Remaining	Position with Audit
Audit Reviews	Stephen James	10	4	
Chichester Contract Services Quality Audits	Stephen James	20	20	
Corporate Advice	Stephen James / Sue Shipway / Ann Kirk / Julie Ball	10	9	
Contingency	Stephen James / Sue Shipway / Ann Kirk / Julie Ball	84	80	
Partnership & AGS	Stephen James	20	17	On-going
AGS Evidence	Stephen James	10	6	On-going
Key Financial Controls	Ann Kirk / Julie Ball	50	39	
PSIAS	Stephen James	20	18	On-going
Individual Service Risk Register & Corporate Risk Register	Stephen James	10	10	
Internet & E-mail	Julie Ball	5	5	
Performance Standard	Ann Kirk / Julie Ball	15	15	
NFI	Ann Kirk	20	15	
Mileage	Sarah Hornsby	10	9	Testing
Follow Ups	Ann Kirk / Julie Ball	20	19	
Completed Audits				
Fraud Review	Sue Shipway	0	0	

Strategic three year plan by risk 2014-15 (Year 1) to 2016-17 (Year 3)						H = 3	M = 2	L = 1	
Risk Factor		Annual	Auditor	Duration (Days)	Comments	Risk	Value	Complexity	Total
1	Partnership Review / Annual Governance Statement	Annual	SJ	20	Review of Partnership arrangements. Is the partnership achieving what it set out to achieve. Allocation of cost and resources.	N/A	N/A	N/A	N/A
2	Annual Governance Evidence	Annual	SJ	10	To compile evidence to support the Annual Governance Statement.	N/A	N/A	N/A	N/A
3	Public Sector Internal Audit Standard	Annual	SJ	20	To evaluate the effectiveness of Internal Audit and that it continues to comply with the standard.	N/A	N/A	N/A	N/A
4	Key Financial Controls	Annual	SH/AK/ JB	45	To undertake testing of the key controls on the main financial systems of the council.	L	H	H	9
5	NFI	Annual	AK/ JB	20	To review the information from data matches which have been undertaken. And that appropriate action has been taken.	N/A	N/A	N/A	N/A
6	Internet & Email Monitoring	Annual	AK/ JB	5	Experience has shown by monitoring staff they are complying with the communications policy.	M	L	L	2
7	Performance Standards	Annual	AK/ JB	15	Outturns with possible inclusion of targets and local indicators. Recent resource outlay due to incomplete information submitted by service areas. Testing the original source of the data for the original performance indicators.	L	L	L	1
8	Mileage	Annual	SH	10	Mileage checks are undertaken on a quarterly basis. There will be changes relating to VAT.	M	L	L	2
9	Quality Audits - Chichester Contract Services	Annual	SJ	20	To undertake Quality Audits across all services at the Depot.	N/A	N/A	N/A	N/A
10	Car Parks	Annual	AK/ JB	18	Processing PCN's and complaints from customers.	H	H	M	18
11	Income Management	Annual	SS/ SH	15	To ensure that reconciliations continue to be carried out.	M	H	M	12
12	Housing Benefits	Annual	AK/ SH/ JB	15	To test as per Key Financial Controls	M	H	H	18
13	Customer Service Centre	Year 1	SJ	20	To look at the arrangements dealing with and recording customer queries and how they are dealt with.	L	H	M	6
14	Contract Compliance Assurance Testing	Year 1	SH	10	Select sample of contracts and check that Financial Regulations have been complied with.	M	H	M	12
15	Data Collection	Year 1	SH/AK/ JB	40	How do we treat Data.	M	L	L	2
16	Budgetary Control	Year 1	AK/ JB	15	New CIVICA system.	M	H	M	12
17	Trade Waste	Year 1	?	15	Key Risks will be picked up as part of Reconciliation and Debt Recovery Reviews.	M	H	M	12
18	Post Implementation Testing - FMS - CIVICA	Year 1	SS/AK/ JB/ SH	40	To check that the controls are present and working.	M	H	M	12
19	Community Wardens	Year 1	SH	10	Health & Safety, lone working, safe guarding of assets, leased vans and vehicles, are they achieving their objectives, performance management ? CRB checks, Grant funding.	M	L	L	2
20	Council Tax	Year 1	?	15	Last audited 2011 - 2012.	L	H	M	6
21	NNDR	Year 1	SH	15	Last audited 2011 - 2012.	L	H	M	6
22	Cash Management	Year 1	?	20	Banking arrangements and collection with Coin Co.	H	H	L	9
23	Farmers Market	Year 1	?	10	Review Governance Arrangements.	L	L	L	1
24	CRB Checks	Year 1	JB	10	To ensure compliance with employment regulations.	M	L	L	2
25	Complaints - Customer Care	Year 1	AK	5	To ensure that they are logged and dealt with within the timescale allowed.	L	L	L	1
26	Business Continuity	Year 1	SH	10	Services have business continuity plans in place and arrangements have been tested.	H	L	M	6
27	Emergency Planning	Year 1	?	15	Verify that the appropriate plans are in place and tested where necessary for the district.	H	L	M	6
28	Procurement	Year 1	?	15	Check that Contract Standing orders have been complied with.	M	H	M	12

Risk Factor		Annual	Auditor	Duration (Days)	Comments	Risk	Value	Complexity	Total
29	Pest Control	Year 2		20	Mileage, time management-rotas of work, record keeping-benchmarking, information given to public, security of chemicals, value for money, review contracts covering costs, lone working-chemicals in vans, notices of no value in vans. Performance related pay.	M	M	M	8
30	Customer Accounts (Debtors)	Year 2		15	Audit undertaken 2010/11.	L	H	M	6
31	Licensing	Year 2		15	Alcohol and Gambling.	L	M	M	4
32	Economic Development	Year 2		15	Review working arrangements of Economic Development	L	L	M	2
33	Facilities Management/Caretaking	Year 2		20	Lone working, use of vehicles including drivers logs, out of hours-call outs. Track-It call analysis response times for requests. Security arrangements, are they responsible for escorting people out of the building. Reception, Caretakers, all buildings, fittings and fixtures.	M	L	M	4
34	Private Hire and Taxis	Year 2		15	Public Safety, vehicle inspection regime and frequency and record keeping, identity checks. Costing and whether we are recovering costs.	M	M	M	8
35	Debt recovery	Year 2		20	All services follow the Councils Debt Recovery procedures.	M	H	M	12
36	Codes of Practice Members and Employees	Year 2		15	To ensure that staff and Councillors are complying with their codes of practice. Completing the Gifts and Hospitality registers in line with the Local Government Acts 1972 and 2000.	L	L	L	1
37	Disabled Facilities Grant	Year 2		15	To ensure that there are adequate controls in place for the allocation of Disabled Facilities Grants.	M	H	L	6
38	Fixed Asset System	Year 2		10	To review the Fixed Asset System and that it is accurate and up to date.	L	L	H	3
39	Land Charges	Year 2		15	Is the information accurate and reliable.	M	L	M	4
40	Museum / TIC	Year 2		25	To review the arrangement for income and visitor usage.	M	L	M	4
41	MOTs	Year 2		10	To verify DVLA procedures are complied with.	M	L	L	2
42	Sports Development	Year 2		15	Review governance arrangements.	L	L	M	2
43	Payroll	Year 2		15	Review governance arrangements in light of new FMS.	L	H	M	6
44	CCTV	Year 2		15	Data Protection. Freedom of information Coverage. Security.	L	L	M	2
45	Food Safety	Year 2		15	Audited externally by Foods Safety Agency. Review procedures to ensure compliance with legislation	H	L	M	6
46	Value for Money	Year 2		10	To undertake a selection of Value for Money studies.	N/A	N/A	N/A	N/A
47	Project Management	Year 2		10	To check that PRINCE2 or similar methodologies are being employed to manage all projects.	M	H	M	12
48	Rent Deposit Scheme Review	Year 2		10	WRAP system. Review the system.	L	M	M	4
49	Members Services	Year 2		10	Review governance arrangements.	L	L	L	1
50	Dog Control	Year 2		10	Review governance arrangements.	M	L	L	2
51	Building Services	Year 2		15	Review the arrangements for the letting of small contracts and that they are in accordance with Contract Standing Orders.	M	H	M	12
52	Westgate / Southbourne / Midhurst	Year 3		20	Review governance arrangements.	M	H	M	12
53	Health & Safety Inspections	Year 3		10	Ensure inspection records are maintained for relevant services and that they are adequate.	H	M	M	12
54	Personnel	Year 3		15	To include recruitment and statistical data.	M	L	M	4
55	Community Careline	Year 3		15	A high staff turnover exists, and the system is becoming more electronically enabled with government targets. Review business plan.	H	M	M	12
56	Grants	Year 3		15	To review the Grants awarded by the Council and ensure respected paperwork been completed and is it reported to Committee.	L	M	L	2
57	Investments	Year 3		15	To ensure governance arrangements are in place	M	H	H	18
58	Cemeteries	Year 3		10	Revenue, maintenance and health & safety are potential risks. The topple testing is a five year programme. Still not computerised and loss of key staff and knowledge, a risk.	M	M	L	4
59	Development Management	Year 3		15	To review the arrangements for the Development Management Team and arrangements with SDNP.	M	H	M	12

Risk Factor		Annual	Auditor	Duration (Days)	Comments	Risk	Value	Complexity	Total
60	Equalities	Year 3		10	Compliance with new legislation, impact assessment.	L	L	M	2
61	Grounds Maintenance/Parks and Open Spaces	Year 3		15	Review governance arrangements.	L	M	L	2
62	Westward House	Year 3		15	Review governance arrangements.	H	M	L	6
63	Elections	Year 3		15	Review governance arrangements.	M	M	H	12
64	Business Improvement District	Year 3		10	Review governance arrangements.	M	M	L	4
65	Energy Usage / Efficiency	Year 3		20	Review governance arrangements.	L	M	M	4
66	Consultants Review	Year 3		10	Report due to CGAC. Review the use of Consultants within the council.	M	M	M	8
67	Choice based lettings	Year 3		25	Use of Locata system, Home Visits and Monthly Magazine.	M	L	M	4
68	Planning Enforcement	Year 3		20	Fees and charges. Enforcement - consistency across the Council. Working relationship with South Downs National Park.	M	L	H	6
69	Health & Wellbeing	Year 3		10	Review governance arrangements.	M	M	M	8
70	Service Reviews	Year 3		15	To undertake an inspection of individual Service Reviews.	H	H	H	27
71	S106 / CIL (Community Infrastructure Levy) Review	Year 3		10	To review S106 / CIL applications made in individual parishes and that a response has been sent to Development Management.	H	H	H	27
72	Security of Assets	Year 3		15	Are assets protected and insurance adequate for the security. Security of council premises. Inspection regimes. Schedules and asset register list.	M	H	L	6
73	Safety Inspection - Zurich	Year 3		20	That the council is maintaining its plant and machinery and that it accords with the requirement of the council's insurers.	H	M	M	12
74	Community Engagement / Development	Year 3		15	Review governance arrangements.	L	L	L	1
75	Community Safety	Year 3		10	Review governance arrangements.	M	L	L	2
76	Data Protection/Freedom Of Information Review	Year 3		15	Collating statistic and ensuring compliance with regulations including CoCo.	L	L	M	2
77	Property/Estates and Shops	Year 3		20	Industrial estates and shops, rent reviews, property portfolio managed effectively and inspection regimes. Review Income Management and Debt Recovery.	M	H	L	6
78	Building Control	Year 3		15	Building Control to ensure that inspections are undertaken in a timely manner, that they are collecting the fees and that these are reconciled to the main accounting system, that revenue is being monitored.	M	M	M	8
79	Archaeology & Heritage	Year 3		10	Review governance arrangements.	L	L	M	2
80	Arts Development / Funding	Year 3		10	Review governance arrangements.	L	L	M	2
81	Foreshores	Year 3		10	Review governance arrangements.	M	L	L	2
82	Environmental Protection / Coastal Management / Land Drainage	Year 3		15	Review governance arrangements.	H	M	M	12
83	Housing Options / Investments / Enabling	Year 3		15	Review governance arrangements.	M	H	M	12
84	Street Naming & Numbering	Year 3		10	Review governance arrangements.	L	L	L	1
85	Public Conveniences	Year 3		10	Review governance arrangements.	L	M	L	2
86	CCS Waste / Street Cleaning	Year 3		15	Review governance arrangements.	M	H	L	6
87	Planning Policy incl Design & Implementation	Year 3		10	Review governance arrangements.	H	L	H	9