

Section 106 Process Review & Improvement November 2022

Prepared and presented by:
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Cyngor **Abertawe**
Swansea Council

Agenda

- The Commercial Development Team
- Introduction to Section 106
- Section 106 Process Review & Improvement
- Driving forward commercialism and development
- Other key projects

The Commercial Development Team

- The Commercial Development Team was introduced to Swansea Council to drive forward commercialism, assist sections with commercial ideas and to generate income.
- The team comprises of four members: a Commercial Manager, two Commercial Development Officers and a Commercial Coordinator.
- The team sits alongside Procurement, both of which falling under the Head of Commercial Services, charged with development and implementation of Swansea's strategy.
- The team works alongside colleagues from other sections of the Council to develop new income generation or savings ideas.
- The team acts as the driver behind projects from the initial meetings, preparation of discussion documents, seeking sign off for final business cases by relevant Heads of Service and Cabinet Members through to the implementation of the project itself.
- The Commercial Development Team was engaged by colleagues in Planning, to assist with driving forward a new project focussed on the review and improvement of the S106 process.

Introduction to Section 106

- Section 106 of the Town and Country Planning Act 1990 (as amended 1991) enables local authorities to negotiate as part of the planning application process with Developers, certain works, restrictions, or contributions towards a range of infrastructure and services, such as community facilities, public open space, transport improvements and/or affordable housing.
- The agreements are a valuable mechanism for mitigating particular impacts arising from a development proposal and bring developments in line with the objectives of sustainable development, as articulated through relevant local, regional, and national planning policies.
- The Commercial Development Team was engaged to drive forward the review and improvement of the S106 process. A Steering Group was created including colleagues from:
 - Commercial Development Team
 - Planning
 - Finance
 - Highways & Transportation
 - Education
 - Parks
- The focus of the Steering Group is the implementation of a new database to record details of the agreements, including trigger points and improve the financial tracking of funds due and received relating to Section 106 agreements.
- An IT Consultant has created a new spreadsheet database to record all S106 agreements, obligations, trigger points, invoices raised and paid, funds held and their status.
- The spreadsheet also records the Affordable Housing breakdown and hectarage.

S106 Process Review & Improvement

- Commercial Services are driving forward process and database improvements for Section 106s.
- Monthly Steering Group meetings held to update on progress and make key decisions.
- A new, centralised, SharePoint area has been created for all stakeholders to access, view and update the status of each S106.
 - Each S106 has a specific folder where all documentation is saved, including the S106 agreement, invoices, financial request forms, legal agreements etc.
 - All stakeholders can access all information relating to each S106 in one place.
 - Functionality of SharePoint maximised by adding “metadata” to each folder to strengthen search functionality and support the diverse range of search details used by each Service Area.
- A new comprehensive spreadsheet database has been created with a Consultant to capture all Section 106s from previous 10 years and all new ones going forward.
 - Trigger points and clawback periods are calculated and visible to all stakeholders.
 - Improved Audit trail – funds received, where the funds are held, spend details etc.
 - Reports can be pulled in relation to outstanding funds / received funds for Highways, Parks, Education etc.
 - Summary page provides a snapshot of the status in terms of funds received / spent, dwellings built / occupied etc.
- A pro-active invoice process has been implemented, and all details are recorded on the new database.

Database Example

Trigger Status	Raise Invoice	Invoice Number	Inv Date	Inv Due Date	Officer	Invoice Paid/Unpaid	Indexation Type	Indexation Amt	Total Invoice Amt	Account Received Code	Date Received	Repayment	Repayment Date	Repayment Status	Acc In Type
Trigger Met		60358022	31/08/2021	30/09/2021	Joanne Smith	Paid	Retail Price Index	19,749.00	179,749.00	Invoiced to 01.915.91001.960511.E2379.000000.00000	15/09/2021	Yes	15/09/2026	1405	Capital
Trigger Met		60317270	26/06/2019	26/07/2019	Joanne Smith	Paid	Retail Price Index	1,375.00	36,375.00	Invoiced to 01.915.91001.960511.E2320.000000.00000	03/07/2019	Yes	03/07/2024	601	Capital
Trigger Met		60357859	24/08/2021	23/09/2021	Joanne Smith	Paid	Retail Price Index	987.00	8,987.00	Invoiced to 01.915.91001.960511.E2379.000000.00000	15/09/2021	Yes	15/09/2026	1405	Capital
Trigger Met		60270151	03/05/2017	02/06/2017	Frederick Wills	Paid	N/A	0.00	1,000.00	01.121.12006.800113.81583.000000.00000	06/06/2017	No	N/A	N/A	Legal Fees Budget Code
Trigger Met		60270151	03/05/2017	02/06/2017	Frederick Wills	Paid	N/A	0.00	3,360.00	01.251.25025.800001.80270.000000.00000	06/06/2017	No	N/A	N/A	Monitoring Fee Budget Code

The database captures and calculates key details:

- Trigger Met / Not Met
- Invoice Number
- Invoice Date
- Paid / Unpaid
- Indexation Amount
- Account Received code
- Date Received
- Repayment (Clawback) countdown – red, amber, green conditional formatting as visual aid
- Account held information
- Balance to date
- Spend to date
- Notes on spend

Driving forward commercialism and development.

The creation of a cross Council Steering Group has resulted in commercially focussed ideas.

- Involvement of Grant Funding:
 - Achieving better value for money with the S106 funds.
 - Grant Funding will be a key stakeholder at the negotiation stage of the S106 process.
 - Each S106 negotiation will be reviewed to establish if match funding is available to increase the amount of funding received for each S106.
- Introduction of an invoice process for all S106 obligations.
 - The responsibility to pay the funds (once triggers are met) lies with the Developer.
 - Swansea Council is taking a more proactive approach by issuing invoices, once the new database indicates that triggers are met.
 - This will improve the audit trail as it will remove manual payments made by Developers, replaced with invoices raised to the correct budget codes, for the correct amounts (particularly where calculation of indexation or interest is necessary).
 - This will also reduce the number of movements on the internal finance system.
- The Commercial Development Team's Relationship Building
 - Successfully built relationships across the Council.
 - Gained a wide understanding of the varied council functions, responsibilities, and processes.
 - These strengths have been applied to the project to bring together a diverse range of parties and facilitate constructive discussions about potential changes and improvements.
 - In some cases, S106s can be delayed. Councillors raise issues such as the appropriateness of the location / provision negotiated under the agreement.
 - The good working relationships with both Councillors and Developers can result in negotiations to amend S106 obligations through Deeds of Variation.

Other key projects

- **Outdoor advertising**
 - Roundabout Signage
 - Lamppost Banners
 - Exploring possibility for digital advertising boards
 - Exploring possibility for grass verge advertising
- **Indoor advertising**
 - Swansea City Bus Station
 - Digital departure gate screens, static poster sites, washroom poster sites
 - 3rd party digital screens at an agreed annual income for 10 years
 - Swansea Train Station
 - Digital screens
 - Multi Storey Car Parks
 - Pillar Wraps and Ramp Banners
 - 3rd party digital screens in 4 MSCPs at agreed annual income for 5 years
- **Income Fees & Charges Register – cross Council**
 - Review of existing fees and charges – annual basis
 - Introduction of new fees and charges
 - Paid for advice for new food businesses
 - Paid for Licensing advice
 - Paid for Pre-Planning advice from areas such as Highways, Parks, Education.
- **Covid Recovery Plans**



Thank you for listening.

Any questions?



Shaping Newport

APSE - 17TH November 2022

Laura Cansdale - Isle of Wight council

The Historic County Town of the Isle of Wight

- ▶ Commissioned by
- ▶ Isle of Wight Council Regeneration
- ▶ Newport and Carisbrooke Community Council
- ▶ Newport Business Association



Isle of Wight UNESCO Biosphere Reserve





Shaping Newport Action Plan Update

Here is a snapshot of projects that have happened in Newport since the pandemic...

Achievements

Objective	Action	
High Street Recovery	Pop Up Shops	✓ Complete
	Indoor/Outdoor Markets	✓ In Progress
	Pop Up Dining Areas	✓ Complete
High Street Heritage Action Zone	People First Zone	✓ In Progress
	Cultural Consortium	✓ In Progress
	Public Area Improvements	✓ In Progress
	Shop Frontages	✓ In Progress
Community Engagement	Garden Competition	✓ Complete
	Newport Harbour Events	✓ In Progress
	Art Installations	✓ Complete
Transport	Newport Parking Policy	Complete
	Car Free Day	✓ Complete
Greening Newport	Hanging Baskets	✓ Complete
Cultural Activities	Queen's Platinum Jubilee Event	✓ Complete

Actions

Objective	Action	Next Steps
High Street Recovery	Post Office	Ongoing Discussions to find a suitable location.
	High Street Landlord/Owners Forum	Continue to progress with consultant.
Community Engagement	Shaping Newport Survey	Undertake some community engagement activity to reassess priorities identified in the 2018 place plan.
	Town Trails	App to be finalised.
	Photo Competition	Launch competition.
Transport	Cycle Ways	Awaiting outcome of bids submitted.
	Cycle Parking	Ongoing investigation into suitable locations and funding opportunities.
	Bus Trips	Work with Southern Vectis to identify options & feasibility.

New arrivals - Food and drink offer



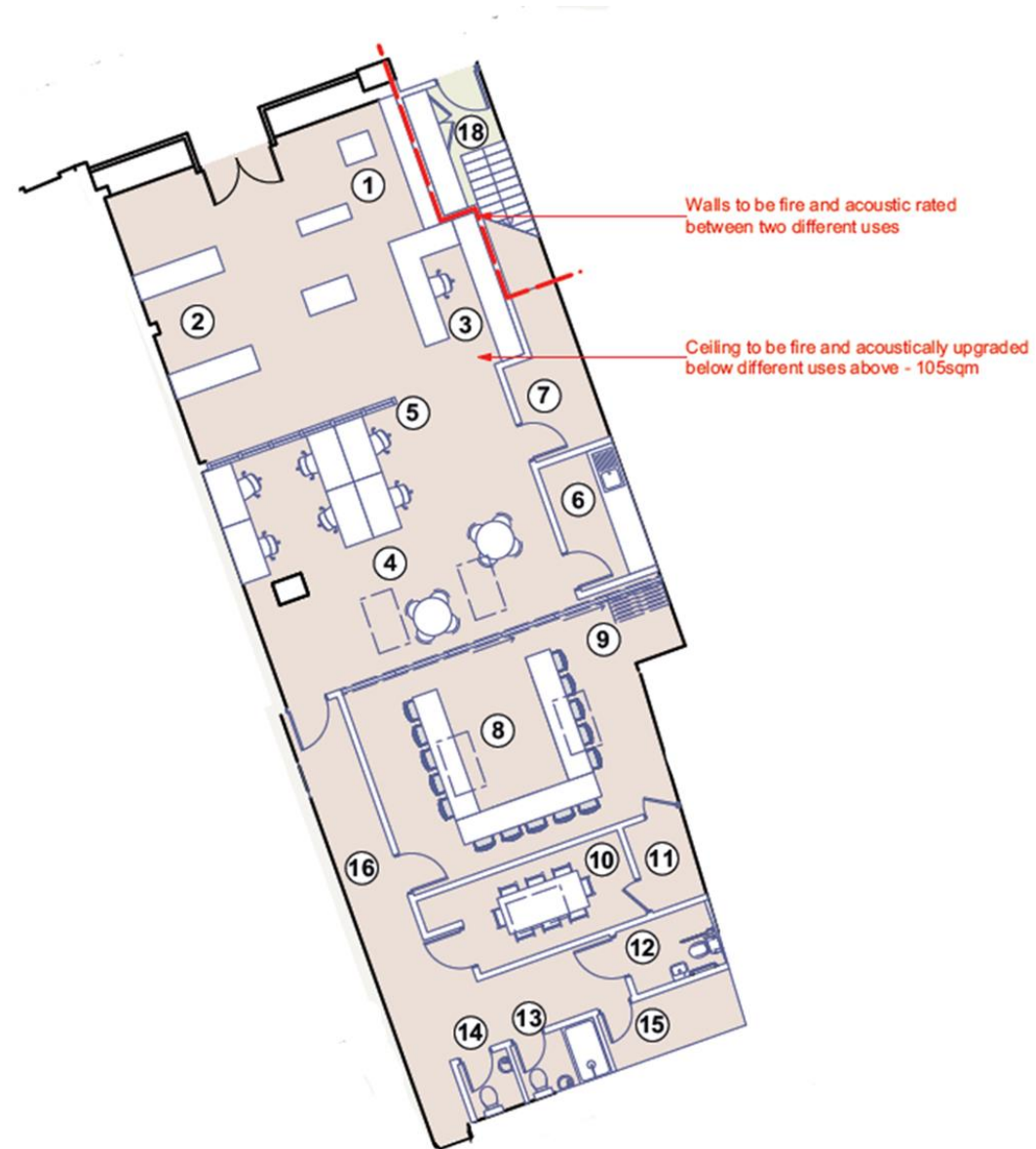
New arrivals - others



Coming soon ...

► Newport & Carisbrooke Community Council

► Platform 1



Coming soon ...

NHS Mental Health Hub



Independent Arts

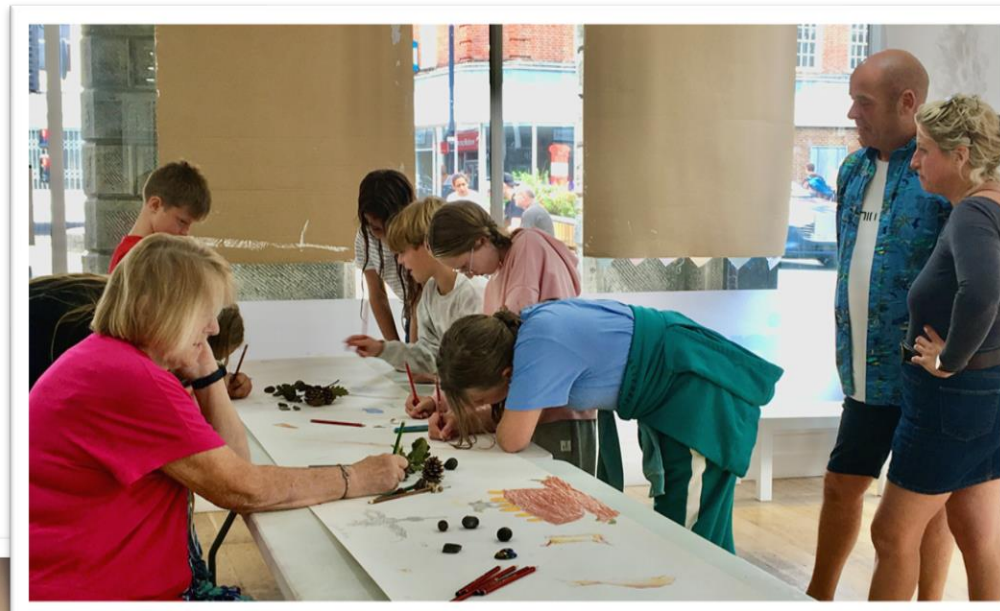
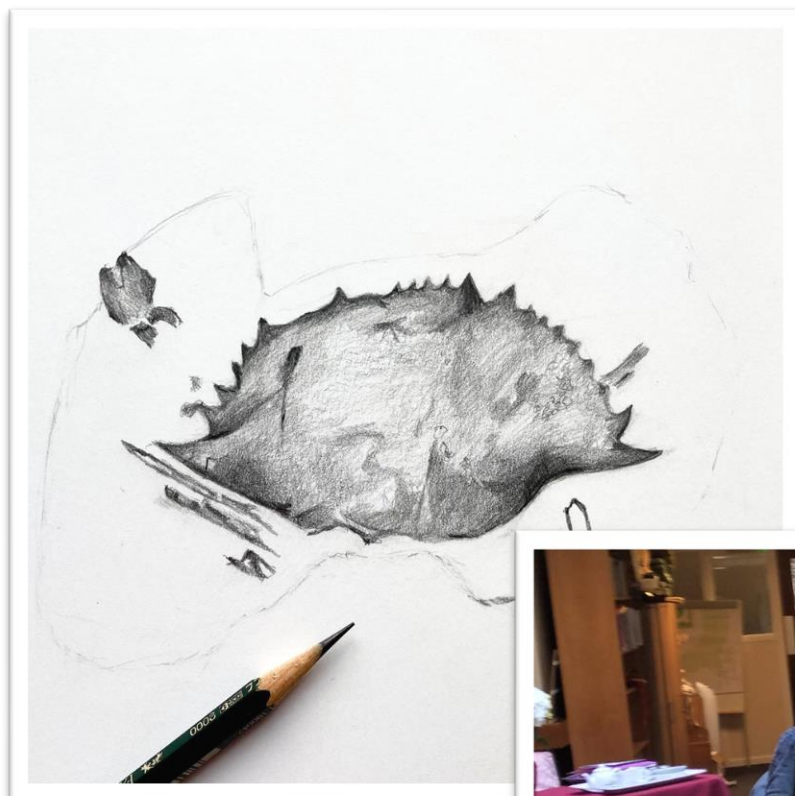
35
Years

ia independent
arts
Changing lives through arts

Changing lives through arts

Independent Arts is an Isle of Wight charity, established in 1987, using the arts to improve wellbeing, quality of life and to reduce social isolation.

Working with a wide range of age groups and demographics in the belief that art is for all stages of life.



The Creative Hub



Community Resilience Project



**Community
Action
Isle of Wight**
at the Riverside



**Community
Action
Isle of Wight**
at the Riverside

Community Resilience project

- A reduction in the negative impact of psychological trauma brought about by COVID-19 at the individual, interpersonal, community, and systems levels
- An increase in volunteering, particularly amongst people under the age of 50 and young people
- Community cohesion in three priority areas (Bay area, Newport Central and Cowes)
- Capacity and resilience skills within the voluntary sector and within communities as a whole
- Improved overall community resilience on the Isle of Wight.



**Community
Action
Isle of Wight**
at the Riverside

Newport Area Achievements

- ▶ Written Resilience Plan for Newport and Carisbrooke Community Council
- ▶ Funding applications
- ▶ Laptop initiative
- ▶ Events in Newport
- ▶ Distributing covid kits
- ▶ Training Citizen's Advice First Aiders and resilience training
- ▶ Signposting and partnership working

Notable Events - The Queen's Platinum Jubilee 2022

A successful application for funding for the Queen's Platinum Jubilee event on behalf of the Shaping Newport partnership.

£10,000 was awarded from The National Lottery Community Fund to deliver an event that brought the community together on the Saturday 4th June, and many local groups and organisations got involved to help deliver various aspects of the day including:

- Family activities and entertainment
- Performances
- Live art
- A stage showcasing local musicians and bands
- A grand parade



Notable Events - The Day of Christmas 2021

Building a community event in Newport to bring Christmas Festivities to the town centre

A celebratory event was arranged and organised in partnership with the Newport and Carisbrooke Community Council which brought entertainment, community activities and a Christmas market to the County town.

Volunteers were recruited to help put up and arrange the market, marshal the event and help to direct traffic and manage crowd safely.

The outcome was one of the biggest events that Newport has seen in recent history with extensive media coverage and very positive feedback.



Working in Partnership to coordinate resilience and positive outcomes in Newport

The resilience coordinator for Newport works with partnerships and organisations in Newport that are closely aligned with making positive change in the area. These include local organisations such as Independent Arts, Citizen's Advice Bureau, The Newport Minster, Music Craft CIC, Newport and Carisbrooke Community Council and many others. Here is an overview of a few main partnerships.



Shaping Newport is a place plan for Newport that aims to create mutually beneficial partnership ways of working between the Newport area, the local authorities, business, organisations and individuals.

Cultural Consortium for Newport

The Cultural Consortium for Newport is a group of not for profit organisations working together to bring arts, performance and other cultural activities to the Newport area. This group is creating and strengthening community resilience by providing free community activities and hubs such as the new Independent Arts hub on the High Street.



The Newport Business Association is a group of businesses with a shared aim to enhance the town's appeal to shoppers.

Recent projects have included:

- Installation of a new defibrillator on sea street
- Campaigning for free one hour parking
- Organising hanging baskets and planting in the town



Thank You..

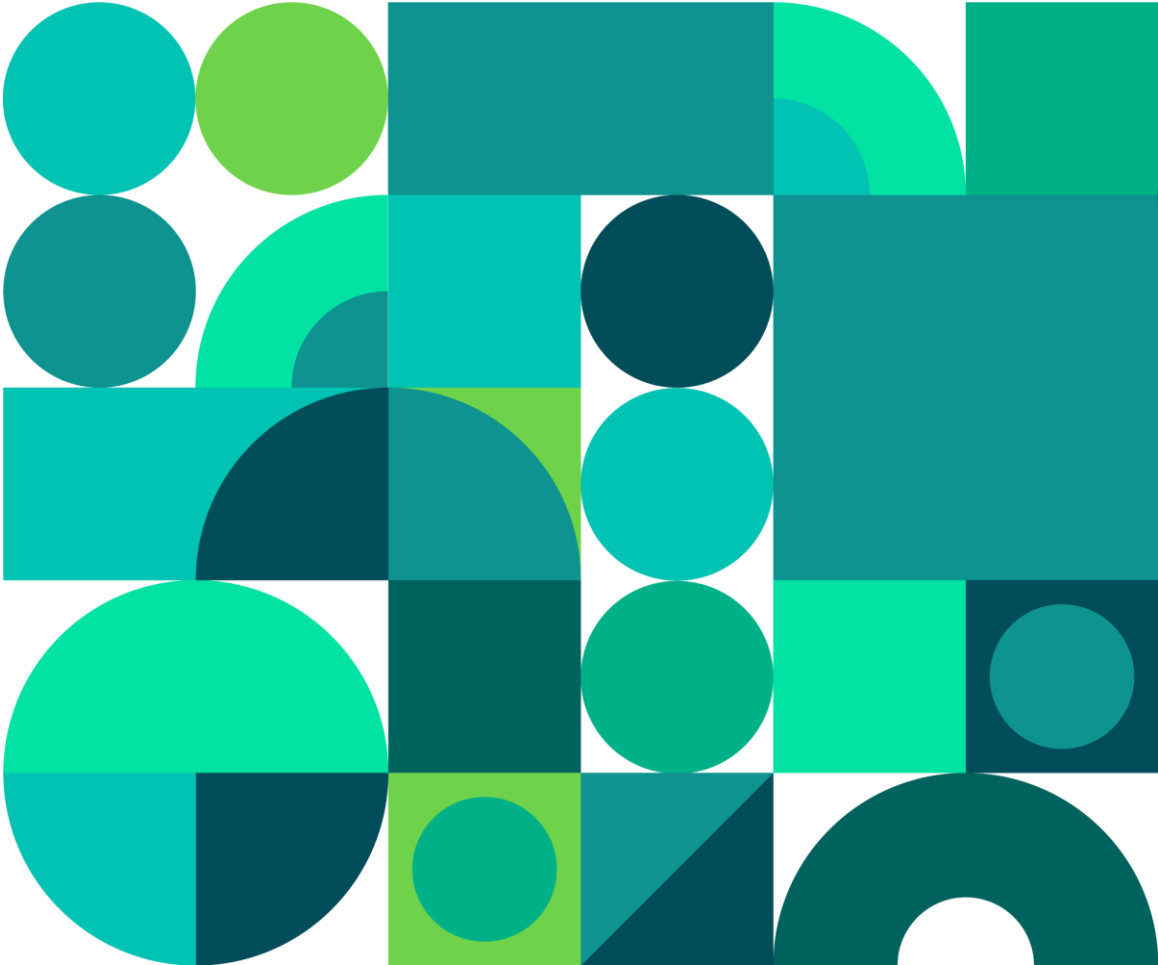
substance.

Chances Social Impact Bond

Journey so far

Sangita Patel,
Head of Programmes

November 2022



Agenda

- Background
- Chances - how does it work?
- Substance's role
- Performance & learning so far

Background...

- **evidence-based** sport and activity programme; 20 years of insight and learning, evaluations of hundreds of community-based sport projects
- embraces **influences from the sport, youth work and criminal justice sectors** so there is a focused on the use of sport and physical activity, to improve personal, social and community development outcomes
- purposeful intention to **change**, rather than simply 'manage', young people's behaviour and lives, a model that deliver tangible value rather than just opportunities to get involved.
- the use of **insight, behaviour change principles and partnership working** driving the model.

Chances – how does it work?

Social Investor

Big Issue Invest investing £1.25m up-front working capital

Providers

16 sport and youth orgs

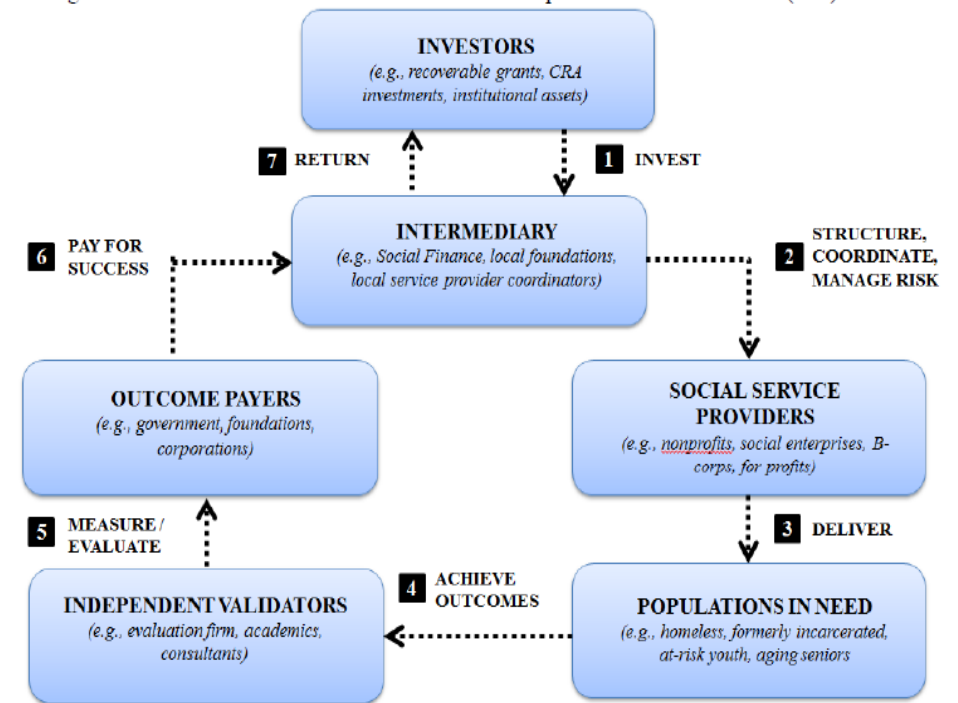
Achieve outcomes with 6000 young people:

- Increase in physical literacy
- Reduce youth offending
- Improve school attendance and/ or reduce NEET status

Outcome payers/ Commissioners

Committing £4.1m as net value of outcomes:

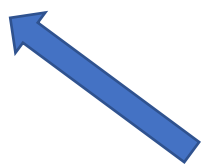
- 21 local governments
- Sport England
- Life Chances Fund (Dept for Culture, Media & Sport)



Journey of an outcome... Reducing youth offending



The Green Book
Central Government Guidance
on Appraisal and Evaluation



Substance's role

Why set up the world's first sports-based Social Impact Bond?

Achieve *real* social impact – tackle deep rooted social issues.

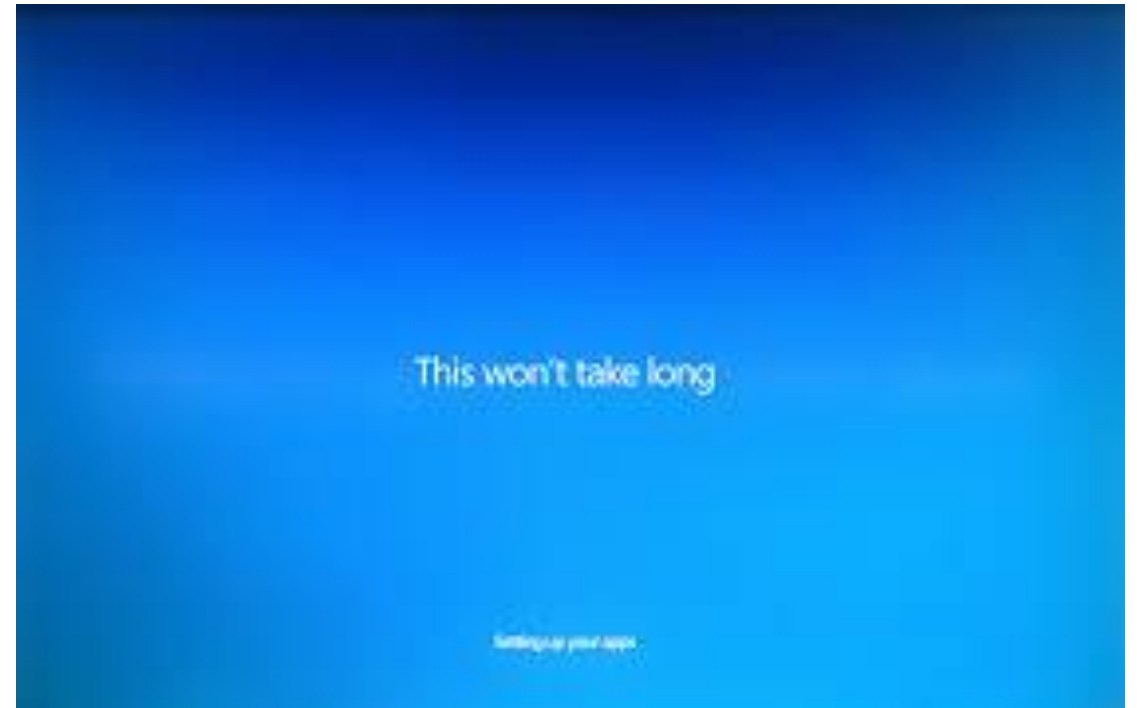
Support local authorities needs and priorities.

Drive up efficiency and improve performance in sport for development organisations.

Explore alternative forms of finance for sport. Test the market.

Improve data, measurement and evidencing practices.

Increase our learning and understanding of how to successfully deliver social outcomes contracts. Grow the market.



Substance' role - Contract & Performance Management

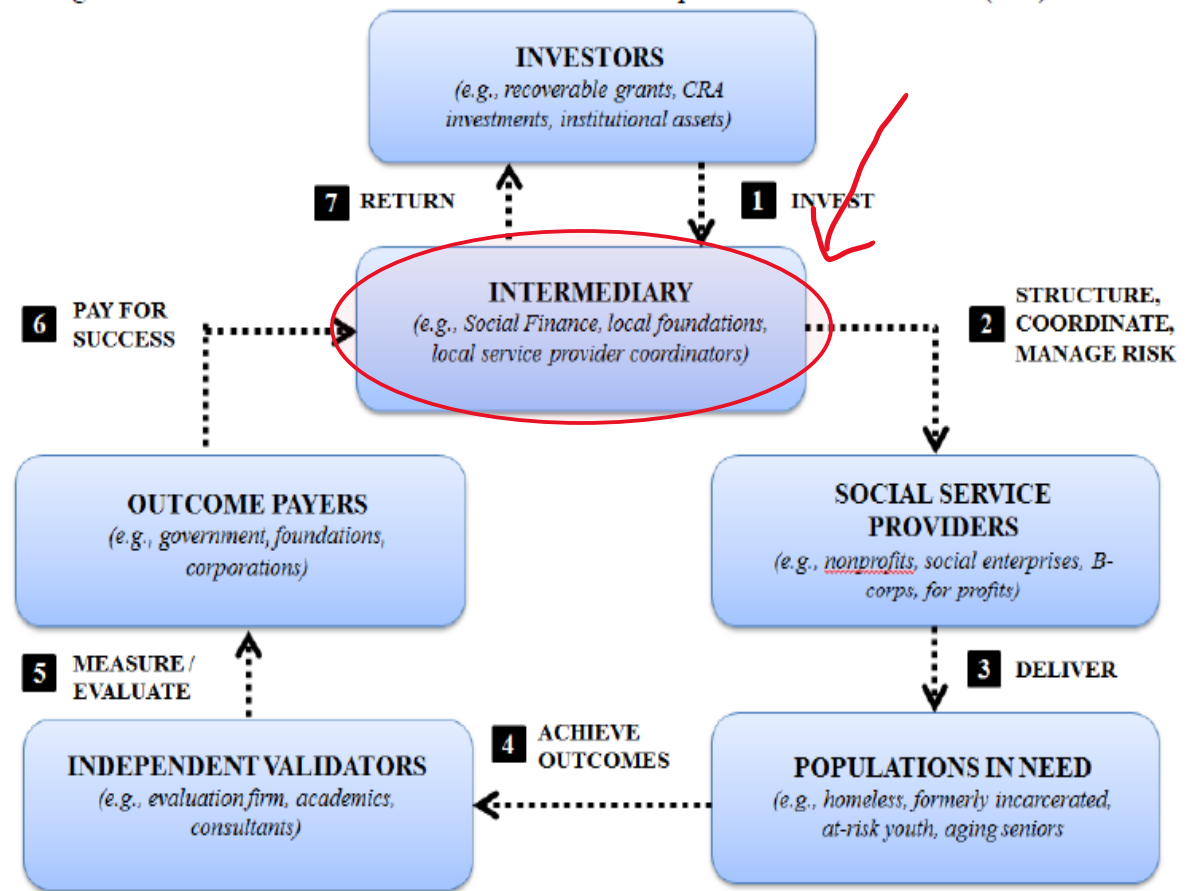
Achieve social impact whilst driving up efficiency.

Financial modelling to secure social return

Support and managing high performance with our providers and commissioners

Managing and tracking data, evidence and verifying outcomes

Governance, accountability & reporting



Performance & Learning so far

Year One Participant data

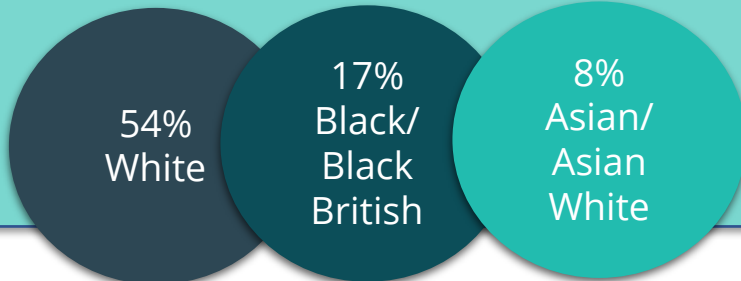


2145 young people engaged

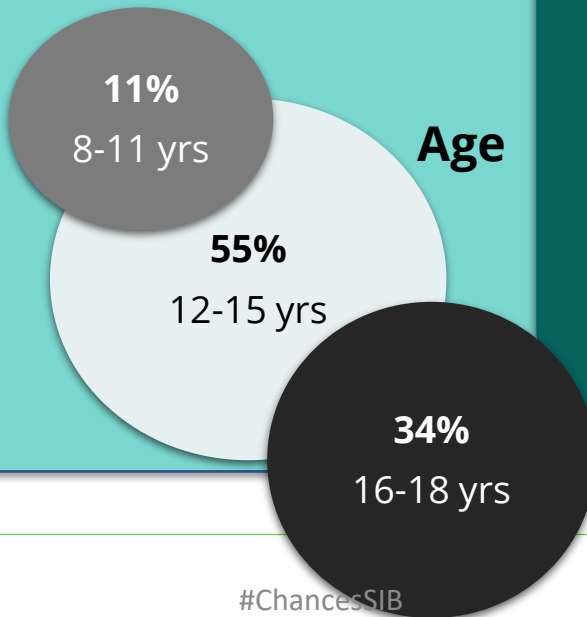
- 644 statutory referrals
- 1501 self-referrals



Ethnicity



Gender
24%: 75%
Female: Male



Statutory Referred Participants

68%
Excluded or poor school attendance

67%
NEET/ Risk of NEET

23%
Offended twice or less

9%
Offended three times or more

50%
Involved with problematic peers

9%
Associated with gang members

Year One Achievements & Performance

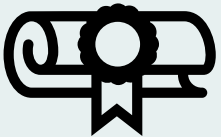
Outcomes



3155 health/ physical literacy outcomes



187 reductions in offending



456 qualifications gained
44 work placements completed



92 improvements in school attendance

Income generation

Sport England: £594,810

Local authority: £507,393

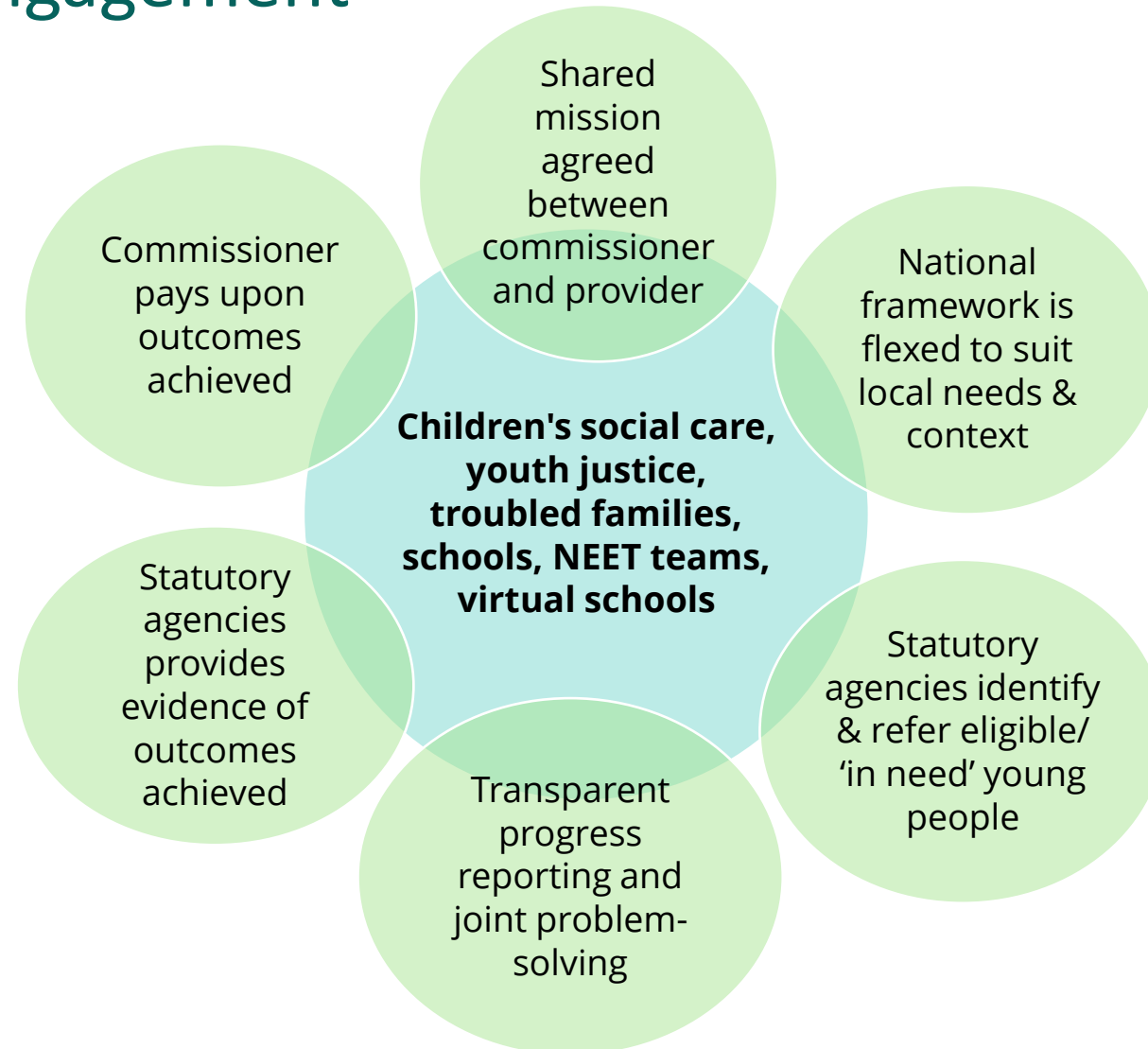
Life Chances Fund £348,668



Sport for Development Providers

- Ultimately, we help Providers to piece together the optimal conditions for maximum performance:
 - Fidelity to the Specification and Rate Card (granular outputs aligned to macro-level cashflow model)
 - Consult on the effectiveness of different S4D approaches to achieve outcomes efficiently and sharing best practice. No magic bullet.
 - Targeting young people who stand to benefit the most - balance early intervention and working with complex social issues... avoid perverse incentives.
 - Sports coaches and youth workers turned finance planners!
 - Enabling the network to share and learn

Local authority engagement



Evaluation

Chances Interim Report Year 1 & 2

Chances Year 2 Interim Evaluation Report Executive Summary October 2022

Reporting period:
November 2020 to May
2022

substance.



Chances Evaluation Methodology

Peer Research Ambassadors

The Peer Researcher methodology was introduced at a case-study level in 2021. The idea and resources were rolled out to all providers as a supplementary data collection method in April 2022 at the learning events. A suite of training materials were produced and shared to facilitate the collection of the Youth Voice at a project level.

It is understood that the peer-researcher method is not always ethically and practically appropriate. For some of our Chances providers and young people this method is not suitable. The risky nature of personal lives means that discussing certain personal topics with peers may cause harm and/or breach confidentiality. The Evaluation Team will work with the providers to advise on the types of young people to engage in this way. The open-access, self-referred young people may provide a good test-bed for this method.

Key principles

- Rich quality data and Youth Voice through descriptive narrative
- Consider the audience and sensitive issues
- If too sensitive or put the young person at risk to talk to a peer – potentially use the coach researcher model
- Adopt peer researchers as the data analyst too to ensure we have interpreted what they send us accurately as intended.
- Attempt equal adult-youth partnership and power dynamic
- Young people as collaborators and partners

How do we document the interview?

Most interviews are pre-arranged and as such you will record either digitally using a recording device or a mobile phone or by asking a help/facilitator to take notes for you. Some interviews may also be video-recorded or take place over a digital platform such as Zoom. You will need to make sure we have consent first. Your youth lead will arrange this.



This interview will be recorded on your youth leaders mobile phone or voice recorder. They will also take notes for you in case the recording fails.



What Works & how to we know – summary



Thank you

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[@substanceviews](#)