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Uttlesford District Council

Chief Executive: Dawn French

Cabinet

Date: Thursday, 26th September, 2019

Time: 5.00 pm

Venue: Committee Room - Council Offices, London Road, Saffron Walden,
Essex CB11 4ER

Leader and Chair: Councillor J Lodge

Members: Councillors A Armstrong, H Asker, D Eke, P Fairhurst,
A Gerard, N Hargreaves, P Lees, B Light and L Pepper

Other attendees: Councillors S Barker (Conservative Group Leader), A
Dean (Liberal Democrat Group Leader) and R Pavitt
(Uttlesford Independent Group Leader);
N Gregory (Chair of Scrutiny Committee) and E Oliver
(Chair of Governance, Audit and Performance Committee)

Public Speaking

At the start of the meeting there will be an opportunity of up to 15 minutes for members of the public to ask questions and make statements subject to having given notice by 12 noon two working days before the meeting. A time limit of 3 minutes is allowed for each speaker. Please refer to further information overleaf.

AGENDA PART 1

Open to Public and Press

1 Apologies for Absence and Declarations of Interest

To receive any apologies for absence and declarations of interest.

2 Minutes of the Previous Meeting

5 - 12

To consider the minutes of the meeting held on...

3 Questions or Statements from Non-Executive Members of the Council (standing item)

To receive questions or statements from non-executive members on matters included on the agenda.

4 Matters Referred to the Executive by the Scrutiny Committee or by the Council (standing item)

To consider matters referred to the Executive for reconsideration in accordance with the provisions of the Overview and Scrutiny Procedure Rules or the Budget and Policy Framework Rules.

5 Consideration of reports from overview and scrutiny committees (standing item)

To consider any reports from Scrutiny Committee.

6 Report of Delegated Decisions taken by Cabinet Members (standing item)

To receive for information any delegated decisions taken by Cabinet Members since the previous Cabinet meeting.

7 Report on Assets of Community Value Determined by the Assets of Community Value and Local Heritage List Committee (standing item)

To receive for information any decisions made by the Assets of Community Value and Local Heritage List Committee since the previous Cabinet meeting.

Approved at the meeting on 19 August 2019:

- Felsted Memorial Hall
- Adult Community Learning Venue and Essex Cares Ltd Day Centre, Saffron Walden

8 Budget Outturn 2019/20 - Qtr. 1 Forecast 13 - 32

To consider the report on the Budget Outturn 2019/20 – Qtr.1 Forecast.

9 Saffron Walden Museum Collections Development Policy 2020-2025 33 - 72

To consider the Saffron Walden Museum Collections Development Policy 2020-2025.

10 Corporate Plan Delivery Plan 2019/20 Quarter 1 Progress Update 73 - 92

To consider the Corporate Plan Delivery Plan 2019/20 Quarter 1 Progress Update.

11 Establishment of an Energy and Climate Change Working Group 93 - 96

To consider the establishment of an Energy and Climate Change Working Group, following the motion passed at Council requesting the creation of such a group.

12 Commercial Strategy (to follow)

To consider the revised Commercial Strategy 2019-23.

13 Appointment to Working Groups 97 - 98

To consider appointments to the Energy and Climate Change Working Group and the Investment Steering Group.

14 Aspire (MRH) Ltd (to follow)

To consider establishing a wholly owned subsidiary of the Council, the proposed Articles of Association and the appointment of directors of the subsidiary.

PART 2

Exclusion of Public and Press

15 Loan to Aspire (MRH) Ltd (to follow)

To consider a loan to Aspire (MRH) Ltd to purchase 10 student accommodation units in Cambridge.

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Agenda Item 2

CABINET held at COMMITTEE ROOM - COUNCIL OFFICES, LONDON ROAD, SAFFRON WALDEN, ESSEX CB11 4ER, on MONDAY, 15 JULY 2019 at 7.00 pm

Present: Councillor J Lodge (Chair)
Councillors A Armstrong, H Asker, D Eke, P Fairhurst, B Light and L Pepper.

Officers in attendance: D French (Chief Executive), B Ferguson (Democratic Services Officer), R Harborough (Director – Public Services), A Knight (Assistant Director – Resources), S Pugh (Assistant Director – Governance and Legal Services) and A Webb (Director – Finance and Corporate Services).

Also present: Councillors S Barker (Leader of the Conservative Group), M Foley (Representing the Liberal Democrat Group) and R Pavitt (Leader of Uttlesford Independents); Councillor N Gregory (Chair of the Scrutiny Committee).

Public Speaker: Mr Hockley.

CAB17 **PUBLIC SPEAKING**

The Chair welcomed Members and the public to the meeting. He invited Mr Hockley to make his statement.

Mr Hockley addressed Cabinet regarding an issue with the Waste Centre in Great Dunmow. A summary of his statement has been appended to these minutes.

The Chair said the problem was unacceptable and would be investigated. He said the Council would be in contact once the situation had been reviewed.

CAB18 **APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST**

Apologies for absence were received from Councillor Hargreaves and Lees, Councillor Dean as Leader of the Liberal Democrat Group and Councillor Oliver as Chair of the Governance, Audit and Performance Committee.

Councillor Foley represented the Liberal Democrat Group in the absence of Councillor Dean.

The Chair declared non-pecuniary interests in relation to item 14 as he was a trustee of Saffron Hall and his wife worked for Uttlesford Volunteer Centre. Both organisations were beneficiaries of UDC's grant scheme.

CAB19 MINUTES OF THE PREVIOUS MEETING

The minutes of the previous meeting were approved as a correct record.

CAB20 CONSIDERATION OF REPORTS FROM OVERVIEW AND SCRUTINY COMMITTEES (STANDING ITEM)

Councillor Gregory said the Scrutiny Committee had established working groups to undertake reviews of the Council's planning obligations and the handling of major planning applications. He said that no substantive work would be undertaken whilst the Stansted Airport planning application remained outstanding. Furthermore, he had written to the Director – Public Services regarding a potential breach of the Constitution during the planning process.

CAB21 BUDGET OUTTURN - 2018/19

Councillor Fairhurst, Portfolio Holder for Investments, presented the report summarising the 2018/19 Outturn position. He highlighted the following:

- General Fund: The net operating expenditure for the 2018/19 final outturn was £2,874,000. The final outturn for the overall net budget position was £5,009,000, with a net underspend of £322,000 against the revised budget of £5,330,000.
- Housing Revenue Account (HRA): £55,000 net operating deficit, due to a reduction in rents income, an increase in service and facility charges and difficulty in recruiting staff for housing repairs. However, allowing for transfers in earmarked reserves left an overall in year surplus of £13,000.
- Capital Programme: £10,581,000 underspend, however after allowing for slippage requests of £11,034,000 there was a net actual overspend of £183,000.
- Slippage: Key items where slippage had occurred included the New Depot Site, Vehicle Replacement, Superfast Broadband and HRA developments.

Councillor Barker thanked officers for the outturn report. She asked two questions:

What is the income from Chesterford Research Park (CRP) to the District Council in the last two financial years and what is the projected income for the current financial year?

What was the balance of the Strategic Initiative Reserve as of 31 March 2019 and, in light of advice received following Full Council on 28 June, had the Administration frozen this reserve?

In response to questions from Councillor Barker, the Assistant Director – Resources said the net income generated by CRP in 2017/18 was £1.476 million and £1.914 million in 2018/19. The projected net income for 2019/20 was

£1.7million, and for 2020/21 this would increase to £2 million due to Building 60 going online. She said a breakdown of projected net income would be provided at a later date.

The Director – Finance and Corporate Services said the Strategic Initiative Reserve stood at £2.16 million on 31 March 2019, although £500,000 had been granted in the interim to the Carver Barracks running track project and therefore the reserve stood at £1.66 million. Following the decision of Full Council on 28 June to refer the Stansted Airport planning application back to the Planning Committee, he had advised the Administration in his capacity as Section 151 Officer not to commit any further funds from the reserve until the financial implications of the decision had been quantified.

The Chair said the advice of the Section 151 Officer had been noted by the Administration.

In response to a question from Councillor Light, the Assistant Director – Resources provided a breakdown of the council's income and expenditure streams. She said income was made up of government funding, new homes bonus, business rates retention, fees & charges, investment income and council tax. Expenditure related to direct service delivery, staffing costs, the capital programme, grants and the maintenance of property and the motor fleet. She said the majority of figures could be found in the Summary Analysis in appendix A but a breakdown of service income and expenditure could be provided in due course.

In response to a question from Councillor Foley, the Chair said the new Administration was comfortable with the Investment Strategy and, having taken a closer look at the figures since taking control of the Council, were encouraged by what they had seen.

Councillor Fairhurst said the real issue was the lack of governance arrangements and structure surrounding the council's investments. He said officers were working with the new Administration to establish an Investment protocol and an Investment Board. An update would be provided in due course.

RESOLVED to:

- a. Approve the 2018/19 outturn position as set out in this report
- b. Approve the reserve transfers and reserve balances set out in the report, in paragraph 17 and 18 for the General Fund and paragraph 22 for the Housing Revenue Account
- c. Approve the Capital Programme slippage requests as detailed in paragraph 24

Councillor Fairhurst presented the report summarising the background to the Local Council Tax Support (LCTS) Scheme, as well as proposals for 2020/21. He said the Council's LCTS scheme would continue to protect the vulnerable and elderly in the district, and added that the council had the lowest percentage contribution rate within Essex.

RESOLVED to approve the following draft proposals to inform the Local Council Tax Scheme consultation for 2020/21:

- I. The 2020/21 LCTS scheme is set on the same basis as the 2019/20 scheme and therefore the contribution rate is frozen for the fifth consecutive year.
- II. The Council continues to protect Vulnerable and Disabled Residents and Carer's on a low income.

CAB23 TREASURY MANAGEMENT OUTTURN 2018/19

Councillor Fairhurst presented the report on the Council's Treasury Management Outturn for 2018/19. He summarised the Council'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. He said total net borrowing as of 31 March 2019 was £102 million, which included loans relating to both the HRA and Aspire (CRP) Ltd.

In response to a question from Councillor Barker, the Assistant Director – Resources confirmed the minus two million figure in Table 3: Borrowing Position was a repayment of the HRA loan.

RESOLVED to to approve the 2018/19 Treasury Management Outturn (Appendix A) and associated prudential indicators (Appendix B).

CAB24 OFFICER WRITE OFFS - 2018/19

Councillor Fairhurst presented the report detailing officer decisions under delegated powers to authorise write offs in line with the Constitution and financial regulations. He said the total value of write offs for 2018/19 was £241,469. All of the monies written off had been through the council's recovery process and had proved to be unrecoverable or uneconomical to pursue.

The report was noted by Cabinet.

CAB25 APPROPRIATION OF LAND AT THAXTED ROAD SAFFRON WALDEN

The Chair presented the report on the appropriation of land at Thaxted Road for an affordable housing scheme.

RESOLVED to approve the appropriation of £1.02 million from UDC General Fund by the HRA for the development site in Thaxted Road Saffron Walden, subject to the granting of planning permission for an affordable housing scheme

CAB26 STATEMENT OF COMMUNITY INVOLVEMENT

The Chair presented the report on the Council's updated Statement of Community Involvement (SCI), a document explaining to the community how and when they could be involved in the planning policy process, and the steps that would be taken to encourage this involvement. The council's updated SCI had been sent out for consultation in early 2019 and considered by the Planning Policy Working Group (PPWG) on 19 March 2019. The group had recommended that Cabinet adopt the document subject to amendments outlined in the report.

Councillor Gregory raised the concerns of a resident who had accused the council of a 'lack of truthfulness' regarding the commissioning of AECOM to review the Sustainability Appraisal. He said there was a discrepancy between the appointment of AECOM to carry out the appraisal on 29 August and a payment to the company on 4 July. Furthermore, during the audio recording of the PPWG meeting on November 2018 it was stated that AECOM had begun work in June. This comment had not been corrected. He said a lack of transparency was at the heart of these concerns.

The Chair said there had been concerns at the Local Plan inspection in relation to the legality of the consultation, particularly with regards to the 'focused changes'. He said the issue of legal process would be left with the Inspector and the Administration would await the Inspector's feedback. In terms of the commissioning of the Sustainability Appraisal, he said AECOM had begun work in late June 2018, although Members were not made aware of this until October. He asked Cabinet whether this was an appropriate subject for Scrutiny to look at.

RESOLVED to:

- I. Adopt the amended Statement of Community Involvement appended to the report.
- II. To refer AECOM's commission to carry out the Sustainability Appraisal update to the Scrutiny Committee, in light of a comment received by a member of the public.

CAB27 GRANT SCHEMES AND AWARDS 2018/19

The Chair presented the report which set out the grant allocations for 2018/19. The total spend was £598,263 across various funding schemes.

Councillor Barker said it would be helpful if topic areas could be allocated to relevant portfolio holders for the purpose of clarity.

The report was noted.

CAB28 ESSEX COAST RECREATIONAL DISTURBANCE AVOIDANCE & MITIGATION STRATEGY (RAMS)

The Director – Public Services summarised the report which said that Natural England had identified the need for a strategic approach to understand the likely increased recreational impacts on scientific assets in Essex coastal areas, and to identify effective avoidance and mitigation measures. Eleven Essex Local Planning Authorities that were wholly or partly within the impact zone had worked with Natural England in preparing the Essex RAMS Strategy which aimed to mitigate bird and habitat disturbance from recreational activities. The implementation costs would be recovered through the planning process by applying a mechanism to secure developer contributions to fund measures identified in the Strategy.

In response to a question from Councillor Barker, the Chair said the scheme would only be relevant to the south of the district, primarily Felsted.

In response to a question from Councillor Barker, the Director – Public Services said a similar scheme could only apply to those sites which had been granted European status. Hatfield Forest and the Flich Way had not be granted European status but Natural England were looking at the potential for a similar scheme to be applied to Hatfield Forest.

The Chair proposed to accept the recommendations.

A seconder was not found. The scheme was not adopted.

CAB29 APPOINTMENT TO MUSEUM MANAGEMENT WORKING GROUP

Cabinet considered Councillor Gregory's appointment to the MMWG.

RESOLVED to appoint Cllr Gregory as a substantive member of the Museum Management Working Group.

CAB30 APPOINTMENT TO THE ASSETS OF COMMUNITY VALUE AND LOCAL HERITAGE LIST COMMITTEE

The Chair deferred the appointment of a substitute to the Assets of Community Value and Local Heritage List Committee.

RESOLVED to defer the appointment of a substitute to the Assets of Community Value and Local Heritage List Committee.

The meeting ended at 8.00pm.

CAB31 **PUBLIC STATEMENT**

Mr Hockley

Mr Hockley said he lived near Great Dunmow Waste Transfer Centre and had suffered issues with odour and littering since 2015. He said the problem now was dustcarts dumping leachate on the road and then spreading it across a vast area of 400 yards or more. He said this was Uttlesford's responsibility and they should schedule a regular clean following the dustcarts movements. Furthermore, the council's response to his complaints was unsatisfactory and did not resolve the problem. He said this was an illegal act and said an anti-social behaviour order should be issued to the Council. He asked Cabinet to review the situation and to let him know how they intended to resolve it.

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Agenda Item 8

Committee:	Cabinet	Date:	Thursday, 5 September 2019
Title:	Budget Outturn 2019/20 - Qtr. 1 Forecast		
Portfolio Holder:	Portfolio Holder for Finance and Budget		
Report Author:	Angela Knight, Assistant Director - Resources aknight@uttlesford.gov.uk	Key decision:	N

Summary

1. This report details financial performance relating to the General Fund, Housing Revenue Account, Capital Programme and Treasury Management. It is based upon actual expenditure and income from April to June and predicts a forecast for the end of the 2019/20 financial year.
2. The General Fund is forecasting a £78,750 underspend, made up of small net variances in direct services and net reductions in capital financing.
3. The Housing Revenue Account is forecasting a net operating surplus of £112,000. After in year reserves adjustments this gives an overall budget surplus of £1,000.
4. The Capital Programme is forecasting a current year underspend of £3,151,000; this is due to requested slippage of £3,163,000 to be carried forward to 2020/21 for the Depot Relocation and Superfast Broadband. This leaves an actual underspend of £12,000.
5. Treasury management activity has been in accordance with the Strategy.

Recommendations

6. The Cabinet is recommended to approve the General Fund, Housing Revenue Account and Capital Programme outturn forecast position and the updated use of reserves

Financial Implications

7. Any financial implications are contained in the body of this report

Background Papers

8. No background papers have been referred to in the preparation of this report.

Impact

9.

Communication/Consultation	Budget Managers and Corporate Management Team
Community Safety	N/A
Equalities	N/A
Health and Safety	N/A
Human Rights/Legal Implications	N/A
Sustainability	N/A
Ward-specific impacts	N/A
Workforce/Workplace	N/A

General Fund Revenue Account

10. The net operating expenditure is £2,517,000 underspent and, after adjusting for the associated use of reserves, this gives an overall net underspend of £78,750. The following table provides a summary of the budget outturn and full details of service income and expenditure is shown in Appendix A.

£'000	2018/19	2019/20			
	Outturn	Original Budget	Current Budget	Forecast Outturn	Variance
Communities & Partnerships	778	895	853	1,281	428
Housing & Economic Development	1,485	1,792	1,792	1,823	31
Environmental Services	2,454	3,481	4,123	4,489	367
Finance & Administration	5,507	6,781	6,181	6,111	(70)
Portfolio (Service) Budgets	10,224	12,948	12,948	13,705	756
Corporate Items	(1,736)	(1,705)	4,031	816	(3,215)
Total Net Budget	8,487	11,243	16,979	14,520	(2,459)
Funding	(5,614)	(7,609)	(7,609)	(7,667)	(58)
Net Operating Profit	2,874	3,634	9,370	6,854	(2,517)
Transfers to/(from) Reserves	2,457	2,023	(3,713)	(1,275)	2,438
OVERALL NET POSITION	5,331	5,657	5,657	5,578	(79)

Budget Movements (original to current)

11. The original budget for 2019/20 approved by Council on 25 February has been updated and this is reflected in the current budget. The adjustments related to the following items:

- Services (Portfolio's) – No changes to the budget total for services. Revenue funding currently held in the Corporate Team and Planning Policy budgets for expenditure relating to Garden Communities will be allocated to a new cost centre. The total budget movements are £909,000, this will now all be managed and reported within Garden Planning (GPP), the budget virements are as follows:
 - £600,000 from Corporate Team for Garden Communities delivery
 - £309,000 from Planning Policy for Development Plan Document preparation
- Capital Financing – the increase in the current budget from the original of £5,736,000 is the financing of the capital programme slippage brought forward from 2018/19 as approved at July Cabinet.

Service (Portfolio) Variances

12. The services budget is predicting a net overspend of £756,000; after adjusting for the associated reserves movements the actual variance in direct services is a net underspend of £83,410.
13. The table below gives a summary of the under and overspends related to each portfolio service area. The table also identifies whether these are for one year only or expected to continue in future years (ongoing) and the reserves movements directly associated to service activities. Further details of the reserves movements can be found in paragraph 23.

	Savings/Additional Income		Increased costs/Decreased Income		Other Immaterial	Total Net Variance
	One off savings	Ongoing savings	One off Growth	Ongoing Growth		
Communities & Partnerships	(78,000)	(38,300)	520,000	37,170	(12,882)	427,988
Housing & Economic Development	(259,240)	0	286,810	0	3,886	31,456
Environmental Services	(356,160)	(149,550)	748,210	104,150	20,209	366,859
Finance & Admin	(137,990)	(1,608,896)	78,590	1,599,426	(1,063)	(69,933)
Total Service Variances	(831,390)	(1,796,746)	1,633,610	1,740,746	10,150	756,370
Use of reserves						
Grants & Contributions			(500,000)			
Private Finance Initiative	48,000					
Homelessness	125,220					
Communications			(43,000)			
Development Control			(25,000)			
Garden Communities			(285,000)			
Planning Policy			(160,000)			
Actual Service Variances net of reserves	(658,170)	(1,796,746)	620,610	1,740,746	10,150	(83,410)

14. The key variances greater than £30,000 that are not funded through the use of reserves are detailed below:

- Building Surveying, £95,000 overspend - income has decreased due to reduced applications and this can be directly linked to the current housing market downturn
- Planning Policy, £55,000 – service restructure reduced staffing by 1 full time post
- Central Services, £33,000 underspend - staff vacancy
- Human Resources, £31,000 underspend – reduction in the cost of the Service Level Agreement with Essex HR

15. The variance of £3,215,000 in the Corporate costs relate to the following items:

- Capital Financing – the decreased cost of financing two capital projects, the New Depot Site and the Superfast broadband project, this has no bottom line budget impact as both these are funded directly from the reserves where there is a contra entry
- Investment Income/charges – the net increase of £220,000 (reduction in borrowing costs and increase in income) is due to the re-profiling of the additional loans to Aspire (CRP) Ltd

Post quarter end material change to the forecasted outturn position

16. This section reports on individual variances in excess of £100,000 that will have a material impact on the forecast outturn position.
17. An increase in the number of planning appeals means that the original appeals budget of £95,000 will need to be increased by £190,000 to £285,000.
18. Forecasting future appeals is difficult; this sum reflects the current position only. The budget will need to increase further if more appeals are submitted. The revised position, including forecast year end outturn (based on the actual number in the first six months) will form part of the quarter two outturn report which will be presented to Cabinet in November.

Key Risks

19. The outturn forecast is the most informed prediction we have at this point in time and is reliant on estimates and assumptions provided by service managers.
20. Detailed below are the areas which are deemed as **HIGH** risk and have the potential to materially affect our year-end financial position.
- **Planning** – The Stage 1 Local Plan Hearings concluded on 18 July and whilst there was nothing unexpected to arise from the sessions, there are a series of examination actions that must be completed ahead of the second stage. The Inspector has said that once everything from

Stage 1 has been reviewed they will write to the council with their initial findings and advice on the next steps. We expect this letter to be issued late September.

- **Business Rates Retention** - the total business rate income recognised in the Council's account is subject to change, due to the difficulty in estimating the year end business rate levy, realisation of appeals and the impact of revaluations carried out by the Valuation Office Agency (VOA). The Council is reliant on the VOA to release these figures and for UDC's consultant to assess the potential impact on the appeals provision at year end promptly. The actual position is not known until year end and it is difficult to estimate this during the year.
- **Housing Benefit Subsidy Income Claims** – due to the complexity of the subsidy claim, a change in number of claimants throughout the year and the high financial value of the subsidy income, even a small % change can have a significant impact on the budget. For example a 1% change to caseload can increase or decrease the bottom line by approximately £68k.

General Fund Reserves

21. The balance of all reserves at 1 April 2019 was £17,420,000, with a predicted net drawdown of £1,275,000 which leaves an estimated year-end balance of £16,144,000. The complete reserves position is set out in Appendix B.
22. Within 'all reserves' are usable reserves which had a balance of £13,033,000 at 1 April 2019 with a predicted net drawdown of £1,810,000, this leaves a year-end balance of £11,223,000.
23. The current budget had an estimated £3,713,000 net use of reserves; the current forecast shows a net reduction of £2,438,000 in the amount of reserves required in-year. The key changes in the reserves position relates to the following items:

Service Area	Amount £	Details of transfer
Grants & Contributions	(500,000)	Funds allocated for Carver Barracks grant
Private Finance Initiative	48,000	Income added to PFI reserve to manage future years deficits
Homelessness	125,220	Grant funds for future programme of work to support homelessness
Communications	(43,000)	Funds allocated to support the Citizen Access implementation
Development Control	(25,000)	Drawdown to cover reduction in S106 funds in year
Garden Communities	(285,000)	Drawdown of funds from MHCLG for DPD work
Planning Policy	(160,000)	Drawdown of funds for Local Plan activities following the hearing
Total movement to/(from) reserves	(839,780)	

Housing Revenue Account (HRA)

24. The HRA is forecasting a net operating surplus of £112,000. A detailed budget analysis is attached as Appendix C and the following table gives a summary of the key items of income and expenditure.

£'000	2019/20			
	Original Budget	Current Budget	Forecast Outturn	Variance
Total Service Income	(15,352)	(15,352)	(15,444)	(93)
Total Service Expenditure	4,491	4,491	4,446	(45)
Total Corporate Items	10,710	10,710	10,736	25
OPERATING (SURPLUS)/DEFICIT	(150)	(150)	(262)	(112)
Funding of Capital Programme from HRA	2,690	2,690	4,462	1,772
Use of Reserves	(2,539)	(2,539)	(4,200)	(1,661)
Total Use of Reserves/Funding	151	151	262	111
(SURPLUS)/DEFICIT	0	0	0	(1)

25. The key variance is additional service charge income of £93,000 due to Reynolds Court being completed and units being tenanted.

26. The planned funding of the capital programme from the HRA in the original budget was £2,690,000 and due to prior year slippage in the capital programme and higher costs than budgeted for in new build schemes, the current year funding requirement increased by £2,090,000.

27. The increased requirement of £2,090,000 is funded by £1,772,000 from the Capital Projects Reserve leaving a deficit balance on the HRA of £318,000. The HRA has allocated S106 affordable housing contributions (approved by Members in September 2018) of £212,000 to the Newton Grove and Frambury Lane projects. The remaining shortfall of £106,000 was covered by the Major Repairs Reserve to ensure the HRA budget remains balanced.

28. The HRA reserves position as at the 1 April 2019 is £3,042,000; after allowing for in-year forecast drawdowns on reserves of £2,200,000 leaving an estimated year-end balance of £842,000. Full details of all the reserves can be seen in Appendix D.

Capital Programme

29. The Capital Programme original budget was set at £11,772,000. After allowing for capital slippage from 2018/19 of £11,034,000 approved by Cabinet in the Budget Outturn report presented on 15 July, the updated current budget is

£22,806,000. Full details of the capital programme are shown in Appendix E; this includes the current Section 106 balances.

30. The total in year underspend is due to in year slippage of £3,163,000 and a minor net underspend of £12,000.
31. The reported slippage in 2019/20 to be carried forward to 2020/21 is due to the following projects:
- Depot Relocation, £2,563,000 – The depot planning application was submitted in the Spring. However a speculative application, to which the council is not a party, has been put in by a landowner promoting a different site as suitable for the council depot. Public consultation responses to one site reference the other and therefore it has been decided that both applications must go to the same Planning Committee meeting. The date of this meeting is yet to be confirmed but the delay will inevitably mean that, at best, the land will be acquired in the current year with build works starting in early 2020/21
 - Superfast Broadband, £600,000 – Gigaclear have announced that the completion of the rollout of full fibre broadband for Uttlesford has been delayed until December 2021

Treasury Management

32. Treasury Management Activities have been in accordance with the strategy. Full details of all the council's investments and borrowing is attached as Appendix F.
33. The average rates of interest in quarter 1:
- Investments short term – 0.55%
 - Borrowing short term – 0.75%
34. The council's long term investments relate to the loan to Aspire (CRP) Ltd for the purchase of the 50% share of Chesterford Research Park and the ongoing development of the park. The table below provides details of both the actual investments to date and future agreed amounts:

Drawdown Date	Amount	Term	Rate	Basis	Annual Interest receivable
03/05/2017	£47,250,000	50 years	4%	Interest Only	£1,890,000.00
26/03/2018	£223,000	49 years 1 months	4%	Interest only	£8,920.00
02/01/2019	£2,518,000	48 years 4 months	4%	Interest only	£100,720.00
20/08/2019	£3,000,000	20 years	4.50%	Principal and Interest	£78,750.00
TBC	£1,250,000	Ending on 20/08/39	4.50%	Principal and Interest	0

35. The additional funds to Aspire (CRP) Ltd are for the refurbishment and refit of the Newnham building.

36. The council has two long term loans

- General Fund, £10,000,000 with Phoenix Life Ltd as the first tranche of funding for the council's investment in Aspire (CRP) Ltd on an interest only basis. The fixed rate of interest of 2.86%, gives an annual interest payment of £286,000.
- Housing Revenue Account, £84,807,000 to fund the purchase of the council's housing stock; this is a mix of fixed and variable rate loans. The annual interest payment is £2,604,000 with a current annual principal repayment of £2,000,000.

Risk Analysis

37.

Risk	Likelihood	Impact	Mitigating actions
Actual income and expenditure will vary from forecast, requiring adjustments to budget and/or service delivery. Detailed risks are set out in paragraphs 16 - 20 in the main body of the report.	2 – some variability is inevitable	2 – budget will be closely monitored and prompt action taken to deal with variances	Budgetary Monitoring and monthly analysis of the financial position

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

General Fund Summary – 2019/20

£'000	2018/19 Outturn	April to June			2019/20			
		Current Budget	Actuals to Date	Variance to Date	Original Budget	Current Budget	Forecast Outturn	Forecast Variance to Current Budget
Portfolio Budgets								
Community & Partnerships	778	202	797	595	895	853	1,281	428
Housing & Economic Development	1,485	437	103	(334)	1,792	1,792	1,823	31
Environmental	2,454	581	515	(66)	3,481	4,123	4,489	367
Finance & Administration	5,507	1,672	1,370	(301)	6,781	6,181	6,111	(70)
Subtotal - Portfolio Budgets	10,224	2,892	2,786	(106)	12,948	12,948	13,705	756
Corporate Items								
Capital Financing Costs	1,704				1,892	7,628	4,633	(2,995)
Interest Charges	382				495	495	412	(83)
Investment Income	(1,971)				(2,119)	(2,119)	(2,256)	(137)
Impairment allowance	8				0	0	0	0
Pension Fund - Added Years	87				85	85	85	0
Corporate Core HRA Share	(374)				(366)	(366)	(366)	0
Recharge to HRA	(1,572)				(1,693)	(1,693)	(1,693)	0
Subtotal - Corporate Items	(1,736)				(1,705)	4,031	816	(3,215)
Subtotal - Budgets	8,487				11,243	16,979	14,520	(2,459)
Funding								
Council Tax - Collection Fund Balance	(14)				(67)	(67)	(67)	0
Business Rates - Collection Fund Balance	384				(941)	(941)	(1,052)	(111)
Business Rates - UDC Share (net of tariff)	(2,201)				(2,577)	(2,577)	(2,205)	372
Business Rates - Levy/(Safety Net) Payment	762				566	566	424	(142)
Business Rates - Section 31 Funding	(1,274)				(1,212)	(1,212)	(1,394)	(182)
Business Rates - Renewable Energy Schemes	(126)				(129)	(129)	(124)	5
Rural Services Delivery Grant	(279)				(279)	(279)	(279)	0
New Homes Bonus	(2,864)				(2,969)	(2,969)	(2,969)	0
Subtotal - Funding	(5,614)				(7,609)	(7,609)	(7,667)	(58)
Net Operating Expenditure	2,874				3,634	9,370	6,854	(2,517)
Transfer to/(from) Reserves								
Business Rates	280				941	941	1,052	111
Departments for Work and Pensions					0	0	0	0
Licensing	90				24	24	24	0
Capital Slippage	205				0	(1,173)	(569)	604
Working Balance	(49)				28	28	28	0
Medium Term Financial Strategy	336				0	0	0	0
Transformation	(9)				0	0	(43)	(43)
EU Exit	128				200	200	200	0
Funding	0				1,060	1,060	1,060	0
Contingency Reserves	0				0	0	0	0
Emergency Response	0				0	0	0	0
Economic Development	46				0	0	0	0
Elections	25				(55)	(55)	(55)	0
Homelessness	92				(20)	(20)	105	125
Health and Wellbeing	26				0	0	0	0
Planning and Development	(183)				(309)	(309)	(494)	(185)
Strategic Initiatives	0				0	0	(500)	(500)
Garden Communities	0				0	0	0	0
Development Projects	1,152				0	0	(285)	(285)
Pension Reserve	0				0	0	0	0
New Homes Bonus Ward Members	(16)				(16)	(16)	(16)	0
Voluntary Sector	0				0	0	0	0
Waste Depot Relocation Project	280				0	(4,563)	(2,000)	2,563
Waste Management	(14)				170	170	170	0
Private Finance Initiative	67				0	0	48	48
Subtotal - Movement in General Fund Reserves	2,457				2,023	(3,713)	(1,275)	2,438
COUNCIL TAX REQUIREMENT	5,331				5,657	5,657	5,578	(79)
Council Tax (precept levied on Collection Fund)	(5,330)				(5,657)	(5,657)	(5,657)	0
OVERALL NET POSITION	0				0	0	(79)	(79)

Community and Partnerships

Description	2018/19 Outturn	2019/20			
		Original Budget	Current Budget	Forecast Outturn	Variance Qtr.1
Community Information	48	47	47	48	1
Day Centres	67	73	73	69	(4)
Emergency Planning	1	26	26	26	0
Grants & Contributions	351	358	358	851	493
Leisure & Performance	67	83	41	41	(1)
Saffron Walden Museum	186	215	215	215	0
New Homes Bonus	96	78	78	78	0
Private Finance Init	(32)	15	15	(38)	(53)
Communities Partnership	0	0	0	0	0
Renovation Grants	(5)	0	0	(10)	(10)
Portfolio Total	778	895	853	1,281	428

Housing and Economic Development

Description	2018/19 Outturn	2019/20			
		Original Budget	Current Budget	Forecast Outturn	Variance Qtr.1
Building Surveying	(40)	(126)	(126)	(7)	118
Committee Admin	294	346	346	341	(5)
Customer Services Centre	379	451	451	453	2
Democratic Represent	324	361	361	361	0
Economic Development	225	265	265	265	(0)
Energy Efficiency	26	34	34	34	0
Health Improvement	119	155	155	155	(0)
Homelessness	89	234	234	111	(123)
Lifeline	(155)	(159)	(159)	(159)	0
Communications	224	229	229	270	40
Portfolio Total	1,485	1,792	1,792	1,823	31

Environmental Services

Description	2018/19 Outturn	2019/20			
		Original Budget	Current Budget	Forecast Outturn	Variance Qtr.1
Animal Warden	29	16	16	17	1
Grounds Maintenance	296	333	333	331	(3)
Car Park	(732)	(661)	(661)	(663)	(1)
Development Control	(499)	(241)	(245)	(226)	20
Depots	45	51	51	51	0
Garden Planning	0	0	909	1,194	285
Street Cleansing	411	403	403	422	19
Housing Strategy	50	54	54	54	0
Highways	(0)	4	4	4	0
Local Amenities	8	(12)	(12)	(12)	0
Licensing	(257)	(375)	(375)	(371)	4
Vehicle Management	496	477	477	472	(6)
Public Health	584	669	669	636	(33)
Planning Management	345	385	392	372	(20)
Planning Policy	437	1,334	1,022	1,101	79
Planning Specialists	145	151	151	146	(5)
Waste Management	578	363	363	393	29
Community Safety	235	286	328	322	(7)
Street Services	284	244	244	246	2
Portfolio Total	2,454	3,481	4,123	4,489	367

Finance and Administration

Description	2018/19 Outturn	2019/20			
		Original Budget	Current Budget	Forecast Outturn	Variance Qtr.1
Benefits Admin	224	301	301	298	(3)
Corporate Management	1,070	1,291	1,291	1,302	10
Conveniences	20	20	20	20	0
Central Services	449	444	444	399	(45)
Corporate Team	40	682	82	64	(17)
Conducting Elections	1	101	101	95	(6)
Electoral Registration	31	55	55	55	0
Financial Services	1,098	1,111	1,111	1,102	(9)
Housing Benefits	(243)	72	72	83	11
Human Resources	299	280	280	252	(29)
Internal Audit	126	139	139	143	4
Information Technology	1,362	1,402	1,402	1,419	17
Land Charges	(86)	(88)	(88)	(68)	20
Legal Services	186	179	179	175	(4)
Local Taxation	(108)	(90)	(90)	(100)	(10)
Non Domestic Rates	(144)	(144)	(144)	(146)	(2)
Office Cleaning	179	208	208	207	(1)
Offices	376	377	377	384	7
Revenues Admin	536	582	582	568	(14)
Council Tax Discounts	(150)	(141)	(141)	(139)	3
Portfolio Total	5,269	6,781	6,181	6,111	(70)

General Fund Reserves

Reserve	Balance	Forecast Transfer From	Forecast Transfer to	Forecast Transfer	Forecast Balance
£'000	1st April 2019	General Fund	General Fund	Between Reserves	31st March 2020
RINGFENCED RESERVES					
Business Rates	1,781	1,052			2,833
Departments for Work and Pensions	71				71
Licensing	90	57	(33)		114
Capital Slippage	1,171		(569)		602
Working Balance	1,272	28			1,300
TOTAL RINGFENCED RESERVES	4,387	1,137	(602)	0	4,921
USABLE RESERVES					
Financial Management Reserves					
Medium Term Financial Strategy	1,336	450	(450)		1,336
Transformation	1,168		(43)		1,125
EU Exit	128	200			328
Funding	0	1,060			1,060
	2,632	1,710	(493)	0	3,849
Contingency Reserves					
Emergency Response	40				40
	40	0	0	0	40
Service Reserves					
Economic Development	61				61
Elections	100	25	(80)		45
Homelessness	218	125	(20)		323
Health and Wellbeing	72				72
<i>Planning</i>	1,247		(454)		793
<i>Neighbourhood Planning</i>	70		(15)		55
<i>Housing Strategy</i>	25				25
<i>Development Control</i>	159		(25)		134
Strategic Initiatives	2,160		(500)		1,660
Garden Communities	0				0
Development Projects	1,152		(285)		867
Pension Reserve	0				0
New Homes Bonus Ward Members	0		(16)		(16)
Voluntary Sector	0				0
Waste Depot Relocation Project	4,649		(2,000)		2,649
Waste Management	201	170			371
Private Finance Initiative	247	48			295
	10,361	368	(3,395)	0	7,334
TOTAL USABLE RESERVES	13,033	2,078	(3,888)	0	11,223
TOTAL GENERAL FUND RESERVES	17,420	3,215	(4,490)	0	16,144

Housing Revenue Account 2019/20

£000	April to June			2019/20			
	Current Budget	Actuals to Date	Variance to Date	Original Budget	Current Budget	Forecast Outturn	Forecast Variance to Current Budget
Housing Revenue Account Income							
Dwellings Rent	(3,537)	(3,547)	(11)	(14,147)	(14,147)	(14,147)	0
Garage Rents	(56)	(56)	0	(224)	(224)	(224)	0
Land Rents	(1)	(2)	(1)	(3)	(3)	(3)	0
Charges for Services & Facilities	(244)	(291)	(47)	(977)	(977)	(1,069)	(93)
Contributions Towards Expenditure	0	(2)	(2)	0	0	0	0
Total Service Income	(3,838)	(3,898)	(60)	(15,352)	(15,352)	(15,444)	(93)
Housing Finance & Business Management							
Business & Performance Management	0	0	0	0	0	0	0
Rents, Rates & Other Property Charges	67	84	18	75	75	75	0
	67	84	18	75	75	75	0
Housing Maintenance & Repairs Services							
Common Service Flats	51	19	(32)	204	204	204	0
Estate Maintenance	38	15	(23)	152	152	152	0
Housing Repairs	640	545	(95)	2,561	2,561	2,528	(33)
Housing Sewerage	14	26	11	58	58	58	0
Newport Depot	6	10	4	24	24	24	0
Property Services	80	78	(2)	318	318	328	10
	829	693	(136)	3,317	3,317	3,295	(23)
Housing Management & Homelessness							
Housing Services	117	106	(12)	470	470	461	(9)
Sheltered Housing Services	157	145	(12)	629	629	616	(13)
Supporting People	0	0	0	0	0	0	0
	275	251	(24)	1,099	1,099	1,077	(22)
Total Service Expenditure	1,171	1,028	(143)	4,491	4,491	4,446	(45)
Corporate Items							
Bad Debt Provision	0	0	0	100	100	100	0
Depreciation - Dwellings (to MRR)	0	0	0	3,888	3,888	3,888	0
Depreciation - Non-Dwellings (to MRR)	0	0	0	91	91	91	0
Impairment - Non-Dwellings	0	0	0	0	0	0	0
Interest / Costs - HRA Loan	0	0	0	2,604	2,604	2,604	0
Repayment of Loan	0	0	0	2,000	2,000	2,000	0
Investment Income	0	0	0	(42)	(42)	(17)	25
Recharge from General Fund	0	0	0	1,695	1,695	1,695	0
HRA Share of Corporate Core	0	0	0	366	366	366	0
Pension Fund - Added Years	0	0	0	19	19	19	0
Pension Fund - Deficit	0	0	0	0	0	0	0
Right to Buy Admin Cost Allowance	(3)	0	3	(10)	(10)	(10)	0
Total Corporate Items	(3)	0	3	10,710	10,710	10,736	25
TOTAL EXPENDITURE	1,168	1,028	(140)	15,201	15,201	15,182	(19)
OPERATING (SURPLUS)/DEFICIT	(2,670)	(2,870)	(200)	(150)	(150)	(262)	(112)
Funding from Capital Receipts Reserve for HRA Loan	0	0	0	(2,000)	(2,000)	(2,000)	0
Funding of Capital Programme from HRA							
Funding of Action Plan Capital Items	0	0	0	0	0	0	0
Funding of Capital from Revenue	0	0	0	2,690	2,690	4,462	1,772
	0	0	0	2,690	2,690	4,462	1,772
Transfers to/from (-) Reserves							
Capital Projects Reserve	0	0	0	(153)	(153)	0	153
Potential Developments (New Builds)	0	0	0	(355)	(355)	0	355
Sheltered Housing Reserve	0	0	0	0	0	0	0
HRA Slippage Reserve (from Reserve)	0	0	0	0	0	(2,240)	(2,240)
HRA Slippage Reserve (to Reserve)	0	0	0	0	0	0	0
Transformation Reserve	0	0	0	0	0	0	0
Working Balance	0	0	0	(31)	(31)	40	71
	0	0	0	(539)	(539)	(2,200)	(1,661)
Total Use of Reserve / Funding	0	0	0	2,151	2,151	2,262	111
(SURPLUS)/DEFICIT	(2,670)	(2,870)	(200)	0	0	0	(1)

Housing Revenue Account Reserves

Reserve	Actual Balance	Forecast transfer from HRA	Forecast Transfer to HRA	Transfer between Reserves	Estimated Balance
£'000	1st April 2019				31st March 2020
<u>RINGFENCED RESERVES</u>					
Working Balance	489	40	0	0	529
	489	40	0	0	529
<u>USABLE RESERVES</u>					
<u>Revenue Reserves</u>					
Transformation / Change Management	180	0	0	0	180
Revenue Projects	60	0	0	0	60
	240	0	0	0	240
<u>Capital Reserves</u>					
Capital Projects	13	0	0	60	73
Potential Development Projects	0	0	0	0	0
Sheltered Housing Projects	0	0	0	0	0
HRA Slippage Reserve	2,300	0	(2,240)	(60)	0
	2,313	0	(2,240)	0	73
TOTAL USABLE RESERVES	2,553	0	(2,240)	0	313
TOTAL RESERVES	3,042	40	(2,240)	0	842

Reserve with conditions	Actual Balance	Forecast transfer from HRA	Forecast Transfer to HRA	Estimated Balance
£'000	1st April 2019			31st March 2020
Capital Receipt Reserve - RTB	3,226	1,440	(3,874)	792
Capital Receipt Reserve - Other	40	470	(500)	10
Capital Receipt Reserve - Total	3,266	1,910	(4,374)	802
Major Repairs Reserve (MRR)	473	3,979	(4,193)	259

Capital Programme 2019/20

£'000	Actual to June	Original Budget 2019/20	Proposed Slippage from 2018/19	Current Budget 2019/20	Forecast	Forecast to Budget Variance	Requested Slippage to 2020/21
General Fund	194	2,003	7,948	9,951	6,860	(3,091)	3,163
Housing Revenue Account	1,860	9,769	3,086	12,855	12,795	(60)	0
TOTAL CAPITAL PROGRAMME	2,054	11,772	11,034	22,806	19,655	(3,151)	3,163

£'000	Cost Code	Actual to June	Original Budget 2019/20	Proposed Slippage from 2018/19	Current Budget 2019/20	Forecast	Forecast to Budget Variance	Requested Slippage to 20/21
Community and Partnerships								
S/W Motte & Bailey Castle	CGF119/6801	1	0	54	54	110	56	
Community Project Grants	CGF502/6842	20	110	0	110	110	0	
Community and Partnerships		21	110	54	164	220	56	0
Environmental Services								
White Street Car Park	CGF108/6801	0	0	25	25	25	0	
Household Bins	CGF300/6822	9	70	0	70	70	0	
Trade Waste Bins	CGF301/6822	4	30	0	30	30	0	
Kitchen Caddies	CGF304/6822	0	10	0	10	10	0	
Garden Waste Bins	CGF308/6822	0	20	0	20	20	0	
Car Parking Machine Replacement	CGF321/6822	0	0	92	92	92	0	
Electric Car Charges	CGF323/6822	6	0	0	0	0	0	
Grounds Maintenance Equipment	CGF307/6822	0	0	0	0	16	16	
Vehicle Replacement Programme	CGF602/6823	0	822	2,174	2,996	2,996	0	
Total Environmental Services		20	952	2,291	3,243	3,259	16	0

£'000	Cost Code	Actual to June	Original Budget 2019/20	Proposed Slippage from 2018/19	Current Budget 2019/20	Forecast	Forecast to Budget Variance	Requested Slippage to 20/21
Finance & Administration								
IT Schemes								
Minor Items IT	CGF401/6834	0	20	0	20	20	0	
PCI Compliance	CGF413/6834	0	20	28	48	48	0	
New members IT equipment	CGF416/6824	33	30	0	30	30	0	
PSN CoCo Works	CGF425/6824	0	30	20	50	50	0	
Core Switches - replacement	CGF433/6824	5	0	24	24	24	0	
Replacement Electoral System	CGF434/6824	0	0	60	60	60	0	
Hot Desking/Mobile working	CGF435/6824	0	90	6	96	96	0	
Asset Management System - Cap Pur IT	CGF437/6824	0	0	30	30	30	0	
Cyber Security - Cap Pur IT	CGF438/6824	0	20	12	32	32	0	
Grounds Maint & Vehicle Sys - Cap Pur IT	CGF439/6824	0	0	95	95	95	0	
Idox Additional Modules - Cap Pur IT	CGF441/6824	0	0	5	5	5	0	
Licensing - Lalpac to Idox Uni - Cap Pur IT	CGF442/6824	0	0	16	16	16	0	
ArcGIS Upgrade - Cap Pur IT	CGF443/6824	0	0	21	21	21	0	
Mobile / Web Payments - Cap Pur IT	CGF444/6824	0	40	0	40	40	0	
Network Monitor&Threat Protect - Cap Pur IT	CGF445/6824	0	30	0	30	30	0	
Postal Software - Cap Pur IT	CGF446/6824	0	27	0	27	27	0	
UDC Asset work								
London Rd Office Building works	CGF112/6801	0	173	0	173	173	0	
New Depot	CGF103/6801	54	0	4,563	4,563	2,000	(2,563)	2,563
Day Centres Cyclical Improvements	CGF115/6801	7	46	27	73	73	0	
Guildhall Works	CGF116/6801	1	0	0	0	0	0	
Museum Buildings work	CGF123/6801	8	45	4	49	49	0	
London Rd Office Heating	CGF315/6822	0	0	36	36	36	0	
London Rd Office Electrical	CGF316/6822	7	15	56	71	71	0	
Total Finance & Administration		115	586	5,003	5,589	3,026	(2,563)	2,563

Appendix E continued...

£'000	Cost Code	Actual to June	Original Budget 2019/20	Proposed Slippage from 2018/19	Current Budget 2019/20	Forecast	Forecast to Budget Variance	Requested Slippage to 20/21
Housing and Economic Development								
Compulsory Purchase Order	CGF125/6821	0	0	0	0	0	0	
Private Sector Renewal Grants	CGF500/6841	0	70	0	70	70	0	
Disabled Facilities Grants	CGF503/6841	34	260	0	260	260	0	
Empty Dwellings	CGF505/6841	2	10	0	10	10	0	
Air Quality Monitoring SW	CGF322/6822	2	15	0	15	15	0	
Superfast Broadband	CGF528/6841	0	0	600	600	0	(600)	600
Total Housing and Economic Development		38	355	600	955	355	(600)	600
Housing Revenue Account								
HRA Repairs		311	3,445	54	3,499	3,499	0	
UPVC Fascia's and Guttering	CHR223/6812	0	100	0	100	100	0	
Light Vans Replacement Programme	CHR300/6823	0	0	183	183	183	0	
HRA IT - Contingency	CHR400/6841	0	0	20	20	20	0	
Cash Incentive Scheme Grants	CHR500/6841	5	50	0	50	50	0	
Business Plan Items								
Resurfacing access roads	CHR111/6801	0	0	133	133	133	0	
Market Properties	CHR105/6801	0	0	0	0	0	0	
New Builds (RTB 1-4-1)								
Unidentified	CHR105/6801	0	2,425	0	2,425	1,125	(1,300)	
Sheds Lane	CHR112/6801	0	15	0	15	15	0	
Newton Grove	CHR113/6801	30	134	188	322	322	0	
Frambury Lane	CHR114/6801	92	168	370	538	538	0	
The Moors	CHR116/6801	21	2,432	759	3,191	3,191	0	
The Elms	CHR117/6801	0	0	0	0	0	0	
Great Chesterford	CHR105/6801	1,300	0	0	0	1,300	1,300	
Redevelopment Scheme								
Sheltered Schemes								
Reynolds Court	CHR107/6801	50	0	110	110	50	(60)	
Hatherley Court	CHR108/6801	51	0	482	482	482	0	
Walden Place	CHR109/6801	0	1,000	787	1,787	1,787	0	
Total HRA		1,860	9,769	3,086	12,855	12,795	(60)	0

Section 106 Balances

With Conditions	31 March 2019	Income	Adjustment	Drawn Down -	Balance at 30
	£'000	£'000		Capital/Revenue	June 2019
	£'000	£'000		£'000	£'000
S106 Receipts in Advance					
Priors Green, Takeley	78	-	-	-	78
Land north of Ingrams, Felsted	10	-	-	-	10
Rochford Nurseries/Foresthall Park, Stansted	60	-	-	-	60
The Orchard, Elsenham	42	-	-	-	42
Wedow Road, Thaxted	53	-	-	-	53
Sector 4 Woodlands Park, Gt Dunmow	10	-	-	-	10
Keers Green Nurseries, Aythorpe Roding	120	-	-	-	120
Land adjacent to S/W Hospital	31	-	-	-	31
Land at Blossom Hill Farm, Henham	33	-	-	-	33
Land at Webb & Hallett Road, Flitch Green, Felsted	33	-	-	-	33
Land south side of Radwinter Road	49	-	-	-	49
Total	519	-	-	-	519

Other Bodies	31 March 2019	Income	Adjustment	Transferred to	Balance at 30
	£'000	£'000		other bodies	June 2019
	£'000	£'000		£'000	£'000
S106 Receipts in Advance					
Sector 4 Woodlands Park (Helena Romanes School)	165	-	-	-	165
Brewers End, Takeley	31	-	-	-	31
Land adj Hailes Wood, Elsenham	10	-	-	-	10
Land at Flitch Green, Felsted	67	-	-	-	67
Land adjacent to S/W Hospital	16	-	-	-	16
Ashdon Road Commercial Centre	26	-	-	-	26
Land south of Stansted Road, Elsenham	53	-	-	-	53
Land south of Ongar Road, Dunmow	17	-	-	-	17
Land at 119 Radwinter Road, adj S/W Hospital	15	-	-	-	15
Land North of Ongar Road, Gt Dunmow	21	-	-	-	21
Land at Bury Water Lane, Newport	29	-	-	-	29
Land south side of Radwinter Road	36	-	-	-	36
Land at Elsenham Nuseries	14	-	-	-	14
Bury Water Lane, Newport	26	-	-	-	26
Walpole Farm, Cambridge Road, Stansted	53	-	-	-	53
Land at Little Walden Road, Saffron Walden	120	-	-	(120)	-
Grants and Contributions to Other Bodies	699	-	-	(120)	579

Without Conditions	31 March 2019	Income	Adjustment	Drawn Down -	Balance at 30
	£'000	£'000		Capital	June 2019
	£'000	£'000		£'000	£'000
S106 Unapplied					
Affordable Housing;	676				676
Drawn Down	-	-	-	-	-
Affordable Housing	676	-	-	-	676
Dunmow Eastern Sector	18	-	-	-	18
Woodlands Park, Gt Dunmow	36	-	-	-	36
Bell College, Saffron Walden	15	-	-	-	15
Priors Green, Takeley	8	-	-	-	8
Foresthall Park, Stansted	33	-	-	-	33
Lt Walden Road/Ashdon Road, Saffron Walden	98	-	-	-	98
Oakwood Park, Takeley	5	-	-	-	5
Total	889	-	-	-	889

Treasury Management 2019/20 – Quarter 1

Investments April – June 2019

Date of Investment	Counterparty	Amount (£)	Date of Repayment	Interest Rate %
01-Apr-19	Coventry City Council	2,500,000	18-Apr-19	0.80
01-Apr-19	DMO	2,500,000	04-Apr-19	0.50
02-Apr-19	DMO	1,000,000	04-Apr-19	0.50
04-Apr-19	DMO	1,500,000	11-Apr-19	0.50
10-Apr-19	DMO	1,200,000	18-Apr-19	0.50
15-Apr-19	DMO	1,500,000	18-Apr-19	0.50
26-Apr-19	DMO	1,500,000	30-Apr-19	0.50
01-May-19	DMO	1,500,000	09-May-19	0.50
09-May-19	DMO	3,000,000	17-May-19	0.50
15-May-19	DMO	2,000,000	17-May-19	0.50
15-May-19	DMO	1,000,000	20-May-19	0.50
24-May-19	DMO	1,000,000	03-Jun-19	0.50
31-May-19	DMO	1,500,000	03-Jun-19	0.50
03-Jun-19	DMO	1,500,000	05-Jun-19	0.50
03-Jun-19	DMO	3,000,000	11-Jun-19	0.50
05-Jun-19	DMO	3,500,000	10-Jun-19	0.50
11-Jun-19	Thurrock Council	2,000,000	11-Dec-19	0.80
14-Jun-19	Conwy County Borough Council	2,000,000	16-Dec-19	0.80
10-Jun-19	DMO	2,000,000	14-Jun-19	0.50
10-Jun-19	DMO	1,500,000	11-Jun-19	0.50
12-Jun-19	Surrey County Council	2,000,000	12-Dec-19	0.78
11-Jun-19	DMO	2,000,000	12-Jun-19	0.50
11-Jun-19	DMO	2,000,000	19-Jun-19	0.50
17-Jun-19	DMO	4,500,000	19-Jun-19	0.50

Money Market Funds Investments April – June 2019

Date of Investment	Counterparty	Amount (£)	Date of Repayment	Average daily Interest Rate %
01-Apr-2019	CCLA	1,000,000	On-going	0.76
01-May-2019	Federated	1,000,000	19-May-2019	0.77
03-Jun-2019	Federated	1,000,000	On-going	0.76
11-Jun-2019	Invesco	1,000,000	18-Jun-2019	0.75

Borrowing April – June 2019

Date of borrowing	Institution	Amount (£)	Date of Repayment	Interest Rate %
20/05/2019	Western Isles Council	2,000,000	01/07/2019	0.75
17/06/2019	Vale of Glamorgan Council	1,500,000	01/11/2019	0.73
19/06/2019	Neath Port Talbot Council	1,000,000	01/11/2019	0.76



SAFFRON WALDEN MUSEUM

Uttlesford District Council &
Saffron Walden Museum Society Ltd



4.2 COLLECTIONS DEVELOPMENT POLICY 2020-2025

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Name of museum: *Saffron Walden Museum*

Name of governing body:

Uttlesford District Council & Saffron Walden Museum Society Ltd

Date on which this policy was approved by Museum Management Working Group:

Insert date TBA.

Policy review procedure:

The collections development policy will be published and reviewed from time to time, at least once every five years.

Date at which this policy is due for review:

Insert date TBA.

Arts Council England will be notified of any changes to the collections development policy, and the implications of any such changes for the future of collections.

1

Relationship to other relevant policies/ plans of the organisation:

- 1.1** The museum's statement of purpose is to give people inspiration and a sense of place in Uttlesford district / north-west Essex, through exploration of our wide-ranging collections and the histories they represent.
- 1.2** The governing body will ensure that both acquisition and disposal are carried out openly and with transparency.
- 1.3** By definition, the museum has a long-term purpose and holds collections in trust for the benefit of the public in relation to its stated objectives. The governing body therefore accepts the principle that sound curatorial reasons must be established before consideration is given to any acquisition to the collection, or the disposal of any items in the museum's collection.
- 1.4** Acquisitions outside the current stated policy will only be made in exceptional circumstances.
- 1.5** The museum recognises its responsibility, when acquiring additions to its collections, to ensure that care of collections, documentation arrangements and use of collections will meet the requirements of the Museum Accreditation Standard. This includes using Spectrum primary procedures for collections management. It will take into account limitations on collecting imposed by such factors as staffing, storage and care of collection arrangements.
- 1.6** The museum will undertake due diligence and make every effort not to acquire, whether by purchase, gift, bequest or exchange, any object or specimen unless the governing body or responsible officer is satisfied that the museum can acquire a valid title to the item in question.

- 1.7** In exceptional cases, disposal may be motivated principally by financial reasons. The method of disposal will therefore be by sale and the procedures outlined below will be followed. In cases where disposal is motivated by financial reasons, the governing body will not undertake disposal unless it can be demonstrated that all the following exceptional circumstances are met in full:
- the disposal will significantly improve the long-term public benefit derived from the remaining collection
 - the disposal will not be undertaken to generate short-term revenue (for example to meet a budget deficit)
 - the disposal will be undertaken as a last resort after other sources of funding have been thoroughly explored
 - extensive prior consultation with sector bodies has been undertaken
 - the item under consideration lies outside the museum's established core collection

2

History of the collections

2.1 Ownership and History of the Saffron Walden Museum Collections

2.1.1 The collections are owned by Saffron Walden Museum Society Ltd, UK registered charity 1123209, which founded the Museum in the 1830s to house its collections (then known as the Saffron Walden Natural History Society). Society members were local gentlemen of learned interests and far-flung contacts, allowing them to acquire collections from all over the world, notably in ethnography and the natural sciences, as well as closer to home. Pre-eminent among the Museum's founders were John Player, a retired civil servant from the Admiralty, and Jabez Gibson, a member of a prominent local Quaker family of brewers and bankers. Later nineteenth century collectors continued to enrich the Museum, such as George Stacey Gibson's herbaria and fossil collections, Joseph Clarke's collection of antiquities and the fine collections of ceramics and glass made by William Tuke (another Quaker family of note) and Dr Henry Stear. Until the 1880s members of the Society curated the collections but in 1880 the first professional curator, George Nathan Maynard, was appointed. The Society continued to run the Museum directly, with the aid of grants from various sources, until 1974, when the newly established Uttlesford District Council took over the operation of the Museum Service. Saffron Walden Museum Society leases the Museum collections and buildings to Uttlesford District Council under a joint management agreement (revised 2004, 2009 and 2014).

Under this agreement, the Museum Service's governing body is the Museum Management Working Group, a joint committee of representatives from Saffron Walden Museum Society Ltd and Uttlesford District Council.

- 2.1.2** The collections of Saffron Walden Museum, estimated to be about 170,000 objects and specimens, have been developed since 1832. Initially collecting was widespread, reflecting the diverse interests and contacts of the Society membership, and covered natural and human history from around the world, as well as objects and specimens local to north west Essex. Many of the Museum's most important ethnographic items were collected in its early decades.
- 2.1.3** In the twentieth century, the rise of social history and archaeology as museum disciplines and the disposal of many of the older exotic animal mounted specimens in the early 1960s led to a greater focus on the immediate district (now Uttlesford). That process of refining and targeting collecting continues in the twenty-first century. The Museum must also balance the demands placed by developments such as Stansted Airport, which are producing large volumes of archaeological material, with finite resources. The off-site store and subsequent adjustments to the Museum buildings will set a finite spatial limit on sustainable collecting for the foreseeable future.

3

An overview of current collections

The scope of the collections is summarised below under headings to reflect the dual local (north-west Essex) and global range of subjects covered. In general, the Museum's collecting area will be defined by relevance to Uttlesford District, the area of north-west Essex defined by the local authority boundary of Uttlesford District Council.

Occasionally offers of appropriate objects or specimens may be accepted for subjects which are non-local by their nature, such as ethnography, as described below. The time span within which the Museum collects also varies according to subject. For the archaeology and history of Uttlesford, all periods from earliest prehistoric to today are relevant. For geological collections, the time-frame extends backwards to include Pleistocene remains and beyond that fossils from the Palaeozoic, Mesozoic and Cenozoic eras.

3.1 Human History and Culture of north-west Essex, and its regional and British context

- 3.1.1 Archaeology** – excavated finds and records from Uttlesford, all periods from prehistoric to post medieval, and finds made as a result of other fieldwork or by chance. Historically, the Museum also holds some antiquarian finds from the region and further afield.

- 3.1.2 Social and Local History:** objects, ephemera and documents – made or used in Uttlesford, or associated with local places and people
- 3.1.3 Pictorial: Prints, Watercolours, Paintings, Drawings and Photographs** reflecting the history, people and natural history of Uttlesford, but excluding ‘fine art’
- 3.1.4 Costume, Textiles, Needlework and Accessories** – range of English and local.
- 3.1.5 Ceramics and Glass** – British and European ceramics and glassware, 16th – 20th century (decorative arts).
- 3.1.6 Woodwork and Furniture** - local and English domestic woodwork of 14th – 18th century and a small collection of English furniture of 16th-18th century

3.2 Natural Environment of north-west Essex and its regional and British context

The natural science collections contain about 70,000 specimens of plants, animals, rocks, minerals and fossils. The founders of the Museum and other 19th century naturalists presented most of these specimens. They collected in Essex and the rest of Britain.

- 3.2.1 Plants** - specimens of flowering plants, ferns, mosses, liverworts, fungi, lichens and algae
- 3.2.2 Animals** - mammals, birds, birds’ eggs, amphibians, reptiles, fish, insects, molluscs and other invertebrate groups
- 3.2.3 Fossils** – fossils from Palaeozoic, Mesozoic and Caenozoic eras of geological time
- 3.2.4 Minerals and Rocks** – minerals; sedimentary, metamorphic and igneous rocks

3.3 Human History and Culture – the wider world

- 3.3.1 Mediterranean and Egyptian antiquities** – a small collection including pre-dynastic to Ptolemaic artefacts and one Roman-period mummy from Egypt, and pottery from Greece and Cyprus.
- 3.3.2 Ethnography (world cultures)** – a collection of international significance, over 4,000 objects mostly collected between the late 18th and early 20th centuries, all continents and many different cultures represented.

- 3.4 Natural Environment - the wider world**
Specimens illustrating the natural environments of continents around the world.
- 3.4.1 Plants** – plants collected outside Britain in the 19th century
- 3.4.2 Animals** – animals collected outside Britain during the 19th and early 20th centuries
- 3.4.3 Geology** - rocks, minerals and fossils found outside Britain

4

Themes and priorities for future collecting

This section provides more information and subject-specific guidance, additional to and subject to the general acquisition and disposal criteria.

4.1 Human History and Culture of North-West Essex, and its Regional and British Context

4.1.1 Archaeology

Scope and Role of Collections

Single finds and excavation archives (the finds and records from archaeological fieldwork) covering all periods from earliest prehistoric (Old Stone Age) to recent centuries (Post Medieval). The role of the collection is to preserve and interpret evidence of human activity and sites, especially those that have been damaged or destroyed by development, agriculture or by natural erosion. It is also to help us understand the long history of changing human cultures and interaction with the landscape and environment. The collection includes early coins, from Iron Age to Post Medieval, recovered from archaeological sites, and antiquarian coins and numismatics of no fixed provenance. The new purpose-built museum off-site store, which has been fully operational since 2016/17, has resolved immediate issues of capacity for archaeological archives, allowing the backlog of archives from archaeological contractors to be deposited, notably those from large-scale projects at Stansted Airport (Framework Archaeology) and the new A120 (Oxford-Wessex). However the current and anticipated extent of development in the district along the M11 and A120 corridors will continue to generate a significant number of evaluation and larger project archives, which may test future capacity.

For future use, the special strength of the archaeology collection will be as a large archive of multi-period sites reflecting the evolution of a rural landscape and sites within it from prehistoric to recent times. The nature of the developments at Stansted Airport, coupled with road schemes, pipelines and community projects, will provide a unique archive of local and some regional importance, even

nationally with regard to the Airport projects.

Human remains from archaeological excavations, skeletal or cremated, will continue to be collected (subject to storage space) for long-term research and educational potential where appropriate, and according to the terms of the Ministry of Justice licence (*Authority to excavate human remains for archaeological purposes*) issued to the archaeological contractors, and any other necessary permissions, e.g. from Church authorities. (see also Guidelines below).

Historic Building Records or HRBs (usually paper and/or digital records without finds) relating to properties in Uttlesford district will also be accepted.

The acquisition and deposition of archaeological archives and HRBs will be governed by the standards set out in *Archaeological Archives in Essex - Guidelines for preparation and deposition* (2015 and subsequent editions) including deposition charges to be paid by archaeological contractors. This includes criteria under which digital material will be accepted, but a copy of the digital archive must be deposited by contractors with the Archaeological Data Service (ADS) and associated costs borne by the depositing contractor. The Museum lacks the resources and IT capacity to continually migrate digital data to new software and platforms, but the ADS fulfils this function ensuring that digital archives will be future-proofed and remain accessible.

Collecting Area and Priorities

Fieldwork archives, provenanced finds from Uttlesford including finds which have been declared treasure and which Saffron Walden Museum Society Ltd is willing and able to purchase (with grant-aid if necessary). Special priority will be given to acquiring major archives from Stansted Airport, the A120 and related large-scale fieldwork from associated developments, and to smaller archives from parish projects where local communities working with professional advice have undertaken systematic in-depth studies or fieldwork.

In all cases, it is necessary to establish that finds are acquired legally with the landowner's consent, or in keeping with the Treasure Act 1996 where appropriate, and to avoid acquiring 'tainted cultural objects' as defined under the Dealing in Cultural Objects (Offences) Act 2003.

Sampling, Selection and Retention

For large-scale linear projects e.g. pipelines, roads across district boundaries, deposition of the archive should be made on archaeological criteria, to prevent illogical division of archives across collecting area boundaries, and provided copies of documentation are deposited with other museum services involved. An example is the archive from the Cambridge-Matching Green Gas Pipeline 2002

which will be deposited at Saffron Walden Museum, by arrangement with Cambridgeshire Archaeology Service and Epping Forest District Museum.

Large quantities of common finds such as potsherds, unworked animal bone, waste products of industrial processes and building materials will be preserved through samples and records rather than in their entirety, unless there are special reasons for preserving all finds from a particular context intact. The Museum will work with excavators and specialists to refine the content of archives before acquisition as far as possible.

Large quantities of common finds from archives already in the collection may be reviewed and sampled in future, in consultation with appropriate specialists, with the aim of maintaining collections within sustainable limits while retaining, through records and scientifically viable samples, the information essential to preserve the archive's usefulness and integrity of purpose. The long-term retention of very small quantities of common finds from evaluations and watching briefs may also be reviewed, if subsequent fieldwork or research shows that they are not significant. Older excavation archives and antiquarian collections with limited contextual data will be priority for rationalisation, though with due regard for the impact of new analytical techniques or information from more recent fieldwork, which can sometimes transform the significance of older collections.

In sampling and disposal, care will be taken to preserve evidence or record of individual sites and ensure every parish in Uttlesford remains represented in the collection, and the collections retained should allow comparative studies of the distribution of sites across the landscape. The needs of local educational and community projects for access to finds from their own parish will be observed.

Sampling of archaeological material for destructive techniques, such as Radiocarbon dating or DNA analysis, may be permitted if appropriate and the potential gain to information and research outweighs the physical integrity of the object or specimen.

Antiquarian collections with material from outside Uttlesford may be retained where these form a distinct group with its own story or purpose. An example would be collections amassed for broader comparative purposes e.g. in prehistoric lithics, the Palaeolithic flint and stone tools which cover sites in south-east Britain, and extend to comparative material from a few French sites.

4.1.2 Social & Local History: Objects, Ephemera and Documents Scope and Role of Collection

A wide range of objects connected with the history of Saffron Walden and the district of Uttlesford. It includes collections of traditional building material used locally and objects relating to local trades. Of

particular interest is the agricultural collection, which contains farm tools and vehicles of local significance. There are also several discrete collections of domestic metalwork, timepieces, medical instruments, scientific pieces, and lighting instruments. The general collection of British coins and numismatics includes a good collection of 17th century tradesmen's tokens, and local bank notes. Examples of Saffron Walden clock-makers' work are also a special local feature. The small collection of toys and dolls has some good examples of 18th- 20th century dolls and dolls clothes from the 17th – 19th century, which are of regional importance.

There is an extensive collection of documents and ephemera relating to the administration of the town with some items of regional significance. It also includes good documentation on the Museum's own beginnings. Items of national importance include some Robert Southey manuscripts, William Penn letters, and annotated books from Gabriel Harvey's library and a collection of autograph letters collected by George Stacey Gibson. There are some historic maps and large-scale 19th century OS plans of Saffron Walden and the surrounding area.

Collecting Area and Priorities

Additions will only be made to this collection provided that the objects offered are associated with people, places, events or industries in the Uttlesford District, or fill gaps in the existing collections. Small items that do not have a local connection but which illustrate a general trend or local theme, and are of a high quality will be acquired, provided that no other accredited museum has a stronger claim. In future acquisitions of toys and dolls from the 20th century could develop a comparative collection. Toys and dolls with a local connection and that fill gaps in the current collection will continue to be collected.

Priority needs to be given to reflecting the social life and changes in Uttlesford through the 20th century, particularly in domestic and personal life and changes in the local economy and industry. Restrictions of resources, space for display and storage means that items of large machinery and equipment, domestic appliances and vehicles, will not be acquired. The emphasis will be on smaller objects, good examples of printed items and ephemera.

Firearms will only be collected if of local relevance (e.g. local gunsmiths, local militia, and poacher's guns) and within the scope of the Museum's Firearms Licence. Prohibited weapons, live ammunition or anything containing explosives or unstable chemicals will not be collected.

Pharmaceutical and medical items containing stable residues of historic identified drugs will be retained intact for research and display, and the appropriate Ministry of Justice licence obtained if

necessary (the Museum is currently licensed for the possession of opiates in respect of a Victorian doctor's portable medicine cabinet, but may not loan these without a licence to supply opiates).

4.1.3 Pictorial Collections: Prints, Maps, Watercolours, Paintings, Drawings and Photographs.

Scope and Role of Collection

Prints, maps, drawings, photographs and paintings form a comprehensive collection of Saffron Walden topographical representations from 18th century to 20th century, with good coverage of other parts of the county. There is a collection of portraits of Essex personalities and some early photographs, though not necessarily of local people. The Clarke collection of Essex views and portraits is the most significant single collection. There are important collections of natural history prints by Thomas Bewick and prints of Roman mosaic floors. The collection of Essex and local maps includes historic printed maps and sets of 19th-20th century large-scale Ordnance Survey maps for the district, some with historical annotations.

Collecting Area and Priorities

Prints, drawings and paintings are acquired primarily as historical or topographical records and must possess aesthetic or historic merit and depict people, places and events in Uttlesford, and/or be by local artists. The Museum does not collect from a 'fine art' perspective and will refer works by the Great Bardfield group of artists (Bawden, Ravilious and associates) and other 20th – 21st-century recent north-west Essex artists to the Fry Art Gallery (North-West Essex Collection).

There are a small number of oil paintings which are largely an outcome of random historic acquisitions, which do not form a coherent collection and most of which are not displayed. Exceptions are a small number with strong local connections, principally portraits of local gentry, work of local 19th century artist J Youngman and the friezes by Cipriani for the Adams' rooms at Audley End House; the latter have been returned to Audley End on renewable loan for display and study alongside related documents in the Audley End archives. An expert assessment (for insurance valuations) in 2006 coupled with the work of the Public Catalogue Foundation since then, has led to a re-assessment of the oil paintings, and as a result a small number of paintings in very poor condition and of no artistic, historical or local merit have been disposed of.

Past and present photographs of named people and places in Uttlesford, especially outside Saffron Walden, should be actively acquired and with copyright, or record of the copyright holder, wherever possible. Film collections will be referred to the Essex Record Office or East Anglian Film Archive where specialist facilities for their care, use and preservation are available.

Priorities for documents, manuscripts and books should be the acquisition of printed documents, ephemera and where applicable maps that relate to the more recent history of the Museum and the Uttlesford district. Books should not be actively collected as there are current difficulties in storing early books; only volumes in good condition with a very direct relevance to items in the collection should be accepted. Isolated examples of manuscripts or other documents may be collected where these relate closely to objects in the Museum's collection and do not have special archival needs beyond the Museum's scope, such as an account book amongst a group of items from a local shop, or a diary with other belongings of a famous local resident

4.1.4 Costume, Footwear, Textiles, Needlework and Accessories Scope and Role of Collection

This collection ranges from the 17th century to the 20th century with costume and accessories not necessarily of local origin, but able to illustrate stories relevant to life in north-west Essex and its inhabitants, and a range of techniques, styles and materials. Samplers, lace samples and equipment, children's costume and stump work are of regional significance. Important individual items include a late 16th century glove said to have belonged to Mary Queen of Scots. Under Ethnography, there are other items of costume and textile, notably a significant collection of Chinese and east Asian costume and textiles, collected and/or used by the families of Essex residents.

Collecting Area and Priorities

Storage problems in the costume and textile store will restrict acquiring large examples or collections of costume and or textiles for the immediate future. The Museum will acquire locally-related costume and textiles in good condition if they can be accommodated. Priority will be given to sparsely represented items e.g. men's clothing, uniform relating to the First and Second World Wars, work wear for men and women, and clothing reflecting 20th century trends as experienced by people living in Uttlesford. Children's clothing from the 20th century is also a priority, but items over-collected in the past such as christening robes and wedding dresses will not be collected except in exceptional circumstances, if they fill a gap and are accompanied by exceptional contextual information.

4.1.5 Ceramics and Glass Scope and Role of Collection

Two local benefactors, William Tuke and Dr Henry Stear, made the core collection of British and European ceramics and glass in the late 19th century, with some later additions. This collection contains some pieces of national importance, particularly in the field of tin glazed earthenware, and also includes cream ware, stoneware and English drinking glasses of a high quality. English porcelain, medieval

earthenware and Staffordshire figurines are also represented. A small collection of Castle Hedingham pottery (19th century art pottery) provides a local dimension.

Collecting Area and Priorities

Ceramics and Glass will be acquired if the items offered fill a gap, have a local connection or will add to important or high quality pieces already in the collection. The Museum should be actively seeking to acquire donations, bequests or affordable purchases of pieces, which extend the collection into the twentieth century, concentrating on the development of tablewares and domestic pottery. Studio pottery will continue to be represented by long-term renewable loans for the foreseeable future, as acquisition would require funds and expertise beyond the Museum's scope. Braintree District Museum is considered the primary collection of Castle Hedingham ware in Essex, and will be given priority for any pieces offered at public auction.

4.1.6 Furniture and Woodwork

Scope and Role of Collection

One or two pieces of national importance are contained in this collection: a Tudor bed, an oak stool, plus other items of high quality such as chests. The majority of the collection consists of decorated panels and structural timbers of local interest. Occasional additions to the collections are made through local donations or bequests but the Museum does not have the space, purchase funds or in-house expertise to actively pursue collecting.

Collecting Area and Priorities

The Museum will not acquire large items of furniture or woodwork that cannot be adequately displayed or stored; this means that little is likely to be acquired for the foreseeable future. The priority will be to improve care and interpretation of the existing collections, including links with textiles (tapestries), ceramics, glass and social history collections.

4.2 Natural Environment of Uttlesford (north-west Essex) and its regional context

The natural science collections contain about 70,000 specimens of plants, animals, rocks, minerals and fossils. The founders of the Museum and other 19th century naturalists presented most of these specimens. They collected in Essex and the rest of Britain.

Collecting Area and Priorities

Acquisition of specimens found in north-west Essex will be given priority over material from elsewhere in Britain and the rest of the world. Field collection and survey at sites in Uttlesford will not be undertaken without permission of the landowner. The Museum will not collect or record on Sites of Scientific Interest (SSSI) without official permission.

Sampling, Selection and Retention

Natural history specimens should be accompanied with full data, such as species/object identification, exact location found, method of collection, whether it was found dead as a result of accidental death, date collected, name of collector.

4.2.1 Plants

Scope and Role of Collection

The historic herbarium is of considerable regional importance. It contains about 14,000 dried specimens of flowering plants, ferns, mosses, liverworts, fungi, lichens and algae. Essex botanists such as George Stacey Gibson, Joshua Clarke, W.L.P. Garnons and Frederick Brocas collected many of these plants in Britain during the 19th century. The Museum has a copy of G.S. Gibson's *Flora of Essex* and some field notebooks of wild flowers records.

Collecting Area and Priorities

Biological records of sightings of plants in north-west Essex. The Museum coordinates and undertakes surveys of plants at sites designated under the Special Roadside Verges Project in Uttlesford. The Museum will collect voucher specimens of plants that are found in north-west Essex.

4.2.2 Animals

Scope and Role of Collection

Mammals, birds, amphibians, reptiles, fish, insects, molluscs and other invertebrates can be found in the zoology collections. A small collection of mainly British mammals includes the famous "Wallace the Lion" who was born in Scotland and belonged to menagerie-owner George Wombwell, who came from a village near Saffron Walden. Historic specimens of British birds form the main part of the bird collection. Joseph and Joshua Clarke, Jabez Gibson, John Gould, Stephen Salmon, and Mr Stevenson presented birds. There is a field notebook of bird records. The birds' egg collection includes material from W.M. Tuke and H.E. Smith. Breastbones from different species of birds are part of the bone collection.

The insect collection includes large numbers of British beetles, butterflies and moths, including micro-moths. Shells from Britain are found in the mollusc collection and the local material has extensive data.

Collecting Area and Priorities

Biological records of sightings of animals in north-west Essex. Mammals and birds found in north-west Essex. The Museum may acquire historic mounted specimens with data and modern specimens that have died of natural or accidental causes. Birds' eggs will not be accepted unless they have paperwork to prove they were legally collection before 1954, the specimens have

collection data and the eggs fill gaps in the collection. Specimens of insects and other invertebrates from north-west Essex will be collected; however, the acquisition of butterfly and moth collections is not a priority unless the collections have full data.

4.2.3 Fossils

Scope and Role of Collection

Fossil remains of animals from the Chalk and Red Crag seas that once covered East Anglia are the strengths of the fossil collection. It is particularly rich in Crag fossils from Essex, Suffolk and Norfolk, amassed into a collection by G.S. Gibson. There are local chalk and boulder clay fossils and remains of animals from the Ice Age glaciations of the Pleistocene period. Most fossils date from the Caenozoic and Mesozoic eras of geological time.

Collecting Area and Priorities

Caenozoic and Mesozoic fossils found in north-west Essex.

4.2.4 Minerals and Rocks

Scope and Role of Collection

The mineral collection contains specimens from Britain collected in the 18th and 19th centuries by Sir John St. Aubyn, Dr W. Babington, G.S. Gibson and J.E. Drew. Many of the mines in Cornwall, Derbyshire and northern England where these minerals were collected are now closed. The rock collection has examples of igneous, metamorphic and sedimentary rocks.

Collecting Area and Priorities

Rocks, minerals and fossils found in north-west Essex.

4.3 Human History and Culture – the Wider World

4.3.1 Egyptian and Mediterranean Antiquities

Scope and Role of Collection

A small historic collection formed mainly in the 19th and early 20th centuries. Mediterranean antiquities are principally Greek and Cypriot pottery. Egyptian antiquities range from pre-dynastic to Ptolemaic, including one human mummy. These collections are used for teaching National Curriculum topics on Ancient Egypt and Ancient Greece to visiting school classes, Saffron Walden Museum being the only museum in Essex to offer Ancient Egypt as a standard and popular part of its schools' programme. Most of the Egyptian antiquities are common items from funerary contexts but some are more significant, such as a Middle Kingdom double statue, a stela and a pot for sacred milk from the temple of Hathor. In recent years, research has continued to shed new light on important exhibits: the CT scan of the Roman-period mummy of a young boy attracted much attention and led to significant new information, while other re-identified objects include a rare *Book of Breathings* funerary papyrus

and shabti figures from the tomb of Seti I.

Collecting Area and Priorities

The Museum does not intend to actively add to these collections: besides the relative restrictions on acquiring ancient Egyptian and Mediterranean antiquities today, purchase costs, lack of space and lack of appropriate curatorial staff in these fields make it inappropriate. Offers of small items by gift or bequest may be considered only if they fit with the existing collections and are of sound provenance. Efforts will be concentrated instead on researching and widening the uses of the existing collection, through involvement with The Fitzwilliam Museum /University of Cambridge museums, British Museum and other appropriate networks.

4.3.2 Ethnography (World Cultures)

Scope and Role of Collection

An internationally important collection of some 6,000 objects, mostly domestic artefacts, worldwide in scope. Significant early acquisitions include the Bennet collection (Polynesia), Helder Wedge collection (Australia) and objects reflecting the native cultures of North America. Oriental collections include an early suit of Samurai armour and East Asian costume and textiles, notably a collection of costume from a Chinese family spanning 1870 to 1970 and a collection of embroidered textiles from the Middle East to China. The collection asserts the creativity and skills of many different cultures around the world, and records some cultures which have since disappeared (often as a result of European intervention) or changed dramatically in the last two hundred years. It also reflects the trading, missionary and colonising context, in which much of the ethnographic collections were made during the 19th century, and the stories of individual local collectors and their travels. In recent decades, Saffron Walden Museum has also become the repository for small collections of ethnography from other museums in Essex; therefore it also holds a countywide responsibility for historic collections relating to Essex collectors and travellers in general.

Collecting Area and Priorities

Acquisitions will be restricted to donations of provenanced items, which relate to or complement existing collections, and especially any associated with collectors, residents or explorers from north-west Essex, to reflect the continuing exchange and contacts between; local communities and other parts of the world. In assessing offers for the collection, the Museum must be able to establish that the object(s) were not exported illegally from the country of origin. The Museum will not collect human remains from outside the UK (see Archaeology above), unless as artefacts incorporating small amounts of historic human tissue (e.g. hair, teeth). Active collection from present-day communities is outside the Museum's scope, so the Museum will concentrate on interpreting historic collections in their context.

Projects in recent years with other small ethnographic collections in the region (museums in Bishop's Stortford, Hertford, Wisbech and Time & Tide, Great Yarmouth) have increased awareness of potential links with these and other collections through themes and geographical areas of interest, collecting histories and early collectors. In considering any future acquisitions and rationalisation, reference will be made to these and other specialist and to other museums with specialist ethnographic collections in the region, as appropriate (e.g. Cambridge University Museum of Archaeology & Anthropology, Sainsbury's centre for the Visual Arts, Norwich; Colchester & Ipswich Museums; Horniman Museum).

4.4 Natural Environment - the wider world

Material was collected from Europe and all over the world during the 19th century. These specimens illustrate the natural environments of continents around the world.

Collecting Area and Priorities

Not a priority unless specimens represent groups not found in the collection and can be used for education; for example to illustrate animals found in different habitats, or the types of materials found around the world.

4.4.1 Plants

Scope and Role of Collection

The herbarium has a small number of plant specimens and tropical seeds collected outside Britain. The collection also contains some examples of products from the cotton and rubber industries.

4.4.2 Animals

Scope and Role of Collection

The Mammal collection contains some European material. Birds were collected from Europe and there is a wealth of fine artistic Victorian taxidermy with examples of humming birds, Birds of Paradise and other species from Africa, Asia, North and South America and Australia. A small number of foreign Reptiles and Amphibians are represented.

Local Essex donors have presented insects and other invertebrates from Africa, the Middle East and Asia. Shells from around the world are found in the mollusc collection.

4.4.3 Geology

Scope and Role of Collection

Some fossils, minerals and rocks were collected in elsewhere in the world. There is an interesting collection of volcanic rocks.

4.5 Handling & Educational Loan Collection

It is the policy of Saffron Walden Museum to regard all collections as of educational value and to make all objects and specimens available

for educational purposes in ways compatible with their nature and preservation. Nevertheless safeguards have to be in place to prevent any objects or specimens from the Museum collection being exposed to excessive risk from repeated handling or use off the Museum premises without Museum staff present. For this reason, the Museum's Learning & Outreach Officer maintains a separate Handling & Educational Loan collection of objects, specimens and replicas specifically for frequent handling in learning activities, and for Loan Boxes to be used by teachers, community groups and others for learning and well-being, in schools and other venues. This Handling and Educational collection is distinct from accessioned Museum objects or specimens, which may however be *occasionally* shown or handled under the direct supervision of Museum staff for specific purposes, when material in the Handling & Educational collection will not suffice.

Objects and specimens diverted to the Handling & Educational Loan Collection will be duplicates or otherwise surplus to the Museum collection, and be suitable for handling by all age groups or for use in school classrooms and other educational venues on a regular basis.

Donors offering items which are unsuitable for the Museum collection, but accepted for the Handling & Education Loan Collection, will be informed of the difference in risk and status, and must consent to the item(s) being allocated for handling and schools loan use. This should be noted on the signed Entry Form.

The interests of other accredited museums take precedence where an object or specimen, which is not acquired or required for Saffron Walden Museum's collection, may be suitable for handling and educational loans but also meets acquisition criteria for another Accredited museum which wants to acquire it.

Themes and priorities for rationalisation and disposal

5.1 The museum recognises that the principles on which priorities for rationalisation and disposal are determined will be through a formal review process that identifies which collections are included and excluded from the review. The outcome of review and any subsequent rationalisation will not reduce the quality or significance of the collection and will result in a more useable, well managed collection.

5.2 The procedures used will meet professional standards. The process will be documented, open and transparent. There will be clear communication with key stakeholders about the outcomes and the process.

5.3 Human History and Culture of North-West Essex

5.3.1 Archaeology

Finds identified in conjunction with researchers and specialists as having insufficient context or research potential to justify retention. Bulk excavated finds of common types which could be adequately preserved by record and/or a statistically viable sample, according to specialist advice. Isolated finds or small groups of finds from other parts of Britain, where they do not contribute significantly to understanding the archaeology or collecting history of Uttlesford and its context, and significantly greater public benefit could be achieved by permanently transferring it to another accredited museum.

5.3.2 Social & Local History

Objects that have no local connection or provenance, or cannot be used to illustrate a local story, and the condition of which is such as to necessitate more conservation work that their significance merits will be prioritised for disposal. Duplicate items such as single examples of common tools and other common equipment or household items will be assessed for disposal and other uses as part of the transfer of collections to the new off-site store. Care will be taken however to preserve intact collections of associated tools from named local workshops or craftsmen.

5.3.3 Pictorial Collections: Prints, Maps, Watercolours, Paintings, Drawings and Photographs

Offers of historic manuscripts such as deeds, wills and other documents with specialist archival needs will be referred to the Essex Record Office. This will include comprehensive archives from local businesses, such as series of ledgers, accounts and long-term diaries kept by Essex residents.

Maps, especially historic Ordnance Survey editions, have already been the subject of a cataloguing and rationalisation programme 2009-2012, which resulted in duplicate copies being disposed of to appropriate local sources, historic reference maps being accessioned due to accrued historic significance, and a small number being transferred to the *Essex Record Office* because of links with other records held there. A similar process will be applied to other categories of prints as work through the collections progresses. Antiquarian collections of brass rubbings from various counties will be considered for disposal to relevant museums or archives where possible, with only Essex examples or samples retained as appropriate.

Disposal from photographic collections (including glass plates and lantern slides) will be considered to remove non-local and unprovenanced images which do not form part of a coherent collection.

Rationalisation of oil paintings without local connections will continue, to consider the disposal of paintings which could be better curated and displayed in other institutions, preferably accredited galleries or museums.

5.3.4 Costume, Footwear, Textiles, Needlework and Accessories

Continuing contact with other museums collecting costume and textile in the county and region to establish collections which specialise in certain types of costume or textiles, e.g. the Warner Textile Archive in Braintree.

5.3.5 Ceramics and Glass

Damaged pieces where a duplicate in better condition exists or can be acquired, unless part of a set. Specialist advice will be sought if any disposal is contemplated.

5.3.6 Furniture and Woodwork

There is little scope for rationalisation or disposal envisaged at present, and expert advice would need to be sought if any were contemplated.

5.3.7 Biological Specimens (Animals and Plants), Geology (Fossils, Rocks and Minerals)

Categories for disposal are duplicates of common species, or specimens, which do not have associated data and are in poor condition. Objects that pose a health and safety hazard that cannot be controlled or isolated.

5.3.8 Egyptian and Mediterranean Antiquities

No scope for rationalisation and disposal is seen in the foreseeable

future; the collection includes a small number of items of significance, and others, which are likely to benefit from further research.

5.3.9 Ethnography (World Cultures)

Fuller documentation and research may reveal a small number of unprovenanced, duplicate items suitable for handling collections or disposal, otherwise disposal is not envisaged. A large collection of items placed on long-term loan by the Cuming Museum in the 1960s has been re-assessed with the Cuming Museum; items in store were returned to the Cuming Museum and the remaining 120 objects on display are being regularly reviewed. In the event of the Museum receiving any requests for repatriation of artefacts, each request will be considered on its own terms and advice will be sought from the Museum Ethnographers Group (MEG) and other sources of appropriate expertise and guidance. There are no human remains in the ethnographic collection, except for human components such as hair and teeth used in a few artefacts. Two Toi moko (Maori preserved and tattooed heads), which were previously in the collection from the mid-19th century, were repatriated to New Zealand in 2005.

5.3.10 Handling & Educational Loan Collection

Objects and specimens from the Museum collections, which are diverted to the Handling & School Loan collection, should be deaccessioned, i.e. formally removed from the Museum collection, subject to the approval of the Board of Saffron Walden Museum Society Ltd. This process should ensure that items of potentially high research potential are not placed at unnecessary risk, and keep the Museum's governing body aware of specific educational developments. It should also free parts of the collection for more imaginative use. Because they are unaccessioned or deaccessioned, items in the Handling & Educational Loan collection are not subject to the disposal policy in this document. However, a register of items in the Handling & Educational Loan collection will be maintained by Learning and Outreach Officer, and the loss, damage or disposal of any item, and the reason, will be recorded in that register.

6

Legal and ethical framework for acquisition and disposal of items

- 6.1 The museum recognises its responsibility to work within the parameters of the Museum Association Code of Ethics when considering acquisition and disposal.

7

Collecting policies of other museums

- 7.1 The museum will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields. It will consult with these organisations where conflicts of interest may arise or to define areas of specialism, in order to avoid unnecessary duplication and waste of resources.

7.2 **Specific reference is made to the following museum(s)/organisation(s):**

Work in Essex and the region on collecting, and the network of subject specialist groups, are likely to establish county and regional priorities and centres of specialisation in future, which will be accommodated into this policy as they arise.

In particular, Saffron Walden Museum will liaise regarding acquisitions of common interest with local museums and galleries which are accredited or actively seeking accredited status, and other institutions:

- 7.2.1 **Fry Art Gallery, Saffron Walden** – paintings and other works by North-West Essex artists
- 7.2.2 **Great Dunmow Museum** – local history objects from or relating to the town of Great Dunmow and Little Dunmow
- 7.2.3 **Neighbouring museum services in Essex, Hertfordshire, Cambridgeshire and Suffolk** on acquisitions which cross collecting area boundaries and interests. Saffron Walden and Bishop's Stortford museums have agreed to share information on local history and archaeological acquisitions from Uttlesford parishes (Essex) bordering Bishop's Stortford (Herts.): Birchanger, Farnham and the Hallingburys. Acquisitions of objects and specimens from border locations, especially where county and district boundaries have changed, need particular consideration.
- 7.2.4 **Saffron Walden Gibson Library** (formerly known as the Town Library) - printed and hand-written documents, photographs, pictures, books and other sources of information on Saffron Walden's history. Like the Museum, the Town Library is a special legacy of learned

local benefactors from the mid-19th century, and there are close connections between the Town Library's and the Museum's collections.

7.2.5 Essex Record Office, Chelmsford – historic documents and archives that can be more appropriately cared for, interpreted, used and accessed in a record office with archivists and specialist conservation facilities for documents.

7.2.6 Essex Regiment Museum (Chelmsford Museum) – items relating to the Essex Regiment

8

Archival holdings

As Saffron Walden Museum holds and, in certain circumstances, may acquire certain types of archival material, such as photographs and printed ephemera, its governing body will be guided by the Code of Practice on Archives for Museums and Galleries in the United Kingdom (3rd edition, 2002).

Acquisition

9.1 The policy for agreeing acquisitions is:

9.1.1 Aim of Acquisition

To improve the scope, quality and relevance of Saffron Walden Museum's collections, within sustainable limits, in order to fulfil the Service's stated aims.

9.1.2 Definition

To **accession** is formally to enter an object or specimen into the Museum collections. A record of the object or specimen is made in the Saffron Walden Museum Accession Register and a unique accession number is issued for the object or specimen.

9.1.3 Methods of Acquisition

Collections may be acquired by the following methods: donation, bequest, purchase and field collection (for natural science and archaeology in certain circumstances).

Anyone intending to bequeath items to the Museum will be encouraged to discuss and agree future bequests with the Museum, which will keep a record for future reference. Bequests or conditions made without the Museum's prior knowledge and agreement cannot be regarded as binding on the Museum.

Loans will only be accepted for a specific time period and purpose, such as a special exhibition or for comparative study as part of a research project. 'Indefinite loans' or 'permanent loans' are not accepted. Items loaned for the long-term, usually for long-term display, will be accepted as renewable loans and the loan agreement will be reviewed and renewed by both lender and Museum at regular intervals, of not more than five years. Loans will not be accepted simply for storage or 'safekeeping'.

9.1.4 Limitations on Collecting

Saffron Walden Museum will take into account limitations on collecting imposed by such factors as staffing, storage or care of collection arrangements. In cases where extensive conservation of an acquisition would be necessary, the cost and benefits must be weighed.

9.1.5 Shared Acquisitions

Occasionally it may be beneficial for Saffron Walden Museum to seek joint acquisition of an exceptional item with one or more other museums. This may be considered where it is the best or only way of acquiring an important item for public collections, or where a strong interest is equally shared between museums and cannot be addressed by ordinary loan arrangements. In such cases, the terms and responsibilities and administrative obligations of the joint

acquisition must be agreed with participating museums before acquisition and recorded in full.

9.1.6 Authority for Acquiring Items

For donations and bequests, authority to determine acquisitions is delegated to the Curator, acting in consultation with other curatorial staff as appropriate in accordance with this policy, and with external expert advice if necessary.

For purchases, permission must be sought from the Saffron Walden Museum Society Ltd, which provides the purchase funds. This should be by the Board of Directors of the Society in accordance with its articles and memorandum.

Acquisitions outside the current stated policy will only be made in very exceptional circumstances, and then only after proper consideration by the Museum's governing body, having regard to the interests of other museums. The Museum's governing body is the Museum Management Working Group (MMWG), which comprises four Saffron Walden Museum Society representatives and four members of Uttlesford District Council. Decisions affecting the collections (acquisitions outside the policy, loans, purchases and disposals) must first be agreed by the Board of Directors of Saffron Walden Museum Society Ltd (owners of the collections) before being referred to MMWG. MMWG will then make a recommendation to the Cabinet of Uttlesford District Council for formal approval.

- 9.2** The museum will not acquire any object or specimen unless it is satisfied that the object or specimen has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws. (For the purposes of this paragraph 'country of origin' includes the United Kingdom).
- 9.3** In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from November 1 2002, and the Dealing in Cultural Objects (Offences) Act 2003, the museum will reject any items that have been illicitly traded. The governing body will be guided by the national guidance on the responsible acquisition of cultural property issued by the Department for Culture, Media and Sport in 2005.

10

Human remains

- 10.1** The museum does not hold or intend to acquire human remains under 100 years old; human remains acquired through archaeological fieldwork are all over 100 years old, and objects in the social history and ethnographic collections which contain human tissue (e.g. hair, teeth) are all over 100 years old. In the unlikely event that the museum should acquire any human tissue under 100 years old, it will obtain the necessary licence under the Human Tissue Act 2004 and any subordinate legislation from time to time in force.
- 10.2** As the museum holds or intends to acquire human remains from any period, it will follow the procedures in the 'Guidance for the care of human remains in museums' issued by DCMS in 2005.
- 10.3** Human remains from archaeological excavations in Uttlesford may be acquired for long-term research, reference and educational purposes where permitted under Ministry or Justice Licence, and with the consent of the appropriate church or religious authority for remains from Christian burial grounds. Human remains from burials of other existing religious faiths are not anticipated, given the rural nature of the district, but if they do occur then the same principle of liaison with the appropriate religious organisation will apply. Saffron Walden Museum recognises the special status of human remains which under UK law cannot be 'owned' in the same way that other collections are. Human remains from elsewhere in the UK or from other countries will not be acquired. The only exception may be if human tissue forms an integral part of an artefact, for instance if human hair or teeth have been used in historic jewellery.

11

Biological and geological material

- 11.1** So far as biological and geological material is concerned, the museum will not acquire by any direct or indirect means any specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty of the United Kingdom or any other country, except with the express consent of an appropriate outside authority.

Archaeological material

- 12.1** The museum will not acquire archaeological material (including excavated ceramics) in any case where the governing body or responsible officer has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures.
- 12.2** In England, Wales and Northern Ireland the procedures include reporting finds to the landowner or occupier of the land and to the proper authorities in the case of possible treasure (i.e. the Coroner for Treasure) as set out in the Treasure Act 1996 (as amended by the Coroners & Justice Act 2009).

13

Exceptions

13.1 Any exceptions to the above clauses will only be because the museum is:

- acting as an externally approved repository of last resort for material of local (UK) origin
- acting with the permission of authorities with the requisite jurisdiction in the country of origin

In these cases the museum will be open and transparent in the way it makes decisions and will act only with the express consent of an appropriate outside authority. The museum will document when these exceptions occur.

14

Spoliation

14.1 The museum will use the statement of principles 'Spoliation of Works of Art during the Nazi, Holocaust and World War II period', issued for non-national museums in 1999 by the Museums and Galleries Commission.

The Repatriation and Restitution of objects and human remains

- 15.1** The museum's governing body, acting on the advice of the museum's professional staff, if any, may take a decision to return human remains (unless covered by the 'Guidance for the care of human remains in museums' issued by DCMS in 2005), objects or specimens to a country or people of origin. The museum will take such decisions on a case by case basis; within its legal position and taking into account all ethical implications and available guidance. This will mean that the procedures described in 16.1-5 will be followed but the remaining procedures are not appropriate.
- 15.2** The disposal of human remains from museums in England, Northern Ireland and Wales will follow the procedures in the 'Guidance for the care of human remains in museums'.

Disposal procedures

- 16.1** All disposals will be undertaken with reference to the Spectrum primary procedures on disposal.
- 16.2** The Board of Saffron Walden Museum Society Ltd (owners of the museum's collections) will confirm that it is legally free to dispose of an item. Agreements on disposal made with donors will also be taken into account.
- 16.3** When disposal of a museum object is being considered, the museum will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.
- 16.4** When disposal is motivated by curatorial reasons the procedures outlined below will be followed and the method of disposal may be by gift, sale, exchange or as a last resort – destruction.
- 16.5** The decision to dispose of material from the collections will be taken by the Board of Saffron Walden Museum Society Ltd only after full consideration of the reasons for disposal. Other factors including public benefit, the implications for the museum's collections and collections held by museums and other organisations collecting the same material or in related fields will be considered. Expert advice will be obtained and the views of stakeholders such as donors, researchers, local and source communities and others served by the museum will also be sought.
- 16.6** A decision to dispose of a specimen or object, whether by gift, exchange, sale or destruction (in the case of an item too badly damaged or deteriorated to be of any use for the purposes of the collections or for reasons of health and safety), will be the responsibility of the governing body of the museum acting on the advice of professional curatorial staff, if any, and not of the curator or manager of the collection acting alone. Decisions to dispose will be initially taken by Saffron Walden Museum Society Ltd, as owners of the collection, and then reported to Uttlesford District Council's Museum Management Working Group (MMWG, the museum's governing body) (as section 9.1.6 above).

- 16.7** Once a decision to dispose of material in the collection has been taken, priority will be given to retaining it within the public domain. It will therefore be offered in the first instance, by gift or sale, directly to other Accredited Museums likely to be interested in its acquisition.
- 16.8** If the material is not acquired by any Accredited museum to which it was offered as a gift or for sale, then the museum community at large will be advised of the intention to dispose of the material normally through a notice on the MA's Find an Object web listing service, an announcement in the Museums Association's Museums Journal or in other specialist publications and websites (if appropriate).
- 16.9** The announcement relating to gift or sale will indicate the number and nature of specimens or objects involved, and the basis on which the material will be transferred to another institution. Preference will be given to expressions of interest from other Accredited Museums. A period of at least two months will be allowed for an interest in acquiring the material to be expressed. At the end of this period, if no expressions of interest have been received, the museum may consider disposing of the material to other interested individuals and organisations giving priority to organisations in the public domain.
- 16.10** Any monies received by the Saffron Walden Museum Society Ltd, as owners of the collections from the disposal of items will be applied solely and directly for the benefit of the collections. This normally means the purchase of further acquisitions. In exceptional cases, improvements relating to the care of collections in order to meet or exceed Accreditation requirements relating to the risk of damage to and deterioration of the collections may be justifiable. Any monies received in compensation for the damage, loss or destruction of items will be applied in the same way. Advice on those cases where the monies are intended to be used for the care of collections will be sought from the Arts Council England.

- 16.11** The proceeds of a sale will be allocated so it can be demonstrated that they are spent in a manner compatible with the requirements of the Accreditation standard. Money must be restricted to the long-term sustainability, use and development of the collection.
- 16.12** Full records will be kept of all decisions on disposals and the items involved and proper arrangements made for the preservation and/or transfer, as appropriate, of the documentation relating to the items concerned, including photographic records where practicable in accordance with Spectrum procedure on deaccession and disposal.

Disposal by exchange

- 16.13** The nature of disposal by exchange means that the museum will not necessarily be in a position to exchange the material with another Accredited museum. The governing body will therefore ensure that issues relating to accountability and impartiality are carefully considered to avoid undue influence on its decision-making process.
- 16.13.1** In cases where the governing body wishes for sound curatorial reasons to exchange material directly with Accredited or non-Accredited museums, with other organisations or with individuals, the procedures in paragraphs 16.1-5 will apply.
- 16.13.2** If the exchange is proposed to be made with a specific Accredited museum, other Accredited museums which collect in the same or related areas will be directly notified of the proposal and their comments will be requested.
- 16.13.3** If the exchange is proposed with a non-Accredited museum, with another type of organisation or with an individual, the museum will place a notice on the MA's Find an Object web listing service, or make an announcement in the Museums Association's Museums Journal or in other specialist publications and websites (if appropriate).
- 16.13.4** Both the notification and announcement must provide information on the number and nature of the specimens or objects involved both in the museum's collection and those intended to be acquired in exchange. A period of at least two months must be allowed for comments to be received. At the end of this period, the governing body must consider the comments before a final decision on the exchange is made.

Disposal by destruction

- 16.14** If it is not possible to dispose of an object through transfer or sale, the governing body may decide to destroy it.
- 16.15** It is acceptable to destroy material of low intrinsic significance

(duplicate mass-produced articles or common specimens which lack significant provenance) where no alternative method of disposal can be found.

- 16.16** Destruction is also an acceptable method of disposal in cases where an object is in extremely poor condition, has high associated health and safety risks or is part of an approved destructive testing request identified in an organisation's research policy.
- 16.17** Where necessary, specialist advice will be sought to establish the appropriate method of destruction. Health and safety risk assessments will be carried out by trained staff where required.
- 16.18** The destruction of objects should be witnessed by an appropriate member of the museum workforce. In circumstances where this is not possible, e.g. the destruction of controlled substances, a police certificate should be obtained and kept in the relevant object history file.

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Committee:	Cabinet	Date:
Title:	Museum Accreditation Review 2019-20 and Collections Development Policy	Thursday, 5 September 2019
Portfolio Holder:	Cllr Light	
Report Author:	Carolyn Wingfield, Museum Curator cwingfield@uttlesford.gov.uk 01799 510640	Key decision: No

Summary

1. The Accreditation Scheme for Museums and Galleries is the UK industry standard for museums. Accredited status is linked to eligibility for grants and funding from various sources, including the National Lottery Heritage Fund, and museums must re-apply every few years to maintain their Accredited status.
2. Saffron Walden Museum undergoes its next Accreditation review in January-July 2020. In preparation for this, the Museum's key policy documents and forward plan must be reviewed and formally approved by the Council, and submitted with copies of the minutes confirming approval as part of the Accreditation review.
3. This report explains the Accreditation Scheme and review procedures, and the list of policy documents with timetable for submission via the Museum Management Working Group to Cabinet for approval between September 2019 and April 2020, beginning with the Collections Development Policy 2020-25 which accompanies this report.

Recommendations

4. Between September 2019 and April 2020, Cabinet will be asked to approve a total of five Museum policies and plans recommended by Museum Management Working Group, to enable the Museum to complete its Accreditation Review successfully by the anticipated deadline of July 2020. The list and timetable is set out in paragraph 12.
5. The Museum Management Working Group is recommending to Cabinet that it approves the Collections Development Policy attached to this report.

Financial Implications

6. No expenditure is incurred as a result of the Accreditation Review. There are no fees charged for participation in the Accreditation Scheme. The Museum

will lose or restrict its eligibility for external funding and grants if it fails to maintain its Accredited status, including grants from the National Heritage Lottery Fund. This would have a major impact on the Museum’s development plans and ability to improve audience engagement and income in the long-term, as well as inhibiting the Museum’s participation in other medium-term projects and partnerships where full Accredited status is a requirement or expectation.

Background Papers

7. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

Accreditation Standard: Accreditation Scheme for Museums and Galleries in the United Kingdom, Arts Council England, November 2018

Accreditation Guidance: Supporting Guidance for Accreditation Standard November 2018, Arts Council England, March 2019

Impact

- 8.

Communication/Consultation	Public confidence in the Museum service is encouraged by Accredited status. The confidence of external funding bodies and other supporting or partnership organisations is encouraged by Accredited status. Key policies and plans, reviewed for Accreditation, communicate the Museum’s vision and procedures to the wider world.
Community Safety	No direct impact
Equalities	No direct impact, but Accredited status signifies that the Museum’s governance arrangements and policies are generally sound, including its Access Policy.
Health and Safety	No direct impact, but Accredited status signifies that the Museum’s governance arrangements and policies are generally sound, and management of collections is in keeping with Health & Safety legislation.
Human Rights/Legal Implications	No direct impact, but Accredited status signifies that the Museum’s governance arrangements and policies are generally sound, including legal and ethical considerations for managing, acquiring and

	disposing of collections.
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	All Museum staff's work is affected by Accreditation and maintenance of the required standards.

Situation

9. The Museum Accreditation Standard is the UK industry standard for museums and galleries of all types across the UK. It is managed as a UK partnership between Arts Council England, the Welsh Government, Museums Galleries Scotland and the Northern Ireland Museums Council.
10. It helps everyone involved with a museum to do the right things, helping people to access and engage with collections, and protect them for future generations.
11. The Accreditation Scheme achieves this by ensuring that museums and galleries manage their collections properly, engage with visitors, and are governed appropriately. To achieve full Accredited status, museums and galleries must undergo a periodic in-depth review to demonstrate that they meet the agreed standard in how they are run, how they manage their collections, and how they engage with their users.
12. Saffron Walden Museum has maintained its Accredited status since the inception of the Scheme and was last reviewed in 2014-15. It is due for an Accreditation Review from January 2020, when a letter is expected from the Arts Council England (ACE) to trigger the six-month review period. During this time, the Museum will have to complete a lengthy and detailed on-line questionnaire and upload policies, plans and other evidence, including signed minutes of MMWG and Cabinet meetings concerning the recommendation and approval of principal policies and plans. The Museum must complete its Accreditation return by the deadline in July 2020. All being well, its Accredited status would then be reaffirmed later in 2020.
13. In recent years, the Museum service has undergone some significant changes. The completion of the Shirehill store and resulting improvements in collections care and access, has now opened the way for the Museum to proceed with development plans for the Museum itself, focusing on developing public engagement, income and sustainability for the service. In 2019 a grant of £52,000 was awarded by the National Lottery Heritage Fund under its 'Resilient Heritage' programme to fund consultancies in audience development and an options appraisal & feasibility study. It is therefore timely for the Museum to review its Forward Plan and other policies, in anticipation of Accreditation Review in 2020.

14. The list of five plans and policies which must be approved by the Council is dictated by the Accreditation Scheme. The format and content of the plans and policies are also guided by the Scheme. In order to manage the workload for officers and members, it is proposed to submit the revised policies and plans for approval gradually from September 2019 onwards to successive MMWG and Cabinet meetings, to avoid the need to consider a large number of documents all at once. The schedule allows time before the deadline for one further Cabinet meeting before July 2020 in the event of unforeseen complications or delays. These are the policies and plans which the Council is asked to approve, and the proposed schedule for presenting them to Cabinet following review by the Museum Management Working Group:

Collections Development Policy	Cabinet 5 September 2019
Access Policy Statement	Cabinet 26 November 2019
Collections Care and Conservation Policy	Cabinet 26 November 2019
Documentation Policy	Cabinet 1 April 2020
Forward Plan	Cabinet 1 April 2020

15. Accreditation represents a standard which the Museum service should meet if it is functioning properly. The Accreditation review is an opportunity to run a 'health check' on the service and provide reassurance to the Council and Saffron Walden Museum Society Ltd that there are no significant problems with the operation of the service.

16. The Museum needs to maintain its Accredited status to be eligible for grants from heritage-sector organisations such as the National Heritage Lottery Fund and many others. Access to external funding from such bodies is essential for the Museum's development plans and some activities.

17. Loss of accredited status would also be likely to impact on the Museum's image and public confidence. This in turn would make it difficult for the Museum Society to raise funds in support of the Museum from charitable donations and grants, including grants towards purchase of important new acquisitions for the collections and displays (the Museum Society owns the collections and therefore all funds for new acquisitions are provided through the Society and not by the Council).

Risk Analysis

Risk	Likelihood	Impact	Mitigating actions
Museum fails to complete Accreditation return in time	2	3	Begin work on policies and plans in 2019 and agree timetable for submissions to MMWG and Cabinet,

			to ensure all are approved ahead of July 2020 deadline.
Museum fails to meet Accreditation standard	1	3	Working through policies and plans will help to identify any weak areas, and address these either immediately or in development plans.
Museum development plans, including associated fund-raising strategy to achieve them, are deferred or halted	2	3	Maintaining Accredited status ensures the Museum is eligible to apply for grants and support from external funding organisations
Public confidence in the Museum falls	2	2	Maintaining Accredited status is a mark that the Museum is well-run

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

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Committee:	Cabinet	Date:	Thursday, 5 September 2019
Title:	Corporate Plan Delivery Plan 2019/20 Quarter 1 Progress Update		
Portfolio Holder:	Cllr Paul Fairhurst, Portfolio Holder for Business, Economy, Jobs, Investment and Strategy; Youth Services		
Report Author:	Dawn French, Chief Executive dfrench@uttlesford.gov.uk Tel: 01799 510400	Key decision:	N

Summary

1. The Corporate Plan refresh 2019-2023 was agreed by Council at its meeting on 21 February 2019 and the delivery plan was agreed by Cabinet at its meeting on 28 February 2019. This report sets out progress against the Corporate Plan Delivery Plan between April and June (Q1); although it provides more recent update where progress since the end of June has been significant.

Recommendations

2. To note progress against the Corporate Plan Delivery Plan, attached at Appendix A.

Financial Implications

3. All financial implications arising from the delivery plan were reflected in the budget for 2019/20, as approved by Full Council on 21 February 2019.

Background Papers

4. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

None

Impact

- 5.

Communication/Consultation	Consultation specific to projects within the delivery plan is undertaken as necessary.
Community Safety	Progress on Community safety projects is included within the report.

Equalities	Equality impact assessments are undertaken in relation to specific projects, as necessary.
Health and Safety	Any health and safety implications resulting from actions or projects in the delivery plan are the subject of appropriate risk assessments, where necessary.
Human Rights/Legal Implications	Any human rights or legal implications arising from individual projects within the delivery plan are assessed and addressed.
Sustainability	Any sustainability implications arising from individual projects within the delivery plan are assessed and addressed.
Ward-specific impacts	Any ward specific issues arising from individual projects within the delivery plan are identified.
Workforce/Workplace	Any workforce implications arising from individual projects within the delivery plan are assessed and addressed.

Situation

6. The Corporate Plan 2019-2023 refresh was adopted by Full Council at its meeting on 21 February 2019. The Corporate Plan priorities remain:
 - Promote thriving, safe and healthy communities
 - Protect and enhance heritage and character
 - Support sustainable business growth
 - Maintain a financially sound and effective Council
7. Three additional bullet points were added to underpin the Plan's priorities as important considerations for how the Council delivers its services:
 - to manage and minimise the environmental impact of our activities
 - to maximise the use of digital and SMART technology to enhance well-being
 - to demonstrate our commitment to diversity and inclusion
8. The Corporate Plan Delivery Plan (CPDP), adopted by Cabinet at its meeting on 28 February 2019, sets out the more significant actions/projects (outputs), expected outcomes and performance measures by which success will be measured.
9. Appendix A sets out progress against each element of the CPDP at the end of Quarter One 2019/20, which covers the period April to June but where

significant progress has been made after this period, this has been included in the narrative to give the most up to date picture.

10. It was recognised when the CPDP was approved this year that the plan had been updated, but not significantly reworked, to provide continuity into the new municipal year.
11. Good progress has been made on a number of priorities, however, the following are drawn to members' attention as being of note:
 - a. The Walking for Health Programme has been launched with six health walks across the district led by volunteers. Through collaboration with the Saffron Walden Museum this programme has also served to increase public awareness of local wildlife and the countryside as a local wildlife expert has joined the walks.
 - b. The Council's Housing Service has embedded a new model of service delivery to comply with the Homelessness Reduction Act 2017. Focusing upon the prevention and relief of homelessness, customers now receive assessments which proactively consider other factors than just their housing situation. Through the Homelessness Partnership there has also been an increase in multi-agency responses to support the needs of those who are homeless or at risk of homelessness.
 - c. A successful funding application has enabled automatic number plate recognition capability to be added to CCTV in Stansted. This camera will provide some coverage to the B1383, helping to identify offenders moving from one side of the district to the other.
 - d. The Garden Room in Saffron Walden is now offering Yoga4Health sessions. This activity underlines how the day centres can offer activities which improve health and wellbeing and reduce social isolation. Officers are proactively exploring how other forms of local partnership working within the day centres can contribute to this.
 - e. Performance within Quarter 1 2019/20 shows that Environmental Services delivery has improved across the service. Of particular note is the considerable reduction in the wait time for new bins; as most new requests are delivered within seven working days.

Risk Analysis

12.

Risk	Likelihood	Impact	Mitigating actions
The Delivery Plan cannot be delivered	2	4	Resources have been allocated to the Delivery Plan and it will be monitored

			regularly by Cabinet
The Delivery Plan actions do not further the Council's priorities as intended	1	4	Actions have been selected that are considered most appropriate to support the Council's priorities; evaluation will be ongoing to reflect on whether the outputs achieve the outcomes expected

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix A: Q1 Corporate Plan Delivery Plan Actions Report 2019-20

Corporate Plan Delivery Plan 2019/20

Quarter 1 Update



Commitment 1: Promote thriving, safe and healthy communities

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-01 Day Centres</p> <p>Day centres that are efficient and effective and that promote activities to reduce social isolation and improve health and wellbeing</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> • New operating agreements in place for Great Dunmow and Stansted Day Centres. • Transfer staff to direct employment of the Council where appropriate. • Assist management committees' decision to new ways of working. • Work with management committees to develop the centres as places for activities to improve health and wellbeing. <p><u>Output Measures and Milestones</u></p> <ul style="list-style-type: none"> • Operating agreements in place - first agreement in place by end of September 2019. If require staff transferred - staggered throughout year. First staff to transfer in September 2019. • New ways of working implemented - staggered throughout the year. First of the two remaining day centres operating on new ways of working from Oct 2019. 	<ul style="list-style-type: none"> • Within existing budget • Transferred staff posts 	<p>31-Mar-2020</p>	<p>Richard Auty</p>
			<p><u>Quarter 1 2019/20 Update</u></p> <p>Thaxted Day Centre continues to provide a full lunch service for users with participation numbers gradually increasing. This has been achieved by the Day Centre General Manager working proactively with local Sheltered Accommodation sites and partnership agencies. A new operating agreement is now established for the Garden Room DC, Saffron Walden, after staff were transferred across. It has taken some time to ensure all operating processes comply with council and external body regulations; however the Centre is now offering lunches four days a week and has a number of regular hirers. Work continues to increase lunch numbers along with looking for opportunities to offer the facility to support local partnership working. Discussions with the Trustees at the Great Dunmow DC are expected to restart once administration priorities are confirmed. Officers are in regular contact with Stansted Parish Council to support the continued use of the DC for lunch provision alongside the newly opened Hub building. Takeley continues to be used by hirers and former lunch customers are bussed to Thaxted DC once a week. In addition, the council is developing the use of centres as health and wellbeing hubs, with officers working closely with the health and wellbeing team. A recent example of this is the establishment of Yoga4Health sessions at the Garden Room.</p>	

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-02 Local Plan</p> <p>A sound Local Plan that guides development to 2033, to address needs and opportunities whilst protecting and enhancing heritage and character.</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> • Prepare for and participate in its examination in the public realm. • Commence preparation of development plan documents setting out the master plans for the proposed garden communities. <p><u>Output Measures/Milestones</u></p> <ul style="list-style-type: none"> • Examination commenced. • First hearings planned for July 2019. 	<ul style="list-style-type: none"> • Approved budget for a range of resources. 	<p>31-Mar-2020</p> <p><u>Quarter 1 2019/20 Update</u></p> <p>During this quarter the council submitted its statements in response to the Inspectors Matters, Issues and Questions (MIQs). A large number of statements of common ground were agreed and officers prepared for the hearings and the contents of the representors' statements. The hearings commenced on 2 July out of which a list of actions was generated. The Inspectors have indicated they will write to the council in September. The council has maintained a web page dedicated to informing the public regarding the local plan examination and published all the relevant documents for information and comment, as required.</p>	<p>Gordon Glenday</p>

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-03 Promote Healthy Lifestyles</p> <p>Residents are active and optimise their health and wellbeing.</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> • Working with partners to increase the levels of participation in sports, leisure and cultural activities. • Raise awareness of local health & wellbeing activities for all residents. • Increase resident's awareness and skills to improve their health and wellbeing. • Maintain independent living through Disabled Facilities Grants. <p><u>Output Measures/Milestones</u></p> <ul style="list-style-type: none"> • Success will be measured by key performance indicators and the delivery of targets for each of the priorities as set out within the Health & Wellbeing delivery plan. 	<ul style="list-style-type: none"> • Within existing budget and Public Health grant. 	<p>31-Mar-2020</p>	<p>Roz Millership</p>
<p><u>Quarter 1 2019/20 Update</u></p> <p>We are working with partners to deliver priorities of the Uttlesford Health and Wellbeing Strategy (2019-2022).</p> <p>Public Health (PH) grant funding is to be used to fund a part time Food Partnership co-ordinator. Further conversations are taking place with PH to secure funds to extend this post to full time to include delivery of Livewell child through the Primary schools in the District. Crucial Crew delivered from 21st to 24th June to all year 6 students in the District included healthy lifestyles, healthy relationships and mental health workshops.</p> <p>Walking for Health Programme has been launched with 6 health walks now taking place across the district led by volunteers. A collaborative initiative has formed between the health walk programme and Saffron Walden Museum to introduce activities onto the walks. This launched on 25th May and includes ideas like inviting a local wildlife expert along to some of the walks across the district, for the public to increase their knowledge and interest for wildlife and the countryside. "My Weight Matters" programme is going well. The majority of people completing the programme have made some great progress towards losing their 5% weight loss goal.</p> <p>The Disabled Facilities Grants (DFG) service continues to work with Essex County Council to extend the range of adaptations to facilitate independent living. Current grant funding remains the lowest in Essex. UDC, Epping Forest and Harlow (West Essex Quadrant) are participating in a pilot exercise to fast track adaptations to facilitate rapid discharge from hospital, involving a shared Occupational Therapist.</p>				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-04 Improve Community Safety</p> <p>Communities that feel safe and secure.</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> • Further develop the activities of the Community Hub. • Deliver identified strategies of the new Strategic Assessment. • Work with partner agencies within the Community Safety Partnership to reduce and prevent crime and anti-social behaviour. • Ensure partnership working with town councils, parish councils and the PCSOs to address the fear of crime. • Make greater use of Restorative Justice (RJ) to help put right the harm caused by anti-social behaviour, enhancing public reassurance and confidence. <p><u>Output Measures/Milestones</u></p> <ul style="list-style-type: none"> • Success will be measured through annual surveys of residents, key performance indicators and the delivery of targets for each of the priorities as set out within the new Strategic Assessment. • Quarterly feedback from Towns and Parishes. • Monthly updates from PCSOs. • Quarterly update from RJ as to number of referrals and outcomes. 	<ul style="list-style-type: none"> • Within existing budget (including funding for two PCSOs). • Match funding in approved budget for further two PCSOs. • Partner agencies. 	<p>31-Mar-2020</p> <p><u>Quarter 1 2019/20 Update</u></p> <p>The Strategic Assessment for 2019/20 has been completed in partnership with the Community Safety Partnership (CSP) analyst. The Strategic Assessment for 2020/21 will be started in Dec 2019 and will include a resident's survey. The CSP has a new action plan reflecting district issues, which the CSO and partners will implement.</p> <p>The Community Safety Hub continues to strengthen with positive outcomes. Agencies are using the hub regularly as a base whilst in the District which enhances partnership working. Hub meetings are well attended where a multi-agency approach is given to low level crime and anti-social behaviour issues.</p> <p>Safeguarding policies and procedures have been reviewed and aligned with new legislation.</p> <p>Safer Streets events have been held in Little Canfield and Great Chesterford, allowing partners to work together to 'make the streets safer'. Uttlesford District Council, Essex Police, Essex Fire and Rescue Service, Safer Essex Roads Partnership and North Essex Parking Partnerships were the agencies in attendance. The High Sheriff visited the Safer Streets project in Great Chesterford to look at partnership projects including, Men's Sheds, Digital Buddies. A funding application for automatic number plate recognition (ANPR) capability to be added to the CCTV in Stansted was successful. This camera will give some coverage to the B1383 helping to identify offenders moving from one side of the district to the other.</p> <p>The Restorative Justice hub, which is made up of agencies across Essex who work to support victims of crime, reduce offending and support communities, received 17 referrals from the district last year with 4 positive outcomes (29%) recorded.</p>	<p>Roz Millership</p>

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-05 Continued support for the voluntary sector</p> <p>Communities that are strong, self-sufficient, resilient and supportive.</p>	<p><u>Activities for 2019/20</u> Continued work with voluntary sector, particularly the CVSU, to support vulnerable individuals and communities through a range of projects.</p> <p><u>Output Measures/Milestones</u> These will be defined within each project.</p>	<ul style="list-style-type: none"> • Within existing budget, including grants budget. 	<p>31-Mar-2020</p> <p><u>Quarter 1 2019/20 Update</u></p> <p>Continued strengthening of partnership working with the voluntary sector.</p> <p>Current work, which is being led by our CVSU partner, includes:</p> <ul style="list-style-type: none"> ◇ Digital Buddies service - providing home visits to set up and maintain smart / digital devices that make life in the home a little bit easier. ◇ Funding received for a Community Builder (CB) to work in North Uttlesford from 1st April 2019. Further funding has been applied for to support further CBs across the area (bid made with West Essex partners) ◇ Green Matters gardening project has been going for one year. The project has completed 83 gardens, and carried out 40+ Trip and Falls assessments, which were then linked to sign posting, prevention advice or remedial work being carried out. ◇ Winter warmth handyman service is being offered in conjunction with the Environmental Health department. 	<p>Roz Millership</p>

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-06 Prevent homelessness</p> <p>Increase in the prevention and the relief of homelessness within the district.</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> Prevent Homelessness through early intervention methods. <p><u>Output Measures/Milestones</u></p> <ul style="list-style-type: none"> Success will be measured by key performance indicators and the delivery of targets for each of the priorities set out within the Homelessness Strategy. Performance monitoring of quarterly statistical reports including the number of homelessness cases; average time spent by homeseekers in temporary accommodation. 	<ul style="list-style-type: none"> Within existing resources. 	<p>31-Mar-2020</p>	<p>Roz Millership</p> <p><u>Quarter 1 2019/20 Update</u></p> <p>The Council's Housing Service has embedded a new model of service delivery to comply with the new Homelessness Reduction Act 2017.</p> <p>Customers now receive assessments that actively seek to understand more than just the housing situation. This is time intensive work supporting vulnerable customers with complex issues who are homeless or at risk of homelessness.</p> <p>Through the Homelessness Partnership there is an increased level of multi-agency response to support needs. The new approach has had some success as can be seen by the improving performance indicators. During Quarter 1 2019/20 there were 36 cases where homelessness was prevented or relieved in accordance with the Homelessness Reduction Act. This result significantly exceeded the target of 23 cases.</p>

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-07 Deliver Affordable Housing</p> <p>Good quality affordable homes for local people.</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> • Contribute to the provision of affordable housing supply by delivering/acquiring further new Council homes. • Work with developers and Registered Social Landlords to ensure delivery of required numbers of affordable housing on development sites. • Continue to deliver the Housing Strategy particularly focused on ensuring the right tenures and quality of homes for vulnerable groups in the district. <p><u>Output Measures/Milestones</u></p> <ul style="list-style-type: none"> • Deliver new council homes or acquisitions through the Housing Revenue Account development programme. • Deliver required affordable housing targets in line with planned timescales. 	<ul style="list-style-type: none"> • Within existing resources using RTB receipts. • Additional HRA borrowing potential. 	<p>31-Mar-2020</p> <p><u>Quarter 1 2019/20 Update</u></p> <p>Construction of 3 sites currently progressing - Hatherley Court Phase II (15 homes), Newton Green, Dunmow (4 homes) and Frambury Lane, Newport (4 homes). Planning permission has been granted for 16 new properties at The Moors in Little Dunmow and a grant of £460,000 has been awarded by Homes England towards this project, this will enable 8 of the 16 properties to be delivered at social rents.</p> <p>The council has purchased a development site in Great Chesterford which already has planning permission for market houses. New plans are being progressed to change the site layout to deliver 13 new affordable rent council homes.</p> <p>Member approval has been given for the appropriation from the General Fund of a development site in Saffron Walden, subject to planning permission. If planning is approved this will deliver 14 new affordable rent council properties.</p> <p>Work is progressing on the designs for Walden Place in Saffron Walden that will enable the detachment and then disposal of the Grade 2 listed building with the re-provision of the communal areas and additional sheltered flats.</p> <p>For 2018/19 the targets for the delivery of new affordable homes were far exceeded. We delivered 43 new council properties compared to the 34 targeted and further delivered 309 new affordable homes considerably passing the 120 targeted. We expect this performance to continue during the 2019/20 year.</p>	<p>Roz Millership</p>

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-08 Improve private sector housing conditions</p> <p>Private sector housing that is healthy and safe to live in</p>	<p><u>Activities for 2019/20</u></p> <ul style="list-style-type: none"> Implement the new range of measures to tackle rogue landlords under the powers available to the Council in the Housing & Planning Act 2016. <p><u>Output Measures/Milestones</u></p> <ul style="list-style-type: none"> Success will be measured by key performance indicators. 	<ul style="list-style-type: none"> Within existing resources. 	<p>31-Mar-2020</p> <p><u>Quarter 1 2019/20 Update</u></p> <p>Proactive work relating to empty homes continues. Officers have issued a notice of confirmation to compulsory purchase a property in Little Easton and will be focusing attention on the next high-risk properties in the district.</p> <p>The Council has now licensed 15 houses of multiple occupation (HMOs). Despite promotion of the changes to the definition that came into force on 1st October 2018, officers suspect that there are a number of landlords have yet to come forward and apply and are taking the proactive approach of contacting these landlords.</p>	<p>Roz Millership</p>

Commitment 2: Protect and enhance heritage and character

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-09 Walden Castle Castle opened for public access and suitable events.	<u>Activities for 2019/20</u> • Installation of electricity, lighting and security and establish an events programme. <u>Output Measures/Milestones</u> • Work completed and access available to all - by end of August 2019. • Events programme to be developed by December 2019.	• Within existing resources.	31-Mar-2020	Nicola Wittman
<u>Quarter 1 2019/20 Update</u> Project has been delayed due to issues around suitable flooring for inside the Castle. This has now been resolved and the contract for works has been awarded to Barkers for the final stage of the work. This is due to commence in September 2019 and complete by the end of the calendar year.				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-10 Museum Development Lottery Bid • The lottery grant will lay the foundations for a larger grant application to extend the museum by providing funding for feasibility and options appraisals and an audience development study with public consultation. • In addition it will enhance the fundraising capabilities of the Saffron Walden Museum Society through training.	<u>Activities for 2019/20</u> • Bid to Lottery Fund <u>Output Measures/Milestones</u> • Work commenced on feasibility and options appraisal stages along with public consultation in preparedness for a bid to the HLF for an extension to the Museum building.	• Within existing resources.	31-Mar-2020	Richard Auty
<u>Quarter 1 2019/20 Update</u> Following the successful application to the National Lottery Heritage Fund, consultant briefs have been finalised for two of the key pieces of work in the bid. Adverts are currently out for quotes for the Audience Development Study and Options Appraisal and Feasibility Study. Appointments are expected to be made in early September. The results of these studies will inform the second stage of plans to develop the museum service and improve its long term resilience.				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-11 Street Cleansing Five Point Plan</p> <p>A clean District that residents are proud of.</p>	<p>Activities for 2019/20</p> <ul style="list-style-type: none"> Litter education initiative (delivered as part of overall Waste education and awareness programme). Street Cleansing vehicles to be branded to support litter education campaign. Optimised street cleansing service. Encouraging community litter picks. Targeted enforcement activity <p>Output Measures/Milestones</p> <ul style="list-style-type: none"> Reduced levels of litter and fly tips Resident and business feedback on satisfaction Pre and post campaign surveys Number of community litter picks Number of FPN or other enforcement sanctions. 	<ul style="list-style-type: none"> Within existing resources. 	<p>31-Mar-2020</p> <p>Quarter 1 2019/20 Update</p> <p>Progress against the Street Cleansing Five Point Plan has been good. The five point plan focuses on five key areas and an update is provided below:</p> <ul style="list-style-type: none"> ◇ <i>Educate</i>, particularly school age children: Litter and the impact on the environment is now included in all school visits and talks to other groups as appropriate. ◇ <i>Conduct a media campaign including on the side of the waste vehicles</i>: The Street Cleansing vans are being branded with artwork nearing completion and the Council is working with the Cleaner Essex Group to coordinate media campaigns targeting car thrown litter, cigarette litter and fly-tipping. ◇ <i>Increase Council resource to litter pick</i>: Recruitment to vacancies within the team have now been completed however one person is leaving in August. Plans are in place to recruit quickly. ◇ <i>Encourage more volunteers to litter pick</i>: The council supports volunteer litter picking activities and is supplying kits to organised groups and disposing of any wastes collected. ◇ <i>Identify and prosecute offenders</i>: We are planning a number of targeted enforcement activities later in the year. 	<p>Ben Brown</p>

Commitment 3: Support sustainable business growth

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-12 Economic Development</p> <p>Strategy Action Plan Positive interventions that support business growth.</p>	<p>Activities for 2019/20</p> <ul style="list-style-type: none"> • Delivery of the strategy including engagement in a joint digital infrastructure strategy across West Essex and East Herts. • Research the extent of lack of poor mobile communications and options for resolution. • Participation in the Stansted Airport College Advisory Group • Progress local economic strategies for each new garden community. <p>Output Measures/Milestones</p> <ul style="list-style-type: none"> • New car park machines procured. • Car parking strategy. • Progress with rollout of Phase 3 superfast broadband in Uttlesford. • Essex Digital Innovation Zone (DIZ) strategy in place. • Subject to outcome of bid to NEPP for capital funding for improvements to two car parks in Stansted Mountfitchet, implementation of works. • Subject to outcome of expression of interest in Future High Street Fund, development of full bid. 	<ul style="list-style-type: none"> • Approved budget for a range of activities. • External funding via bidding. 	<p>31-Mar-2020</p> <p>Quarter 1 2019/20 Update We continue to support the EESET sub group of Uttlesford Futures and delivery of projects such as the Careers Fair and Dragons Challenge. To encourage more visitors into Uttlesford, service level agreements have been established with Visit Essex and Visit Cambridge. We are a lead partner in the creation of the Cross Border Partnership for Uttlesford, Epping Forest, Harlow and East Herts to encourage more visits. We are supporting local businesses and economic groups through the Saffron Walden BID positive vote, submitting a BID to the Future High Street Fund and also supporting the Stansted Business Forum, Great Dunmow Town Team and Saffron Walden Meet the Town Team. Frameworks have been created for external support for economic development strategies including the relation between the airport and garden communities. We have supported the Stansted Airport College, and sponsored airport business development events such as Meet-the-Buyer & Checkin. Workshops have been undertaken to support economic development plans for the Garden Communities. We are currently independently auditing the current percentage of premises in Uttlesford with access to superfast broadband. We have targeted that 92% of premises within Uttlesford will have superfast broadband by the end of the 2019/20 year. Superfast Essex has advised a further delay to the Gigaclear rollout of ultrafast broadband taking the final delivery date from July 2020 to December 2021. The premises target will be reviewed in Quarter 2 once the position is clear. As expected, the Future High Street Fund bid was not successful. Work continues in support of Great Dunmow town centre including the revitalised Town Team.</p>	<p>Gordon Glenday</p>

Commitment 4: Maintain a financially sound and effective Council

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
<p>19-CPDP-13 Medium Term Financial Strategy</p> <p>To ensure that the Council maintains a budget that is financially viable and continues to provide services at an affordable level.</p> <p>Page 88</p>	<p>Activities for 2019/20</p> <ul style="list-style-type: none"> • Budget monitoring carried out monthly to ensure full understanding of the in-year financial position and enable remedial action to be taken if necessary. • To continue the rollout of Zero Based Budgeting and service reviews for 2020/21 budget preparation. • To prepare the MTFS and all supporting budget reports for 2020/21. <p>Output Measures/Milestones</p> <ul style="list-style-type: none"> • Monthly Budget monitoring with quarterly reports prepared for Cabinet. • Zero Based Budgeting for 2020/21 to begin in September to ensure approval process is complete to meet annual budget deadlines. • To identify areas of savings for 2020/21 (if this has not already been identified as part of the budget monitoring process). • 2020/21 budget papers and MTFS to be presented to Members in February 2019. 	<ul style="list-style-type: none"> • Finance Team • SMT and CMT • All budget managers 	<p>31-Mar-2020</p> <p>Quarter 1 2019/20 Update</p> <p>The monitoring of budgets is underway, and the first quarterly report for predicted outturn in 2019/20 will be presented to members at the September meeting of Cabinet. An efficiency workshop with Senior Managers is scheduled to take place in August to support the budget setting process. Service areas still to be identified as part of the rolling review programme (this will encompass the principles of zero-based budgeting); this needs to be aligned with new members' priorities.</p>	<p>Angela Knight</p>

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-14 Chesterford Research Park Significant contribution to the Council's revenue budget.	<u>Activities for 2019/20</u> <ul style="list-style-type: none"> Evaluation and delivery of most affordable method of financing for new unit(s) Agreement to fund, if required, the building of additional units for a new tenant on the park. Economic Development team work to promote the Park. <u>Activities Measures/Milestones</u> <ul style="list-style-type: none"> At least one new request, if required, for funding for a new build unit received in 2019/20. 	<ul style="list-style-type: none"> Within the resources allocated, in principle, in the Investment Strategy (subject to Council final approval). 	31-Mar-2020	Angela Knight
<u>Quarter 1 2019/20 Update</u> The output for the action is for at least one new request during the 2019/20 year; no new requests have been received for financing a new unit or refit of a vacant unit. Work is ongoing with the refurbishment of Building 60 and tenants to take occupation upon completion of the building in late spring of 2020.				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-15 Uttlesford South Depot Efficient and effective use of assets.	<u>Activities for 2019/20</u> <ul style="list-style-type: none"> Approved planning permission Explore options for commencement of phase 1 prior to purchase of land. Operational planning activities associated with new site. <u>Output Measures/Milestones</u> <ul style="list-style-type: none"> Planning approval in June 2019. Land purchased - by end of March 2020. 	<ul style="list-style-type: none"> Within existing resources. 	31-Mar-2020	Nicola Wittman
<u>Quarter 1 2019/20 Update</u> The planning application is awaiting determination by the Planning Committee; however no meeting date has yet been given. This in part due to a second application being submitted by a third party promoting their site as suitable for the UDC depot. This is likely to mean both applications need to be determined at the same meeting. It is understood the second application is not yet ready to go to Committee. This project will only continue on the proposed site if planning permission is obtained. Failure to gain permission will revert the project back to the stage of looking for a suitable site.				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-16 Workforce Development An engaged and flexible workforce that is able to react to the changing local government environment.	Activities for 2019/20 <ul style="list-style-type: none"> Develop a people plan. Bring on stream apprenticeships through apprenticeship levy. Output Measures/Milestones <ul style="list-style-type: none"> An assessment of the skills gaps and shortages along with a remediation plan - end of December 2019. More apprentices - throughout 2019/20. 	<ul style="list-style-type: none"> Within existing resources. 	31-Mar-2020	Richard Auty
Quarter 1 2019/20 Update Preparations underway for a second tranche of managers to undertake the Institute of Leadership and Management Level 5 qualification during the year following a successful course last year. Work is progressing to use the Apprenticeship Levy to upskill staff in areas where it has proven difficult to recruit - planning and building control are exploring a series of degree apprenticeships. A strategic review of HR has been completed by a consultant supplied by the East of England Local Government Association and the report will be used to inform future service developments.				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-17 Citizens Access Enhance self-service for council customers.	Activities for 2019/20 <ul style="list-style-type: none"> Installation of online access to Council Tax, Rents, Housing Benefits and Business Rates. Output Measures/Milestones <ul style="list-style-type: none"> Online account access for customers is available - Ready for use by end of December 2019 and promoted through 2020/21 annual billing. 	<ul style="list-style-type: none"> Approved budget for IT investment, and backfilling project team, if required. 	31-Mar-2020	Richard Auty
Quarter 1 2019/20 Update First stage testing of the Citizens Access modules has been completed in Revenues and Benefits. The Customer Service team is now testing the system and logging issues. Live user testing will commence once this stage of testing is complete. Communications Plan for public roll-out is being developed, with an expected go-live in the autumn.				

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-18 Investment Strategy Moving towards a self-financing Council.	<u>Activities for 2019/20</u> <ul style="list-style-type: none"> Acquisition of commercial units in accordance with the Investment Strategy. <u>Output Measures/Milestones</u> <ul style="list-style-type: none"> One investment completed by 30th September 2019. Second investment completed by 31st March 2020. 	<ul style="list-style-type: none"> Within the resources allocated, in principle, in the Investment Strategy (subject to Council final approval). 	31-Mar-2020	Adrian Webb
		<u>Quarter 1 2019/20 Update</u> A revised Investment Strategy and Investment Steering Group structure will be brought to Cabinet and Council in the Autumn. The original timetable of an investment by 30 th September 2019 will not be met. The aim is now one investment, producing a net income of at least £400,000 per annum, to be delivered by 31 March 2020.		

Programme / Project / Activity Title Code & Description	Outcome	Resources	Due Date	Officer Responsible
19-CPDP-19 Environmental Services Delivery Ensuring that services are reliable, effective and offer good customer service.	<u>Activities for 2019/20</u> <ul style="list-style-type: none"> Improvements in service delivery implemented and sustained. <u>Output Measures/Milestones</u> <ul style="list-style-type: none"> Improvements in KPIs. Improved customer service - reduced complaints, improved service standards, i.e. reduced wait times for bin deliveries, online booking on bulky waste collections. 	<ul style="list-style-type: none"> Within the resources allocated. 	31-Mar-2020	Ben Brown
		<u>Quarter 1 2019/20 Update</u> Overall the performance indicators for Street/Environmental Services have improved dramatically within the last year. Specifically, waiting times for new bins have considerably reduced, and most new requests are delivered within 7 working days. Grounds maintenance and street cleansing performance has also improved and sickness levels have reduced. Work is however required to improve our response to those bins that are missed. We are working on the process for online bookings of bulky waste collections, and this project links to upgrading the Council's Collective Software which helps us manage operations.		

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Committee:	Cabinet	Date:	Thursday 26 September 2019
Title:	Establishment of an Energy and Climate Change Working Group		
Portfolio Holder:	Cllr Louise Pepper, Portfolio Holder for Environment and Green Issues; Equalities		
Report Author:	Ben Ferguson; Principal Democratic Services Officer bferguson@uttlesford.gov.uk	Key decision:	No

Summary

1. At the Council meeting on 30 July, a motion was passed requesting the Cabinet Member for Environment and Green Issues to establish an Energy and Climate Change Working Group of Cabinet.

Recommendations

2. That Cabinet proceed to establish an Energy and Climate Change Working Group.

Financial Implications

3. None.

Background Papers

4. No additional papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

Impact

- 5.

Communication/Consultation	N/A
Community Safety	N/A
Equalities	N/A
Health and Safety	N/A
Human Rights/Legal Implications	N/A
Sustainability	N/A

Ward-specific impacts	N/A
Workforce/Workplace	N/A

Situation

- 6. Cabinet has been asked by Council to set up an Energy and Climate Change Working Group.
- 7. The proposed terms of reference are set out in the appendix to this report.

Risk Analysis

8.

Risk	Likelihood	Impact	Mitigating actions
N/A	N/A	N/A	N/A

- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Energy and Climate Change Working Group: Terms of Reference

Status

This is a working group of the Cabinet. It may make recommendations but is not a decision-making body.

Membership

Eleven members of the Council to be appointed by the Cabinet on nomination by group leaders. (7 R4U, 2 Liberal Democrat, 1 Conservative, 1 Independent Group.)

Substitutes are to be permitted.

Attendance

Officers will attend to support the Working Group as necessary.

The Working Group may invite other parties to attend and to contribute to meetings as it decides.

Meetings

The Working Group will fix its own timetable for meetings.

Meetings will be open to the public, subject to the exclusion rules that apply to committee meetings. Agendas and minutes will be published on the Council website.

Officer support

A senior Council officer will be designated as the lead officer for the Working Group.

Democratic Services will provide administrative support for the Working Group.

Role of the Working Group

The Council has declared a Climate and Ecological Emergency, acting now to prevent a climate and ecological catastrophe that will greatly impact our children, grandchildren and future generations

It has also committed to achieving net-zero carbon status by 2030 and protecting and enhancing bio-diversity.

The Working Group will:

- Enable collaborative working across the Council and engagement with individuals, community groups, businesses and other partners in the district, including young people who should have a voice to help shape our future.
- Investigate steps that may be taken by the Council and by Uttlesford residents and businesses to work towards the Council's commitment to achieving net-zero carbon status by 2030 and towards protecting and enhancing bio-diversity.

- Produce a bold plan of action that is realistic, measurable and deliverable for recommendation to the Cabinet.
- Monitor delivery of the action plan once adopted to ensure that significant progress has been made to deliver the action plan by April 2023.
- Identify support needed from Central Government in terms of funding, additional powers and policy changes which are needed to achieve the Council's climate and ecological objectives.
- Make recommendations to the Council, Cabinet or others that would help to achieve the Council's climate and ecological objectives.

DRAFT

Committee: Cabinet

Date:

Title: Commercial Strategy

Thursday, 26
September 2019

Portfolio Holder: Cllr Paul Fairhurst, Portfolio Holder for Business, Economy, Jobs, Investment and Strategy; Youth Services

Report Author: Adrian Webb, Director - Finance and Corporate Services
awebb@uttlesford.gov.uk
Tel: 01799 510421

Key decision:
Yes

Summary

1. This report presents the revised Commercial Strategy, previously known as the Investment Strategy, and recommends the change of name of the associated Working Group.

Recommendations

2. Cabinet is requested to
 - i. approve the Commercial Strategy and recommend it to Council for adoption; and
 - ii. approve the re-naming of the Investment Steering Group to the Investment Board;
 - iii. authorise the recruitment of the two independent members of the Investment Board with the associated remuneration of £520.25 each per annum

Financial Implications

3. There are no new financial implications.

Background Papers

4. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

None

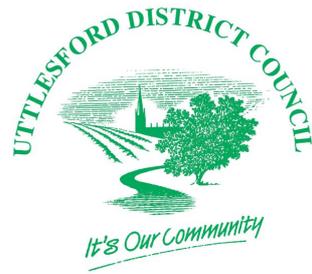
Impact

Communication/Consultation	None
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Community Safety	No specific implications
Equalities	None
Health and Safety	No specific implications
Human Rights/Legal Implications	No specific implications
Sustainability	No specific implications
Ward-specific impacts	No specific implications
Workforce/Workplace	None

Situation

5. Council on 21 February 2019 approved the 2019/20 Investment Strategy. This report seeks to update that Strategy and rebrand it as the Commercial Strategy. This rebranding enables it to be clear that this document relates to the commercial activities of the Council and not the treasury management (investments and borrowing) that the Council undertakes on a daily basis.
6. On 9 April 2019 Council endorsed the Executive Decision; taken by the Cabinet Member for Finance and Administration, to establish an Investment Steering Group as a Working Group of Cabinet. The decision has now been taken to rename this Working Group the Investment Board.
7. Attached at Appendix One is the new Commercial Strategy. The new strategy sets out how the Investment Board fits into the governance structure of the Council. In addition, it is more specific on potential asset types and locations.



Uttlesford District Council

Commercial Strategy 2019 to 2023



Prepared by:
Asset Management
Uttlesford District Council
September 2019

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Introduction

1. The Council recognises that as a consequence of reducing government funding there is an increased requirement to generate additional income to underpin the core services provided by the Council to its residents. Traditional ways of generating additional income such as through Council Tax and fees and charges will not be able to absorb the reduction in government funding.
2. This document replaces the General Fund Investment Strategy 2019/20 as approved by Full Council on 21 February 2019.

Current Portfolio

3. In May 2017 the Council, through its wholly owned subsidiary Aspire (CRP) Ltd, acquired a 50% share in Chesterford Research Park and formed a joint venture with Aviva Investors. As part of the Cambridge Life Science cluster the Park is world renowned, having been in existence for 19 years, with available space to significantly increase the commercial floor space, plus expand the Park into other areas of research to diversify and reduce the risk.
4. The Council gave a loan to Aspire (CRP) Ltd for the purchase of 50% of Chesterford Research Park (£47.25m). The loan was funded by

- Phoenix Life – borrowing of £37m for 40 years on a repayment basis @ 2.86% fixed. The first £10m drawdown was 1 July 2017 with the remainder as follows

1 July 2021 - £12m

1 July 2022 - £15m

Whilst this loan is being drawn down the balance will be funded by a mix of local authority and internal borrowing – The amount of each varies during the year dependant on the level of UDC balances available. Average interest rate, interest only, is 0.7%

- Use of reserves and balances (£10.25m) funds the balance.
5. For 2019/20 the income from Chesterford Research Park is expected to be £2,130,000 with the cost of borrowing being £400,000. There is also repayment of staff time.

Loans to wholly owned subsidiaries

6. The Council recognises that, to further support the budget ongoing and to ensure the continued delivery of services at the level currently provided, further investment in the expansion of Chesterford Research Park will be necessary. The first set of additional loans relate to the refurbishment of the Newnham Building. To date, the following loans to Aspire (CRP) Ltd have been made

Date	Amount	Term	Rate	Basis	Annual Repayment	Building	Repaid
03/05/2017	£47,250,000	50 years	4%	Interest Only	£1,890,000.00		
27/06/2017	£60,000	10 months	4%	Interest and principal	£61,827.95		✓
26/03/2018	£223,000	49 years 1 months	4%	Interest only	£8,920.00	Newnham	
02/01/2019	£2,518,000	48 years 4 months	4%	Interest only	£100,720.00	Newnham	
20/08/2019	£3,000,000	20 years	4.5%	Interest and principal	£230,630.00	Newnham	

7. In addition there is approval for a further loan of £1.25m for the fit-out of the Newnham Building on an interest and principal basis over 20 years at an interest rate of 4.5%. This will be drawn down during the latter part of 2019/20 as the Newnham Building refit progresses.

The future

8. The Council is committed to investing in the Park. The Council is keen to see existing tenants expand and grow on the Park and for the Park to attract new tenants from a diverse range of research activities. The Park is within the district boundary and investing helps to sustain existing employment, introduce new employment opportunities and generate additional Business Rates. As part of the 2019/20 Investment Strategy, approved by Full Council in February 2019, an in principle agreement to invest up to £20million at the Park over the next three years was approved.
9. Full Council in February 2019 also agreed an in principle sum of £80million for investments outside of CRP. This sum will, in the main, be invested out of area to offset risks of investing in a small geographical area. To minimise risk to the investment the Council will, in the main, concentrate on areas with above average;
 - Population growth projections
 - Employment growth projections
 - Gross Domestic Product (GDP) growth projections
10. The Investment Portfolio will include a mix of
 - Multi-let urban industrial
 - Offices in dynamic cities
 - Single-let long lease
 - Convenience retail
 - Market rent housing
11. The portfolio will also have a mix of lease lengths again to provide a balance.
12. Evaluation of potential opportunities will be made using a RAG based approach on criteria agreed by the Investment Steering Group.

Key Performance Indicators (KPIs)

13. A suite of KPIs will be developed by the Investment Board for reporting by the Aspire companies on a quarterly basis. These KPIs will be used, as part of suite of information, to inform future investments and disposals and therefore the make-up of the portfolio

Investment Protocol

14. An Investment Protocol will be developed alongside this strategy which sets out the criteria in detail.

Security, Liquidity and Yield

15. As the Council only has a small amount of money of its own to invest, any further expansion of the commercial strategy will necessarily be funded from a mix of external borrowing, from financial institutions, Public Works Loan Board (PWLB) and other local authorities. The Council will not invest in high yield, high risk opportunities. This will be reflected in yield expectations which are currently 3 – 7%.
16. Investments at Chesterford Research Park will be made by way of loans to Aspire (CRP) Ltd the Council's wholly owned subsidiary. All commercial investments outside of CRP will be undertaken by the Council. Property purchase for letting at market rents will be undertaken through a new wholly owned subsidiary company Aspire (UDC) Ltd.
17. By investing mainly, but not exclusively, in areas of above average population growth, employment growth and GDP growth the risk to the Council investment will be reduced.
18. Financing of acquisitions will be decided on a case by case basis. In almost all cases a mix of repayment and interest only loans will be undertaken, with the split being agreed by Cabinet.
19. The option to liquidate funds is either by selling the investment (or part thereof) or by refinancing the debt.

Risks

20. Each investment must be considered independently and only those viewed as having a positive expected yield and an acceptable risk profile will be taken forward for consideration by the Council.
21. The Council takes advice from its professional advisers at all times. For example, with the purchase of the 50% share at Chesterford Research Park the Council engaged
 - Arlingclose as its financial advisers who project managed the funding tender
 - Cushman and Wakefield who undertook all of the purchase negotiations and due diligence
 - Hogan Lovells for Legal due diligence
22. For Aspire (CRP) Ltd the Council has appointed two non-executive directors to serve on the Board and bring independent challenge and support. The new delivery company, Aspire (UDC) Ltd, will also have two non-executive directors on the Board.
23. The Aspire companies will use a range of specialists which will vary between investments. This will ensure the continued professionalism and sector knowledge.

Proportionality

24. The aim of the Commercial Strategy is to generate income to underpin the Council's core budget, to invest in other income generating opportunities and also good causes for the district.
25. The Council's main investment at Chesterford Research Park comprises eleven core buildings and circa twenty tenants. For the income to be below the interest repayment amount three of the five largest tenants would be required to default on their tenancy agreement at the same time. Even with this relatively low risk it is important to attract different types of research business to the Park.

Capacity, Skills and Culture

Investment Board (IB)

26. The IB will operate in accordance with the Commercial Strategy which is adopted annually by Full Council. Cabinet will delegate to the Leader; Portfolio Holder for Finance and Budget; Portfolio Holder for Business, Economy, Jobs, Investment and Strategy and Youth Services; and S151 Officer (or Assistant Director of Resources for Aspire investments) to conclude investments where authorisation has been given by Full Council.

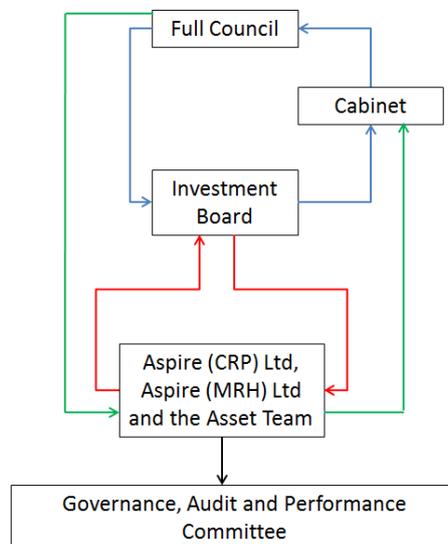
27. Constitution of the IB

a) The IB is a Working Group of Cabinet and membership will be

- Residents for Uttlesford Group – 8 members
- Liberal Democrat Group – 1 member
- Conservative Group – 1 member
- Uttlesford Independents Group – 1 member

b) In addition there will be two independent members to supplement the skills of the elected Members.

28. The investment decision making and monitoring process is as set out below



29. Democratic Process (blue line)

- As part of the annual budget setting process, Cabinet develops the Commercial Strategy in consultation with the IB. Cabinet recommends to Council the adoption of the Commercial Strategy.
- Council adopts the Commercial Strategy.
- The IB develops a protocol to implement the Commercial Strategy which will be approved by Cabinet.
- The Cabinet will receive from the IB quarterly updates, including KPIs, on the performance of the portfolio.

- e) For new investments, the IB reviews the business cases and if appropriate supports a recommendation to Cabinet for the acquisition.
- f) Cabinet reviews the investment and if satisfied recommends to Council that funding is made available. Given that the IB will be constituted by members with a knowledge of commercial investment, supplemented with external training as necessary, and supported by industry expert independent people, it is acknowledged that Cabinet will not, without good reason duly considered, reject opportunities presented by officers that are supported by the IB.
- g) Ahead of the Council meeting, the IB Chairman, along with officers, undertakes an all-Member briefing session to set out the investment and the reasons for its recommendation.

30. Internal Process (red line)

- a) The IB provides the two Aspire companies with a Commercial Protocol and sets out in detail the type of new investments it is seeking. Aspire (CRP) Ltd looks after developments at Chesterford Research Park, whilst Aspire (MRH) Ltd is responsible for residential housing to be let at market rents. The Council's Asset Team will manage all other non-CRP commercial investments.
- b) Depending upon the investment sought Aspire (MRH) Ltd and the Asset Team, working with professional advisers, identify investments that meet the protocol set out by the IB, and prepares investment business cases for each suitable opportunity for consideration by Cabinet. The Boards of Aspire (CRP) Ltd and Aspire (MRH) Ltd approve the investment business cases prior to submission to the IB.
- c) The Aspire companies, along with the Asset Team, prepare the quarterly KPI and other information for submission to the IB.

31. New Investments (green line)

- a) At an Extraordinary Meeting of Council a decision is taken on whether or not to allocate the funding.
- b) If the investment is agreed, funding will be made available to the relevant Aspire company or to the Asset Team to enable the purchase to be made.
- c) The Aspire companies report annually to the Cabinet as the shareholder board of the Council.

32. Governance, Audit and Performance Committee (GAP) (black line)

- a) A report on annual performance of the Aspire companies is taken to the GAP Committee. A similar report will be presented by the Asset Team.

Joint Working

- 33. The Council recognises the benefits of working with other parties, be they local authorities or private sector. Joint Working mitigates risk and has the potential to enable the Council to consider new commercialisation opportunities in markets that alone they would not be able to do so.

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PROPOSED WORKING GROUP MEMBERSHIP

CLIMATE CHANGE WORKING GROUP			
No of Members	Membership		
11	Cllr M Caton Cllr C Criscione Cllr G Driscoll	Cllr P Fairhurst Cllr A Gerard Cllr V Isham Cllr B Light	Cllr R Pavitt Cllr L Pepper Cllr N Reeve Cllr M Tayler

INVESTMENT STRATEGY BOARD			
No of Members	Membership		
11	Cllr G Bagnall Cllr C Criscione Cllr P Fairhurst	Cllr N Hargreaves Cllr A Khan Cllr P Lavelle Cllr G LeCount	Cllr J Lodge Cllr R Pavitt Cllr N Reeve Cllr de Vries

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Committee:	Cabinet	Date:	Thursday, 26 September 2019
Title:	Aspire (MRH) Ltd		
Portfolio Holder:	Cllr Paul Fairhurst, Portfolio Holder for Business, Economy, Jobs, Investment and Strategy; Youth Services		
Report Author:	Adrian Webb, Director - Finance and Corporate Services awebb@uttlesford.gov.uk Tel: 01799 510421	Key decision:	No

Summary

- 1) The Commercial Strategy sets out that as part of a balanced portfolio the Council should invest across a number of asset types including market rent housing properties.
- 2) This report seeks Cabinet approval to establish Aspire (MRH) Ltd as the vehicle to deliver the market rent housing units.

Recommendations

- 3) The Cabinet is requested to
 - i) approve the establishment of Aspire (MRH) Ltd
 - ii) agree the Articles of Association for Aspire (MRH) Ltd as set out at Appendix One
 - iii) appoint the following directors to Aspire (MRH) Ltd
 - (1) Nicola Wittman (UDC Assistant Director of ICT and Facilities)
 - (2) Adrian Webb (UDC Director of Finance and Corporate Services)
 - iv) authorise the recruitment of the two independent members of Aspire (MRH) Ltd with the associated remuneration of £520.25 each per annum

Financial Implications

- 4) There are no financial implications in setting up the companies.

Background Papers

- 5) None

Impact

Communication/Consultation	None
Community Safety	No specific implications
Equalities	None
Health and Safety	No specific implications
Human Rights/Legal Implications	No specific implications
Sustainability	No specific implications
Ward-specific impacts	No specific implications
Workforce/Workplace	None

Situation

- 6) As government funding reduces councils are looking increasingly at alternative ways of generating income. A number of councils similar to ourselves have established wholly owned companies for a range of commercial purposes.
- 7) As part of the ambition to build a balanced investment portfolio it has been identified that the Council should have investment in market properties (houses) for rent.
- 8) To avoid confusing our role as social landlords (council housing) with our aim of generating income from market rent housing, it is proposed that the latter is delivered through a wholly owned subsidiary of the Council, within the Aspire brand.
- 9) **Aspire (MRH) Ltd** – will be a business aimed at letting properties on the open market at full market rents. This will either be by way of developing Council owned land and/or buying existing private sector properties.
- 10) The Articles of Association for the company set out the requirement that a minimum of two directors be appointed. In time the company will have three directors as do all of the other Aspire companies, however It is initially proposed that the directors are:
 - a) Nicola Wittman – Assistant Director ICT and Facilities
 - b) Adrian Webb – Director of Finance and Corporate Services
- 11) The Articles of Association for the company also set out the provision for two non-executive directors to be appointed by the shareholder board (Cabinet). These roles will be advertised locally and the successful people will receive remuneration of £520.25 per annum, which is the same amount paid to the non-executive directors on Aspire (CRP) Ltd.
- 12) The Cabinet will fulfil the role of the shareholder board and they have specific responsibilities including:

- a) The appointment or removal of any director.
- b) Entering into (or agreeing to enter into) any borrowing arrangement on behalf of the Company and giving any security in respect of any such borrowing (including creating any encumbrance over the whole or any part of the undertaking or assets of the Company or over any capital of the Company).
- c) Entry by the Company into any partnership or other profit share arrangement.

Risk Analysis

Risk	Likelihood	Impact	Mitigating actions
Aspire (MRH) Ltd is not able, due to market pricing, to purchase sufficient properties to make the business model viable	1 Before Members tonight is an investment opportunity that would be delivered through this company	3 The future sustainability of the Council budget relies on additional income being generated by commercial activity	The opportunity presented at this meeting demonstrates that suitable opportunities do exist.

- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix One

Company No

THE COMPANIES ACT 2006

PRIVATE COMPANY LIMITED BY SHARES

ARTICLES OF ASSOCIATION

of

ASPIRE (MRH) LIMITED

Incorporated [DATE OF INCORPORATION]

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Company No

THE COMPANIES ACT 2006

PRIVATE COMPANY LIMITED BY SHARES

ARTICLES OF ASSOCIATION

of

ASPIRE (MRH) LIMITED

Incorporated [DATE OF INCORPORATION]

1. **MODEL ARTICLES**

- 1.1 The Model Articles do not apply to the Company and these Articles alone are the articles of association of the Company.

2. **INTERPRETATION**

- 2.1 In the Articles, unless the context requires otherwise:-

"Act" means the Companies Act 2006

"Articles" means the Company's articles of association

"Bankruptcy" includes individual insolvency proceedings in a jurisdiction other than England and Wales, Scotland or Northern Ireland which have an effect similar to that of bankruptcy

"Business" shall have the meaning given to it under Article 4.1

"business day" means any day (other than a Saturday or Sunday) on which clearing banks in the City of London are open for the transaction of normal sterling banking business

"Business Plan" means the business plan approved and adopted by the Company from time to time pursuant to Article 4.2

"Cabinet"	means such elected members of the Council appointed to the cabinet from time to time
"Capitalised Sum"	has the meaning given in Article 34.1.2
"Chairman"	has the meaning given to it in Article 14
"chairman of the meeting"	Has the meaning given to it in Article 38
"Companies Acts"	means the Companies Acts (as defined in section 2 of the Act), in so far as they apply to the Company
"Council"	means Uttlesford District Council, Council Offices, London Road, Saffron Walden, Essex, CB11 4ER
"Deputy Leader"	means the person appointed to the position of deputy leader of the Council from time to time
"director"	means any director for the time being of the Company (whether an Executive Director or a Non-executive Director), and includes any person occupying the position of director, by whatever name called
"distribution recipient"	has the meaning given in Article 32.2
"document"	includes, unless otherwise specified, any document sent or supplied in electronic form
"Eligible Director"	means a director who would have been entitled to vote on the matter had it been proposed as a resolution at a board meeting (but excluding any director whose vote is not to be counted in respect of a particular matter)
"Executive Director"	means any director of the Company other than a Non-executive Director
"Fully Paid"	in relation to a share, means that the nominal value and any premium to be paid to the Company in respect of that share have been paid to the Company
"Holder"	in relation to shares means the person whose name is entered in the register of members as the holder of the shares
"instrument"	means a document in hard copy form
"Leader"	means the person appointed to the position of leader of the Council from time to time
"Model Articles"	means the model articles for private companies limited by shares contained in Schedule 1 of the Companies (Model Articles) Regulations 2008 as amended prior to the date of adoption of these Articles

"Non-executive Director"	means a person appointed as a non-executive director of the Company and carrying out the role and responsibilities set out in Article 5.1.2
"Opportunity"	means the property development and investment scheme to be strategically pursued by the Company with a view to generating income for the benefit of its Shareholders whilst benefitting the economy and community of Uttlesford
"paid"	means paid or credited as paid
"participate"	in relation to a board meeting, has the meaning given in Article 12
"persons entitled"	has the meaning in Article 34.1.2
"Shareholder"	means a person who is the holder of a share who, at the date hereof, shall be the Council
"Shares"	means shares in the Company
"subsidiary" and "subsidiaries"	has the meaning given in section 1159 of the Act
"writing"	means the representation or reproduction of words, symbols or other information in a visible form by any method or combination of methods, whether sent or supplied in electronic form or otherwise.

2.2 References in these Articles to Shares being **"paid"** means those Shares being paid or credited as paid.

2.3 References in these Articles to **"writing"** means representation or reproduction of words, symbols or other information in a visible form by any method or combination of methods, whether sent or supplied in electronic form or otherwise.

2.4 References in these Articles to a document includes, unless otherwise specified, any document sent or supplied in electronic form.

2.5 Unless the context otherwise requires:-

2.5.1 words in the singular include the plural and vice versa;

2.5.2 words in one gender include the other genders; and

2.5.3 words importing natural persons include corporations.

2.6 Words or expressions contained in these Articles which are defined in the Act have the same meaning as in the Act in force on the date of adoption of these Articles including the following words which are defined in the following sections of the Act:-

Word(s)/expression	Section Number in Act
electronic form	section 1168

equity share capital	section 548
hard copy form	section 1168
ordinary resolution	section 282
special resolution	section 283
working day	section 1173

2.7 A reference to an Article by number is to the relevant article of these Articles.

2.8 Headings used in these Articles do not affect their construction or interpretation.

2.9 References to a statute or statutory provision is a reference to it as it is in force as at the date of adoption of these Articles.

3. **LIMITATION OF LIABILITY**

The liability of the members is limited to the amount, if any, unpaid on the shares held by them.

4. **THE BUSINESS OF THE COMPANY**

4.1 The Business of the Company shall be to:-

4.1.1 acquire land and/or properties to deliver new and/or improved homes of a mixed tenure with long-term economic and social benefits for the people of the district of Uttlesford;

4.1.2 to dispose of existing property and/or acquire new property in accordance with the terms of the prevailing Business Plan;

4.1.3 to procure and/or deliver the repairs and maintenance service to some or all of the properties;

4.1.4 to develop commercial units and private residential units for private rental and/or sale;

4.1.5 carry out any other activities as the Shareholders may determine from time to time;

4.1.6 carry out the activities described in sub-articles 4.1.1 to 0 in the best interests of the Company and at all times in accordance with the Business Plan.

4.2 **Business Plan**

4.2.1 The Shareholders shall prepare a Business Plan in relation to the Opportunity (and/or in relation to other schemes or projects that the Company may engage in from time to time) which shall be unanimously approved by the Shareholders.

4.2.2 The Business Plan(s) which has been prepared in accordance with Article 4.2.1 shall remain in force as the Business Plan for the Company until such time as it is replaced by an updated Business Plan approved unanimously by the Shareholder(s) from time to time.

5. DIRECTORS' ROLES AND GENERAL AUTHORITY

5.1 Subject to the Articles:-

5.1.1 the Executive Directors are responsible for the management of the Company's Business, for which purpose they may, with the exception of the matters requiring Shareholder consent and expressly reserved pursuant to Article 6 (Shareholder Reserved Matters), exercise all the powers of the Company;

5.1.2 the Non-Executive Directors are responsible for exercising appropriate oversight and scrutiny over the management of the Business of the Company by the Executive Director's and the execution of the agreed strategy (including the Business Plan(s)).

6. SHAREHOLDER RESERVE MATTERS

The matters listed in Schedule 1 shall not be carried out without the prior written consent of the Shareholder(s).

7. DIRECTORS MAY DELEGATE

7.1 Subject to the Articles, the directors may delegate any of the powers which are conferred on them under the Articles:-

7.1.1 to such person or committee;

7.1.2 to such an extent;

7.1.3 in relation to such matters; and

7.1.4 on such terms and conditions;

as they think fit.

7.2 Any such delegation will automatically authorise further delegation of the directors' powers by any person to whom they are delegated, unless the directors specifically state otherwise within such delegation authority.

7.3 The directors may revoke any delegation in whole or part, or alter its terms and conditions.

8. COMMITTEES

8.1 Committees to which the directors delegate any of their powers must follow procedures which are based as far as they are applicable on those provisions of the Articles which govern the taking of decisions by directors.

8.2 The directors may make rules of procedure for all or any committees, which prevail over rules derived from the Articles if they are not consistent with them.

9. DIRECTORS TO TAKE DECISIONS COLLECTIVELY

9.1 The general rule about decision-making by directors is that any decision of the directors must be either a majority decision at a meeting or a decision taken in accordance with Article 10.

9.2 All acts done by a meeting of directors, or a committee of directors or by any director shall, even if it is discovered afterwards that:-

9.2.1 there was a defect in the appointment of any director; or

9.2.2 any director had been disqualified from holding office; or

9.2.3 any director had vacated office or was not entitled to vote;

shall be valid as if every such person had been duly appointed and was qualified and had continued to be a director and had been entitled to vote.

10. **UNANIMOUS DECISIONS**

10.1 A decision of the directors is taken in accordance with this Article when all Eligible Directors indicate to each other by any means that they share a common view on a matter save to the extent otherwise provided for in any Business Plan.

10.2 Such a decision may take the form of a resolution in writing, copies of which have been signed by each Eligible Director or to which each Eligible Director has otherwise indicated agreement in writing.

10.3 A decision may not be taken in accordance with this Article if the Eligible Directors would not have formed a quorum at such a meeting.

11. **CALLING A BOARD MEETING**

11.1 Any director may call a board meeting by giving not less than 20 business days' notice of the meeting (or such lesser notice as all the directors may agree) to the directors.

11.2 Notice of any board meeting must indicate:-

11.2.1 its proposed date and time;

11.2.2 where it is to take place;

11.2.3 the proposed business of the meetings;

11.2.4 if it is anticipated that directors participating in the meeting will not be in the same place, how it is proposed that they should communicate with each other during the meeting.

11.3 Notice of a board meeting must be given to each director, and must be in writing.

11.4 Notice of a board meeting need not be given to directors who waive their entitlement to notice of that meeting, by giving notice to that effect to the Company not more than 7 days after the date on which the meeting is held. Where such notice is given after the meeting has been held, that does not affect the validity of the meeting, or of any business conducted at it.

12. **PARTICIPATION IN BOARD MEETINGS**

12.1 Subject to the Articles, directors participate in a board meeting, or part of a board meeting, when:-

12.1.1 the meeting has been called and takes place in accordance with the Articles; and

12.1.2 they can each communicate to the others any information or opinions they have on any particular item of the business of the meeting.

12.2 In determining whether directors are participating in a board meeting, it is irrelevant where any director is or how they communicate with each other.

12.3 If all the directors participating in a meeting are not in the same place, they may decide that the meeting is to be treated as taking place wherever any of them is.

13. QUORUM FOR BOARD MEETINGS

- 13.1 At a board meeting, unless a quorum is participating, no proposal is to be voted on, except a proposal to call another meeting.
- 13.2 The quorum for the transaction of business at a meeting of the directors is any 2 directors.
- 13.3 If the total number of directors in office for the time being is less than the quorum required, the directors must not take any decision other than a decision to call a shareholder meeting so as to enable the Shareholder(s) to appoint further directors.

14. CHAIRING OF BOARD MEETINGS

- 14.1 The directors may appoint any director (including, for the avoidance of doubt a Non-Executive director) to chair their meetings.
- 14.2 The person so appointed for the time being is known as the Chairman.
- 14.3 The directors may terminate the Chairman's appointment at any time.
- 14.4 If the Chairman is not participating in a board meeting within ten minutes of the time at which it was to start, the participating directors must appoint one of themselves to chair it.

15. CHAIRMAN'S CASTING VOTE

- 15.1 If the numbers of votes for and against a proposal at a meeting of directors are equal, the Chairman or other director chairing the meeting shall have a casting vote.

16. RECORDS OF DECISIONS TO BE KEPT

The directors must ensure that the Company keeps a record, in writing, for at least 7 years from the date of the decision recorded, of every unanimous or majority decision taken by the directors.

17. CONFLICTS OF INTEREST

- 17.1 If a proposed decision of the directors is concerned with an actual or proposed transaction or arrangement with the Company in which a director is interested, that director is not to be counted as participating in the decision-making process for quorum or voting purposes.
- 17.2 But if Article 17.3 applies, a director who is interested in an actual or proposed transaction or arrangement with the Company is to be counted as participating in the decision-making process for quorum and voting purposes.
- 17.3 This paragraph applies when—
- 17.3.1 the Company by ordinary resolution disapplies the provision of the articles which would otherwise prevent a director from being counted as participating in the decision-making process; or
 - 17.3.2 the director's interest cannot reasonably be regarded as likely to give rise to a conflict of interest.
- 17.4 For the purposes of this Article, references to proposed decisions and decision-making processes include any directors' meeting or part of a directors' meeting.
- 17.5 Subject to Article 17.7, if a question arises at a meeting of directors or of a committee of directors as to the right of a director to participate in the meeting (or part of the meeting) for voting or quorum purposes, the question may, before the conclusion of the meeting, be

referred to the chairman whose ruling in relation to any director other than the chairman is to be final and conclusive.

- 17.6 If any question as to the right to participate in the meeting (or part of the meeting) should arise in respect of the chairman, the question is to be decided by a decision of the directors at that meeting, for which purpose the chairman is not to be counted as participating in the meeting (or that part of the meeting) for voting or quorum purposes.

18. **NUMBER AND METHOD OF APPOINTING DIRECTORS**

- 18.1 Unless otherwise determined by ordinary resolution, the number of directors shall:-

18.1.1 not be less than 2; and

18.1.2 may include no more than 2 Non-executive Directors.

- 18.2 The appointment or removal of a director shall be a matter to be approved by the Shareholder(s) pursuant to Article 6 (Shareholder Reserved Matters).

19. **TERMINATION OF DIRECTOR'S APPOINTMENT**

- 19.1 A person ceases to be a director as soon as:-

19.1.1 that person ceases to be a director by virtue of any provision of the Act or these Articles or is prohibited from being a director by law;

19.1.2 a bankruptcy order is made against that person;

19.1.3 a composition is made with that person's creditors generally in satisfaction of that person's debts;

19.1.4 a registered medical practitioner who is treating that person gives a written opinion to the Company stating that that person has become physically or mentally incapable of acting as a director and may remain so for more than three months;

19.1.5 notification is received by the Company from the director that the director is resigning from office, and such resignation has taken effect in accordance with its terms;

19.1.6 he is convicted of a criminal offence (other than a motoring offence or series of offences not resulting in disqualification) and the directors resolve that his office be vacated; or

19.1.7 in the case of a person who is also an employee of the Company he ceases to be such an employee; or

19.1.8 he shall for more than six consecutive months have been absent without permission of the Shareholder(s) from meetings of directors held during that period and the Shareholder(s) resolve that his office be vacated; or

19.1.9 all the other Shareholder(s) unanimously resolve that his office be vacated.

- 19.2 In addition and without prejudice to the provisions of section 168 of the Act, Shareholder(s) may remove any director before the expiration of his period of office and appoint another director in his place.

20. **DIRECTORS' REMUNERATION**

- 20.1 Directors may undertake any services for the Company that the directors decide.

- 20.2 Directors are not entitled to any remuneration for their services to the Company.
- 20.3 Unless the directors decide otherwise, directors are not accountable to the Company for any remuneration which they receive as directors or other officers or employees of the Company's subsidiaries or of any other body corporate in which the Company is interested.

21. DIRECTORS' AND OFFICERS' EXPENSES

- 21.1 The Company may pay any reasonable out-of-pocket expenses which the officers (including alternate directors and the secretary) properly incur in connection with their attendance at:-

- 21.1.1 meetings of directors or committees of directors;
- 21.1.2 shareholder meetings; or
- 21.1.3 separate meetings of the holders of any class of shares or of debentures of the Company

or otherwise in connection with the exercise of their powers and the discharge of their responsibilities in relation to the Company.

22. SECRETARY

The directors may appoint any person who is willing to act as the secretary for such term, at such remuneration, and upon such conditions as they may think fit and from time to time to remove such person and, if the directors so decide, appoint a replacement, in each case by a decision of the directors.

23. ALL SHARES TO BE FULLY PAID UP

- 23.1 No share is to be issued for less than the aggregate of its nominal value and any premium to be paid to the Company in consideration for its issue.
- 23.2 This does not apply to shares taken on the formation of the Company by the subscribers to the Company's memorandum.

24. POWERS TO ISSUE DIFFERENT CLASSES OF SHARE

- 24.1 Subject to the Articles, but without prejudice to the rights attached to any existing share, the Company may issue shares with such rights or restrictions as may be determined by ordinary resolution.
- 24.2 The Company may issue shares which are to be redeemed, or are liable to be redeemed at the option of the Company or the holder, and the directors may determine the terms, conditions and manner of redemption of any such shares.

25. COMPANY NOT BOUND BY LESS THAN ABSOLUTE INTERESTS

Except as required by law, no person is to be recognised by the Company as holding any share upon any trust, and except as otherwise required by law or the Articles, the Company is not in any way to be bound by or recognise any interest in a share other than the holder's absolute ownership of it and all the rights attaching to it.

26. DIRECTORS' AUTHORITY TO ALLOT SHARES

Save to the extent authorised from time to time by an ordinary resolution of the Shareholder(s), the directors shall not exercise any power to allot shares or to grant rights to subscribe for, or to convert any security into, any shares in the Company.

27. SHARE CERTIFICATES

27.1 The Company must issue each Shareholder, free of charge, with one or more certificates in respect of the shares which that Shareholder holds.

27.2 Every certificate must specify:-

27.2.1 in respect of how many shares, of what class, it is issued;

27.2.2 the nominal value of those shares;

27.2.3 that the shares are fully paid; and

27.2.4 any distinguishing numbers assigned to them.

27.3 No certificate may be issued in respect of shares of more than one class.

27.4 If more than one person holds a share, only one certificate may be issued in respect of it.

27.5 Certificates must:-

27.5.1 have affixed to them the Company's common seal; or

27.5.2 be otherwise executed in accordance with the Companies Acts.

28. SHARE TRANSFERS

28.1 Shares may be transferred by means of an instrument of transfer in any usual form or any other form approved by the directors, which is executed by or on behalf of the transferor.

28.2 No fee may be charged for registering any instrument of transfer or other document relating to or affecting the title to any share.

28.3 The Company may retain any instrument of transfer which is registered.

28.4 The transferor remains the holder of a share until the transferee's name is entered in the register of members as holder of it.

29. DIRECTORS' POWERS ON TRANSFER OF SHARES

29.1 The directors must not register the transfer of any Share or any interest in any Share unless the transfer is approved by the Shareholder(s) pursuant to Article 6 (Shareholder Reserved Matters).

29.2 The directors may at any time require any Shareholder or any person named as transferee in an instrument of transfer lodged for registration to give the directors such information and evidence as the directors believe is relevant to ensure that a transfer of Shares is being made in accordance with these Articles or that no circumstances have arisen which would result in a Transfer Notice being bound to be given or being deemed to have been given.

29.3 If the directors are not given such information or evidence within 20 days after they have requested it, the directors may in their absolute discretion give notice of refusal to register the transfer concerned together with reasons for the refusal to the person named as transferee or require the Shareholder by written notice to give a Transfer Notice in respect of the relevant Shares. If the information or evidence received by the directors discloses to their satisfaction that a Shareholder may be bound to give or is deemed to have given a Transfer Notice, the directors may in their absolute discretion by written notice to the relevant Shareholder require that a Transfer Notice be given in respect of the relevant Shares.

29.4 An obligation to transfer a Share under these Articles is an obligation to transfer the entire legal and beneficial interest in such Share free from any lien, charge or encumbrance.

30. **PROCEDURE FOR DECLARING DIVIDENDS**

30.1 The Company may by ordinary resolution declare dividends, and the directors may decide to pay interim dividends.

30.2 A dividend must not be declared unless the directors have made a recommendation as to its amount. Such a dividend must not exceed the amount recommended by the directors.

30.3 No dividend may be declared or paid unless it is in accordance with Shareholders' respective rights and approved in the prevailing Business Plan.

30.4 Unless the Shareholders' resolution to declare or directors' decision to pay a dividend, or the terms on which shares are issued, specify otherwise, it must be paid by reference to each Shareholder's holding of shares on the date of the resolution or decision to declare or pay it.

30.5 If the Company's share capital is divided into different classes, no interim dividend may be paid on shares carrying deferred or non-preferred rights if, at the time of payment, any preferential dividend is in arrear.

30.6 The directors may pay at intervals any dividend payable at a fixed rate if it appears to them that the profits available for distribution justify the payment.

30.7 If the directors act in good faith, they do not incur any liability to the holders of shares conferring preferred rights for any loss they may suffer by the lawful payment of an interim dividend on shares with deferred or non-preferred rights.

31. **CALCULATION OF DIVIDENDS**

31.1 Except as otherwise produced by these Articles or the rights attached to the shares, all dividends must be declared and distributed amongst the holders of shares proportionately according to the number of shares held (and in irrespective of the amount paid up on such shares).

31.2 If any share is issued on terms providing that it ranks for dividend as from a particular date, that share ranks for dividend accordingly.

32. **PAYMENT OF DIVIDENDS AND OTHER DISTRIBUTIONS**

32.1 Where a dividend or other sum which is a distribution is payable in respect of a share, it must be paid by one or more of the following means:-

32.1.1 transfer to a bank or building society account specified by the distribution recipient in writing;

32.1.2 sending a cheque made payable to the distribution recipient by post to the distribution recipient at the distribution recipient's registered address (if the distribution recipient is a holder of the share), or (in any other case) to an address specified by the distribution recipient in writing;

32.1.3 sending a cheque made payable to such person by post to such person at such address as the distribution recipient has specified in writing; or

32.1.4 any other means of payment as the directors agree with the distribution recipient in writing.

32.2 In the Articles, the "**distribution recipient**" means, in respect of a share in respect of which a dividend or other sum is payable:-

- 32.2.1 the holder of the share; or
- 32.2.2 if the share has two or more joint holders, whichever of them is named first in the register of members; or
- 32.2.3 if the holder is no longer entitled to the share by reason of death or bankruptcy, or otherwise by operation of law, the transmittee.

33. **NO INTEREST ON DISTRIBUTIONS**

- 33.1 The Company may not pay interest on any dividend or other sum payable in respect of a share unless otherwise provided by:-
 - 33.1.1 the terms on which the share was issued; or
 - 33.1.2 the provisions of another agreement between the holder of that share and the Company.

34. **CAPITALISATION OF PROFITS**

- 34.1 Subject to the Articles, the directors may, if they are so authorised by an ordinary resolution:-
 - 34.1.1 decide to capitalise any profits of the Company (whether or not they are available for distribution) which are not required for paying a preferential dividend, or any sum standing to the credit of the Company's share premium account or capital redemption reserve; and
 - 34.1.2 appropriate any sum which they so decide to capitalise (a "**Capitalised Sum**") to the persons who would have been entitled to it if it were distributed by way of dividend (the "**persons entitled**") and in the same proportions.
- 34.2 Capitalised Sums must be applied:-
 - 34.2.1 on behalf of the persons entitled; and
 - 34.2.2 in the same proportions as a dividend would have been distributed to them.
- 34.3 Any Capitalised Sum may be applied in paying up new shares of a nominal amount equal to the Capitalised Sum which are then allotted credited as fully paid to the persons entitled or as they may direct.
- 34.4 A Capitalised Sum which was appropriated from profits available for distribution may be applied in paying up new debentures of the Company which are then allotted credited as fully paid to the persons entitled or as they may direct.
- 34.5 Subject to the Articles the directors may:-
 - 34.5.1 apply Capitalised Sums in accordance with Articles 34.3 and 34.4 partly in one way and partly in another;
 - 34.5.2 make such arrangements as they think fit to deal with shares or debentures becoming distributable in fractions under this Article (including the issuing of fractional certificates or the making of cash payments); and
 - 34.5.3 authorise any person to enter into an agreement with the Company on behalf of all the persons entitled which is binding on them in respect of the allotment of shares and debentures to them under this Article.

35. **NOTICE OF SHAREHOLDER MEETINGS**

35.1 The notice of a shareholder meeting of the Company must state:-

35.1.1 the time and date of the meeting;

35.1.2 the place of the meeting; and

35.1.3 the general nature of the business to be transacted.

36. **ATTENDANCE AND SPEAKING AT SHAREHOLDER MEETINGS**

36.1 A person is able to exercise the right to speak at a shareholder meeting when that person is a member of the Cabinet of the Council.

36.2 A person is only able to exercise the right to vote at a shareholder meeting if that person is a member of the Cabinet of the Council.

36.3 The directors may make whatever arrangements they consider appropriate to enable those attending a shareholder meeting to exercise their rights to speak or vote at it.

36.4 In determining attendance at a shareholder meeting, it is immaterial whether any two or more members attending it are in the same place as each other.

36.5 Two or more persons who are not in the same place as each other attend a shareholder meeting if their circumstances are such that if they have (or were to have) rights to speak and vote at that meeting, they are (or would be) able to exercise them.

37. **QUORUM FOR SHAREHOLDER MEETINGS**

37.1 No business other than the appointment of the chairman of the meeting is to be transacted at a shareholder meeting if the persons attending it do not constitute a quorum, pursuant to Article 37.2 below.

37.2 A quorum for the transaction of business at a meeting of the shareholders is:-

37.2.1 the Leader of the Council or the Deputy Leader of the Council; or

37.2.2 in the absence of the Leader of the Council or the Deputy Leader of the Council two other members of the Cabinet of the Council.

38. **CHAIRING SHAREHOLDER MEETINGS**

38.1 If the directors have appointed a chairman, the chairman shall chair shareholder meetings if present and willing to do so.

38.2 If the directors have not appointed a chairman, or if the chairman is unwilling to chair the meeting or is not present within ten minutes of the time at which a meeting was due to start:-

38.2.1 the directors present; or

38.2.2 (if no directors are present), the meeting

must appoint a director or shareholder to chair the meeting, and the appointment of the chairman of the meeting must be the first business of the meeting.

38.3 The person chairing a meeting in accordance with this Article is referred to as "**the chairman of the meeting**".

39. **ATTENDANCE AND SPEAKING BY DIRECTORS AND NON-SHAREHOLDERS**

39.1 Directors may attend and speak at shareholder meetings, whether or not they are shareholders.

39.2 The chairman of the meeting may in his absolute discretion permit other persons who are not:-

39.2.1 shareholders of the Company; or

39.2.2 otherwise entitled to exercise the rights of shareholders in relation to shareholder meetings

to attend and speak at a shareholder meeting.

40. **ADJOURNMENT**

40.1 If the persons attending a shareholder meeting within half an hour of the time at which the meeting was due to start do not constitute a quorum, or if during a meeting a quorum ceases to be present, the chairman of the meeting must adjourn it.

40.2 The chairman of the meeting may adjourn a shareholder meeting at which a quorum is present if:-

40.2.1 the meeting consents to an adjournment; or

40.2.2 it appears to the chairman of the meeting that an adjournment is necessary to protect the safety of any person attending the meeting or ensure that the business of the meeting is conducted in an orderly manner.

40.3 The chairman of the meeting must adjourn a shareholder meeting if directed to do so by the meeting.

40.4 When adjourning a shareholder meeting, the chairman of the meeting must:-

40.4.1 either specify the time and place to which it is adjourned or state that it is to continue at a time and place to be fixed by the directors; and

40.4.2 have regard to any directions as to the time and place of any adjournment which have been given by the meeting.

40.5 If the continuation of an adjourned meeting is to take place more than 14 days after it was adjourned, the Company must give at least 7 clear days' notice of it (that is, excluding the day of the adjourned meeting and the day on which the notice is given):-

40.5.1 to the same persons to whom notice of the Company's shareholder meetings is required to be given, and

40.5.2 containing the same information which such notice is required to contain.

40.6 No business may be transacted at an adjourned shareholder meeting which could not properly have been transacted at the meeting if the adjournment had not taken place.

41. **VOTING AT SHAREHOLDER MEETINGS**

41.1 A resolution put to the vote of a shareholder meeting must be decided on a show of hands.

41.2 No objection may be raised to the qualification of any person voting at a shareholder meeting except at the meeting or adjourned meeting at which the vote objected to is tendered, and every vote not disallowed at the meeting is valid.

41.3 Any such objection must be referred to the chairman of the meeting, whose decision is final.

42. **AMENDMENTS TO RESOLUTIONS**

42.1 An ordinary resolution to be proposed at a shareholder meeting may be amended by ordinary resolution if:-

42.1.1 notice of the proposed amendment is given to the Company in writing by a person entitled to vote at the shareholder meeting at which it is to be proposed not less than 48 hours before the meeting is to take place (or such later time as the chairman of the meeting may determine); and

42.1.2 the proposed amendment does not, in the reasonable opinion of the chairman of the meeting, materially alter the scope of the resolution.

42.2 A special resolution to be proposed at a shareholder meeting may be amended by ordinary resolution, if:-

42.2.1 the chairman of the meeting proposes the amendment at the shareholder meeting at which the resolution is to be proposed; and

42.2.2 the amendment does not go beyond what is necessary to correct a grammatical or other non-substantive error in the resolution.

42.3 If the chairman of the meeting, acting in good faith, wrongly decides that an amendment to a resolution is out of order, the chairman's error does not invalidate the vote on that resolution.

43. **NOTICES AND COMMUNICATIONS**

43.1 The Company may send, supply or give any document, information or notice to a Shareholder by hard copy, electronic form or by making that document or information available on a website and giving notice of the availability of that document or information to the relevant Shareholder (provided that Shareholder has individually agreed (or is deemed to have agreed) to the Company sending or supplying documents or information generally or those documents or information in question to him by means of a website), in each case subject to the provisions of sections 1143 to 1148 and Schedule 5 of the Act.

43.2 A notice given by means of a website shall be deemed to have been sent, supplied or given when the material was first made available on the website or, if later, when the recipient received (or is deemed to have received) notice of the fact that the material was available on the website.

43.3 Any document, information or notice which is required to be sent or given to the Company shall be sent by hard copy or electronic form in each case, subject to the provisions of sections 1143 to 1148, Schedule 4 and Schedule 5 of the Act.

43.4 Any notice, document or other information shall be deemed served on or delivered to the intended recipient:-

43.4.1 if properly addressed and sent by prepaid United Kingdom first class post to an address in the United Kingdom, on the second working day after it was posted (or five business days after posting either to an address outside the United Kingdom or from outside the United Kingdom to an address within the United Kingdom, if (in each case) sent by reputable international overnight courier addressed to the intended recipient, provided that delivery in at least five business days was

guaranteed at the time of sending and the sending party receives a confirmation of delivery from the courier service provider);

43.4.2 if properly addressed and delivered by hand, the next working day after it was given or left at the appropriate address; and

43.4.3 if properly addressed and sent or supplied by electronic means, the next working day after the document or information was sent or supplied.

For the purposes of this Article, no account shall be taken of any part of a day that is not a working day.

43.5 Proof that an envelope containing a document, notice or information was properly addressed, prepaid and posted shall be conclusive evidence that the document, notice or information was sent, supplied or given by post. A copy of a record of the total number of recipients sent to or each recipient to whom an e-mail message was sent together with any notices of failed transmissions and copies of records of subsequent re-sending, suitably certified by or on behalf of the Company, shall be conclusive evidence that the document, notice or information was sent, supplied or given by e-mail.

43.6 In proving that any notice, document or other information was properly addressed, it shall be sufficient to show that the notice, document or other information was delivered to an address permitted for the purpose by the Act.

43.7 A Director may agree with the Company that notices or documents sent to that Director in a particular way are to be deemed to have been received within a specified time of their being sent, and for the specified time to be less than 48 hours.

43.8 Any notice or document to be sent or supplied to a Director in connection with the taking of decisions by Directors may also be sent or supplied by the means by which that Director has asked to be sent or supplied with such notices or documents for the time being.

44. **COMPANY SEALS**

44.1 Any common seal may only be used by the authority in writing of the directors.

44.2 The directors may decide by what means and in what form any common seal is to be used.

44.3 Unless otherwise decided by the directors in writing, if the Company has a common seal and it is affixed to a document, the document must also be signed by at least one authorised person.

44.4 An authorised person is:-

44.4.1 any director of the Company;

44.4.2 the Company secretary (if any); or

44.4.3 any person authorised by the directors in writing for the purpose of signing documents to which the common seal is applied.

45. **NO RIGHT TO INSPECT ACCOUNTS AND OTHER RECORDS**

Except as provided by law or authorised by the directors or an ordinary resolution of the Company, no person is entitled to inspect any of the Company's accounting or other records or documents merely by virtue of being a shareholder.

46. **PROVISION FOR EMPLOYEES ON CESSATION OF BUSINESS**

The directors may decide to make provision for the benefit of persons employed or formerly employed by the Company or any of its subsidiaries (other than a director or former director or shadow director) in connection with the cessation or transfer to any person of the whole or part of the undertaking of the Company or that subsidiary.

47. **DIRECTORS' INDEMNITY AND INSURANCE**

47.1 Subject to Article 47.2, but without prejudice to any indemnity to which a relevant officer is otherwise entitled:-

47.1.1 each relevant officer shall be indemnified out of the out of the Company's assets against all costs, charges, losses, expenses and liabilities incurred by him as a relevant officer in the actual or purported execution and/or discharge of his duties, or in relation to them including (in each case) any liability incurred by him in defending any civil or criminal proceedings, in which judgment is given in his favour or in which he is acquitted or the proceedings are otherwise disposed of without any finding or admission of any material breach of duty on his part or in connection with any application in which the court grants him, in his capacity as a relevant officer, relief from liability for negligence, default, breach of duty or breach of trust in relation to the Company's (or any associated company's) affairs; and

47.1.2 the Company may provide any relevant officer with funds to meet expenditure incurred or to be incurred by him in connection with any proceedings or application referred to in Article 47.1.1 and otherwise may take any action to enable any such relevant officer to avoid incurred such expenditure.

47.2 This Article does not authorise any indemnity which would be prohibited or rendered void by any provision of the Companies Acts or by any other provision of law.

47.3 In this Article:-

47.3.1 companies are associated if one is a subsidiary of the other or both are subsidiaries of the same body corporate, and

47.3.2 a "relevant officer" means any director or other officer or former director or other officer of the Company or an associated company (including any company which is a trustee of an occupational pension scheme (as defined by section 235(6) of the Act, but excluding in each case any person engaged by the Company (or associated company) as auditor (whether or not he is also a director or other officer), to the extent he acts in his capacity as auditor).

48. **COUNCIL CONTROL OVER SUBSIDIARIES**

48.1 The Company shall be entitled to establish any subsidiary in furtherance of the Business of the Company and provided that the Council remains the holder of not less than 90 per cent of the Shares of the Company the following provisions will apply and to the extent of any inconsistency will have overriding effect as against all other provisions of the articles for any such subsidiary;

48.1.1 the Company may at any time and from time to time appoint any person to be a director of the subsidiary or remove from office any director of the subsidiary howsoever appointed and so that in the case of his removal from office will be deemed an act of the subsidiary and will have effect without prejudice to any claim for damages in respect of the consequent termination of his office;

48.1.2 no securities or shares may be issued or agreed to be issued or put under option by the subsidiary without the consent of the Company; and

48.1.3 any or all powers of the directors of the subsidiary will be restricted in such respects and to such extent as the Company may by notice to the subsidiary from time to time prescribe.

SCHEDULE 1

Shareholder Reserve Matters

1. Approval and adoption of each Business Plan (and any amendments/variations) in respect of the Opportunity and/or each and every scheme that the Company may participate in from time to time.
2. Alteration in the nature/scope of the Business in respect of the Opportunity and/or each and every scheme that the Company may participate in from time to time, closing down/commencing any new business which is not ancillary or otherwise incidental to the business of the Company and/or its subsidiaries.
3. Taking any action outside the parameters of the Business Plans in a manner not reasonably contemplated within the scope of the Business Plan or which could not reasonably be expected to fall within the scope of the Business Plan including but not limited to contract expenditure or increasing any indebtedness of the Company and/or its subsidiaries outside the parameters of the Business Plans.
4. Acquiring, disposing or agreeing to acquire or dispose of any asset, any interest in an asset (including the exercise of an option) or any other land or buildings, by either the Company and/or its subsidiaries.
5. Declaring or paying any distribution in respect of profits, assets or reserves of the Company or in any other way reducing the reserves of the Company.
6. Forming any Company subsidiary or associated undertaking, acquiring shares in any other company or entity (subscription or transfer) such that the company becomes a Subsidiary, entering into joint ventures or partnerships.
7. Alteration of authorised or issued partnership capital, or classification thereof, allotment of partnership capital or securities, granting options or rights to subscribe to the Company; issuing loan capital of the Company.
8. Granting or entering into any license agreement or arrangement concerning the trading names of the Company and/or its subsidiaries and goodwill attached thereto.
9. Waiving or delaying the rights of the Company and/or those of the Company to be exercised by the Company under any agreement to which the Company is a party.
10. Making any petition or passing any resolution to wind up the Company and/or its subsidiaries or making any application for an administration or winding up order or any order having similar effect in relation to the Company and/or its subsidiaries or giving notice of intention to appoint an administrator or file a notice of appointment of an administrator.
11. Changing the name of the Company and/or its subsidiaries.
12. Change in status of the Company and/or its subsidiaries.
13. Entry by the Company and/or its subsidiaries into any partnership or other profit share arrangement.
14. The admission of a new shareholder to the Company or the expulsion of any then existing shareholder.
15. Contracting and/or entering into a commitment to contract expenditure outside the parameters of activity (as set out in the budget) contemplated by the agreed Business Plans.

16. Giving a guarantee, suretyship or indemnity to secure the liabilities of any person (including its subsidiaries) or assume the obligations of any person (including its subsidiaries).
17. Any other matters not covered within the Company's usual day-to-day business and within the scope of the Business Plans.
18. Entering into (or agreeing to enter into) any borrowing arrangement on behalf of the Company and/or its subsidiaries and giving any security in respect of any such borrowing (including creating any encumbrance over the whole or any part of the undertaking or assets of the Company or over any capital of the Company).
19. Agreeing to pay any remuneration to an employee of a Company and/or its subsidiaries other than out of pocket expenses.
20. The appointment or removal of any director of the Company and/or its subsidiaries.
21. Any other activity the Shareholders of the Company may determine from time to time.

Committee: Cabinet

Date:

Title: Loan to Aspire (MRH) Ltd

Thursday, 26
September 2019

Portfolio Holder: Cllr Paul Fairhurst, Portfolio Holder for Business, Economy, Jobs, Investment and Strategy; Youth Services

Report Author: Adrian Webb, Director - Finance and Corporate Services
awebb@uttlesford.gov.uk
Tel: 01799 510421

Key decision:
Yes

Summary

1. This report presents an opportunity to acquire 10 student accommodation apartments in Cambridge through the Council's wholly owned subsidiary Aspire (MRH) Ltd.

Recommendations

2. Cabinet is recommended
 - i. To approve the acquisition of the 10 student accommodation apartments at Purbeck House in Cambridge; and
 - ii. to approve the loan of up to £2.1m to Aspire (MRH) Ltd for a period of 10 years, at an interest only rate of 5.5%; and
 - iii. to request that Council endorses the purchase and loan and authorises the necessary borrowing.

Financial Implications

3. As set out in this paper.

Background Papers

4. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

None

Impact

Communication/Consultation	None
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Community Safety	No specific implications
Equalities	None
Health and Safety	No specific implications
Human Rights/Legal Implications	No specific implications
Sustainability	No specific implications
Ward-specific impacts	No specific implications
Workforce/Workplace	None

Situation

5. The Medium Term Financial Strategy sets out a significant funding gap in the near term and identified that commercial investment would be used in part to bridge that gap.
6. The current issues in Government have meant a one year delay in implementing significant changes to the way in which the Council is funded. However, whilst the Council may be in a slightly better financial position in 2020/21 than previously identified this is only delaying the challenge faced.
7. Investments considered, and the way in which they will be delivered, as part of the Commercial Strategy comply with the guidance set out by CIPFA and Government.
8. As part of the Commercial Strategy it has been identified that in order to establish a balanced portfolio an element of market rent housing is required.
9. An opportunity has arisen to purchase 10 student accommodation apartments in Purbeck House in Cambridge. Purbeck House consists of 151 apartments, all of which are let to Alpha Plus Group Limited (www.alphaplusgroup.co.uk) which is a private education group that owns and manages 20 schools, nurseries and sixth form colleges across the country and had a turnover to the year end 31 August 2018 of £91.1 million and a profit before tax of £21.7 million.
10. Abbey College (www.abbeycambridge.co.uk), which is adjacent to the accommodation is one of the sixth form colleges that Alpha Plus runs and it has 400 pupils at any point in time, all of whom live in nearby student accommodation.
11. As the age of the Abbey College student is primarily ranging from 16 -19 years old this is not a 'traditional' student accommodation unit. Purbeck House is split into a number of blocks and each block has a house parent in residence. All food is provided by the college within the college canteen and therefore no cooking is

done in the accommodation itself. The house parents undertake inspections of the accommodation three times a week, no alcohol is allowed and there is a curfew at 11pm each day.

12. Each apartment is held by way of a 125 year head lease expiring 31 December 2132 with a current ground rent of £200 per apartment per annum. The service charge for 2019/20 is estimated at £1,500 per apartment per annum.
13. The 10 apartments being sold consist of 9 studio and 1 one bedroom and were retained by the developer at the time of construction as a personal investment. The rental income varies by design but ranges from £12,168 - £15,548 per annum. This increases annually by the highest of 3.5% or RPI.
14. The lease to Alpha Plus Group Limited expires on 31 August 2022 and can be terminated earlier by giving 3 months' notice on 31 July each year. We understand that the tenant is currently discussing implementing a card based door entry system, at their cost, which would indicate their intention to stay beyond 2022 as the capital commitment of such a system would not be viable on the basis of the three years remaining on the current lease. However in the worst case scenario and they did terminate the lease the accommodation would be able to be let as general rental apartments (subject to legal due diligence). Purbeck House is within 15 minutes' walk of the city centre and many of the university colleges, the mainline railway station and Addenbrookes Hospital. In addition, the building is adjacent to Homerton College and Hills Road Sixth Form College.
15. The cost of purchase is £1.9 million plus legal, tax, agents fees etc. amounting to circa £100,000 making the total loan circa £2 million. In order for the completion to proceed it is recommended that the agreed loan is up to £2.1million to allow for additional work if needed. The final sum will be reported to Cabinet in due course.
16. Attached at Appendix One is the sales brochure outlining the opportunity. Since the production of the brochure, agreement has been reached with the tenant on double occupancy rates in the 9 studio apartments. Each apartment will generate an additional £1,500 in rental income per annum with an offset of an additional £38 per apartment in service charge. This has the effect of increasing the net income by just over £13,000 per annum to £144,540 in 2019/20.
17. Aspire (MRH) Ltd will incur costs for service charge, ground rent, management fees, tax advice and tax payment which reduces the net income to £114,614 in 2019/20
18. It is proposed that the Council loans to Aspire (MRH) Ltd the sum of up to £2.1 million at an interest only rate of 5.5%. This rate is based on State Aid advice given a couple of years ago where it was recommended that a new company entering this market, with no track record would expect to be charged an interest

rate of 5.08%. Since this information there have been two 0.25% interest rate raises hence the proposed rate of 5.5%.

19. At the expected borrowing requirement of £1,981,900 the annual loan repayment, by Aspire (MRH) Ltd to the Council would be £109,005 plus officer time spent working for the company, which is estimated to be £4,000 giving a total figure of £113,005 this leaves the company with a surplus of £1,609 (£114,614 - £113,005).
20. The remaining sum of £1,609 would normally be available as a dividend for the shareholder (the Council) however dividends cannot be paid until the council has a positive balance sheet. As costs such as Stamp Duty and Legal fees are included in the purchase price it inevitably means the amount paid is greater than the value of the asset. It is anticipated that within three years of purchase the asset value will have exceeded the amount paid. As an indication Purbeck House prices have increased in capital value by an average of 51% between 2008 and 2018.
21. The Council will, as set out in paragraph 19, receive £113,005 in the first 12 months by way of loan repayment and repayment of officer time. The cost to the Council of borrowing the £1,981,900 on a 10 year interest only loan from the Public Works Loan Board (PWLB) would be £29,729 leaving a surplus (profit) for the Council from this investment of £83,726
22. As the proposal is for a ten year interest only loan, at the end of the period the Council will be required to establish whether they wish the loan to be repaid (and therefore the asset sold) or whether they wish to enter into new borrowing and lending arrangements with the PWLB and Aspire (MRH) Ltd.
23. The current status of this opportunity is that, following the agreement for the double occupancy of the studio apartments, the Leader authorised a 'subject to contract and formal approval' bid of £1.9 million which has been accepted by the vendor.



CHEFFINS

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10 Individual Student Apartments For Sale

Purbeck House, Purbeck Road, Cambridge CB2 8HY

An opportunity to acquire a substantial portfolio in the centre of the world-renowned city of Cambridge providing secure income with further rental and capital growth potential. Purbeck House comprises a six storey building with 151 purpose-built student apartments, all en-suite and including communal cinema room, common room, laundry, CCTV, and secure bicycle parking.

The Cambridge Student Market

Cambridge is a world-renowned University city with a population of around 125,000 and catchment population of around 560,000. It is a highly affluent city recognised globally for its innovation and technology base, and is forecast to be the fastest growing UK city economy over the next ten years.

(Source: Cities Outlook 2018, Irwin Mitchell).

As well as the top ranking University in the UK Cambridge is also home to Anglia Ruskin University, and a large number of other educational institutions including further education colleges, independent sixth form colleges, language schools, schools of performing arts and theological colleges. Out of a total estimated student population of around 50,000 there are around 15,000 studying full or part time in non-university educational establishments.

Of the estimated 46,000 students in Cambridge requiring some form of accommodation, 22,400 are housed in purpose-built student accommodation (PBSA) with the remainder in shared or family housing. The non-university institutions have very little directly-owned accommodation (around 750 bed spaces among 15,000 students) and therefore rely heavily on the use of private halls.

(Source: Cambridge Centre for Housing & Planning Research – Jan 2017).

PBSA schemes in Cambridge have found a ready market with the best equipped, managed and located sites enjoying very high occupancy rates and strong rental and capital growth over the last number of years. The sale of the 251 bed Brunswick House on Newmarket Road in 2018 for £38 million, reflecting an initial investment yield of 4.76%, set a record for direct let asset student accommodation outside of London/M25, and further demonstrated the strength of the student property market in Cambridge.

Purbeck House

Purbeck House is situated on Purbeck Road, off Hills Road, within 15 minutes walk of Cambridge city centre and many of the University colleges, the mainline railway station and Addenbrookes Hospital. The property adjoins Abbey College's main campus, Homerton College and Hills Road Sixth Form College. Cambridge Leisure centre, including cinema, hotel, bowling, music venue and restaurants is close by.

Purbeck House comprises a six storey building with 151 purpose-built student apartments, all en-suite and including communal cinema room, common room, laundry, CCTV, and secure bicycle parking. The property was built in around 2007. Since 2017 all of the rooms have been let to Abbey College for their international sixth form boarders. It is understood that Purbeck House has enjoyed 100% occupancy since it was completed.

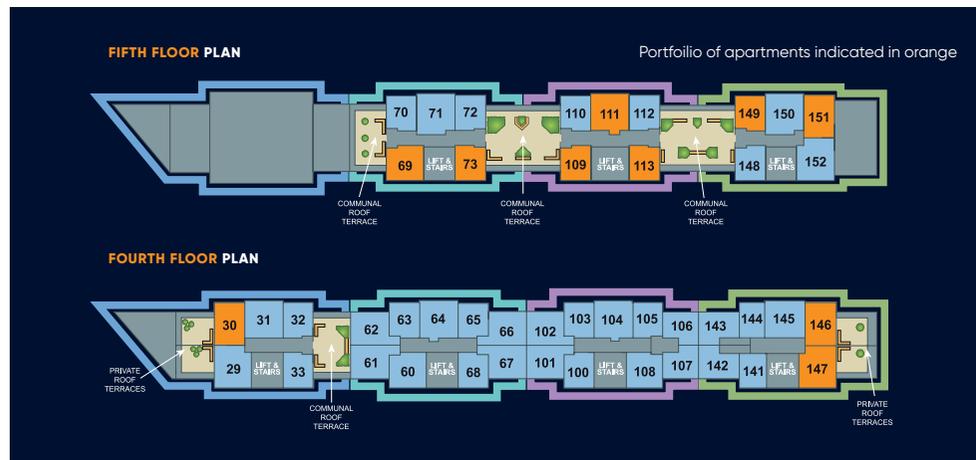


The Portfolio

The portfolio offered for sale comprises ten individual apartments within Purbeck House, all in single ownership. The apartments consist of a range of unit types, some with private balconies, and all are let to Alpha Plus Group Limited (the owner of Abbey College). Details are as follows:

Apartment Number	Apartment Type	Size (Sq Ft)	Rents Payable* Per Week (09/19 – 08/20)	Rents Payable* Per Year (09/19 – 08/20)	EPC Rating
30	E Studio & Terrace	323	£259	£13,364	C
69	A1 Studio	292	£245	£12,740	C
73	A Studio	256	£234	£12,168	C
109	A Studio	256	£234	£12,168	C
111	B 1 Bed Apartment	363	£270	£14,040	C
113	A1 Studio	292	£245	£12,740	C
146	E Studio & Terrace	323	£257	£13,364	C
147	F Studio & Terrace	354	£299	£15,548	C
149	A Studio	256	£234	£12,168	C
151	J Studio	323	£245	£12,740	C
TOTAL			£2,520	£131,040	

*The tenant has agreed that if any of the apartments are used for double occupancy from 01/09/2019 the rents will be subject to an agreed increase. The managing agents will advise on this immediately prior to the beginning of the new academic year.



Tenancies and Management

All the apartments are let on separate tenancy agreements each for a term of five years commencing 01/09/2017 and ending 31/08/2022. The rents are to be paid in three equal instalments on 1st September, 1st January and 1st May (although we understand that the individual landlords are paid out monthly through the managing agents). There are annual rent reviews effective from 1st September each year to the higher of 3.5% or Retail Price Index Linked increase. The tenant may terminate the agreement on 31st July of each year by giving no less than three months' notice to the landlord.

The apartments may only be used by students attending Abbey College, and are subject to a number of occupancy rules which are enforced by the managing agents.

The managing agents for the building, Corporate Residential Management Limited (CRM), are contracted to supply management and letting services to all of the owners. Their fees in respect of this portfolio are calculated at 6% of the total rental income of the portfolio. The agreement is determinable upon 12 months' notice by the owner. Copies of tenancy agreements, and the management agreement are available on request.

All of the apartments in the portfolio are let to Alpha Plus Group Limited (Co Number438111) which owns and runs Abbey College (www.abbeycambridge.co.uk). Alpha Plus is a private education group which owns and manages 20 schools, nurseries and sixth form colleges across the country (www.alphaplusgroup.co.uk) and had a turnover to the year end 31st August 2018 of £91.1 million and a profit before tax of £21.7 million.

Tenure

Each of the apartments is held by way of a 125 year head lease commencing 01/01/2008 (expiring 31/12/2132), with a current ground rent payable per apartment of £200 per annum which doubles in 2033 and every 25 years thereafter.

The head leaseholder is responsible for the payment of a contribution towards buildings insurance and maintenance of Purbeck House calculated at 1/151 of the overall cost for each apartment.

The service charge payable for each apartment for the year 2018/2019 was around £1,330 and the budget for the year 2019/2020 is around £1,500 per apartment.

Investment Considerations

- An opportunity to acquire a substantial portfolio in the centre of the world-renowned city of Cambridge providing secure income with further rental and capital growth potential.

Let until August 2022 to substantial and established independent education operator.

Annual uplifts in the rent and also an opportunity to receive additional rental income if the apartments are double-occupied.

- A well-managed, modern, purpose-built student block in a highly accessible location – understood to have maintained full occupancy since opening in 2008.

- Recent sales evidence shows apartments in Purbeck House have increased in capital value by an average of 51% between 2008 – 2018 (apartments/maisonettes generally in Cambridge have increased by 52% and in England as a whole by 30% during the same period).

(Source: Land Registry Data)

- Net income 2019/2020 (allowing for service charge, management and ground rent) of around £105,000 (ignoring any double occupancy).

VAT

We understand that VAT is not payable on the purchase price.

Proposal

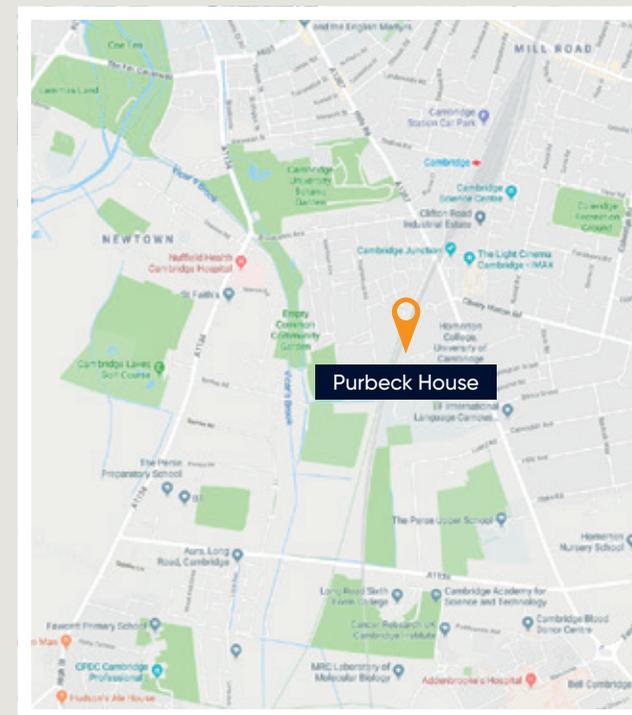
The portfolio of 10 apartments is offered for sale, leasehold subject to the occupational tenancies described above at a guide price of £1.95 Million.

A purchase at this level (ignoring any rental uplift due to double occupancy) would reflect gross yield of 6.72% and a net initial yield of 5.1% (assuming purchaser's costs of 4.8% – based on the sale attracting multiple dwellings relief).

Viewing and Further Information

Strictly through the sole agent, Cheffins:

Philip Woolner | 01223 213666
philip.woolner@cheffins.co.uk



CHEFFINS

Clifton House, 1-2 Clifton Road, Cambridge, CB1 7EA T 01223 213666

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