



Meeting	The Overview and Scrutiny Committee
Date and Time	Monday, 15th October, 2018 at 6.30 pm.
Venue	Walton Suite, Guildhall, Winchester

AGENDA

PROCEDURAL ITEMS

- 1. Apologies and Deputy Members**
To note the names of apologies given and Deputy Members who are attending the meeting in place of appointed Members.
- 2. Disclosures of Interests**
To receive any disclosure of interests from Members and Officers in matters to be discussed.

Note: Councillors are reminded of their obligations to declare disclosable pecuniary interests, personal and/or prejudicial interests in accordance with legislation and the Council's Code of Conduct.

If you require advice, please contact the appropriate Democratic Services Officer, prior to the meeting.

- 3. Chairman's Announcements**
- 4. Membership of Sub-Committees and Informal Groups etc**
- 5. To note the Scrutiny Work Programme for 2018/19 (attached to reverse of agenda) and the Forward Plan for November 2018 (Pages 5 - 12)**

BUSINESS ITEMS

- 6. Public Participation**
To receive and note questions asked and statements made from members of the public on matters which fall within the remit of the Committee



7. Community and Voluntary Sector Grants Review (Pages 13 - 52)
OS210
8. Annual Report: Local Government and Social Care Ombudsman 2017/18
(Pages 53 - 62)
OS209

L Hall
Head of Legal Services (Interim)

Members of the public are able to easily access all of the papers for this meeting by opening the QR Code reader on your phone or tablet. Hold your device over the QR Code below so that it's clearly visible within your screen and you will be redirected to the agenda pack.



5 October 2018

Agenda Contact: Claire Buchanan, Senior Democratic Services Officer
Tel: 01962 848 438 Email: cbuchanan@winchester.gov.uk

**With the exception of exempt items, Agenda, reports and previous minutes are available on the Council's Website www.winchester.gov.uk*

MEMBERSHIP

Chairman: Learney (Liberal Democrats) **Vice-Chairman:** Stallard (Conservative)

Conservatives

Cunningham
Gemmell
McLean
Weston

Liberal Democrats

Clear
Evans
Thompson
Tod

Deputy Members

Berry and Mather

Hiscock and Weir

Quorum = 4 members

Relevant Portfolio Holders:

Having regard to the content of the agenda, the Chairman requests that The Leader and all relevant Portfolio Holders attend meetings of the committee

PUBLIC PARTICIPATION

A public question and comment session is available at 6.30pm for a 15 minute period. There are few limitations on the questions you can ask. These relate to current applications, personal cases and confidential matters. Please contact Democratic Services on 01962 848 264 in advance of the meeting for further details. If there are no members of the public present at 6.30pm who wish to ask questions or make statements, then the meeting will commence.

Voting:

- apart from the Chairman, every Member has one vote when a matter before the meeting requires a decision.
- in the event of an equality of votes, the Chairman may exercise a casting vote and that vote may be exercised in any way seen fit.
- a Member may abstain from voting, or vote differently from how they may have indicated during the debate, without further explanation.
- the way each Member voted will not be recorded in the minutes, unless a motion to have a Recorded Vote has been passed.

DISABLED ACCESS:

Disabled access is normally available, but please phone Democratic Services on 01962 848 264 or email democracy@winchester.gov.uk to ensure that the necessary arrangements are in place.

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THE OVERVIEW AND SCRUTINY COMMITTEE WORK PROGRAMME FOR 2018/19**15 OCTOBER 2018**

	BUSINESS	LEAD OFFICER	COMMITTEE DATE		STATUS/COMMENTS
			Original	Revised	
	Community and Voluntary Sector Grants Review	Susan Robbins	15 October 2018		CAB3079/OS210
	Annual Report: Local Government and Social Care Ombudsman 2017/18	Simon Howson	15 October 2018		OS209

26 NOVEMBER 2018

Page 5	BUSINESS	LEAD OFFICER	COMMITTEE DATE		STATUS/ COMMENTS
			Original	Revised	
	Outcome Based Budgeting	Darren Kennedy	26 November 2018		
	Q2 Financial and Performance Monitoring	Joseph Holmes	26 November 2018		
	Asset Management Plan	Kevin Warren	26 November 2018		
	Council Strategy Update	Joseph Holmes	15 October 2018	26 November 2018	

13 DECEMBER 2018					
	BUSINESS	LEAD OFFICER	COMMITTEE DATE		STATUS/ COMMENTS
			Original	Revised	
Page 6	Station Approach – RIBA Stage 2 Design and Outline Business Case	Ian Charie/Zoe James	13 December		Additional meeting in advance of the Cabinet (Station Approach) Committee on Tuesday 18 December. These meetings will consider the outline business case for the Carfax scheme and progression from RIBA stages 2 to 3.
28 JANUARY 2019					
	BUSINESS	LEAD OFFICER	COMMITTEE DATE		STATUS/COMMENTS
			Original	Revised	
	Medium Term Financial Strategy	Joseph Holmes	28 January 2019		
	General Fund Budget 2019/20	Joseph Holmes	28 January 2019		
	Treasury Management Strategy	Joseph Holmes	28 January 2019		

	Housing Revenue Account Budget 2019/20 and Business Plan 2019/2049	Richard Botham	28 January 2019		
	Capital Strategy	Joseph Holmes	28 January 2019		
	Leisure Centre – Full Business Case	Andrew Hickman/Jo Anderson	28 January 2019		

25 FEBRUARY 2019

	BUSINESS	LEAD OFFICER	COMMITTEE DATE		STATUS/COMMENTS
			Original	Revised	
Page 7	Annual Emergency Planning Report	David Shaw	25 February 2019		
	Community Safety Partnership Performance Review	Sandra Tuddenham	25 February 2019		
	Q3 Financial and Performance Monitoring	Joseph Holmes	28 January 2019	25 February 2019	

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Forward Plan of Key Decisions

November 2018

The Forward Plan is produced by the Council under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012. The purpose of the Plan is to give advance notice of Key Decisions to be made by the Cabinet, Cabinet Committees, Portfolio Holders or officers on its behalf. This is to give both Members of the Council and the public the opportunity of making their views known at the earliest possible stage.

This is the Forward Plan prepared for the period **1 - 30 November 2018** and will normally be replaced at the end of each calendar month.

The Plan shows the Key Decisions likely to be taken within the above period. Key Decisions are those which are financially significant or which have a significant impact. This has been decided, by the Council, to be decisions which involve income or expenditure over £200,000 or which will have a significant effect on people or organisations in two or more wards.

The majority of decisions are taken by Cabinet and its committees, together with the individual Portfolios held, where appropriate. The membership of Cabinet and its committees, and their meeting dates can be found [via this link](#). Other decisions may be taken by Portfolio Holders or Officers in accordance with the Officers Scheme of Delegation, as agreed by the Council (a list of Portfolio Holders used in the Plan is set out overleaf).

The Plan has been set out in the following sections:

Section A – Cabinet and Committees

Section B - Individual Portfolio Holders

Section C – Officer Decisions

Anyone who wishes to make representations about any item included in the Plan should write to the officer listed in Column 5 of the Plan, at the above address. Copies of documents listed in the Plan for submission to a decision taker are available for inspection on the Council's website or by writing to the above address. Where the document is a committee report, it will usually be available five days before the meeting. Other documents relevant to the decision may also be submitted to the decision maker and are

available on Council's website or via email democracy@winchester.gov.uk or by writing to the above

Regulation 5 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 refers to the requirement to provide notice of an intention to hold a meeting in private, inclusive of a statement of reasons. If you have any representations as to why the meeting should be held in private, then please contact the Council via democracy@winchester.gov.uk or by writing to the above address. **Please follow this link to definition of the paragraphs** (Access to Information Procedure Rules, Part 4, page 32, para 10.4) detailing why a matter may be classed as exempt from publication under the Local Government Acts, and not available to the public.

If you have any queries regarding the operation or content of the Forward Plan please contact David Blakemore (Democratic Services Manager) on 01962 848 217.

Cllr Caroline Horrill

Leader of the Council

28 September 2018

Cabinet Members:

- Cllr Caroline Horrill
- Cllr Rob Humby
- Cllr Guy Ashton
- Cllr Caroline Brook
- Cllr Stephen Godfrey
- Cllr Lisa Griffiths
- Cllr Stephen Miller
- Cllr Jan Warwick

Portfolio Held:

Leader & Portfolio for Housing Services

Deputy Leader & Portfolio for Business Partnerships

Finance

Built Environment

Professional Services

Health & Wellbeing

Estates

Environment

	Item	Portfolio Holder	Cost (over £200,000)	Wards Affected	Lead Officer	Documents submitted to decision taker	Decision taker (Cabinet, Committee, Portfolio Holder or Officer)	Date/period decision to be taken	Committee Date (if applicable)	Open/private meeting or document? If private meeting, include relevant exempt paragraph number
1	Housing Revenue Account Budget & Business Plan	Leader and Portfolio Holder For Housing	Yes	All Wards	Richard Burden	Committee Report	Cabinet (Housing) Committee	Nov-18	21-Nov-18	Open
2	Footsteps Living Development - Wesley Road, Kings Worthy	Leader and Portfolio Holder For Housing	tbc	The Worthys	Andrew Palmer	Committee Report	Cabinet (Housing) Committee	Nov-18	21-Nov-18	Part exempt 3
3	Home Loss and Discretionary Payment Policy	Leader and Portfolio Holder For Housing	tbc	All Wards	Andrew Palmer	Committee Report	Cabinet (Housing) Committee	Nov-18	21-Nov-18	Open
4	Procurement of a Strategic Advisor	Leader and Portfolio Holder For Housing	tbc	Town Wards	Veryan Lyons	Committee Report	Cabinet (Central Winchester Regeneration) Committee	Nov-18	27-Nov-18	Part exempt 3

	Item	Portfolio Holder	Cost (over £200,000)	Wards Affected	Lead Officer	Documents submitted to decision taker	Decision taker (Cabinet, Committee, Portfolio Holder or Officer)	Date/period decision to be taken	Committee Date (if applicable)	Open/private meeting or document? If private meeting, include relevant exempt paragraph number
5	Pop-up uses for the bus station	Leader and Portfolio Holder For Housing	tbc	Town Wards	Veryan Lyons	Committee Report	Cabinet (Central Winchester Regeneration) Committee	Nov-18	27-Nov-18	Part exempt 3
6	High Street re-paving	Leader and Portfolio Holder For Housing	tbc	Town Wards	Veryan Lyons	Committee Report	Cabinet (Central Winchester Regeneration) Committee	Nov-18	27-Nov-18	Part exempt 3
7	The Green paper - A Fair Deal for Social Housing	Leader and Portfolio Holder For Housing	tbc	All Wards	Gillian Knight	Portfolio Holder Decision Notice	Leader and Portfolio Holder For Housing	Nov-18	Nov-18	Open
8	Rents for Social Housing 2020/21	Leader and Portfolio Holder For Housing	tbc	All Wards	Richard Burden	Portfolio Holder Decision Notice	Leader and Portfolio Holder For Housing	Nov-18	Nov-18	Open

REPORT TITLE: COMMUNITY AND VOLUNTARY SECTOR GRANTS REVIEW

THE OVERVIEW AND SCRUTINY COMMITTEE – 15 OCTOBER 2018

REPORT OF PORTFOLIO HOLDER: Porfolio Holder for Business Partnerships,
Councillor Rob Humby

Contact Officer: Susan Robbins Tel No: 01962 8498 641 Email:
Srobbins@winchester.gov.uk

WARD(S): ALL

PURPOSE

This report provides the findings of the Grants Review that commenced in June 2018. It gives details of the engagement exercises that were undertaken with funded organisations, observer Members, Council officers from a range of services and the survey of ward Councillors and Parish Councils. It presents the data and financial information that was researched to give insight to the extent of the Council's current funding practices and the evidence to support change. Finally the report proposes changes to the current funding programme and which if agreed will be introduced in the 2019/20 financial year.

RECOMMENDATIONS:

That the Overview and Scrutiny Committee raises with the Leader or other relevant Portfolio Holder any issues arising from the information in this report and the Recommendations to Cabinet (as set out below) and considers whether there are any items of significance to be drawn to the attention of Cabinet:

1. That the new funding programme be approved and be introduced in 2019/20 financial year including:

- a. The range of funds.
 - b. The size of funding pot.
 - c. The target outcomes.
 - d. The revised decision making arrangements and delegated authority levels.
2. That the creation of the funding criteria, detailed outcomes, application processes and assessments, supported by a communications plans, be delegated to the Corporate Head of Engagement in consultation with appropriate Heads of Service, to be signed-off by the relevant Portfolio Holder.
 3. That the issue of a consistent approach to how the charity, community and voluntary sector organisations are charged for rent in Council owned property be agreed with the Corporate Head of Estates and approved by the relevant Portfolio Holder.
 4. That all organisations that participated in the review exercise be informed of the proposed changes and be thanked for their contributions and helpful approach in volunteering time, insight and ideas.

IMPLICATIONS:1 COUNCIL STRATEGY OUTCOME

- 1.1 The Grants Review supports the Council in being entrepreneurial in its approach to delivering services, using insight and evidence to support decisions and innovative in the way resources are used. The grants programme contributes to all four strategic priorities.

2 FINANCIAL IMPLICATIONS

- 2.1 In February 2018 the Council agreed a community and voluntary sector grant programme budget of £762,500 for 2018-19. This is made up of mix of grants and commissions, funded from the general fund and Winchester Town account:

Type of Award	General Fund	Town Account	Total
Grants			
Core funding grants	£466,500	£73,000	£539,500
Project grants	£106,000	£7,000	£113,000
Sub total	£572,500	£80,000	£652,500
Commissions			
Voluntary sector support	£50,000	0	£50,000
Housing service	15,000	0	£15,000
Transport services	45,000	0	£45,000
Total	£682,500	£80,000	£762,500

- 2.2 Whilst all types of funding have been looked at by the review, a distinction has been drawn between grant funding and commissioning. This will help provide greater clarity for applicants, officers, members and assist in accounting for outcomes. However to create a comprehensive picture of what monies are paid to organisations to ensure transparency all the different forms of funding to organisations will be collated.
- 2.3 Therefore the grant review has concentrated on the grant element of the budget which totals £652,500. This is currently divided into different funds as following:

Core funds – Partner organisations	£482,200
Core funds – other organisations	£57,300
Project Grants	£113,000
Total	£652,500

- 2.4 The proposed new grants programme will total £626,000. This is broken down as:

Strategic Fund	£356,000
Priority Outcomes Fund	£150,000
Small local grants	£40,000
Crowd fund	£80,000
Total	£626,000
Funded by:	
General Fund	£546,000
Winchester Town Account	£80,000
Flexible pot (General Fund) <i>Funded from current grant reserve and any unused grant from each financial year</i>	£40,000

- 2.5 This results in a small reduction of £26,500 in 2019/20.
- 2.6 The flexible pot is created by using current grant reserves of £47,000
- 2.7 It is has been estimated that it will cost £25,000 to set up the crowd funding platform which will cover user license, set up and launch fee. This will be funded from an allocation of £30,000 already agreed for this purpose.

3 LEGAL AND PROCUREMENT IMPLICATIONS

- 3.1 The current grants programme does have agreed award decision processes and legal grant agreements to formally offer and accept any grant. The new programme will have clearly stated assessment criteria and process; decision making authorities and delegations and grant agreements. With the proposed simplified range of grants and application process it is also proposed to simplify the authorities and delegations. Details are give at paragraph 11.51.

4 WORKFORCE IMPLICATIONS

- 4.1 None

5 PROPERTY AND ASSET IMPLICATIONS

- 5.1 There are a number of organisations that occupy Council owned buildings, or buildings that are on Council owned land. There are lease agreements in place with all but these vary between each case. Whilst the Council will wish to retain commercial confidentiality around these charges and rents, it is

important to see the full picture and to consider the implications of paying core funding that will be used to pay the Council its rent.

- 5.2 Whilst the review highlighted this as an issue, a recommended approach has not been explored. Therefore authority is sought for the Corporate Head of Engagement to liaise with the Corporate Head of Estates to agree an approach, to be approved by the relevant Portfolio Holder.

6 CONSULTATION AND COMMUNICATION

- 6.1 A full engagement programme was undertaken to capture the views of a varied range of people and organisations that helped shape the proposals. Feedback on the final outcomes will be built into this final stage of the review. Communication, information and promotion about the Council's grant programme is crucial and a communications plan is proposed; to be developed with the Head of Communications.

7 ENVIRONMENTAL CONSIDERATIONS

- 7.1 The priorities that are proposed for the target outcomes of the grant programme include sustainability, green technologies and environmental enhancements.

8 EQUALITY IMPACT ASSESSEMENT

- 8.1 The equality impact assessment for the current programme has been revised to reflect the new approach. This assessment is provided as Appendix 1

9 DATA PROTECTION IMPACT ASSESSMENT

- 9.1 With the introduction of the online crowd funding platform a data impact assessment will be carried out with the chosen supplier. The current data protection process for the grant application form will continue to apply to the new programme in line with the GDPR regulations.

10 RISK MANAGEMENT

Risk	Mitigation	Opportunities
<i>Property Inconsistent approach to rents / leases causes organisations to criticise the Council and demand changes to agreements, causing costs, loss of</i>	Agree approach for charities and community groups etc.	Will create clear and transparent approach Opportunity to link to mandatory and discretionary Business

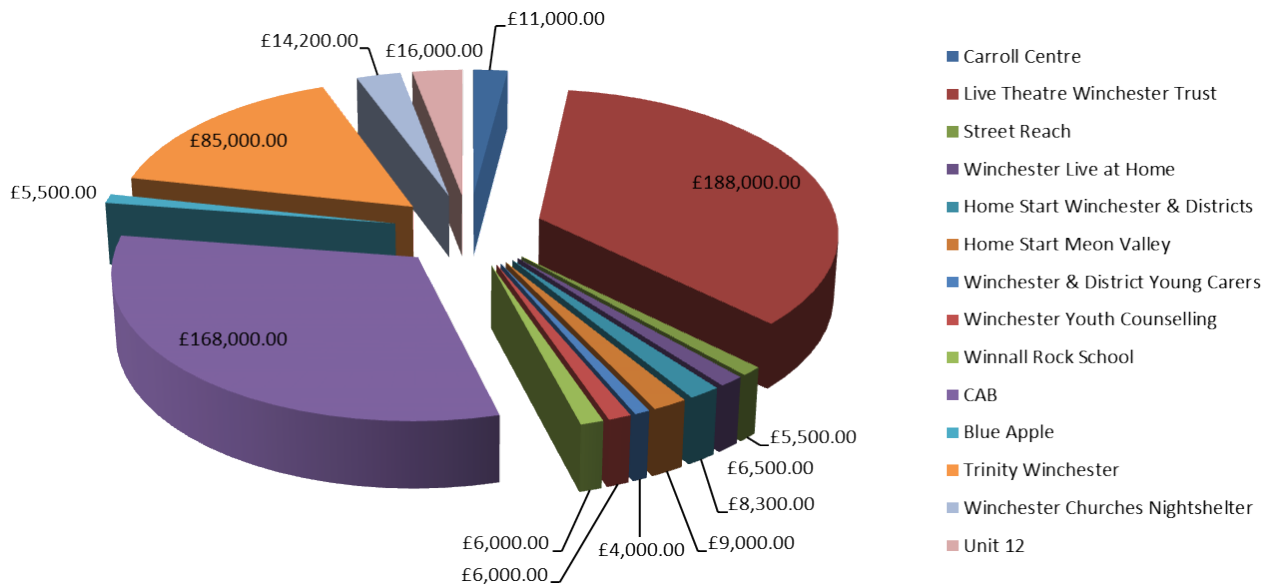
Risk	Mitigation	Opportunities
<i>income etc.</i>		Rates Relief.
<i>Community Support The new programme causes some organisations to receive less funding</i>	Transition arrangements need to be agreed so that any changes are reduced in impact and duration.	Greater support is offered to organisations to seek other sources of funding and so in the long term become more resilient and self sufficient.
<i>Timescales The new grant arrangements aren't available for the start of the financial year.</i>	Current grant arrangement will not be replaced until new programmes are ready for launch so that no organisation is left financially vulnerable. Some elements will be quicker to launch than other and these will proceed to create access to funding opportunities	
<i>Project capacity Insufficient staff available to implement the changes to the grant systems and process etc.</i>	Create a project implementation plan with resource requirements identified. Introduce a phased launch to match available resources	
<i>Financial / VfM Long term efficiencies and savings are not generated by the new programme</i>	Close management and monitoring requirements will be part of the reporting process.	Publish an annual statement / report to highlight what has been achieved in terms of impacts, value and social benefit.
<i>Innovation New online platforms fail or are abused</i>	Supplier will provide the necessary assurance and liability insurances. Process will be added to vet and check content	
<i>Reputation Changes mean that some organisations do not like the new programme and openly criticise the Council</i>	Engagement, communication, transition and support arrangement will be put in place	Seek positive feedback to counter any negative comments
<i>Other</i>		

11 SUPPORTING INFORMATION:

11.1 **Background: Current Funding programme**

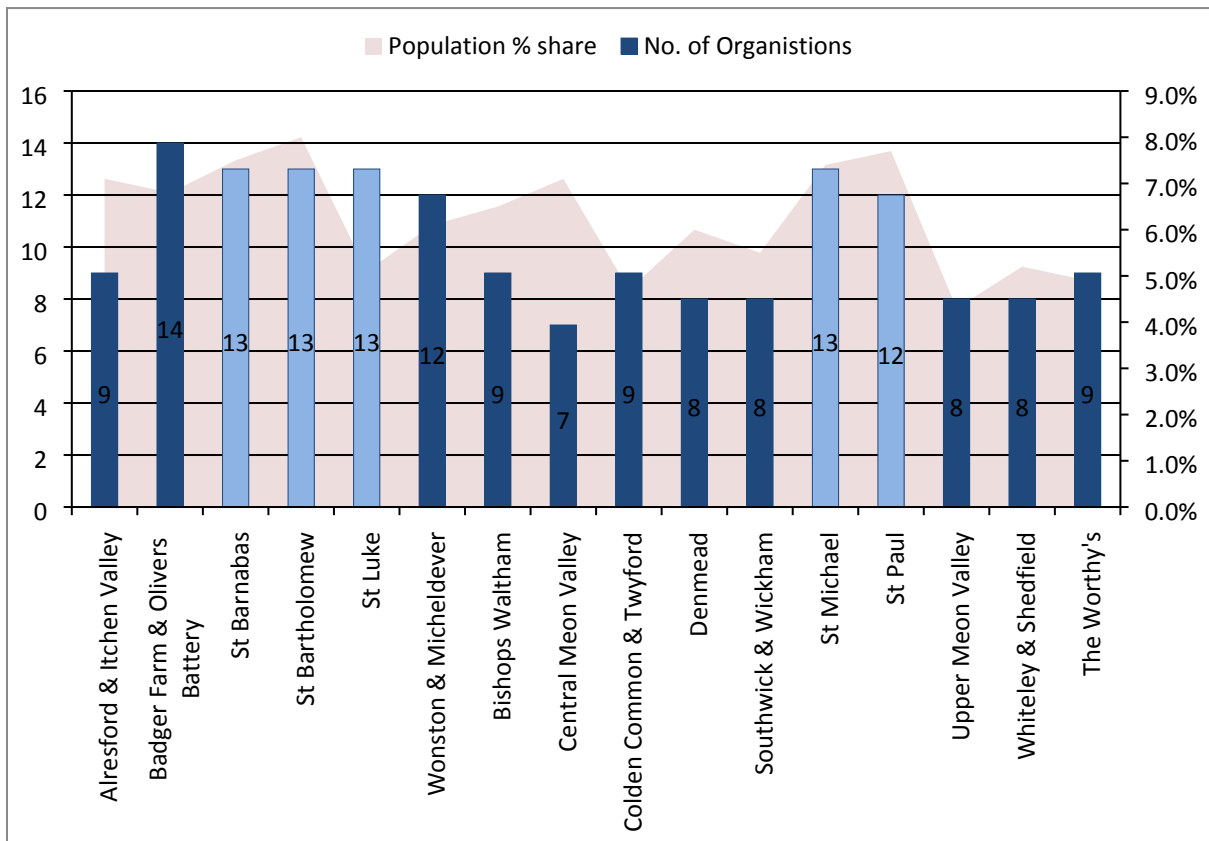
11.2 The Council currently offers a range of grants for different purposes: core funding and grants for projects; small medium, business, cultural etc. This financial year the budget allocation for these grants is £652,500. The following gives a summary of the organisations funded, the geographical spread of where they deliver services and the range of beneficiaries supported.

11.3 To date the core funding awards to individual organisation this financial year are:



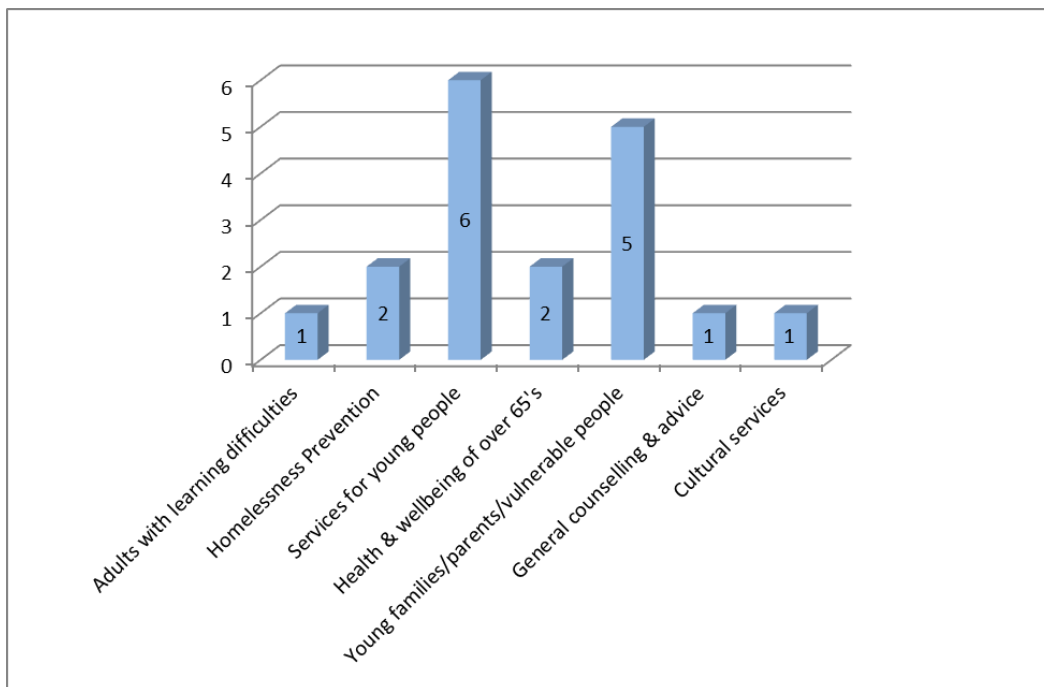
11.4 Geographical Spread

The following chart shows how many of the fourteen funded organisations above work in each ward in comparison the overall share of District's population in that ward.



11.5 User profile

For the same currently funded organisations this chart shows the number of each working with specific client groups. It clearly shows that most organisations support young people and families and vulnerable people.

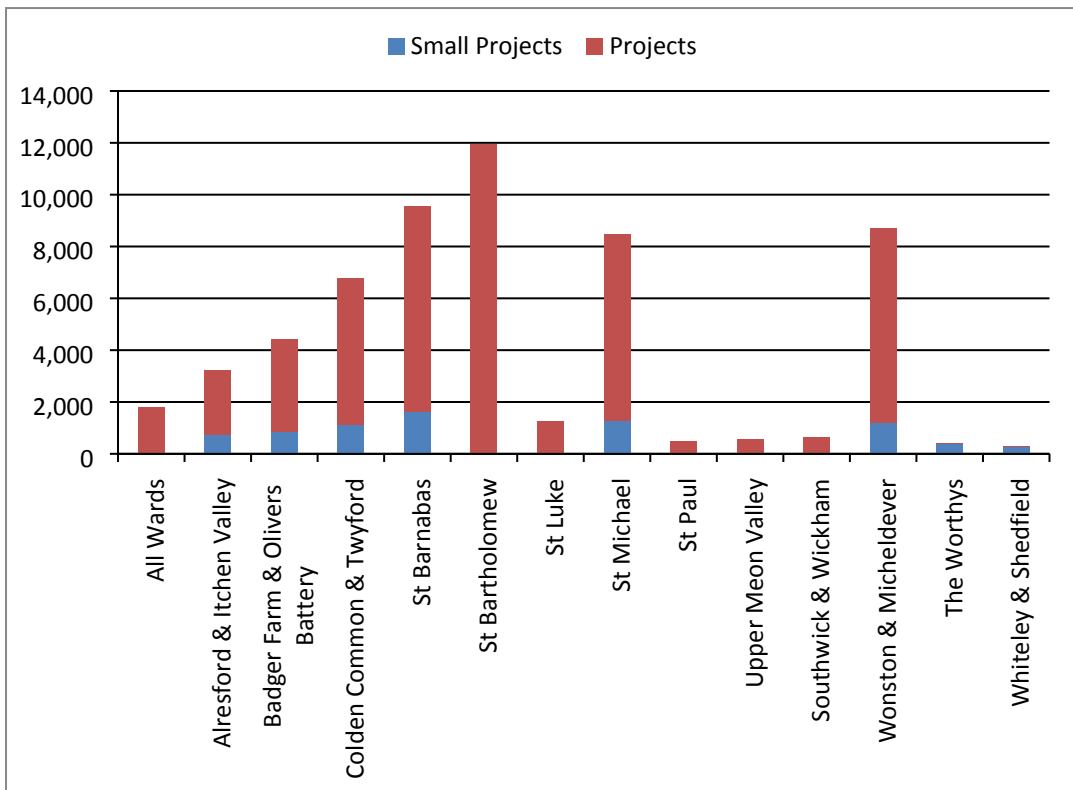


- 11.6 For the project grants the breakdown of the awards in last the financial year 2017/18 (latest full data available) was:

Fund	Value awarded	No. of projects
Small Grants	£7,500	19
Project Grants	£51,000	17
Town Forum Grants	£4,100	9
Business grants / access to work grants	£28,411	30
Cultural grants	£9,078	8
Total	£100,089	83

- 11.7 Grants – Value (£) by Ward

This chart shows the total value of grants awarded in each ward for the nineteen small grants and seventeen project grants.



11.8 Review purpose and scope

11.9 Winchester City Council values the role of the voluntary sector in delivering the outcomes of the Council’s Strategy. It seeks to build the capacity, resilience, reach and ambition of the sector, in order to make the most



effective contribution to improving the quality of life for everyone in our District. The Directory for Social Change states “by investing locally, grants can be targeted at local organisations, investment can be kept within the local economy. Grants can also help bring in other resources to support services and add value, for example volunteer time, or donations from companies or the public.”

Source: <https://www.dsc.org.uk/>

11.10 The review was instigated due to three key issues. Firstly, in response to the need to meet the financial challenges facing the Council, and in particular to seek new ways to deliver value. Secondly, the review also sought to work with partners on service provision that meets the needs of residents, businesses and visitors. Finally, the review looked to simplify the various funding streams for different organisations.

- 11.11 The grants review entailed two pieces of activity; 1) engagement - to meet and talk to funded organisations, member observers, Councillors and officers; 2) research – to create a comprehensive picture for grant funding across the council and organisations, to profile local community needs and look at other local authority grant programmes to benchmark best practice.
- 11.12 The principles used to guide the review are to :
- a) Approve funding on an outcome basis.
 - b) Prioritise and rationalise the funding to outside bodies.
 - c) Increase efficiencies by avoiding duplication of delivery through multiple awards across services (and other public bodies).
 - d) Seek innovation and new approaches to increase income to enable grants to be funded from other sources or generate a return on investment.
- 11.13 The scope of the review has been Community & Voluntary sector grants, and to ensure a corporate and strategic approach is considered in the review, the funding given to a number of the organisations from other budgets across the Council. This is especially due to the fact that they demonstrate the varied and multiple ways in which the Council funds organisations through individual service commissions. The only areas excluded are the externally funded programmes such as LEADER and Supporting Families.
- 11.14 The benefits being sought as a results of the review are:
- a) Clarity on Council objectives and outcomes.
 - b) Simplicity, transparency, fairness and equality.
 - c) Proactive (rather than reactive) direction of where investment should be focused.
 - d) Enhanced reputation and increased recognition for the Council's investment.
 - e) Capture of social value and impact at a strategic level.
 - f) Continuation of high quality services that meet local needs and which, if not provided, would be a significant cost to the Council, society, communities and individuals.
 - g) Administration is efficient and resources deployed effectively.

11.15 **Review Process**

11.16 **Engagement**

Between July and September a series of meetings and conversations were held with a range of people, including chief officers and trustees of funded organisations, members and officers. A full list of all those engaged with, and the comments they made, is given in the Appendices.

11.17 Without exception the level and quality of participation was high, with the openness and positive ideas providing valuable insight to consider.

11.18 The key points from the discussions with organisations were:

- a) The core grants are greatly valued by partners.
- b) The relationship with the Council is also valued – in fact some feel it could be strengthened to mutual benefit.
- c) Would welcome longer term funding agreement to give security and allow longer term service / business planning.

11.19 Comments from Members include:

- a) Requirement for process to be clear; simple; transparent and fair.
- b) Want reports on what is being achieved and to celebrate success.
- c) Remove dual application processes.
- d) Need a mechanism to respond to support unplanned / unforeseen service needs or projects.

11.20 Comments from officers

- a) Welcome clarity and information on grants and commissioning; e.g. definitions, policies on reserves, risk, outcomes etc.
- b) Relationships with organisations should remain with service leads.
- c) Centrally held source of information on funded organisations, providing oversight and to share data and intelligence.

11.21 **Research**

11.22 Financial Support

11.23 Grants

The current approach to offering grants is predominately challenge or competitive funding with only two given as criteria awards. In summary:

Award type	Fund	Range	Pot size
Challenge	Core funding: partner organisations	£6,000 to £200,000	£482,000 (inc. £59,000 Town Account)
	Core funding: Other organisations	£10,000 max	£57,000 (inc. £14,000 Town Account)
	Project grants Community – Winnovation	£3,000 max £4,000 max	£71,000
	Small grants	£500	
	Town Forum	£500 max	£7,000
	Cultural Innovation Grants	£2,000 max	£10,000
	Business Innovation Grant	£2,500 max	£15,000
Criteria	Apprentice Support	£1,000 max	£10,000
	Access to work support	£1,000 max	

11.24 Commission

As mentioned the Council does also fund organisations to deliver services in addition to the grant programme. These are managed through service level agreements, contracts or commissions. This type of service delivery has in the greater part been procured through a full competitive process where organisations have competed for a single contract and have tendered to deliver specified services and outcomes. This process is managed by the appropriate lead officers with the technical and professional knowledge to scope the work, assess tenders, award and manage contracts and report performance outcomes. Examples include:

- a) Citizens Advice Bureau - £30,000 - 3 year commission based on tender via South East Business Portal

11.25 Another competitive route used is to “buy into” a commission tendered by Hampshire County Council. This usually buys specific services for Winchester District, enhanced provision or outcomes, and proves value for money through economies of scale as a result of the tendering and contracting being run by HCC. Examples include:

- a) Night Shelter - £17,000 p.a. procured via a Hampshire County Council commission with Service Level Agreement which secures additional direct work with Winchester people.
- b) Community transport schemes such as dial-a-ride.

11.26 Direct awards

On a small number of occasions a direct award is offered. These relate to small sums and are for specific purposes. An example is:

- a) Parish Councils - Contribution towards the specific outcome of creating a Village Plan. Small award of £500 per applicant that meet the criteria.

11.27 Business rates

In addition to the rates relief offered via national schemes (Mandatory - charity or a registered community amateur sports club, small business; rural rate relief) the Council has a policy for discretionary relief of up to 100% to certain non-profit making bodies. Last year the Council supported 100 different organisations, groups and clubs through the discretionary rate relief. An example:

- a) 20% top up for sports clubs in receipt of 80% relief via mandatory scheme.

11.28 Accommodation / Property

There are a number of organisations that occupy Council owned buildings, or buildings that are on Council owned land. There are lease agreements in place with all but these vary between each case. Whilst the Council will wish to retain commercial confidentiality around these charges and rents, it is important to see the full picture and to consider the implications of paying core funding that will be used to pay the Council its rent.

11.29 Collaboration

The Council also works collaboratively with many organisations and groups as part of partnerships to develop long term relationships. This includes offering the use of facilities at reduced or zero cost. For example:

- a) Discounted rates for charities booking the Guildhall.
- b) Officer time to help organise, promote and run events.
- c) Advice, support and mentoring.

11.30 Whilst the value of this has not been quantified as part of the research, it is important to acknowledge further financial support the Council offers to support charity organisations and community groups.

11.31 Community Infrastructure Levy

The Community Infrastructure Levy is currently under review and is not part of this review but consideration needs to be given to its role in funding local organisations and Parish Councils. Applicants are asked if the project is funded by others as part of the agreement. There is an opportunity to have greater alignment on priorities and nature of projects supported across both schemes.

11.32 Detailed Proposals – A new approach

At the outset of the review certain aspects were identified as needing improvement. These were:

- a) Clarity of purpose.
- b) Legacy funding.
- c) Dependence and sustainability.
- d) Ad-hoc requests.
- e) Multiple grant processes.

11.33 The following goals were established and through responses developed.

Goals	Response
1. Increase flexibility and responsiveness	a. Create a pot to respond to ad hoc requests and retain unallocated fund to deploy on extending services or responding to new issues / unforeseen circumstances / changed needs.
2. Reduce dependence	b. Work with organisations and provide support to develop resilience and develop long term sustainability.
3. Introduce new recipients	c. Hold grant panels across the district.
4. Increase innovation in delivery and outcomes	d. Identify priorities that proactively seek new solutions and target enhancements and improvements.
5. Innovate in funding mechanisms	e. Introduce Crowd Funding.

11.34 The following is the proposed new funding approach based on the findings from the engagement conversations and background research.

11.35 Strategic Fund

Through the review different types of organisation applying for grants have been identified. The first are those that hold a unique position the market and deliver support to the community that the Council values as sole providers of these services.

11.36 It is proposed that the grants for these services are considered as Direct Awards, due to the sole provider position they hold. That an agreement is drafted for a longer period, of up to three years, reviewed annually and renewed subject to performance against outputs and should be subject to stepped reductions.

11.37 Priority Outcomes Fund

On reviewing the range of core grants offered to the thirteen other organisations funded this year, it can be seen that this second group offer a range of services to a diverse groups within communities across the District, but are not sole providers.

11.38 It is proposed that a new programme of funding be offered as a competitive award focused on contributing to the priority outcomes of the Council's Strategy. Incentives will be offered for those organisations that develop collaborative or partnership applications which seek to minimise duplications and increase value for money and outcome delivery. The agreement will be for a period of three years, reviewed annually and renewed only subject to satisfactory performance. Grants will be to a maximum of £15,000 max, giving the potential to support up to 15 organisations based on an average award of £10,000. Importantly, as the agreement period is longer, a new requirement of stepped funding over the period is introduced. This approach moves organisations away from grant reliance and a service will be commissioned to support this and to assist organisations to look at new delivery models, to seek other forms of funding and increase potential income; to offer development training, and to encouraging organisations with similar objectives to work together more.

11.39 Additionally the stepped funding approach:

- a) generates a reserve for next year,
- b) allows for the expansion of service delivery,
- c) enables the Council to respond to new demands,
- d) allows and encourages new entrants to the fund.

11.40 Small grants - Local grant giving

The small grants offered currently are greatly valued by small local community groups, village halls, sport clubs etc. across the District. It not proposed to remove this fund, but to further extend its reach and to make the process of application easier and quicker, for both the applicant and the Council. These grants are highly valued by local groups, as evidenced by a survey one year ago, and they extend the reach of Council support, not only in terms of geography but also the diversity of communities benefiting.

11.41 It is proposed that a panel visit seven locations across the District to give a £500 grant there and then, with a decision and offer made on the day (subject to pre-vetting and appropriate due diligence). This has the added advantage of engaging more directly with recipients and beneficiaries, creating a greater profile of the Council, allows additional information and support to be shared and enables local groups to come together for the day to showcase their organisation and what it does, creating a greater community awareness. The

engagement benefits of this approach are significant. As this new approach will require greater organisation and input from local communities, it is suggested that it is tested first, reviewed after a couple of events, and if not successful the scheme could revert back to the current on line process.

11.42 The following are suggested locations for the panels and which could happen twice a year. Areas from which applications can be submitted for each panel will have to be defined.

- a) Bishops Waltham,
- b) Colden Common,
- c) Denmead,
- d) New Alresford,
- e) Swanmore,
- f) Wickham,
- g) Town wards.

11.43 It is proposed that a further £5,000 be set aside to allow for projects falling outside the areas and panels, to enable some flexibility for ad hoc requests.

11.44 The current approval panel arrangements for the Town Forum small grant will be replaced by this scheme.

11.45 Project Funding

There are several funds currently offered at different times, some through different processes. This includes Winnovation grants for community groups, business innovation, cultural grants and general project grants. They are essentially attempting to incentivise new approaches and encourage innovation but across the different groups. It is proposed to bring these together into a single fund and application process.

11.46 The new approach will be to use a crowd funding platform. The platform will be licensed from an external provider and will allow projects to seek funding. The Council will match fund projects that fall within the target groups, location and priorities it determines, so will still be able to target support at the outcomes the Council wishes to support. A proposed set of priorities is given in the next section.

11.47 Crowd funding projects

The crowd funding platform would enable businesses, community groups, clubs, charities etc. to post their project and promote to the local community

networks, friends and patrons for them to donate money in support of the project. This demonstrates that the project is valued by the community or users, and once a certain threshold of funding is secured the Council will match fund up to 50% or to value of £3,000 (whichever is less). This levers additional funds against the Councils, at the very least doubles the value, demonstrates the project is wanted, allows repeat local / annual projects and events that do not wish to introduce new aspects or innovations as is required by other funds.

11.48 Information about other grants offered in the location, by topic or by other local organisations can be included to further lever additional funds for the applicant. Assistance and support will be offered to help organisations use the platform and to successfully crowd fund.

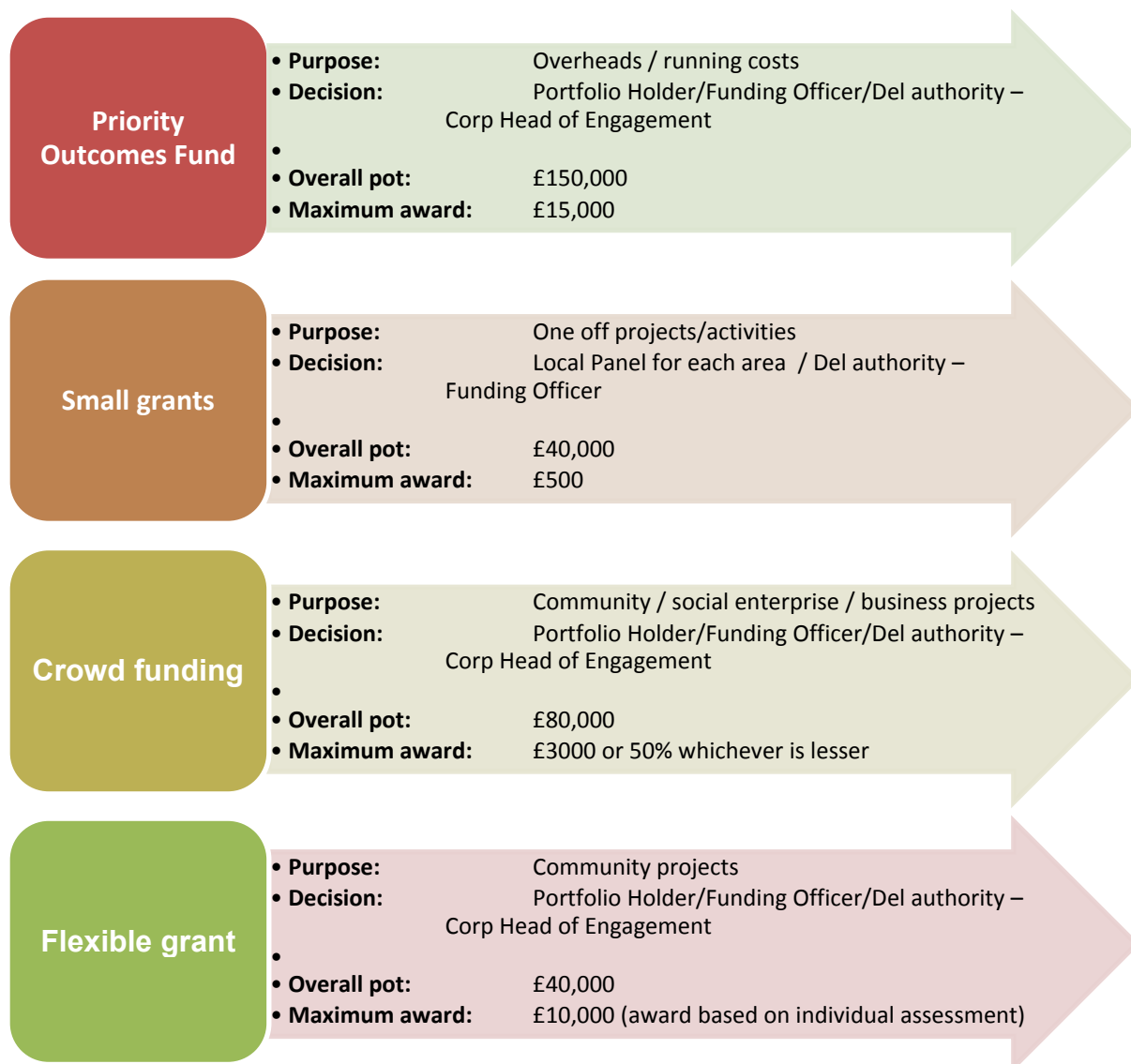
11.49 Flexible Grant

To respond to ad hoc requests and allow expansion of service delivery in response to specific unforeseen needs or circumstances it is proposed that a fund be created using the current reserves and that requests for project up to £10,000 are managed through this process. To start the fund the current grant reserves of £47,000 will be used and the fund will be replenished each year by any unallocated funding.

11.50 Commissioning

For clarity all services should be commissioned by service leads and funded from their budget allocations. They should be awarded through competitive tendering apart from those circumstances when only one provider is possible, then through a direct award. This is not to be considered a grant and for clarity they should not form part of the grants / investment scheme.

11.51 **Funding Proposal Summary**



11.52 Work is being completed on benchmarking with other local authorities and this will help shape the revised funding application, assessment and monitoring requirements that will be detailed during the implementation preparations, following approval of this proposal.

11.53 **Priority Outcomes**

11.54 As well as considering the range of funding mechanisms, the priorities and focus for the desired outcomes need to be agreed. There is a need for a range of outcomes that stimulate positive investment to enhance lives and places; increase participation for strong, more resilient and integrated communities and foster a culture of innovation and growth. Additional incentives could be given to actions aimed at early intervention and prevention.

- 11.55 From the Councillor survey feedback certain aspects were highlighted. A full summary is provided in the Appendices. Comments included:
- Decline in local services from lack of funds to pay for activities and lack of volunteers.
 - Lack of community spirit due to changing profiles of residents; new families not integrating; and older populations less able to participate.
 - Isolation due to lack of public transport.
- 11.56 The Governments standards guidance for general grants references the UN Sustainable Development Goals; of interest are: No poverty; No hunger; Good health and wellbeing; Affordable and clean energy; Decent jobs and economic growth; Industry, innovation and infrastructure; Sustainable cities and communities.
- 11.57 At a local level the strategic priorities, combined with the community groups and needs identified the following targets outcomes can be derived, which it can be seen closely align with the sustainable development goals and provide greater focus against which to assess applications.

Hampshire County Council Serving Hampshire - Strategic Plan for 2017 - 2021	Winchester City Council Strategy 2018-2020 Strategic Priority	Winchester Target Outcomes (proposed)
Dealing with peoples and communities needs		
<ul style="list-style-type: none"> People in Hampshire live safe, healthy and independent lives People in Hampshire enjoy being part of strong, inclusive communities 	<ul style="list-style-type: none"> Health & happiness of communities Quality housing 	<ul style="list-style-type: none"> Isolation Low income Homelessness Mental health Physical inactivity
Striving for positive change		
<ul style="list-style-type: none"> Hampshire maintains strong and sustainable economic growth and prosperity People in Hampshire enjoy a rich and diverse environment 	<ul style="list-style-type: none"> Premier business location Quality of the District's environment 	<ul style="list-style-type: none"> Digital application, services and products Sustainability, environmental quality, green technologies Creative and innovation Business growth

- 11.58 Further work currently being carried out into the needs of the communities will provided detailed information to qualify and quantify the target outcomes. Areas that have already been identified for consideration include:

11.59 Sports & health

A Winchester Physical Activity Insight report from July 2018 found the following with regards to physical activity within the Winchester District:

- a) Winchester has high numbers of inactivity in the over 75 age group, and that this age group is projected to grow.
- b) Inactivity levels for people with long-term disability are high but slowly improving.
- c) There has been a decline in the number of people cycling which is more than the national decline figures.
- d) There is a much higher percentage of inactive women than men in the District, and this gender inequality gap is getting worse.
- e) Within Winchester, those with a limiting illness are 4 times more likely to be inactive compared to those without a limiting illness.
- f) There is a much lower proportion of inactive people in higher social grades.
- g) It is estimated that the areas with the highest percentage of inactivity within the district will be Bishops Waltham ward, Whiteley and some of Upper Meon Valley.

11.60 The Local Authority Profile 2018 & headline facts and figures from 2011 census found in summary, the health of people in Winchester is generally better than the England average. But also that:

- a) Winchester is one of the 20% least deprived districts/unitary authorities in England, however 8% of children live in low income families.
- b) Life expectancy is 5 years lower for men and 6.2 years lower for women in the most deprived areas of Winchester compared to the least deprived areas.
- c) Figures for dementia diagnosis aged 65+ are significantly worse than the England average.
- d) Figures for diabetes diagnosis aged 17+ are also very high for the Winchester District.

11.61 **Implementation**

11.62 Developing the new funds

11.63 As mentioned, if approved, the new grants programme will require the adjustment of some processes and the creation of new ones before they can be offered. This includes:

- a) a clear description of the scheme/ aims and objectives of the grant;
- b) a clear description of how money should be spent;
- c) eligible expenditure terms,

- d) payment schedules,
- e) audit/assurance;
- f) agreed outputs/ KPIs/milestones;
- g) financial and activity based reporting and evidence;

11.64 Much of the specific details will be evidenced by the community profile of need and the grants benchmarking exercise.

11.65 In addition the support products need to be developed, e.g. advice, guidance and information; commissioning a service that acts as a gateway for applicants to receive help and mentoring etc. The current grant programme applies a lot of this good practice already and this will be transferred where appropriate into the new programme.

11.66 Operational Resources

11.67 To deliver the grants programme, existing staff resources from within the Engagement Service will be used.

Roles	Responsibilities
<p>Strategic overview and direction</p> <p>Corporate Head of Engagement</p>	<p>Lead partner on direct award orgs: TRW/CAB</p> <p>Delegated authority: Core funding Crowd funding Flexible grant</p> <p>Create annual impact statement in conjunction with Investment officer</p>
<p>Operational / Strategic</p> <p>Investment & Development Officer</p>	<p>Delegated authority: Small grant scheme</p> <p>Oversee grant processes and awards Relationship & partnership management Performance agreements /monitoring Engagement - community/business Budget management</p>
<p>Administration</p> <p>Support Officer (required for segregation of duties)</p>	<p>Grant processing Payments Funding awards End of grant monitoring Transparency reporting</p>
<p>Communications</p> <p>Proactive engagement officer (added to role of Market Towns Officer)</p>	<p>Compile communications (including supporting social media) Organisation of events Promotion of activities Promotion of grant applicant activities invested in within the district</p>

Roles	Responsibilities
	Create engagement opportunities with groups in conjunction with Community First

11.68 Communications

11.69 Throughout the process communication has been identified as vital and key to this process. This includes relationship management, promotion of opportunity, access to information and sharing of data and celebrating success. A marketing and communications plan will be drafted to support the launch of the new programme. This will be developed by working with the Communications Team and aspects to cover in the plan include:

- a) Increased communication and information sharing between Council services.
- b) Continue to develop the strategy for relationship management with Senior Officers, Portfolio Holders, Member Representatives and the Funding Officer for those organisations who are significantly funded by the Council
- c) Enhanced website to promote the Council's work, what is being achieved and how organisations can access support and apply for funding.
- d) Publish an annual statement / report to highlight what has been achieved in terms of impacts, value and social benefit.
- e) An annual celebration event to show case the funding programme, reward and acknowledge great outcomes and performance, share best practice and create a community of support organisations.
- f) Video clips of applicants and outcomes of their projects/activities.
- g) Highlighting the use of our logo / a building plaque.
- h) Continue to provide an update of grants available and grants allocated to Councillors through the Democratic Services weekly update as and when appropriate.
- i) Information will be sent directly to Ward Councillors via direct emails.
- j) Regular updates regarding available grants will continue to be provided to Parish Clerks and Parish Councils via the Council's Parish Connect newsletter.
- k) Continue the use of the WCCGrant twitter account to promote grant related activities.

- l) Continue to work with communications to provide content for Council's Facebook page and social media platforms.
- m) Commission a service to promote all grant related activities to the community and voluntary sector for example through via e-news bulletins, social media and funding events.

12 OTHER OPTIONS CONSIDERED AND REJECTED

12.1 No alternative options have been assessed at this stage.

BACKGROUND DOCUMENTS:-

Previous Committee Reports:-

None

Other Background Documents:-

None

APPENDICES:

- 1 Equality Impact Assessment
- 2 Background evidence and information appendices:
 - Engagements and lessons learned
 - Current community grant funding profile
 - Funding Types Definitions

Scoping & Analysis

Name of the Service, Policy, or Strategy:	Corporate grant programme
Element(s) of the above being assessed.	<i>Proposal for a new corporate grant programme</i>
Date Screening undertaken:	<i>September 2018</i>
Screeners:	<i>Corporate Head of Engagement Funding and Development Officer Portfolio Holder for Business Partnerships</i>
File name and location:	<i>2018 2019 Grants Grant Review</i>
Question (See Advice Notes)	Answer
1. What is the main purpose of the Service, Strategy, Policy, Practice or Procedure?	<p>The Council has stated the need to review the current grant funding programme for the community and voluntary sector. This provides the opportunity to set a new framework for funding awards across the Council so that services are clear when and why monies are awarded to external bodies, the organisations have clarity and the processes are simplified to provide a unified approach. This will enable efficiencies, increased monitoring and reporting and the opportunity to ensure the Council is given the appropriate recognition and credit for the support it provides to its communities.</p> <p>The benefits being sought as a results of the review are:</p> <ul style="list-style-type: none"> a) Clarity on Council objectives and outcomes. b) Simplicity, transparency, fairness and equality.

	<ul style="list-style-type: none"> c) Proactive (rather than reactive) direction of where investment should be focused. d) Enhanced reputation and increased recognition for the Council’s investment. e) Capture of social value and impact at a strategic level. f) Continuation of high quality services that meet local needs and which, if not provided, would be a significant cost to the Council, society, communities and individuals. g) Administration is efficient and resources deployed effectively
<p>2. List the main activities of the Service, Strategy, Policy, Practice or Procedure.</p>	<ul style="list-style-type: none"> 1.1 Reviewing the effectiveness of where the funding is allocated 1.2 Reviewing application processes and internal sign off procedures 1.3 Evaluating the needs of the district in order to make the grant programme more responsive and support those most in need 1.4 Increasing clarity, transparency and communication relating to the grant process

Using the table below identify who is affected by the Service, Strategy, Policy, Project, Practice or Procedure and decide if

- (1) they benefit from it or are disadvantaged or discriminated against by it,
- (2) it is promoting equality of opportunity or participation in public life, and
- (3) if it is promoting good relations with other groups.

Give brief reasons and the evidence for your decision.

N.B. You MUST have evidence or good reasons to justify your decision. Usually this will take the form of equality monitoring information on who uses a service or is affected by a policy. If you do not have monitoring information – or do, but don't analyse it – then it is unlikely that you can complete this stage now unless you can find other evidence or good reasons to support your judgement e.g. research or Equality Assessments undertaken by other agencies. Discuss this with the Equality Adviser and agree a way forward.

'+VE' = Positive impact '-VE' = negative impact 'N/A' = Not Applicable

Covering note:

The corporate grant process provides financial support for voluntary and community organisations who provide a wide range of services for their users. Organisations which apply for funding include – for example - arts, heritage and leisure providers which are open to everyone. They also include organisations which provide practical help for the most vulnerable residents of the Winchester District, such as those living with dementia or families living in chaotic circumstances. Because they are all very different in nature it is not possible to make direct comparisons about the relative value of the services that are best able to help deliver the outcomes of the Council Strategy for the District and the potential target outcomes we have identified through our community profiling exercise.

Considerations**Q. How reliable is the monitoring data for equalities reporting produced by the applicant organisations?**

The grant application form asks for information about any groups named under Equalities Law that the applicant organisation particularly seeks to work with. This is often not relevant because applicant organisations are 'open to all' and hesitate to ask people for equalities profiling information, or do not have the means/opportunity to do this.

Q What guidance and support would we provide to organisations applying for funding?

Clear guidance will be provided throughout the process, both for existing applicants and for new applicant organisations.

Community First have actively targeted groups representing minorities in the District, and it has been particularly active in the rural parts of the District where reach has traditionally been more difficult. Community First also provide online 'chat' support and webinars for those who are less able to travel and wish to access their services out of hours.

PROTECTED CHARACTERISTIC	SUB-GROUP	DISCRIMINATION & DISADVANTAGE			PROMOTING EQUALITY & PARTICIPATION			PROMOTING GOOD RELATIONS			REASONING & EVIDENCE
		+VE	-VE	N/A	YES	No	N/A	YES	NO	N/A	
SEX (GENDER)	Women			✓	✓			✓			Some organisations do deliver targeted services for women and men but any impact is generally incidental to the wider, funded service.
	Men			✓	✓			✓			
AGE YOU MAY ALTER AGE RANGES IF APPROPRIATE	Over 80	✓			✓			✓			Taken together, the voluntary organisations serve all ages - either as service beneficiaries, or by providing jobs/volunteering opportunities.
	Over 60	✓			✓			✓			
	22-59	✓			✓			✓			
	16 to 21	✓			✓			✓			
	Under 16	✓			✓			✓			
RACE YOU MAY NEED MORE DETAIL HERE E.G. A SPECIFIC ETHNIC GROUP	White British People	✓			✓			✓			As a result of its demographic profile, Winchester's population tends to be white British and therefore the largest number of beneficiaries from the grants will tend to be white British.
	White European or Other White People			✓			✓			✓	The Council does not support any voluntary organisation that is not open to people from other racial backgrounds. All must have an equality policy in place in order to apply for funding. The existence of these organisations therefore promotes equality, inclusion and participation but not in a targeted way and the greatest impacts will
	Irish People			✓			✓			✓	
	Black or Black British People			✓			✓			✓	
	Asian or Asian			✓			✓			✓	

PROTECTED CHARACTERISTIC	SUB-GROUP	DISCRIMINATION & DISADVANTAGE			PROMOTING EQUALITY & PARTICIPATION			PROMOTING GOOD RELATIONS			REASONING & EVIDENCE
		+VE	-VE	N/A	YES	No	N/A	YES	NO	N/A	
	British People										therefore be among white British residents as above.
	Chinese or Chinese British People			✓			✓			✓	
	Mixed Race People			✓			✓			✓	As above
	Gypsies/Travellers			✓			✓			✓	
	People from other minority ethnic groups			✓			✓			✓	
DISABILITY & HEALTH YOU MAY NEED MORE DETAIL HERE E.G. TYPE OF SENSORY IMPAIRMENT	Physical Impairment			✓			✓			✓	The same as below
	Sensory Impairment			✓			✓			✓	
	Long-Term Health Problem	✓			✓			✓			The Council's grants programme supports voluntary organisations which provide services for people from these groups
	Mental Illness	✓			✓			✓			
	Learning Disability	✓			✓			✓			
SEXUAL ORIENTATION	Lesbians			✓			✓			✓	The Council's grant programme has not in recent years supported voluntary organistaions providing services for people from these groups because there have been no applications for funding
	Gay Men			✓			✓			✓	
	Bisexuals			✓			✓			✓	
RELIGION & BELIEF YOU MAY NEED	Faith Groups			✓			✓			✓	The Council's grants programme has not in recent years supported voluntary organistaions providing services for people from these
	Atheist, Agnostic			✓			✓			✓	

PROTECTED CHARACTERISTIC	SUB-GROUP	DISCRIMINATION & DISADVANTAGE			PROMOTING EQUALITY & PARTICIPATION			PROMOTING GOOD RELATIONS			REASONING & EVIDENCE
		+VE	-VE	N/A	YES	No	N/A	YES	NO	N/A	
MORE DETAIL HERE E.G. A SPECIFIC FAITH/BELIEF	or Other belief										groups because grants are not available to deliver mission-based services
TRANSGENDER				✓			✓			✓	The Council's grants programme has in recent years supported voluntary organistaions providing services for people from these groups
MARRIAGE & CIVIL PARTNERSHIP	Married			✓			✓			✓	No direct impact on these groups
	Civil Partners			✓			✓			✓	
PREGNANCY & MATERNITY	Pregnant	✓			✓			✓			Pre- and post-natal support services provided through outreach services.
	On Maternity Leave	✓			✓			✓			See above
OTHER YOU MAY ADD ADDITIONAL GROUPS HERE.	Poor Literacy &/or Numeracy	✓			✓			✓			The Council's grants programme supports voluntary organisations which provide services for people from these groups
	Unemployed	✓			✓			✓			
	Living in rural area	✓			✓			✓			
	Low Income	✓			✓			✓			
	On Benefits	✓			✓			✓			
	Caring Responsibilities	✓			✓			✓			

Now answer the following questions. The key findings should be included in any report to decision-makers and used to produce a short report on the Equality Assessment for publication. This should include any new equality information you have gathered and details of any consultations or other forms of engagement with individuals or groups of people with protected characteristics. N.B. It is a legal requirement to publish this information.

Page 44

<p>4. Have you identified any impact(s) on any group(s)?</p>	<p>YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> <i>Summarise nature of any impact(s) – positive or negative - and what can be done to avoid or mitigate negative impacts.</i></p> <p>The new review has been designed to eliminate inconsistencies in the funding programme, to reduce bureaucracy, increase transparency and to bring clarity and equity to the process.</p> <p>However, officers believe from recent experience that a change to funding can trigger significant improvements to an organisation’s business operation which will have a more positive long term impact for its service users than simply maintaining the status quo in the short term.</p>
<p>5. Is the Service, Strategy, Policy, Project, Practice or Procedure promoting equality of opportunity and/or participation in public life for any group(s)?</p>	<p>Not Applicable <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p> <p>The grants process is designed and implemented in a way that seeks to promote equality of opportunity.</p> <p>There is potentially more that could be done to target specifically groups that are currently under-represented</p>
<p>6. Can it be improved to do so?</p>	<p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> <i>Explain</i></p> <p>Yes. Working with our commissioned voluntary sector support agency, Community First, we can target new groups, offer dedicated training to support grant applications,</p>

<p>7. Is the Service, Strategy, Policy, Project, Practice or Procedure promoting good relations for any group(s)?</p>	<p>Not Applicable [] YES [<input checked="" type="checkbox"/>] NO []</p> <p>Yes, the programme supports organisations that work with a number of the groups – e.g. vulnerable young people; people with learning difficulties; older people; those in financial distress etc.</p>
<p>8. Have you gathered any new equality information during this assessment?</p>	<p>YES [] NO [<input checked="" type="checkbox"/>]</p> <p>Simple statistics have been collated with regards to the profiling of our communities and their needs.</p>
<p>9. Have you undertaken any consultation/engagement work during this assessment?</p>	<p><input checked="" type="checkbox"/> YES [<input checked="" type="checkbox"/>] NO []</p> <p>Consultation has not taken place with regard to this assessment, however the review process did engage with the following:</p> <ul style="list-style-type: none"> Member observers Senior Officers Grant recipients Core funded organisations Parish Councils City Councillors

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Appendix 2 Engagements and lessons learned

Core funded partners – face to face meetings on site.

Completed:

- Trinity Winchester
- Winchester Live Theatre Trust
- Unit 12
- Winchester Churches Nightshelter
- The Carroll Centre
- Citizens Advice

Core funded non -partner workshop - attended by:

- Home Start Hampshire
- Winchester & District Young Carers
- Live at Home
- Street Reach
- Home Start Winchester
- Winchester Youth Counselling
- Blue Apple
- Winnall Rock Scholl

Corporate meetings held with officers

- Business rates

Economic development

- Environment services
- Housing
- Community Development
- Finance & Town Forum Members

- Hampshire Council County - community grants lead
- Crowdfund platform provider
- Online survey to all Ward Councillors and Parish Councils

Summary of lessons learned

Funding	Process	Communication
Core funded - Partner Organisations		
<ul style="list-style-type: none"> Value the core funds as no other grants support this element. Lever additional funds by having the Council “backing”. Enables the organisations to concentrate on the people and not spend time fund raising. About being able to become sustainable – given the time to do so 	<ul style="list-style-type: none"> Want longer agreement for stability and planning. Sometimes it may not be possible to deliver on the exact way set out in the grant – due to changes / unplanned events etc. Need to be able to flexi and make changes during the grant period. Do not report on the whole business – only what is in the agreement so missing the leverage effect of the full delivery. Consistency and support creates partnership. Partnership with aligned objectives. 	<ul style="list-style-type: none"> Proud to be a partner. Members need to celebrate the outcomes. Hold a workshop on what could be done / not just what has happened. WCC should better celebrate the outcomes as our successes. Communication is key. Cllr support has been very much appreciated and welcomed – also in role of approaching to offer help. Advocacy to others is important.
Core funded – Other Organisations (smaller)		
As above	<ul style="list-style-type: none"> Level of monitoring is quite high for value of grant – annual report would be good approach. Lottery is a good practice example. Delivery is constrained by tying to meet Council objectives rather than what the service needs are. Would be better to co-design the outcomes and would give better understanding of the business. Organisations are not able to tell the Council about emerging issues or feedback on other activities / issues – this should be built into the monitoring process. 	<ul style="list-style-type: none"> Meeting face to face is a benefit and enable the organisation to highlight what else has been achieved and what else could be done. An exchange of ideas. Organisations are not aware of the range of services or organisations the Council supports / delivers to see where activities would complement No networks anymore and a much reduced number of agencies to make referrals. Interested in a network being established.
Members		
<ul style="list-style-type: none"> Consider local grant events one in each Parish – as a promotion and for organisations to bid for the money on the day – “the great grant give-away”. 	<ul style="list-style-type: none"> Single application for City Council – remove duplication of Town Forum applications. Finance – confirm the appropriate risk / due diligence threshold. Need a mechanism to respond to local / unplanned requests for project support – that is simple, fair, transparent etc. 	<ul style="list-style-type: none"> Produce an Annual Report – to demonstrate the range of clients helped, their spread across the district and the impacts and outcomes achieved in comparison across organisations. have an annual celebration event that showcases what the Council has supported and what organisations have achieved – awards

Funding	Process	Communication
Officers		
<p>Link grants to new Council housing schemes – supporting local projects in the community.</p> <p>Business rates relief is an effective way to offer grant as Council contribution is 40% - Could also look to be more targeted in the range of reliefs offered to support policy priorities.</p>	<ul style="list-style-type: none"> • There is not stated a policy on the level of reserves required or which is appropriate (or too much). • Although current grant programme has a cap of no more than twelve months. • Process and policies – more guidance to staff. • Commonly understood definition of grant and commissioning • Business rates relief application should be on online. 	<ul style="list-style-type: none"> • Relationship to remain with lead officer / team. • Mechanism for centrally collecting information, reporting and providing oversight. • Business rates scheme is not proactively promoted.

Summary of Councillor and Parish Council survey

1. All responses stated that they have an active voluntary and community sector in their community.
2. In response to the issues they address and who they support, the general response was that a variety of groups within each community were supported, particularly the elderly and the young, but generally meeting the needs of the particular area.
3. 13 out of 18 responses said that an activity or service had been stopped that was beneficial to the local community. Lack of volunteers/support and funding appear to be the main factors causing activities to cease. A few responses mentioned the cost of insurances and safety requirements being too much for certain activities.
4. In terms of issues that need resolving in each community, there were several themes such as:
 - a. A lack of community spirit – it was suggested that this seems to be more evident in areas with new housing and younger families who are mostly not interested in volunteering or being as involved in the local community as the older generation who are becoming increasingly limited in their ability and mobility.
 - b. Community activities that are able to cover the wide range of age groups and needs within a community.
 - c. Some specific issues regarding speed limits and traffic calming measures.
 - d. Lack of sufficient regular public transport also seemed to be a recurring theme.
 - e. A few responses requested a look at funding for the repair or expansion of village halls/community centres, and help with making them viable (e.g. Winnall community centre).

5. There is general consensus that Parish Council meetings are good for providing evidence of the above issues.
6. Responses related to signposting the Council to statistics on issues in specific areas were mixed and quite vague. Using police speed checks and SLR readings was suggested. Parish plan updates were mentioned as possibly containing more detail on a specific area and its issues. There were many suggestions to access deprivation data (especially in areas such as Winnall), NHS statistics, or any specific statistics that demonstrate the changing sociodemographic of the Winchester district. Mental and general wellbeing for health statistics would be useful for supporting activities.
7. In terms of being aware of the support available for communities to empower themselves, 8 out of 18 said they didn't know where to go for support. A few knew where to go but didn't feel that was helpful. One Parish Council was very pleased with the support received from their WCC councillor.
8. 7 out of 18 responses said they did know that there is a funding search tool (www.idoxopen4community.co.uk/winchester) on the Council's website.
9. 10 out of 18 responses said they were aware that there is a dedicated support service contracted by WCC and provided by Community First, but only 6 of them have used the service. 3 of those gave positive feedback and the other 3 didn't know or state if the help had been useful. (reason to use Community First as gateway)
10. 17 of the 18 responses were aware of the funding streams made available by the Council for communities to access.
11. When asked how best the grant scheme can help address community issues, many of the responses said that grants were helpful but publicity and advertising them was difficult, as well as a perceived lengthy process. A suggestion for more simplicity with regards to grants was made.
12. In terms of how to make the grant scheme more effective, simplicity, publicity, advertising and information from the Council were suggested. Site visits were also suggested as a good idea.
13. 5 out of 18 use the WCC website to find out about grants available from the Council. Many said they found out by asking or only when told. One response described the grant system as open and informative and headed up by a good team. A few are informed via the Parish Clerk.
14. 12 out of 18 actively promote the grants in their ward. Of those that said no, many said they would like more information with suggestions of information that could go into parish magazines or on social media. Regular updates to Parish Clerks were also suggested and one response asked for more direct contact from officer.
15. In response to what communication they would like to receive about the different grants the Council awards, there were the following suggestions:
 - a) A grant section update at the end of the weekly DSU.
 - b) Direct emails to Ward Councillors.
 - c) Regular updates to Parish Clerks and direct information to Parish Council.
 - d) For Councillors to be more informed.

Current community grant funding profile

Core Partners

Live Theatre Winchester Trust	£188,000
Citizens Advice Bureau	£168,000
Winchester Churches Nightshelter	£14,200
Trinity	£85,000
Unit 12	£16,000
Carroll Centre	£11,000
Home Start MV	£9,000
Home Start WD	£8,300
Age UK mid hants	£6,500
Live at home	£6,500
Youth Counselling	£6,000
Winnall Rock School	£6,000
Street Reach	£5,500
Blue apple	£5,500
WD Young Carers	£4,000
Total - Core	£539,500

Funding Types Definitions

Source: Guidance: Government Functional Standards for General Grants, July 2018, Cabinet Office.

As referenced in the Civil Society paper, the recently published Government guidance for departments for creating and issuing grants, helpfully defines the different forms of award:

Competitive: all general grants should undergo a competition process by default, except where a Direct Award can be justified. Examples of Competed Awards:

- **full competition:** where organisations compete against each other for a single grant, in response to a published advert and pre-published award criteria; or
- **challenge fund:** where applicants compete against pre-published criteria for portions of a pot of funding, which has been earmarked for a particular purpose and where repeat bids are permitted.

Direct Award: in some circumstances, a grant may be awarded without competition.

Examples include:

- awarding a grant to an organisation that is the only provider of the service that the grant is being set up to fund;
- awarding a grant to an organisation which inhabits a unique position or offers a particularly specialist function;
- awarding a grant to an organisation which has a track record of excellence in a particular area;
- if the value of the grant is low and the cost of approaching the market through a competition would exceed the benefit to be gained from competition between suppliers;
- there is extreme urgency, where such urgency was not foreseeable and was not as a result of any action or inaction on the part of the grant award department; or
- in the event of market failure.

Criteria Grants: these grants are usually not competed, as they are created with set qualifying criteria. As long as the applicant meets the required criteria, the recipient receives the funding, e.g. grants to assist those affected by flooding.

REPORT TITLE: ANNUAL REPORT: LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN 2017/18

15 OCTOBER 2018

REPORT OF PORTFOLIO HOLDER: CLLR GODFREY – PORTFOLIO HOLDER FOR PROFESSIONAL SERVICES

Contact Officer: Joseph Holmes Tel No: 01962 848 220 Email jholmes@winchester.gov.uk

WARD(S): ALL

PURPOSE

This report provides details on the complaints and enquiries received by the Local Government and Social Care Ombudsman (LGSCO) during 2017/18, and the conclusions reached following their investigations.

Information specific to individual authorities, including complaints referred to the Ombudsman, as well as the publication of the Ombudsman decision and decision statements, by category or authority, can be found on the LGSCO website; www.lgo.org.uk.

RECOMMENDATIONS:

1. That the report be noted.

IMPLICATIONS:

1 COUNCIL STRATEGY OUTCOME

- 1.1 The Council is focussed on the services that it provides and improving standards so that they can meet the expectations of its customers. Enhanced information and learning from complaints and their causes supports the Council to achieve this core principle underpinning the delivery of the Council Strategy.

2 FINANCIAL IMPLICATIONS

- 2.1 None directly arising from this report.

3 LEGAL AND PROCUREMENT IMPLICATIONS

- 3.1 None directly in this report

4 WORKFORCE IMPLICATIONS

- 4.1 None directly

5 PROPERTY AND ASSET IMPLICATIONS

- 5.1 None

6 CONSULTATION AND COMMUNICATION

- 6.1 Feedback from those who use the Council's services is an important part of continual improvement. The Council has a two stage complaints process, where issues may be raised with the relevant Head of Service in the first instance and followed up by the Chief Executive. If the customer is still dissatisfied with the response provided, they may refer the issue to the Local Government and Social Care Ombudsman (LGSCO).

7 ENVIRONMENTAL CONSIDERATIONS

- 7.1 None.

8 EQUALITY IMPACT ASSESSEMENT

- 8.1 None.

9 DATA PROTECTION IMPACT ASSESSMENT

- 9.1 None.

10 RISK MANAGEMENT

Risk	Mitigation	Opportunities
<i>Property - none</i>		
<i>Community Support – significant numbers of complaints can indicate concerns from the community and a lack of community support for the Council.</i>	Regular monitoring and reporting of the types and numbers of complaints the Council receives.	
<i>Timescales – Delays in responding to complaints can lead to adverse publicity and reputational damage.</i>	Regular monitoring of complaints and the time taken to respond ensures that the Council is responsive to the complaints it receives.	Learning from complaints can enable the Council to develop services ensuring that it remains customer focussed
<i>Project Capacity – none.</i>		
<i>Financial / VFM – cost of investigating and responding to complaints.</i>	Proper recording and monitoring of complaints ensures the Council is alerted to trends before they escalate.	Complaints provide the opportunity to develop or enhance services where appropriate
<i>Legal – none</i>		
<i>Innovation - none</i>		
<i>Reputation – significant numbers of complaints can lead to reputational damage and adverse publicity</i>	Regular monitoring and reporting of the types of complaints the Council receives.	
<i>Government Changes - none</i>		

11 SUPPORTING INFORMATION:

Annual Report of the Local Government and Social Care Ombudsman

- 11.1 The Local Government and Social Care Ombudsman are the final stage for complaints about councils', all adult social care providers (including care homes and home care agencies) and some other organisations providing local public services.
- 11.2 Annually, the Ombudsman provides each local authority with an Annual Review Letter and summary of the statistics on the complaints received by the LGSCO about the council.

- 11.3 The tables below show the number of enquiries and complaints made to the LGSCO that were settled during the year ending 31 March 2018. Figures for 2016/17 are shown in brackets alongside the 2017/18 figures.
- 11.4 When considering these figures, it should be noted that in particular the figures include a number of general enquiries to the Ombudsman, some by telephone where the Ombudsman has been able to give advice without the need for any actual investigation. These enquiries are often received and decided or responded to on the same day; however, they are still classified as decisions.
- 11.5 These enquiries are often made to the Ombudsman without the knowledge of the Council and therefore the Council's records do not match those of the Ombudsman. For this reason, it has not been possible to reconcile the two sets of records.
- 11.6 An upheld complaint is one where the Ombudsman decided that an authority has been at fault in how it acted, and that this fault may or may not have caused an injustice to the complainant, or where an authority has accepted that it needs to remedy the complaint before the LGO make a finding on fault. If the Council has decided that there was fault and it caused an injustice to the complainant, usually the Ombudsman will have recommended that the authority take some action to address it.
- 11.7 Complaints and enquiries received by the LGSCO by service area

LGSCO – Local Authority Report – Winchester City Council
For the year ending 31 March 2018 (2016/17 figures in brackets)

Benefits and Tax	Corporate and other services	Highways and transport	Housing	Planning and development	Total
4 (1)	1 (2)	4 (0)	6 (0)	5 (7)	20 (10)

Decisions Made

Detailed investigations carried out							
Upheld	Not Upheld	Advice Given	Closed after initial enquiries	Incomplete / Invalid	Referred back for local resolution	Total	
1 (0)	1 (4)	2 (0)	3 (5)	2 (0)	11 (3)	20 (12)	

Complaints Remedied

By LGO	Satisfactorily by LA before LGO involvement
1	0

The number of remedied complaints may not equal the number of upheld complaints. This is because, although the LGO may uphold a complaint because they found fault, they may not always find grounds to say that fault caused an injustice that ought to be remedied.

- 11.8 There was one case upheld by the Ombudsman during 2017/18 which related to a complaint where the Council gave a consultee an incorrect date to respond to the consultation on a planning application. This denied the complainant the opportunity to comment on the application and the Council delayed responding to contact from the consultee. To the satisfaction of the LGO, the Council apologised and made a payment of £100 to the complainant.
- 11.9 Although there has been an increase in the number of complaints made to the LGSCO during 2017/18 when compared to 2016/17, this should not be seen as an indication of the quality of the Council's performance. The most significant statistic is the number of upheld complaints and this continues to be very low.
- 11.10 The Council reports regularly on the volume of complaints that it receives as one of the performance measures in the quarterly Finance and Performance report that is presented to this Committee and Cabinet.

12 OTHER OPTIONS CONSIDERED AND REJECTED

12.1 None.

BACKGROUND DOCUMENTS:-

Previous Committee Reports:-

[OS175](#) – Annual Report Local Government and Social Care Ombudsman 2016-17

Other Background Documents:-

None.

APPENDICES:

Appendix 1 Local Government & Social Care Ombudsman Annual Review Letter 2018

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Local Government & Social Care OMBUDSMAN

18 July 2018

By email

Laura Taylor
Chief Executive
Winchester City Council

Dear Laura Taylor,

Annual Review letter 2018

I write to you with our annual summary of statistics on the complaints made to the Local Government and Social Care Ombudsman (LGSCO) about your authority for the year ended 31 March 2018. The enclosed tables present the number of complaints and enquiries received about your authority and the decisions we made during the period. I hope this information will prove helpful in assessing your authority's performance in handling complaints.

Complaint statistics

In providing these statistics, I would stress that the volume of complaints does not, in itself, indicate the quality of the council's performance. High volumes of complaints can be a sign of an open, learning organisation, as well as sometimes being an early warning of wider problems. Low complaint volumes can be a worrying sign that an organisation is not alive to user feedback, rather than always being an indicator that all is well. So, I would encourage you to use these figures as the start of a conversation, rather than an absolute measure of corporate health. One of the most significant statistics attached is the number of upheld complaints. This shows how frequently we find fault with the council when we investigate. Equally importantly, we also give a figure for the number of cases where we decided your authority had offered a satisfactory remedy during the local complaints process. Both figures provide important insights.

I want to emphasise the statistics in this letter reflect the data we hold, and may not necessarily align with the data your authority holds. For example, our numbers include enquiries from people we signpost back to the authority, some of whom may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website, alongside an annual review of local government complaints. The aim of this is to be transparent and provide information that aids the scrutiny of local services.

Future development of annual review letters

Last year, we highlighted our plans to move away from a simplistic focus on complaint volumes and instead turn focus onto the lessons that can be learned and the wider improvements we can achieve through our recommendations to improve services for the many. We have produced a new corporate strategy for 2018-21 which commits us to more comprehensively publish information about the outcomes of our investigations and the occasions our recommendations result in improvements to local services.

We will be providing this broader range of data for the first time in next year's letters, as well as creating an interactive map of local authority performance on our website. We believe this will lead to improved transparency of our work, as well as providing increased recognition to the improvements councils have agreed to make following our interventions. We will therefore be seeking views from councils on the future format of our annual letters early next year.

Supporting local scrutiny

One of the purposes of our annual letters to councils is to help ensure learning from complaints informs scrutiny at the local level. Sharing the learning from our investigations and supporting the democratic scrutiny of public services continues to be one of our key priorities. We have created a dedicated section of our website which contains a host of information to help scrutiny committees and councillors to hold their authority to account – complaints data, decision statements, public interest reports, focus reports and scrutiny questions. This can be found at www.lgo.org.uk/scrutiny I would be grateful if you could encourage your elected members and scrutiny committees to make use of these resources.

Learning from complaints to improve services

We share the issues we see in our investigations to help councils learn from the issues others have experienced and avoid making the same mistakes. We do this through the reports and other resources we publish. Over the last year, we have seen examples of councils adopting a positive attitude towards complaints and working constructively with us to remedy injustices and take on board the learning from our cases. In one great example, a county council has seized the opportunity to entirely redesign how its occupational therapists work with all of its districts, to improve partnership working and increase transparency for the public. This originated from a single complaint. This is the sort of culture we all benefit from – one that takes the learning from complaints and uses it to improve services.

Complaint handling training

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. In 2017-18 we delivered 58 courses, training more than 800 people. We also set up a network of council link officers to promote and share best practice in complaint handling, and hosted a series of seminars for that group. To find out more visit www.lgo.org.uk/training.

Yours sincerely,



Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Local Authority Report: Winchester City Council
For the Period Ending: 31/03/2018

For further information on how to interpret our statistics, please visit our website:
<http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
0	4	1	0	0	4	6	5	0	20

Page 10

Decisions made

				Detailed Investigations			
Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Not Upheld	Upheld	Uphold Rate	Total
2	2	11	3	1	1	50%	20

Notes

Our uphold rate is calculated in relation to the total number of detailed investigations.
 The number of remedied complaints may not equal the number of upheld complaints. This is because, while we may uphold a complaint because we find fault, we may not always find grounds to say that fault caused injustice that ought to be remedied.

Complaints Remedied

by LGO	Satisfactorily by Authority before LGO Involvement
1	0

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