WARDS AFFECTED: ASPLEY, BILBOROUGH AND LEEN VALLEY

Item No…….

WEST AREA COMMITTEE

15 NOVEMBER 2006

REPORT OF THE CORPORATE DIRECTOR OF NEIGHBOURHOOD SERVICES

SAFER STRONGER COMMUNITIES FUND (SSCF) - GOVERNANCE AND FINANCE FRAMEWORK

1. SUMMARY

The report outlines the Governance and Finance arrangements for Priority Neighbourhoods with a copy of the final version of the Governance and Finance Framework document (appendix 1) for Area Committees to note.

2. RECOMMENDATIONS

It is recommended that Area Committees:

(i) Note the contents of the Governance and Finance Framework Document;

(ii) Note the criteria against which all spend proposals need to be approved **(see appendix D of Governance and Finance Framework Document)**;

(iii) Note their role and responsibility as 'Delegated Authority' for the SSCF **(see 2.10 of Governance and Finance Framework Document)**;

(iv) Report progress on each programme to One Nottingham Board bi-annually.

3. BACKGROUND

3.1 Priority Neighbourhoods have been identified in Bulwell, Bestwood, Arboretum (a New Deal for Communities area, NDC), Broxtowe and Bells Lane, St. Ann's and Sneinton to receive funding allocated by the Safer Stronger Communities Fund of the Local Area Agreement.

3.2 A report was submitted to One Nottingham Board on 28 July 2006 to recommend and approve a governance framework for the delivery of the Safer Stronger Community Fund pilot programme from April 2006 to March 2010. It was recommended and approved that the Council delegate to Area Committees the responsibility to agree the priority

neighbourhood action plan, SSCF budget and note the potential financial risks.

3.3 Area Committee already have delegated authority to enable them to manage this programme under the following extracts from their terms of reference:

Powers/Remit

(d) within budgetary limits, to be empowered to undertake any measures to achieve the follow objectives:

i) the promotion or improvement of the economic well being of their area

ii) the promotion of improvement of the social well being of their area

iii) the promotion or improvement of the environmental well being of their area.

(l) to build partnerships between other public, private, voluntary and community organisations, local residents' and tenants' associations.

3.4 A Governance and Finance Framework Document **(see annex 1)** has been produced for Area Committees to note as it provides the essential guidelines for the delivery of the SSCF programme across the five priority neighbourhoods. The purpose of this document is to provide guidance on the Governance Framework and Structure and Financial Processes for the SSCF to all relevant stakeholders. This includes the One Nottingham Board, the Council's Area Committees and the Local Implementation Groups. Each stakeholder group within the programme has clear a remit - strategic and operational - and their roles and responsibilities have been made clear in this document. The document outlines the following:

- Roles and Responsibilities
- Management Structures
- Financial Processes
- Operations (Flow Chart and Forms)

4. FINANCIAL IMPLICATIONS

4.1 The governance arrangements have been produced to ensure that there is adequate financial controls of the SSCF budget. The following table outlines the overall budget allocation for West Area.

	06/07	**07/08**	**08/09**
Total allocation	£271,893	£340,893	£271,893
Spend previously approved	£92,527	£91,997	Unspecified
Leverage Funds	£179,366	£248,986	unspecified

4.2 The conditions of grant allocated for 2006/2007 requires that the expenditure is defrayed by 31 March 2007. (Defrayed is payment for goods received/work done have been made by this date).

5. EQUALITY AND DIVERSITY IMPLICATIONS

5.1 An equalities impact assessment will be conducted as part of the monitoring processes for this programme.

6. CRIME AND DISORDER ACT 1998

6.1 Activities will target Crime and Disorder and Anti-Social Behaviour in the area as well as address Crime floor targets against the Local Area Agreements.

7. VALUE FOR MONEY

7.1 As services will be purchased through the programme monitoring processes are in place to ensure value for money.

8. LIST OF BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR DISCLOSING CONFIDENTIAL OR EXEMP INFORMATION

8.1 None

9 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

9.1 None

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APPENDIX 1:
SAFER STRONGER COMMUNITIES FUND GOVERNANCE AND FINANCE FRAMEWORK

Safer Stronger Communities Fund

Governance and Financial Framework

1.0 Introduction

1.1 One Nottingham, the Local Strategic Partnership, has been awarded additional resources through the SSCF (Safer Stronger Communities Fund) for the most deprived neighbourhoods in the City. Nottingham City has been awarded three allocations of the SSCF, each being worth £1.6m over four financial years (2006/07 to 2009/10), thereby, making for a total grant of £4.8m for the pilot programme.

1.2 The Council has developed its neighbourhood working structures to provide a city-wide framework for delivering Neighbourhood Management. This is being developed around the existing Area Committees and enables local Elected Members to provide community leadership in their neighbourhood. Each area is supported by an area team, headed up by a Neighbourhood Manager who is a Head of Service and part of the Neighbourhood Management Service. The SSCF pilot programme will be managed by the Council on behalf of One Nottingham through these mainstream funded teams. Each pilot neighbourhood in the programme has additional external resources.

1.3 Five pilots have been identified in line with national guidelines to develop a more intensive neighbourhood management approach in priority neighbourhoods within the overall city-wide framework:

1. Bulwell
2. Bestwood
3. Broxtowe and Bells Lane
4. St. Ann's and Sneinton
5. Arboretum*

1.4 Four of these five priority neighbourhoods (1-4 above) will receive the additional monies from the SSCF pilot programme. The fifth priority neighbourhood* already receives additional resources through the New Deal for Communities (NDfC) programme, but will be integrated into the SSCF pilot programme in order to ensure the sharing of learning and best practice. The NDfC programme is providing an additional committed resource for the Arboretum of £346k in 2006/07 and £322k in 2007/08.

1.5 The four priority neighbourhoods which will receive SSCF monies have been selected based on:

- Scrutiny of the index of multiple deprivation to determine the most disadvantaged Super Output Areas (3% most deprived nationally);

- The desire to build on the work being carried out in Bestwood by the Operation Kingdom anti-crime initiative.

1.6 National Guidance proposed that the development of the SSCF pilot programme should be based on best practice learned through the national Neighbourhood Management Pathfinder Programme. The pathfinder programme has been evaluated as having improved the quality of neighbourhoods through an intensive neighbourhood management approach, supported through appropriate infrastructure.

1.7 Key principles of this approach have been:

Involving communities in action to improve their neighbourhoods;

Agreeing mainstream service standards and activity;

Managing specific additional staffing resources in the neighbourhood.

1.8 The SSCF pilot programme is about improving the basic conditions that affect people's quality of life in disadvantaged neighbourhoods. It is accepted that people in disadvantaged neighbourhoods experience the worst living conditions and poorer public services than those living in other neighbourhoods. They are more likely to die young, be the victims of crime and live in poor quality housing with run down, unsafe and neglected streets, parks and other public spaces and amenities. One of the core outcomes of the SSCF is '*to improve the quality of life for people in the most disadvantaged neighbourhoods and ensure service providers are more responsive to neighbourhood needs and improve their delivery'.* Neighbourhoods in receipt of the neighbourhood element are all required to meet this national outcome.

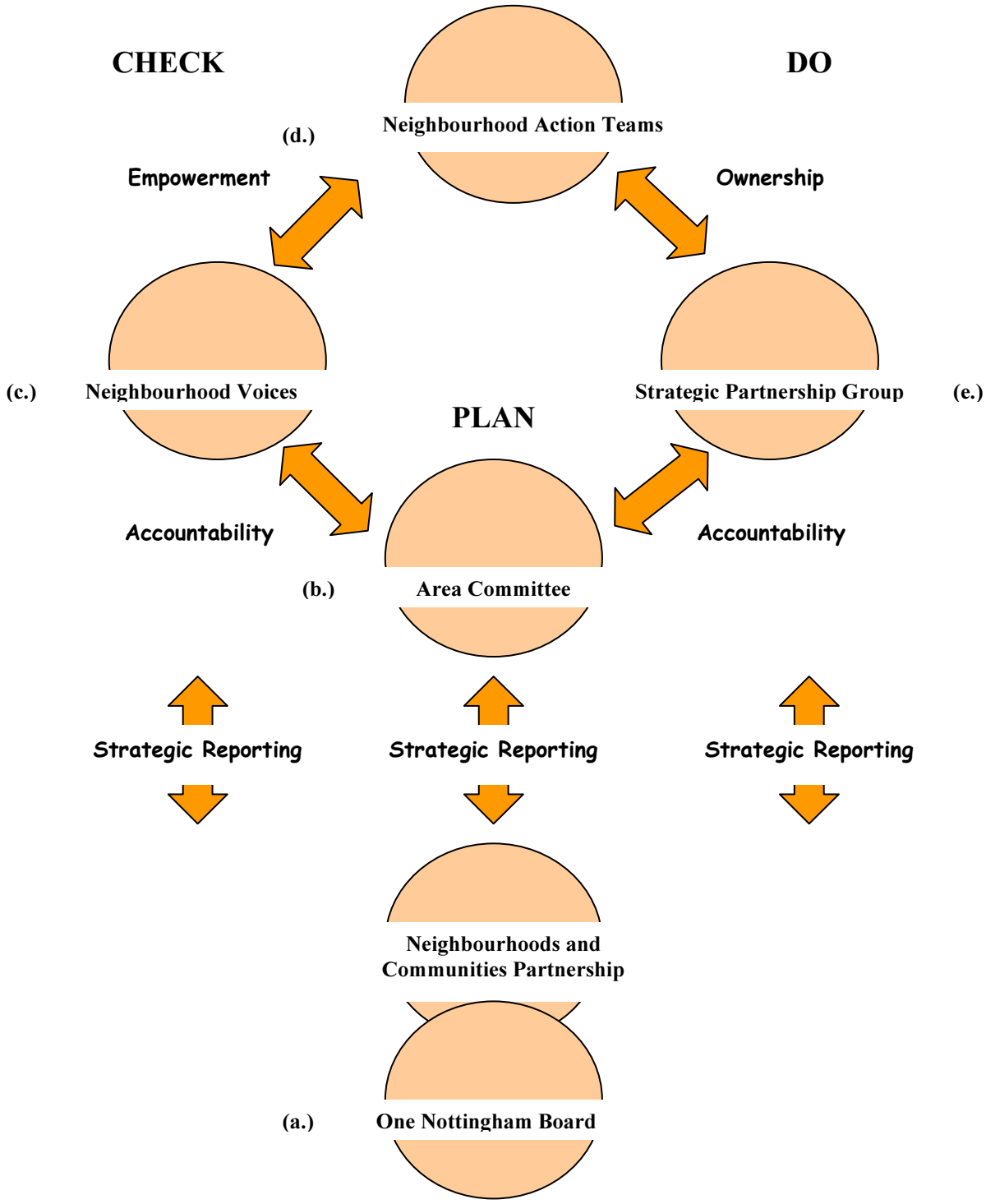
1.9 The purpose of this document is to provide guidance on governance, structures and financial processes for the SSCF to all relevant stakeholders. This includes the One Nottingham Board, the Council's Area Committees and the Local Implementation Groups. Each stakeholder group within the programme has clear a remit - strategic and operational - and their roles and responsibilities have been made clear in this document. The document outlines the following:

- Roles and Responsibilities
- Management Structures
- Financial Processes
- Operations (Flow Chart and Forms)

2.0 Governance Framework

2.1 This section provides the Governance Framework. It sets out how the One Nottingham Board and the Council will delegate their respective roles in order to promote an intensive neighbourhood management approach through the SSCF pilot programme. The Governance Framework is described within the wider context of the area in which the priority neighbourhood is the focus. It sets out roles and responsibilities of key stakeholders. Diagram A (below) shows the stakeholder groups involved in the delivery of the pilot programme.

Diagram A: Governance Framework



The Local Strategic Partnership – Diagram A (a.)

2.2 The One Nottingham Board has strategic responsibility as the "Local Strategic Partnership" for the City Community Plan and Local Area Agreement and its effective implementation by all partners. The SSCF pilot programme is integral to delivery of the Local Area Agreement.

2.3 One Nottingham is establishing a new Neighbourhoods and Communities Partnership which will report to the One Nottingham Board. This partnership will bring together key agencies in the City to promote a neighbourhood management approach to making things happen. The Terms of Reference and membership of this partnership is being developed by One Nottingham in conjunction with partners, with a view to the partnership being fully operational by January 2007.

2.4 In order to set up the SSCF pilot programme, an interim Steering Group was set up. This Steering Group will continue to meet until the programme is fully operational at the end of December 2006. In the New Year, the Neighbourhoods and Communities Partnership will then take full responsibility for overseeing the implementation of the programme.

2.5 The ***Neighbourhoods and Communities Partnership*** will:

Oversee implementation of the programme overall;

Provide expert advice to the One Nottingham Board;

Champion a neighbourhood management approach;

Support negotiations with partners and services providers.

2.6 The Corporate Director for Neighbourhood Services (see 3.0 Management Framework) will be the responsible Chief Officer for reporting bi-annual progress to One Nottingham Board on the whole programme via the Neighbourhoods and Communities Partnership.

The City Council – Diagram A (b.)

2.7 The City Council is the "Accountable Body" for ensuring that the SSCF Government Grant is administered properly and that appropriate management and financial controls are in place.

2.8 Applying the existing Terms of Reference, the relevant Area Committee will have responsibility for approving all spend allocated to the area under this initiative. Hence the Accountable Body status.

2.9 The relevant Neighbourhood Manager (see Management Framework) will be the responsible officer for reporting bi-monthly progress to the Area Committee on each pilot in the programme. Progress reports will be produced by the relevant Priority Neighbourhood Coordinator.

2.10 All processes will be undertaken in accordance with agreed management and financial controls. This will be monitored through the officer structure described in 3.0 Management Framework.

2.11 The ***Area Committee*** will:

Oversee implementation of the programme in one pilot;

Share challenges and successes with the wider partnership;

Hold partners and service providers to account in the neighbourhood;

Approve key decisions, such as budget allocation and spend.

The Community – Diagram A (c.)

2.12 Each priority neighbourhood will have developed ways in which communities can get together to raise issues and concerns (Neighbourhood Voices) in order to work together with services providers to identify solutions.

2.13 In the priority neighbourhoods, forums have developed which have been called a "Local Implementation Group" to keep communities informed but they are not the only way in which communities are being engaged. The Council and its partners are developing a menu of opportunities for local citizens and communities to engage in the regeneration of their area. Terms of Reference for the "Local Implementation Group" have been developed in consultation with communities (Annex A).

2.14 The "Local Implementation Group" in each area has been set up to work in partnership with the Accountable Body and One Nottingham and will ensure that each priority neighbourhood develops a local dimension to the programme in respect of the distinctive neighbourhood challenges. Each Group is being supported by a Priority Neighbourhood Coordinator (PNC) and will be developed further during the lifetime of the programme to broaden and diversify involvement.

2.15 The ***Neighbourhood Voices (Local Implementation Groups)*** will:

Identify challenges and priorities;

Consider appropriate solutions to challenges;

Involve communities in resolving problems;

Make recommendations on key decisions to the Area Committee.

The Partners – Diagram A (d.) and (e.)

2.16 Each Priority Neighbourhood Coordinator will pull together a virtual team to develop ideas and solutions to share with communities, as well as to resolve directly issues and concerns raised by communities. The so-called "Neighbourhood Action Team" will be task focused and will aim to deliver quick wins for communities to build confidence and raise satisfaction. The concept of the "Neighbourhood Action Team" is not

necessarily about officers formally meeting around a table. There are many ways in which the virtual teams can be tasked. This is not about creating additional bureaucracy, but encouraging action focus.

2.17 In addition to the “Neighbourhood Action Team”, there will need to be some mechanism for strategic engagement across a larger area. The precise details of this are still being developed as part of the Council’s developing Neighbourhood Management Approach. The mechanism for strategic engagement would bring together people who manage resources and can shape the delivery of services. It will be important to develop a mechanism which can address issues that require longer-term planning and resource reallocation.

3.0 Management Framework

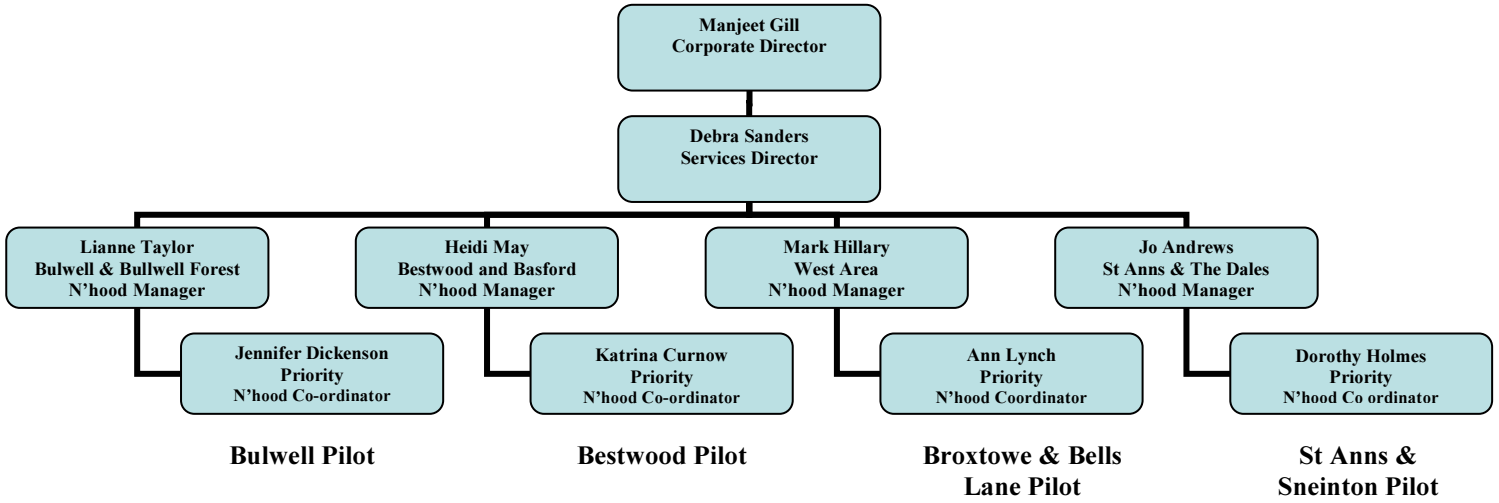
3.1 It has been agreed with the One Nottingham Board that the Council should be the employer of all personnel supporting the SSCF pilot programme. The key personnel who will be supporting the SSCF pilot programme on a day to day basis are the Priority Neighbourhood Co-ordinators. They will be based in the Council's Neighbourhood Management Service, which is split into nine area teams, headed up by a Neighbourhood Manager. Each Priority Neighbourhood Coordinator will report to a Neighbourhood Manager who is a Head of Service.

3.2 The Council's area teams (Neighbourhood Management Service) report to a Services Director who leads the Neighbourhood Strategy and Support Division (Debra Sanders) in the Neighbourhood Services Directorate. The Services Director reports to the Corporate Director for Neighbourhood Services (Manjeet Gill) who is a member of the Senior Management Team (SMT). Diagram B (overleaf) illustrates the management structure described.

3.3 The delivery of the work plan of the Priority Neighbourhood Coordinators will be overseen by the Neighbourhood Manager. They will be able to draw on the support and resources of the Council's area team.

3.4 This work plan will be drawn up in full consultation with the relevant Local Implementation Group and Area Committee.

Diagram B: Management Structure



4.0 Financial Framework

4.1 One Nottingham, the Local Strategic Partnership, has been awarded additional resources through the SSCF (Safer Stronger Communities Fund) for the most deprived neighbourhoods in the City. Nottingham City has been awarded three allocations of the SSCF, each being worth £1.6m over four financial years (2006/07 to 2009/10), thereby, making for a total grant of £4.8m for the pilot programme.

4.2 The £4.8m allocation will be split four ways. A formula for sharing the budget allocation has been agreed as follows:

(1.) An equal share of 50% of the overall budget allocation – based on the assumption that all four priority neighbourhoods will have similar infrastructure / core costs; and

(2.) A proportional share of 50% of the overall budget allocation – to allow for population differences and other factors such as level of deprivation in the Super Output Area (SOA) in line with the national guidance for the allocation of funding.

4.3 This equates to (over 4 years):

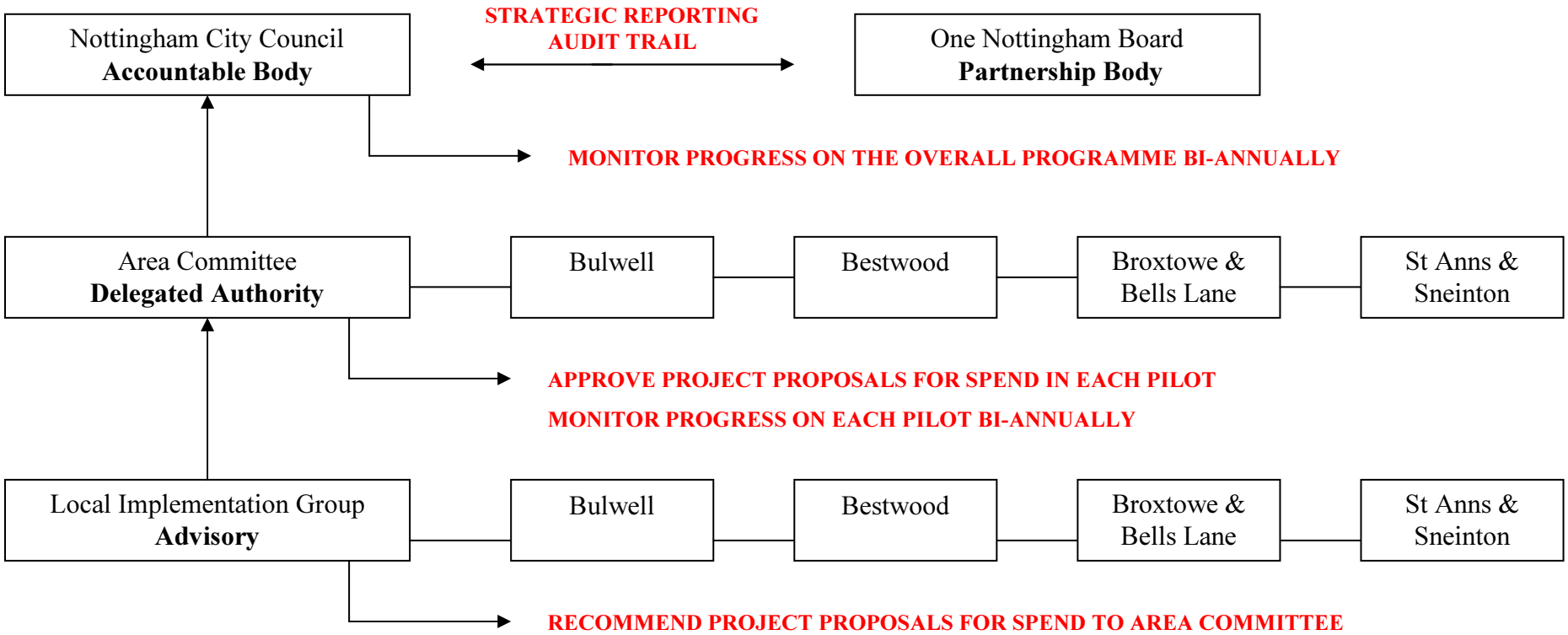
Nearly £1m in Bulwell
Nearly £1m in Bestwood
Around £1m in Broxtowe and Bells Lane
Nearly £1.5m in St Ann's and Sneinton

4.4 The table (Annex B) provides a detailed breakdown of the budget allocation over the four year term.

4.5 In order to ensure financial probity, a process has been agreed for recommending and approving proposals for spend. Diagram C (overleaf) summaries the different responsibilities of the stakeholder groups described earlier (see 2.0) in this process.

4.6 Services will be agreed over the term of the pilot programme (4 years). All commissioning and purchasing will be carried out in accordance with the City Council's policies and procedures.

Diagram C: Stakeholder Group Responsibilities



5.0 Operational Framework

5.1 At the very beginning of the process, everyone must be clear about:

- Key outcomes (identified in the LAA or Local Community Plan);
- Current services being delivered in the priority neighbourhood;
- Actual service 'gaps' (not just perceived gaps);
- Resources available from the programme and elsewhere.

5.2 A **two-stage process** has been agreed. Diagram D (page 14) illustrates how a project proposal would be developed and funding agreed.

Stage 1

If a public sector service provider or private, community or voluntary organisation wishes to propose any kind of intervention in the neighbourhood they (as project proposer) must complete a **Stage 1 Summary Form** (Annex C). The Priority Neighbourhood Co-ordinator will use a **Checklist** (Annex D) to carry out initial appraisal and will complete a **Stage 1 Initial Appraisal Form** (Annex E). The Priority Neighbourhood Coordinator will then make recommendations to the Local Implementation Group. Only projects considered to meet the needs and outcomes identified for the priority neighbourhood will proceed to Stage 2. Only then will the project proposer be asked to work up the full details of the project for consideration by the Area Committee.

Stage 2

At this second stage, the project proposer will be asked to complete a **Stage 2 Detailed Form** (Annex F). The form will enable the project proposer to provide further details of the service or activity. The Priority Neighbourhood Co-ordinator will carry out a full appraisal of the project and will complete a **Stage 2 Full Appraisal Form** (Annex G). The Priority Neighbourhood Coordinator will then make recommendations to the Local Implementation Group. In some cases, the Priority Neighbourhood Coordinator may wish to go back to the project proposer to ask them to make refinements to their proposals. Only projects considered to have met all criteria and final checks undertaken by the Coordinator will proceed to Area Committee for approval.

In majority of cases, proposals being recommended for approval will be presented to a planned Area Committee meeting. These meetings take place bi-monthly. It will be proposed to Area Committees that, in exceptional cases, where an urgent decision is required, the Chair, Vice Chair, Opposition Member (if relevant) have delegated authority to make decisions, in consultation with a Community Representative.

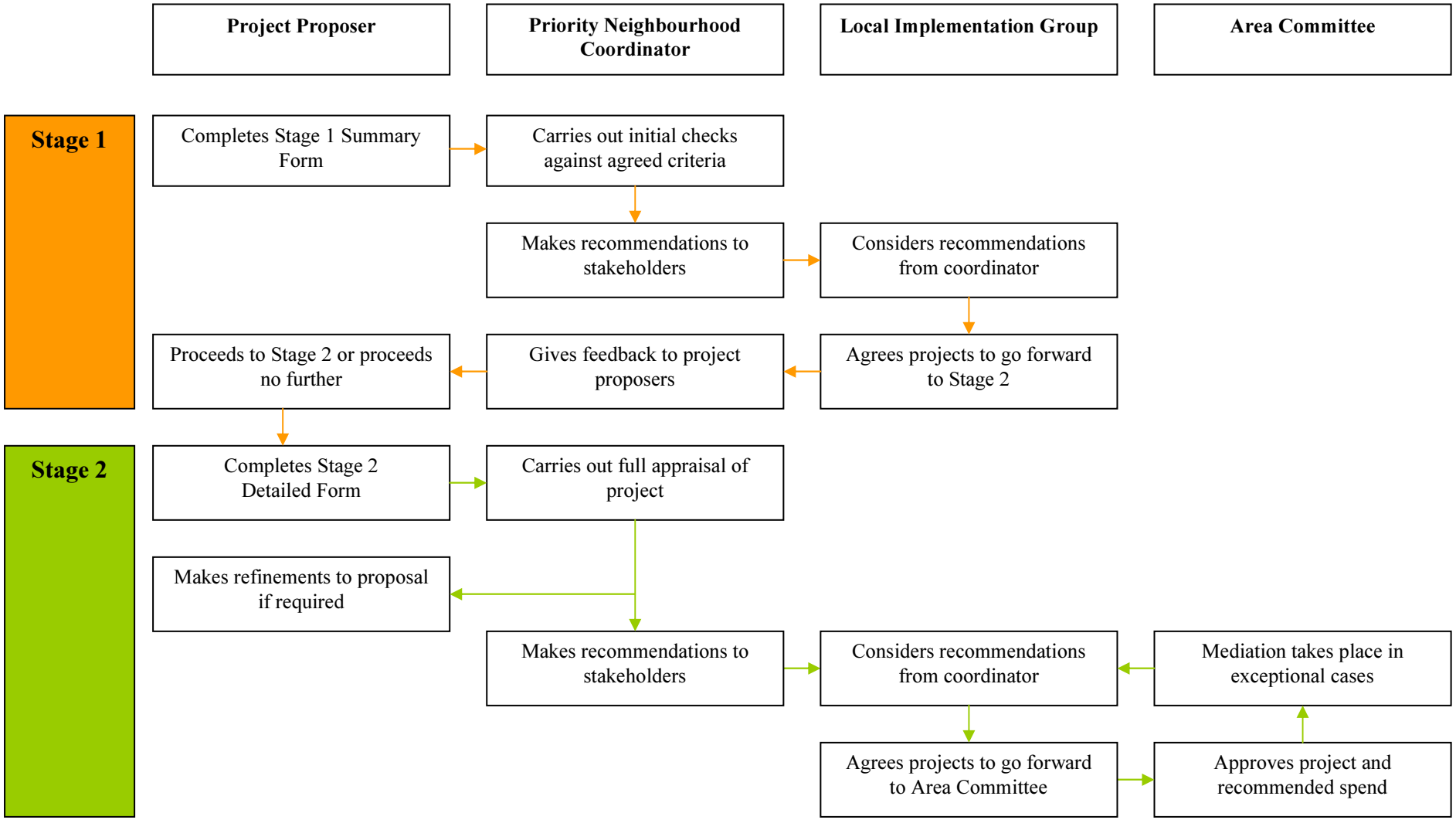
In the event the Area Committee is not minded to approve recommended proposals, there should be a full explanation provided to the Priority

Neighbourhood Coordinator, who will in turn feed this back to the Local Implementation Group. In such cases, it may be necessary for mediation to take place between the Area Committee and Local Implementation Group. An independent mediator will be employed in such cases.

The Area Committee should be clear about the reasons for not approving recommended proposals. These reasons would need to be related to either processes not having been followed or lack of alignment to (or even conflict with) key priorities agreed through the Local Community Plan or Local Area Agreement.

Where recommended proposals are approved by the Area Committee, the Priority Neighbourhood Co-ordinator will immediately set up a project file and liaise with the project proposer regarding monitoring and reporting arrangements which will need to be robust.

Diagram D: Process Flow Chart



Annex A: Terms of Reference - Local Implementation Group

KEY PURPOSE

To provide leadership for the Safer Stronger Communities Fund pilot programme in priority neighbourhood (….)

To work collectively to improve the quality of life for people living in the priority neighbourhood, especially through the improvement of public service delivery.

ACCOUNTABILITY

The Local Implementation Group (LIG) will be linked to and supported by the relevant Area Committee.

The Group will report regularly on progress to the relevant Area Committee.

KEY RESPONSIBILITIES

- Provide a welcoming and accessible forum for 'stakeholders' who are committed to make the priority neighbourhood a better place to live.
- Agree key outcomes for the priority neighbourhood.
- Develop a 'Neighbourhood Charter' for the priority neighbourhood.
- Participate in negotiating agreements with service providers that will support the achievement of the priority outcomes.
- Encourage service providers to develop excellence through collaboration and partnership working to respond to the priority outcomes.
- Receive and discuss monitoring and progress reports.
- Participate in the evaluation of 'what works' and 'what doesn't work' in terms of achieving the priority outcomes.
- Provide direction and support for the Priority Neighbourhood Co-ordinator and any other staff working in the priority neighbourhood.
- Ensure the wider community are effectively informed about the purpose of the SSCF pilot programme and delivery of priority outcomes.
- Ensure that the wider community have appropriate opportunities to discuss and influence the work of the SSCF pilot programme.
- Celebrate and share the successes and the learning achieved across Nottingham and beyond through the SSC pilot programme.

MEMBERSHIP

Membership will comprise of:

- Elected Members (representing the priority neighbourhood)
- Residents (ideally people who are active within the local community)
- Businesses (where they have a business in the priority neighbourhood)
- Professional Advisors (supporting members of the group)
- Partnership representatives (e.g. Manager or Board member)

ROLE OF THE CHAIR

1. To chair meetings in an impartial and inclusive manner ensuring the views of all members are actively sought.
2. To ensure decisions are reached in an open and transparent manner and are guided by the SSCF aims and objectives.
3. To agree agendas with the Priority Neighbourhood Co-ordinator reflecting the aims of the SSCF pilot programme.
4. To work with the Priority Neighbourhood Co-ordinator to secure the necessary service and financial commitments.
5. To represent and promote the SSCF pilot programme across the City, and, where appropriate, outside of the City.

ROLE OF MEMBERS

1. To positively promote the SSCF pilot programme and the actions being taken in the priority neighbourhood to deliver positive change.
2. To carry out the responsibilities of a member as detailed in the Terms of Reference and this Governance and Financial Framework.

CONFLICT OF INTEREST

All members will take responsibility to declare any conflict of interest they may have. The Chair will agree the appropriate action needed to proceed based on the Code of Conduct set out in the Area Committee Terms of Reference 6A.

SUPPORT

1. The Priority Neighbourhood Co-ordinator will provide briefings and other information to enable the Chair and Members to perform their roles.
2. Administrative support will be provided through the programme to enable the Chair and Members to perform their roles.

SKILLS AND KNOWLEDGE

1. Ability to chair meetings in an impartial and inclusive manner
2. Ability to bring about decisions in a consensual manner
3. Ability to communicate effectively
4. Ability to plan strategically

WAYS OF WORKING

- The Group will nominate a person to Chair meetings. Ideally this should be a local resident or, if a local resident is not ready to take up the role of Chair, a plan should be put in place to support them to do so.
- Meetings will be held in an accessible and convenient venue.
- Meetings will be held at convenient times of the day / week.
- Minutes will be taken of meetings.
- Meeting styles / formats will be discussed and agreed by members and reviewed from time to time to ensure comfort, enjoyment and productivity.
- Jargon will be avoided and plain language will be valued.

- Asking questions will be positively encouraged.
- Everyone's contribution will be valued equally.
- The Chair will strive to ensure that everyone has a chance to contribute.
- The Chair will be supported by members of the group if it's necessary to manage a situation where a person is dominating proceedings.
- Offensive and / or discriminatory remarks will be challenged.
- People's contributions will be publicly appreciated.

GOVERNANCE STRUCTURE

The Local Implementation Group will be responsible to and report to the Area Committee on a regular basis. The Area Committee will support communities in meeting their objectives for delivery and ensure that the project is supported in bending / influencing mainstream services. Progress reports will be produced regularly by the Priority Neighbourhood Coordinator.

FINANCIAL MANAGEMENT

The Local Implementation Group will:

1. be given an annual budget for the priority neighbourhood.
2. provide direction on priority proposals for targeted interventions.
3. adhere to the Governance and Financial Framework

Annex B: Priority Neighbourhood Budget Allocation

Calculation based on 50% equal share and proportional share of the remaining 50% of funds available

Note - £20k per year has been 'top-sliced' to pay for an evaluation of the programme

Population splits (rounded off):	**people**	**% of total**
Bestwood	5100	19.07%
Broxtowe and Bells Lane	6150	22.99%
Bulwell	5000	18.69%
St Ann's and Sneinton	10500	39.25%
Total	**26750**	**100.00%**

note - proportions below are based on these percentages

	Total	50%
Year 1	£ 1,218,400	£ 566,556
Year 2	£ 1,528,000	£ 710,520
Year 3	£ 1,218,400	£ 566,556
Year 4	£ 754,000	£ 350,610
Total	**£ 4,718,800**	**£ 2,194,243**

	Bestwood	**Broxtowe**	**Bulwell**	**St Ann's**	**Total**
Year 1					
Equal share of 50%	£ 141,639	£ 141,639	£ 141,639	£ 141,639	£ 566,556
Proportional share of 50%	£ 108,016	£ 130,254	£ 105,898	£ 222,386	£ 566,554
Management and Overhead costs					**£ 85,288**
Total	**£ 249,655**	**£ 271,893**	**£ 247,537**	**£ 364,025**	**£ 1,218,398**
Year 2					
Equal share of 50%	£ 177,630	£ 177,630	£ 177,630	£ 177,630	£ 710,520
Proportional share of 50%	£ 135,463	£ 163,353	£ 132,807	£ 278,895	£ 710,518
Management and Overhead costs					**£106,960**
Total	**£ 313,093**	**£ 340,983**	**£ 310,437**	**£ 456,525**	**£ 1,527,998**
Year 3					
Equal share of 50%	£ 141,639	£ 141,639	£ 141,639	£ 141,639	£ 566,556
Proportional share of 50%	£ 108,016	£ 130,254	£ 105,898	£ 222,386	£ 566,554
Management and Overhead costs					**£85,288**
Total	**£ 249,655**	**£ 271,893**	**£ 247,537**	**£ 364,025**	**£ 1,218,398**
Year 4					
Equal share of 50%	£ 87,652	£ 87,652	£ 87,652	£ 87,652	£ 350,610
Proportional share of 50%	£ 66,845	£ 80,607	£ 65,534	£ 137,622	£ 350,608
Management and Overhead costs					**£52,780**
Total	**£ 154,497**	**£ 168,259**	**£ 153,186**	**£ 225,274**	**£ 753,998**
Total for 4 years	**£ 966,900**	**£ 1,053,028**	**£ 958,697**	**£ 1,409,849**	**£ 4,718,792**
Evaluation					£ 80,000
Total SSCF					**£ 4,798,792**

Annex C: Stage 1 Summary Form

[SHOULD BE COMPLETED TO 2 SIDES OF A4 ONLY]

1 Project Title

2 Project Proposer Name and Contact Details

3 Project Partners (where committed)

4 Project Summary and Neighbourhood Focus

5 Evidence of Community Need

6 Evidence of Linkage to Agreed Objectives

7 Evidence of Effective Use of Resources

8 Evidence of Future Sustainability

9 Total Project Costs (this is likely to be more than the funding required)

Total Project Costs	2006/2007	2007/2008	2008/2009	Total
Capital				
Revenue				

10 SSCF Required Funding and Match Funding Secured

Funding Required	2006/2007	2007/2008	2008/2009	Total
SSCF Required Funding				
Match Funding Secured (provide details of provider)				

11 Anticipated Outputs

SSCF YEAR	Outputs
2006/2007	
2007/2008	
2008/2009	

Annex D: Stage 1 Checklist

The purpose of the SSCF pilot programme is to bend mainstream services and deliver sustainable outcomes that meet the needs of one or more priority neighbourhoods. In assessing project ideas at Stage 1, the following considerations will be taken into account – the checklist:

1. Evidence of Community Need

For each priority neighbourhood, a neighbourhood profile has been produced which identifies needs. Any project ideas will need to demonstrate (evidence) that the activities being proposed will address these needs. The evidence can include consultation, quantitative and qualitative data, photographic material, research, best practice, etc.

2. Evidence of Linkage to Agreed Objectives

The priority neighbourhoods that are the focus of the SSCF pilot programme are not being planned in isolation. There are widely agreed objectives (and targets) for delivering transformation through the Local Area Agreement and Local Community Plan. Any project ideas will need to demonstrate (evidence) that the activities being proposed will address the agreed objectives and targets identified in these plans.

3. Evidence of Effective Use of Resources

There are a range of ways of addressing the same problem. It is important that any activity proposed will be cost effective. That is, that it will be targeted at identified needs, it will reach the communities it needs to reach, it will use resources effectively (and harness existing resources, where relevant) and minimise risks (for example, there may be evidence from research that the activity is best practice or will have maximum impact). Any project ideas will need to demonstrate (evidence) that the activities being proposed will be cost effective.

4. Evidence of Sustainability

Proposed activity can be innovative (e.g. piloting a new, intensive or different approach) and this should be encouraged, but it must be capable of being sustained if it is successful. That is, while the programme can support one-off or pilot approaches, these must have the commitment of mainstream providers to longer-term sustainability if the approaches are successful and have the right impacts. The SSCF pilot programme should not be 100% funding proposed activity. There should be match funding, which is a demonstration of partner commitment to delivering sustainable transformation. Only in exceptional circumstances will 100% funding be considered and the proposal would also need to be exceptional. Proposals will be weighted on the basis of the funding proposals as follows:

- Greatest weight given to proposals with mainstream funding match.
- Some weight will be given to proposals with fragile funding match.
- Least weight given to proposals for 100% SSCF funding / no match.

Annex E: Stage 1 Initial Appraisal Form

1 Project Title

2 Project Proposer Name and Contact Details

3 Assessment of Evidence of Need

4 Assessment of Evidence of Linkage to Agreed Objectives

5 Assessment of Evidence of Effective Use of Resources

6 Assessment of Evidence of Future Sustainability

7 Recommendation: ……

Annex F: Stage 2 Detailed Form

Priority Neighbourhoods
Safer Stronger Communities Fund
2006/08
STAGE 2 DETAILED FORM

THIS FIRST PAGE INCLUDES ADVICE TO APPLICANTS

As your proposal will be evaluated, you will need to be aware of the criteria used for selecting successful proposals. Therefore separate guidance is available explaining how to complete this form. For a copy of the guidance, please ask your Priority Neighbourhood Co-ordinator or ring them on the following numbers:

Bulwell	**Jennifer Dickenson**	**0115 9157584**
Bestwood	**Katrina Curnow**	**0115 9157586**
Broxtowe and Bells Lane	**Ann Lynch**	**0115 9133346**
St Anns and Sneinton	**Dorothy Holmes**	**0115 9150379**

Try to answer all the questions in the form giving as much information as possible. You can also supply any supplementary evidence. If you have any queries, please contact the relevant Co-ordinator.

PLEASE NOTE

THE FORM TO BE COMPLETED IS 8 SIDES OF A4 – YOUR SUBMISSION SHOULD BE NO MORE THAN THE ALLOCATED 8 SIDES OF A4.

PLEASE DO NOT SUBMIT FURTHER PAGES.

THE FORM IS DIVIDED INTO THREE SECTIONS:

SECTION 1: ABOUT YOUR ORGANISATION

SECTION 2: ABOUT YOUR PROPOSAL

SECTION 3: ABOUT THE SSCF FUNDING REQUIRED

If your proposal is successful in receiving Safer Stronger Communities Funding you may be called upon at any point during its implementation to provide to the Area Committee(s) a report covering progress and any successes or achievements. The report should be preferably supported with any photographs of the progress in action.

PROJECT TITLE:	
SSCF REQUIRED FUNDING (state all priority neighbourhoods affected by activity)	
Priority Neighbourhood	***£ Amount***
	£
	£
	£
	£

SECTION 1: ABOUT YOUR ORGANISATION

Name of Organisation	***How would you describe your Organisation? (please tick)***
Address:	***Private*** ☐
	Public Service ☐
Post Code:	***Voluntary (see below)*** ☐
Telephone No:	
E-mail Address:	***Community based (see below)*** ☐
Fax:	***What is its Legal Status? E.g. charity, company, etc.***
Contact Name and Title	
Please nominate a person responsible for financial accountability. If different from Contact Name)	***How many people?***
	☐ *employed in your organisation*
Contact Details	☐ *voluntarily*
	NB: A voluntary organisation would employ paid staff whereas a community based organisation would not.
	Have all relevant checks and procedures been undertaken? E.g. Children's Act if propsal relates to working with children and young people
Proposer Name:	**Signature:**
Position:	**Date:**
Organisation/Service:	**Tel No:**

SECTION 2: ABOUT YOUR PROPOSAL

Tell us about the neighbourhood focus:
(Please identify the boundaries within the Priority Neighbourhoods and any other distinguishing point i.e. particular streets, park, open spaces only)

Tell us about the evidence of community need and how it will benefit communities:
(Please use the additional information overleaf as a guide)

Tell us about how your proposal seeks to benefit particular communities:
(Please use the following list A to G as a guide. Please be as precise as possible using more than one category if appropriate)

A. White	**B. Mixed**	**C. Asian or Asian British**
British	**White and Black Caribbean**	**Indian**
Irish	**White and Black African**	**Gujerati**
Eastern European	**White and Asian**	**Pakistani**
Western European (not UK)	**Asian and Black**	**Kashmiri**
Albanian		**Bangladeshi**
Kosovan		**Sylheti**
Bosnian		**East African Asian**
White Gypsy/Roma		**Sri Lankan**
White Traveller		
Any other White background please indicate	**Any other Mixed background please indicate**	**Any other Asian background please indicate**

D. Black or Black British	**E. Other Ethnic Groups**	**F. Other Groups**
Caribbean	**Chinese**	**Women (specify an age group if applicable)**
African	**Hong Kong**	**People with a disability (include mental heath)**
Black Somalian	**Vietnamese**	**People over 65**
	Arab (not Yemeni)	**Young people (13 to 25)**
	Yemeni	**Children 0 to 4**
	Afghanistan	**Children 5 to 12**
	Korean	**Carers**
	Kurdish	**Drug Users**
Any other Black background please indicate	**Any other ethnic background please indicate**	**Parents and Families**
		Homeless People
		Young People Not in Education, Employment or Training (NEETs)

G. Religious affiliation (optional)	
Buddhist	**Christian**
Hindu	**Jewish**
Muslim	**Sikh**
Rastafarian	**Any other (Please indicate)**

Tell us more about the service / activity that will be provided:

Describe the service / activity:

Describe the aims of service / activity:

Describe how the service / activity will be delivered:

Identify how the service / activity will deliver agreed objectives (please refer to the Local Area Agreement and Local Community Plan):

Tell us about how the service / activity will integrate with existing activities:
(This should include discussions and agreements with mainstream services and/or voluntary and community sector providers to demonstrate integration)

Contact(s) to confirm integration secured (names and addresses required):

Tell us about the evidence of effective use of resources:

Tell us about the evidence underpinning the future sustainablity:
(This should include commitment from mainstream services to the proposal or ways in which mainstream services plan to change existing activities or pilot new activities)

Contact(s) to confirm match funding secured (names and addresses required):

Tell us about any consultation you have undertaken:

Residents or Group Meeting	**[ ]**	***Public Meeting***	**[ ]**
Questionnaire	**[ ]**	***Local Conference***	**[ ]**
Local Survey	**[ ]**		
Other **(Please Specify)**	**[ ]**		

Please provide any evidence:

SECTION 3: ABOUT THE SSCF FUNDING REQUIRED

Please state <u>overall</u> expected expenditure and income:

(1.) REVENUE

Revenue Expenditure	**2006/07**	**2007/08**	**2008/09**
Employees (Salaries & Wages)	£		
Employer's Overheads	£		
Administrative Expenses	£		
Rent & Rates	£		
Heating, Lighting etc	£		
Equipment & Materials	£		
Transport	£		
Insurance	£		
Professional Fees	£		
Other (1)	£		
Other (2)	£		
TOTAL REVENUE COST	£		
SSCF REVENUE FUNDING REQUIRED	£		
REVENUE FROM OTHER SOURCES			
1. £			
2. £			
3. £			

(2.) CAPITAL

Capital Expenditure	**2006/07**	**2007/08**	**2008/09**
Acquisition – Land	£		
Acquisition – Buildings	£		
Construction Works	£		
Professional Fees	£		
Vehicles	£		
Other (1)	£		
Other (2)	£		
TOTAL CAPITAL COST	£		
SSCF CAPITAL FUNDING REQUIRED	£		
CAPITAL FROM OTHER SOURCES			
1. £			
2. £			
3. £			

NB: You will need to supply written evidence of any other funding and identifying the funding body.

You should also be aware that proposals involving building works and landscaping are likely to involve professional fees which need to be included within your project costings. Such proposals may be subject to what is known as a legal charge which records certain safeguards for the City Council's investment of money (usually for amounts over £25,000). If the charge is required you will need to obtain the services of a solicitor. If the proposal is successful, the Priority Neighbourhood Co-ordinator will advise you of these matters as part of any standard commissioning Agreement.

If the project proposer is an external organisation i.e. Voluntary and Community Sector organisation, then a copy of the most recent auditied accounts should be requested.

Please list any other organisations / services involved in this proposal and describe how they are involved. Please show if any funding is involved. You will need to supply written evidence of any other funding that has been confirmed with a signature from a relevant service manager in the organisation.

1.

Contact Name and Tel No:

Financial Support: £ given/expected (cross out option not relevant)

2.

Contact Name and Tel No:

Financial Support: £ given/expected (cross out option not relevant)

3.

Contact Name and Tel No:

Financial Support: £ given/expected (cross out option not relevant)

Annex G: Stage 2 Full Appraisal Form

Project Title: ……

PNC Appraisal Date: ……

Area Committee Date: ……

NB Each individual question should be scored from 0-4, with 0 being that it is not met at all, 2 being that it is partly met and 4 being that it is fully met. Scores of 1 & 3 can also be given if they are between these categories.

APPRAISAL CRITERIA	SCORE 0-4	COMMENTS
Overall Strategy: 1. Is the need for the project's activity clear and evidenced? 2. Does the project description give you a clear understanding of what the activities will be and how they will be carried out? 3. Does the activity contribute directly or indirectly to the achievement of one or more of the Local Area Agreement and Local Community Plan objectives? 4. Is there evidence that this idea is being worked up in partnership with other local organisations / agencies and making effective use of resources?		

APPRAISAL CRITERIA	SCORE 0-4	COMMENTS
Future Sustainability 5. Is there any evidence that the activity will be mainstreamed? 6. Is it clear how mainstream services will be improved, enhanced or extended through this activity? 7. Does the project have a clear forward strategy and is it clear what will happen to the activity beyond the SSCF funding?		

APPRAISAL CRITERIA	SCORE 0-4	COMMENTS
Financial Information 8. Are the assumptions behind the costings clear and reasonable and does the profiling of costs make sense? 9. Have all key items been included – e.g. salaries, marketing, recruitment, etc? 10. Do the levels of funding seem reasonable for the nature and scope of activity and how far does the project seem cost-effective? 11. Do the total costs match the funding profile? (a.) by quarter and (b.) by year 12. Has valid evidence been provided of any match funding or future funding committed?		

APPRAISAL CRITERIA	SCORE 0-4	COMMENTS
Delivery of Activity 13. Does the project make it clear who will do what, including who will provide management and support to any staff employed? 14. Do the management arrangements described seem adequate for the scale and scope of the project? 15. Are target communities located in the priority neighbourhood(s)? 16. Have appropriate start and end dates been provided?		

APPRAISAL CRITERIA	SCORE 0-4	COMMENTS
Outputs and Milestones 17. Are appropriate and realistic milestones identified? 18. Are these milestones spread over the activity period? 19. Are the outputs identified relevant to meeting the Local Area Agreement/Local Community Plan? 20. Has the maximum range of outputs been identified? 21. Are the outputs specific, measurable and realistic? 22. Have the main risks that could delay or prevent implementation been adequately considered? 23. Have actions been identified which will be taken to minimise the risks identified?		

APPRAISAL CRITERIA	SCORE 0-4	COMMENTS
Risks and Implications: 24. Indicate below that the following risks or implications have been checked and consultations undertaken with relevant officers: Legal Implications [ ] HR Implications [ ] Financial Implications [ ] Health and Safety [ ] Equal Opportunities [ ] Relevant Checks (e.g. Children's Act) [ ]		

Annex H: Area Committee Approval Sheet

FOR NEIGHBOURHOOD MANAGERS USE ONLY:
AREA COMMITTEE APPROVAL

This proposal is APPROVED and can be implemented.

WHERE APPROPRIATE: As this proposal may have requested funding from other SSCF pilot neighbourhoods, I am satisfied that sufficient liaison has taken place between the relevant Area Committees.

Signatures required as relevant to the project proposal.

Signed ……Area Committee Chair, Bulwell/Bullwell Forest

Signed ……PNC, Bulwell

Signed ……Area Committee Chair, Bestwood/Basford

Signed ……PNC, Bestwood

Signed ……Area Committee Chair, West Area

Signed ……PNC, Broxtowe and Bells Lane

Signed ……Area Committee Chair(s) St Anns/The Dales

Signed ……PNC, St Ann's and Sneinton

Date ……

Additional Comments or Observations.

Annex I: Contract Letter

SAFER STRONGER COMMUNTIES FUND (SSCF) GRANT YEAR ……

FUNDING AGREEMENT BETWEEN NOTTINGHAM CITY COUNCIL

AND ……

I am pleased to confirm that, subject to the conditions set out below, Nottingham City Council will pay a grant of **£…….** from the Safer Stronger Communities Fund, as a contribution towards the **…….....**

This is towards the revenue/capital costs of **…….....**

In making the offer of grant which is for **……** please remember that:

- Effective monitoring and financial management systems must be in place for the project. These should be available for audit by the Priority Neighbourhood Co-ordinator and Nottingham City Council (the 'Accountable Body') at any time.
- A grant claim form, invoice and evidence of expenditure for this funding will need to be submitted to the Priority Neighbourhood Co-ordinator on a quarterly basis.

GRANT FOR YEAR ……..

Nottingham City Council is prepared to pay a grant for the period **……**

a sum not exceeding **£……..**

for the purpose of the project described and for no other purpose.

The grant will only be paid on or after the receipt of a signed copy of this funding agreement which shows acceptance of the conditions of grant and also receipt of a claim form, invoice and evidence of expenditure.

All these documents should be received prior to **……** for Quarter **….**

and prior to **…….** for Quarter **….**

<u>PAYMENT ARRANGEMENTS</u>

Payment of grant will be made by Nottingham City Council which is the 'Accountable Body'. Payment is dependent on continuation of funding from Central Government and on compliance with all the terms and conditions of grant in this letter. Payment will be in arrears and the project will be required to provide an invoice, unless it is a Nottingham City Council internal project where payment will be made by internal transfer.

Claims must be made on the standard monitoring return/claim form which will be provided. Incomplete or incorrect monitoring return/claim forms will be returned. The monitoring return/claim form, together with supporting evidence of expenditure and of progress should be forwarded to the Priority Neighbourhood Co-ordinator:

Address Stamp:

A record must be kept, for a period of at least six years, of all expenditure, and all invoices, receipts and other relevant documents relating to claims kept in accordance with legal/accounting requirements. These must be available for inspection at any time by the Area Committee and Nottingham City Council, by the Government Office for the East Midlands or anyone acting on behalf of the GOEM or by the National Audit Office.

For capital items of equipment costing more than £1,000, an inventory of the asset acquired must be kept (and Accountable Body notified) and no disposal must take place within a period of five years, unless in accordance with grant conditions. The asset must be stored, maintained, insured and available for inspection on request.

PUBLICITY

Nottingham City Council and the project should ensure that, where publicity is given to the project, acknowledgement is made of the contribution of the Safer Stronger Communities Fund, the Area Committee and Nottingham City Council.

INELIGIBLE EXPENDITURE

The SSCF grant will not be paid and may not be used for:

a. Expenditure supported from other government sources, local authority grants, charges paid by leaseholders, or EC structural funds, to the extent that the combined SSCF grant and other support total more than 100% of the project costs.
b. Recoverable input VAT incurred.
c. Any liability arising out of negligence.

This list is not comprehensive. Please consult Nottingham City Council if there is any doubt as to whether particular costs are eligible for SSCF funding

FINANCIAL ACCOUNTABILITY

Documentary and other evidence must be available for examination by Nottingham City Council's Auditors to satisfy that monies are being properly and appropriately directed.

BREACH CONDITIONS AND RECOVERY OF GRANT

Nottingham City Council may reduce, suspend or withhold payments, or require all or part of the grant to be repaid if there has been a failure by the grant recipient to comply with the requirements set out in this contract letter and, in particular, where:

a. The performance of the project is judged to be unsatisfactory.

b. There is a substantial and unapproved change to the project.

c. The Project Manager fails to keep and maintain the records specified above.

d. Any attempt is made to transfer or assign any rights, interests or obligations created under this contract letter or substitute any person in respect of any such rights, interests or obligations without the agreement of Nottingham City Council.

PRINCIPAL CONTACTS

The principal contact is the relevant Priority Neighbourhood Coordinator:

……..

CONTRACT ACCEPTANCE

I have read and understood the contract letter and accept the offer of funding and the associated terms and conditions. Please sign and return.

Signature ……..

Name (print) ……..

Date ……..……

Annex J: Monitoring Return / Claim Form

SSCF GRANT

QUARTERLY MONITORING RETURN / CLAIM FORM 2006/2007

Quarter …….

Date ……

Project Title	
Project Manager	

For Staff Use only	
Date received:	Signed:
Date input:	Signed:

EXPENDITURE MONITORING:

Expenditure 2006/2007	Quarter Forecast	Quarter Actual	Total Year Forecast	Total To Date Actual
SSCF Revenue				
Other Revenue				
Total Revenue				
SSCF Capital				
Other Capital				
Total capital				
Total Expenditure				

Guidance Note:
The above table should evidence the expenditure for the relevant Quarter and so far this financial year. Please note that if there has been any 'over' or 'under' spend in previous quarters of this year, that 'over' or 'under' expenditure needs to be highlighted when completing the 'Total To Date Actual' column.

OUTPUTS MONITORING:

Quarter Forecast	Quarter Actual	Total Year Forecast	Total To Date Actual

Guidance Note:
The above table should evidence the outputs for the relevant Quarter and so far this financial year. Please note that if there has been any 'over' or 'under' achievement (in terms of outputs) in previous quarters of this year, that 'over' or 'under' achievement needs to be highlighted when completing the 'Total To Date Actual' column.

We need to ensure that outputs are not double counted. This means that **all outputs should be counted only once in each year**. For example, if a volunteer is working for a project for a whole year, they will only be counted in the first quarter of that year, not in every quarter in which they volunteer.

MILESTONES MONITORING:

Milestone Agreed	Target Date (Forecast)	Date Achieved (Actual)

Guidance Note:
The above table should evidence the milestones achieved for the relevant quarter and so far this financial year. Please note that if there has been any ‘over’ or ‘under’ achievement in previous quarters of this year, that ‘over’ or ‘under’ achievement needs to be highlighted when completing the ‘Date Achieved Actual’ column.

VARIANCE MONITORING:

If there have been any significant variances from your forecast for outputs, milestones or expenditure so far, please explain why:

Expenditure:

Outputs:

Milestones:

If there are likely to be any significant variances to forecasts in future, please explain why:

Expenditure

Outputs

Milestones

CERTIFICATION:

I certify that the information supplied above is honest and accurate:

Total amount of funding claimed in this Quarter

£ **……**

Signed by project manager

……..

Date **……**

Payment Details:

Payment will be made to your organisation either by cheque or internal transfer.

If payment is to be made by ***cheque***, to whom should the cheque be made payable **……..**

NB The cheque will be sent to the main project contact, unless we are advised otherwise.

Are you able to reclaim VAT? **……... (Yes / No)**

If payment is to be made by ***internal transfer***, please give the budget code to which the funding should be transferred

……..

N.B. Please retain a copy of this form for your own records and for audit purpose