

Meeting	CABINET
Time/Day/Date	5.00 pm on Tuesday, 23 June 2026
Location	Abbey Room, Stenson House, London Road, Coalville, LE67 3FN
Officer to contact	Democratic Services (01530 454512)

All persons present are reminded that the meeting may be recorded and by attending this meeting you are giving your consent to being filmed and your image being used. You are kindly requested to make it known to the Chairman if you intend to film or record this meeting.

The Monitoring Officer would like to remind members that when they are considering whether the following items are exempt information under the relevant paragraph under part 1 of Schedule 12A of the Local Government Act 1972 they must have regard to the public interest test. This means that members must consider, for each item, whether the public interest in maintaining the exemption from disclosure outweighs the public interest in making the item available to the public.

AGENDA

Item	Pages
1. APOLOGIES FOR ABSENCE	
2. DECLARATION OF INTERESTS	
Under the Code of Conduct members are reminded that in declaring interests you should make clear the nature of that interest and whether it is a disclosable pecuniary interest, registerable interest or other interest.	
3. PUBLIC QUESTION AND ANSWER SESSION	
4. MINUTES	
The minutes of the 11 June 2026 will be considered at the meeting of 28 July 2026	
5. TREASURY MANAGEMENT STEWARDSHIP REPORT 2025/26	
Report of the Head of Finance Presented by the Finance and Corporate Portfolio Holder	5 - 22

6.	SUPPLEMENTARY ESTIMATES AND CAPITAL APPROVALS	
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7.	CORPORATE BUSINESS CONTINUITY POLICY	
	Report of the Chief Executive Presented by Infrastructure Portfolio Holder	27 - 38
8.	FOOD SAFETY SERVICE DELIVERY PLAN 2026-27	
	Report of the Strategic Director of Communities Presented by the Community, Environment and Climate Change Portfolio Holder	39 - 66
9.	EAST MIDLANDS FREEPORT CONTRIBUTIONS SPD	
	Report of the Strategic Director of Place Presented by the Planning Portfolio Holder	67 - 192
10.	CUSTOMER SERVICE PERFORMANCE UPDATE 2025/26	
	Report of the Chief Executive Presented by the Housing, Property and Customer Services Portfolio Holder	193 - 204
11.	CORPORATE COMPENSATION AND REMEDIES	
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12.	ANNUAL CORPORATE COMPLAINTS 2025/26	
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13.	HOUSING SERVICE PERMISSION TO CONSULT – COMPLIANCE POLICIES	
	Report of the Strategic Director of Communities Presented by the Housing, Property and Customer Services Portfolio Holder	269 - 294
14.	EXCLUSION OF PRESS AND PUBLIC	
	The officers consider that the press and public should be excluded during consideration of the following items in accordance with Section 100(a) of the Local Government Act 1972 as publicity would be likely to result in disclosure of exempt or confidential information. Members are reminded that they must have regard to the public interest test and must consider, for each item, whether the public interest in maintaining the exemption from disclosure outweighs the public interest in making the item available.	

15. PROPERTY SERVICES RESPONSIVE REPAIRS AND MINOR WORKS CONTRACT

Report of the Strategic Director of Place
Presented by the Housing, Property and Customer Services Portfolio Holder

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T Gillard
K Merrie MBE
N J Rushton
A C Saffell
A C Woodman

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	TREASURY MANAGEMENT STEWARDSHIP REPORT 2025/26	
Presented by	Councillor Keith Merrie Finance and Corporate Portfolio Holder PH Briefed <input type="checkbox"/> Y	
Background Papers	<p>Council 19 February 2026 Capital Strategy, Treasury Management Strategy and Prudential Indicators</p> <p>Council 19 February 2026 2025/26 Mid-Year Treasury Management Report</p> <p>Audit and Governance Committee 26 February 2026 Treasury Management Update Report – Quarter 3</p>	<p>Public Report: Yes</p> <p>Key Decision: No</p>
Financial Implications	There are no financial implications as a direct result from this report.	
	Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	The Council is required to report Treasury Management activity to full Council.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	There are no staffing or corporate implications as a direct result from this report.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	To inform the Cabinet of the Council's Treasury Management Activity undertaken during the 2025/26 financial year.	
Recommendations	THAT CABINET NOTES THE TREASURY MANAGEMENT STEWARDSHIP REPORT FOR 2025/26.	

1.0 BACKGROUND

- 1.1 Treasury Management activity is underpinned by the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code), which requires local authorities to produce Prudential Indicators and a Treasury Management Strategy Statement annually on the likely financing and investment activity. The Prudential Indicators and Treasury Strategies for 2025/26 were approved by Council on the 19 February 2026.
- 1.2 As a minimum, the CIPFA Code also requires that the Council reports on the performance of the Treasury Management function at least twice yearly (mid-year and at year end). The year-end report and the fourth to be presented in relation to 2025/26 is attached at Appendix A. Quarterly reports are presented to the Audit and Governance Committee, and a half-yearly report was presented to Council in February 2026.
- 1.3 The Treasury Management Stewardship Report 2025/26 (Appendix) A is designed to inform Members of the Council's treasury activity for 2025/26. The report was presented to the Audit and Governance Committee on 10 June 2026, and no comments were made that require reporting to Cabinet. The report will be presented to Full Council on 15 September 2026.

2.0 SUMMARY

- 2.1 In compliance with the requirements of the CIPFA Code of Practice, Appendix A provides Members with a summary report of the Treasury Management activity for the period April 2025 to March 2026. A prudent approach has been taken in relation to investment activity, with priority given to security and liquidity over yield.
- 2.2 For the reporting period, there have been no breaches of the Treasury Management Strategy Statement that need to be brought to the attention of the Cabinet.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	None
Safeguarding:	Not applicable
Equalities/Diversity:	Not applicable
Customer Impact:	Not applicable
Economic and Social Impact:	Not applicable
Environment, Climate Change and Zero Carbon:	Not applicable
Consultation/Community/Tenant Engagement:	Not applicable
Risks:	Borrowing and investment both carry an element of risk. This risk is mitigated through the adoption of the Treasury and Investment Strategies, compliance with the CIPFA code of Treasury Management and the retention of Treasury Management advisors (Arlingclose) to proffer expert advice.
Officer Contact	Anna Crouch Head of Finance anna.crouch@nwleicestershire.gov.uk

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Treasury Management Activity Outturn Report 2025/26

1. Introduction

- 1.1 The Council has adopted the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code) which requires the Council to approve treasury management semi-annual and annual outturn reports.
- 1.2 The Council goes beyond this requirement by issuing quarterly reports which provide additional updates and includes the new requirement in the 2021 Code, mandatory from 1 April 2023, of quarterly reporting of the treasury management prudential indicators.
- 1.3 This report is the annual review of the financial year 2025/26.
- 1.4 The Council's treasury management strategy for 2025/26 was approved at the Council meeting on 20 February 2025. The Council has invested substantial sums of money and is, therefore, exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. Successful identification, monitoring and control of risk remain central to the Council's treasury management strategy.

2. External Context (provided by Arlingclose)

- 2.1 Economic background: The financial year was largely dominated by two periods of significant uncertainty and volatility. The first being the US trade tariff 'Liberation Day' in April 2025 and the second was the US/Israel war with Iran at the end of February 2026.
- 2.2 After the initial fallout from US tariffs, the following months saw some improvements as equity markets made gains and bond yields eased modestly. However, in the UK this trend in bond yields reversed somewhat as an uncertain economic outlook together with concerns around the government's fiscal position and autumn Budget saw 'term premia' rise as investors demanded a higher return for holding gilts.
- 2.3 The Budget itself was more muted than had been expected. Despite a weak economic outlook, this helped UK markets perform better with gilt yields trending downwards, inflation easing and expectations for cuts in Bank of England (BoE) Bank Rate increasing.
- 2.4 The end of February saw the start of the war between US/Israel and Iran. The conflict caused oil and other commodity prices to rise sharply as the shipping lanes in the region became effectively closed, restricting global oil supply. At the end of the period, the economic outlook remained highly uncertain in terms of its impact on inflation as well as countries' fiscal and monetary policy conditions around the globe.
- 2.5 Prior to the start of the war, headline UK consumer price inflation (CPI) had generally been trending downwards, albeit the 3% in February 2026 was unchanged from January. Core CPI also stayed put at 3.1%. Inflation was expected to fall further over the coming months to the BoE's 2% target, but the war changed this. Inflation is now expected to rise again, but how quickly and by how much depends on the duration of the war and how long commodity prices are elevated.

- 2.6 The Office for National Statistics (ONS) reported the UK economy expanded by 0.1% in Q4 2025. This followed previous modest gains of 0.2% in Q2 and by 0.1% in Q3. Of the subsequent monthly figures, the ONS estimated that GDP showed no growth in January 2026. As this is from before the war started the impact on growth will not be seen formally in the data for a couple more months.
- 2.7 While the most recent labour market figures were slightly better than expected, the general trend has been one of persistent weakness. In the three months to January 2026, the unemployment rate rose to 5.2% (from 5.1%) while the employment rate held at 75.1%. Despite inflation being expected to rise in the coming months, labour market conditions remain loose and so any upward pressure on wages from general inflation is likely to be tempered by the weaker labour market environment.
- 2.8 After cutting Bank Rate to 3.75% in December 2025, the BoE's Monetary Policy Committee (MPC) voted 5-4 to hold rates in February 2026 and then unanimously to do so again in March. Until the war started, financial markets were expecting Bank Rate to be cut to 3.5% at the March meeting. However, the conflict in the Middle East quickly changed this. The MPC noted the risks to both inflation and growth and indicated they could move rates either up or down depending on the conditions. Financial markets quickly responded to this by pricing in rate hikes.
- 2.9 Following the March MPC meeting, Arlingclose, the Council's treasury adviser, revised its central interest rate view and now predicts Bank Rate will be held at 3.75%. However, the conflict makes the outlook for rates highly uncertain. In the short-term the risks are to the upside with the chance of higher Bank Rate should the MPC decide it wishes to quickly quash potential second-round effects from higher inflation. Further out, if Bank Rate is hiked quickly, the pace and magnitude of subsequent cuts could take it far lower than was previously anticipated as policymakers add significant stimulus to a much weaker economic growth outlook.
- 2.10 The US Federal Reserve had been cutting rates over the period, reducing Fed Funds Rate target range by 0.25% at its December meeting to 3.50%-3.75%. At the three subsequent meetings, the rate was held at the same range. Policymakers noted that while inflation was elevated, economic activity had been expanding but the war with Iran made the path of monetary policy highly uncertain. Despite this, the Fed still suggested that further rate cuts were likely in 2026 and 2027.
- 2.11 The European Central Bank (ECB) has kept its key interest rates on hold since June 2025, maintaining the deposit rate at 2.0% and main refinancing rate at 2.15%. At its March 2026 meeting, the ECB noted the war in the Middle East had significantly increased uncertainty, creating upside risks for inflation and downside risks for growth, leading it to revise up its forecasts accordingly.
- 2.12 **Financial markets:** After declining sharply early in the financial year following the announcement of US tariffs, sentiment in financial markets had improved but equity and bond markets remained volatile throughout. However, the latter part of the period was dominated by the US/Israel war with Iran, which saw equity markets fall sharply, and bond yields rise as concerns over the inflationary impact from sharply higher oil and other commodity prices outweighed the flight-to-quality into government bonds often seen in conflicts.

- 2.13 Equity markets had been registering gains after the declines during the April sell-off, but the war reversed this and markets saw another sharp drawdown. Both the FTSE 100 and 250 fell by around 10% over the month from the start of the conflict to the end of the financial year.
- 2.14 The period saw significant volatility in gilt yields. The 10-year UK benchmark gilt yield started the year at 4.65% and ended at 4.86%. However, over this time the 10-year yield hit a low of 4.23% and a high of 4.95% in the space of a month. It was a similar picture for the 20-year gilt which started at 5.18% and ended at 5.45% with a low and high of 4.92% and 5.55% respectively. The Sterling Overnight Rate (SONIA) averaged 4.01% over the 12 months to 31st March.
- 2.15 **Credit review:** Arlingclose maintained its recommended maximum unsecured duration limit on most of the banks on its counterparty list at six months. The other banks remain on 100 days.
- 2.16 Earlier in the period, Fitch upgraded NatWest Group and related entities to AA- from A+ and placed Clydesdale Bank's long-term A- rating on Rating Watch Positive. Fitch later upgraded Clydesdale Bank and HSBC, but downgraded Lancashire CC and Close Brothers.
- 2.17 Moody's affirmed OP Corporate's rating at Aa3 in May 2025. Later in the period, Moody's upgraded Transport for London, Allied Irish Banks, Bank of Ireland, Toronto-Dominion Bank, DZ Bank, Nordea and HSBC and downgraded Close Brothers. In the last quarter of 2025 S&P upgraded Clydesdale Bank, Allied Irish Banks and Bank of Ireland, and assigned Warrington Council a BBB+ rating.
- 2.18 After spiking in April 2025 following the US trade tariff announcements, UK credit default swap (CDS) prices had trended down before picking up modestly in October and November. After declining again in December and into the new calendar year, they rose sharply once again when the war in the Middle East started. They were still elevated at the end of the period, but prices for all banks on Arlingclose's counterparty list remained within limits deemed satisfactory for maintaining credit advice at current durations.
- 2.19 Overall, European banks' CDS prices have generally been flatter and lower compared to the UK, as have Singaporean and Australian lenders while some Canadian bank CDS prices have remained elevated since the beginning of the period in part due to ongoing trade tensions with the US.
- 2.20 Financial market volatility is expected to remain, and CDS levels will be monitored for signs of ongoing credit stress. As ever, the institutions and durations on the Council's counterparty list recommended by Arlingclose remain under constant review.

3. **Local Context**

- 3.1 On 31 March 2025, the Council had net borrowing of £25.6m arising from its revenue and capital income and expenditure. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. These factors are summarised in Table 1 below.

Table 1: Balance Sheet Summary

	31.3.25 Actual £m	31.3.26 Estimated £m
General Fund CFR	34.81	33.62
HRA CFR	50.88	49.60
Total CFR	85.69	83.22
External borrowing	55.10	53.80
Internal borrowing	30.61	29.43
Total Borrowing	85.69	83.22

3.2 The treasury management position at 31 March 2026 and the change during the year is shown in Table 2 below.

Table 2: Treasury Management Summary

	31.3.25 Balance £m	Movement £m	31.03.26 Balance £m	31.03.26 Rate %
Long-term borrowing	53.80	-0.00	53.80	3.49%
Short-term borrowing	1.30	-1.30	0.00	2.30%
Total borrowing	55.10	-1.30	53.80	3.48%
Long-term investments	0.00	0.00	0.00	0.00%
Short-term investments	10.00	4.00	14.00	4.21%
Cash and cash equivalents	19.50	-2.50	17.00	3.63%
Total investments	29.50	1.50	31.00	3.89%
Net borrowing	25.60	-2.80	22.80	

4. **Borrowing**

- 4.1 CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement, and so may lead to new borrowing, unless directly and primarily related to the functions of the Council.
- 4.2 PWLB loans are no longer available to local authorities planning to buy investment assets primarily for yield and the Council intends to avoid this activity to retain its access to PWLB loans.
- 4.3 The Council currently holds £10.1m in commercial investments that were purchased prior to the change in the CIPFA Prudential Code. These commercial investments are primarily for local regeneration and growth with a secondary objective of financial return. Before undertaking further additional borrowing the Council will review the options for exiting these investments.
- 4.4 As shown in table 1 the Council has internally borrowed £29.43m. This internal borrowing foregoes a potential interest income rate of 3.89%. Current one-year external borrowing rates with the PWLB (Certainty Rate) are 5.01% as at 31 March 2026. An additional rate for HRA specific borrowing has been implemented from June 2023 which is 0.4% lower than standard PWLB rates.

4.5 Due to the borrowing rate exceeding our interest income rate, it is appropriate to remain internally borrowed at this point.

5 Borrowing Strategy and Activity

- 5.1 As outlined in the treasury strategy, the Council's chief objective when borrowing has been to strike an appropriate risk balance between securing lower interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the Council's long-term plans change being a secondary objective. The Council's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio.
- 5.2 Gilt yields slightly decreased over most of the period; reflecting expectations of lower interest rates, a tepid economy and to some extent an improvement in the UK governments fiscal position following tax rises in the autumn budget. Subsequent to the war in the Middle East however, gilt yields saw a rapid rise to above the yield at the beginning of the financial year.
- 5.3 The PWLB certainty rate for 10-year maturity loans was 5.38% at the beginning of the period and 5.72% at the end. The lowest available 10-year maturity/certainty rate was 5.13% and the highest was 5.88%. Rates for 20-year maturity loans ranged from 5.71% to 6.37% during the period, and 50-year maturity loans from 5.46% to 6.24%.
- 5.4 The cost of short-term borrowing from other local authorities has been similar to Base Rate during the period at 4.0% to 4.5%. However, as is commonly seen, rates rose higher towards the end of the financial year, with rates of 5.0% - 7.0% being seen.
- 5.5 CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement and so may lead to new borrowing, unless directly and primarily related to the functions of the Council. PWLB loans are no longer available to local authorities planning to buy investment assets primarily for yield unless these loans are for refinancing purposes. The Council has no new plans to borrow to invest primarily for financial return.
- 5.6 On 31 March 2026, the Council held £53.8m of loans, following repayment of principal of £1.3m. A breakdown of outstanding loans is shown below in table 3.

Table 3: Borrowing Position

	31.3.25 Balance £m	Net Movement £m	31.03.26 Balance £m	31.03.26 Weighted Average Rate %	31.03.26 Weighted Average Maturity (years)
Public Works Loan Board	51.1	-1.3	49.8	3.40%	12.90
Banks (fixed-term)	3.9	0.0	3.9	0.34%	1.99
Local authorities (long-term)	0.1	0.0	0.1	3.14%	0.01
Local authorities (short-term)	0.0	0.0	0.0	0.00%	0.00
Total borrowing	55.1	-1.3	53.8	3.48%	14.88

5.7 There remains a strong argument for diversifying funding sources, particularly if rates can be achieved on alternatives which are below gilt yields + 0.80%. The Council will evaluate and pursue these lower cost solutions and opportunities with its advisor Arlingclose.

6. Treasury Investment Activity

6.1 The CIPFA Treasury Management Code now defines treasury management investments as those which arise from the Council's cash flows or treasury risk management activity that ultimately represents balances which need to be invested until the cash is required for use in the course of business.

6.2 The Council holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. During the year, the Council's investment balances have ranged between £28.9m and £60.0m due to timing differences between income and expenditure. The investment position is shown in table 4 below.

Table 4: Treasury Investment Position

	31.3.25 Balance £m	Net Movement £m	31.03.26 Balance £m	31.03.26 Income Return %	31.03.26 Weighted Average Maturity days
Banks & building societies (unsecured)	0.0	0.0	0.0	0.00%	0.0
Government (incl. local authorities)	10.0	4.0	14.0	4.21%	120.8
Money Market Funds	19.5	-2.5	17.0	3.63%	0.5
Total investments	29.50	1.50	31.00	4.23%	121.3

6.3 Both the CIPFA Code and government guidance require the Council to invest its funds prudently, and to have regard to the security and liquidity of its treasury investments before seeking the optimum rate of return, or yield. The Council's objective when investing money is to strike an

appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.

- 6.4 As demonstrated by the liability benchmark in this report, the Council expects to be a long-term investor and treasury investments therefore include both short-term low risk instruments to manage day-to-day cash flows and longer-term instruments where limited additional risk is accepted in return for higher investment income to support local public services.
- 6.5 Bank Rate reduced from 4.50% to 4.25% in May 2025, followed by a further reduction to 4.00% in August 2025 and to 3.75% in December 2025. Short term interest rates have largely followed these levels. The rates on DMADF deposits ranged between 3.70% and 4.46% and money market rates between 3.34% and 4.48%.
- 6.6 The progression of risk and return metrics are shown in the extracts from Arlingclose's quarterly investment benchmarking in Table 5 below.

Table 5: Investment Benchmarking – Treasury investments managed in-house

	Credit Score	Credit Rating	Bail-in Exposure	Weighted Average Maturity (days)	Rate of Return %
31/03/2026	4.69	A+	55%	43	3.89%
Similar Las	4.57	A+	58%	45	4.29%
All Las	4.60	A+	64%	10	4.18%

- 6.7 During the 2025/26 financial year, financial markets were characterised by generally positive risk asset performance for much of the period, but with significant volatility, particularly at the beginning and end of the year. The period was effectively bookended by market disruption associated with US trade and foreign policy, initially following the announcement of US 'Liberation Day' tariffs in April 2025 and then, towards the year end, by the escalation of the US and Israel conflict with Iran in March 2026. Between these two episodes, market sentiment improved as inflation generally eased and expectations for further interest rate cuts increased, supporting both bond and equity markets.
- 6.8 The Council has budgeted £444,082 in interest income from investments after deductions in 2025/26. The actual income received by 31 March 2026 was £1,516,245.
- 6.9 Interest rates can and have been extremely volatile over the financial year and are likely to be similarly volatile in the upcoming months. Therefore, for the purpose of budget setting these forecasts are reduced by 20% to ensure that there is not an overreliance placed on interest return for creating a balanced budget.
- 6.10 The income received of £1.52m will be split between the General Fund (GF) and Housing Revenue Account (HRA). This split will be 55% to the GF and 45% to HRA. The percentage split is worked using the investment balances for both funds throughout the year as a percentage of the overall investment fund. This is subject to change based on statement of accounts completion.
- 6.11 Interest forecasts are notoriously difficult to predict and are subject to change particularly in an unstable interest rate environment and constantly changing economic environment.

7. Non-Treasury Investments

- 7.1 The definition of investments in the Treasury Management Code now covers all the financial assets of the Council as well as other non-financial assets which the Council holds primarily for financial return. Investments that do not meet the definition of treasury management investments (i.e. management of surplus cash) are categorised as either for service purposes (made explicitly to further service objectives) and/or for commercial purposes (made primarily for financial return).
- 7.2 Investment Guidance issued by the Ministry of Housing, Communities and Local Government (MHCLG) also includes within the definition of investments all such assets held partially or wholly for financial return.
- 7.3 The Council held £10.1m of investments made for commercial purposes. This consisted entirely of directly owned property and land. A full list of the Council's non-treasury investments is available in the Investment Strategy 2025-26 document. These investments are forecast to generate £333,000 in investment income in 2025/26 for the Council after taking account of direct costs.
- 7.4 The main purpose of these investments is regeneration of the local area rather than investment income. All commercial investments are located within the district.

8. Treasury Performance

- 8.1 The Council measures the financial performance of its treasury management activities both in terms of its impact on the revenue budget and its relationship with benchmark interest rates.
- 8.2 As discussed in section 6.9, investment interest income during the reporting period was £1,516,245 after deductions. The Council's investment interest return percentage on 31 March 2026 was 4.21%. For comparison purposes the Daily Sterling Overnight Index Average (SONIA) which is used for benchmarking purposes was 3.73%. For similar local authorities, the most recent benchmarking data, which is from 31 March 2026 showed an investment return of 4.46%. This is shown in Appendix 1.
- 8.3 Since the beginning of the reporting period the Council, as per forecast, has paid £1,297,388 in interest on borrowing. The weighted average interest rate on borrowing is 3.48%. For comparison purposes the current PWLB Maturity Loan rate for new 10-year loans is 5.69%. Our average rate therefore represents a good rate of borrowing in the current environment.
- 8.4 During the 2025/26 financial year, the Council has paid back £1.29m in principal on its PWLB loans. The £1.29m is for the annuity loans whereby regular payments are made throughout the lifetime of the loan. There is no intention to borrow to replace these loans as the Council currently has the resources to absorb this.
- 8.5 The Council was forecast to undertake new borrowing of £1.9m for the HRA in the 2025/26 financial year, however, none has so far been undertaken. There has therefore been an equal increase in the internal borrowing.
- 8.6 On 10 April 2024 amended legislation and revised statutory guidance were published on Minimum Revenue Provision (MRP). Most of the changes take effect from the 2025/26 financial year, although there is a requirement that for capital loans given on or after 7 May 2024 sufficient MRP must be charged so that the outstanding CFR in respect of the loan is no higher than the principal outstanding, less the Expected Credit Loss (ECL) charge for that loan. No

capital loans have been given since May 2024.

- 8.7 The regulations also require that local authorities cannot exclude any amount of their CFR from their MRP calculation unless by an exception set out in law. Capital receipts cannot be used to directly replace, in whole or part, the prudent charge to revenue for MRP (there are specific exceptions for capital loans and leased assets).

9. **Compliance**

- 9.1 The S151 Officer reports that all treasury management activities undertaken during the quarter complied fully with the CIPFA Code of Practice.
- 9.2 Compliance with the Authorised Limit and Operational Boundary for external debt is demonstrated in table 6 below.

Table 6: Debt and the Authorised Limit and Operational Boundary

	2025/26 Maximum Debt Q4	31.03.26 Actual £m	2025/26 Operational Boundary £m	2025/26 Authorised Limit £m	Complied?
Borrowing	55.1	53.2	90.8	100.8	YES

- 9.3 Since the operational boundary is a management tool for in-year monitoring it is not significant if the operational boundary is breached on occasions due to variations in cash flow, and this is not counted as a compliance failure. However, there were no days in the reporting period in which the operational boundary was breached.

Table 7: Investment Limits

	Q4 Maximum During Period £m	31.03.26 Actual £m	2025/26 Limit £m	Complied?
The UK Government	17.3	4.0	Unlimited	YES
Local authorities & other government entities	10.0	10.0	60.0	YES
Secured investments	0.0	0.0	60.0	YES
Banks (unsecured)	0.0	0.0	60.0	YES
Building societies (unsecured)	0.0	0.0	5.0	YES
Registered providers (unsecured)	0.0	0.0	12.5	YES
Money market funds	21.0	17.0	60.0	YES
Strategic pooled funds	0.0	0.0	25.0	YES

Real estate investment trusts	0.0	0.0	12.5	YES
Other investments	0.0	0.0	2.5	YES
Total	48.3	31.0		

10. **Treasury Management Prudential Indicators**

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

10.2 **Security:** The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit rating of its investment portfolio. This is calculated by applying a score to each investment (AAA=1, AA+=2, etc.) and taking the arithmetic average, weighted by the size of each investment. Unrated investments are assigned a score based on their perceived risk.

Table 8: Security

	31.3.25 Actual	31.03.26 Actual	2025/26 Target	Complied?
Portfolio average credit rating	A+	A+	A-	YES

10.3 **Liquidity:** The Council has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three-month period, without additional borrowing.

Table 9: Liquidity

		31.03.26 Actual £m	2025/26 Target £m	Complied?
Total cash available within 3 months	90	21.0	2.5	YES

10.4 **Interest Rate Exposures:** This indicator is set to control the Council's exposure to interest rate risk. The upper limits on the one-year revenue impact of a 1% rise or fall in interests is shown in table 10 below.

Table 10: Interest Rate Exposures

Interest rate risk indicator	31.03.26 Actual	2025/26 Limit	Complied?
Upper limit on one-year revenue impact of a 1% <u>rise</u> in interest rates	248,304	600,000	YES
Upper limit on one-year revenue impact of a 1% <u>fall</u> in interest rates	-248,304	-600,000	YES

10.5 The impact of a change in interest rates is calculated on the assumption that maturing loans and investment will be replaced at current rates. Due to all our investments maturing in year and the majority of our borrowing maturing in later years this means that we would benefit from an increase in interest rates (as we replace investments with higher rates but not borrowing) but are

negatively impacted by a decrease in interest rates for the same reason.

10.6 This is demonstrated in the above figures which show a positive return from an increase and a negative return from a decrease in interest rates. Both impacts are within reasonable limits for the revenue budget. The Council also takes further precautions by reducing its interest forecast by a risk-adjusted amount of 20% as discussed in paragraph 6.9.

10.7 For context, the changes in interest rates during the year were:

Table 11: Interest Rate Changes

Context - Interest Rate changes	01/04/2025	31/03/2026
Bank Rate	4.50%	3.75%
1-year PWLB certainty rate, maturity loans	4.82%	5.01%
5-year PWLB certainty rate, maturity loans	4.94%	5.25%
10-year PWLB certainty rate, maturity loans	5.38%	5.69%
20-year PWLB certainty rate, maturity loans	5.88%	6.19%
50-year PWLB certainty rate, maturity loans	5.63%	6.03%

10.5 **Maturity Structure of Borrowing:** This indicator is set to control the Council's exposure to refinancing risk. [This indicator covers the risk of replacement loans being unavailable, not interest rate risk.] The upper and lower limits on the maturity structure of all borrowing were:

Table 12: Maturity Structure of Debt

	31.03.26 Actual £m	31.03.26 Actual %	Lower Limit	Upper Limit	Complied?
Under 12 months	1.3	2.46%	0%	70%	YES
12 months and within 24 months	0.6	1.07%	0%	30%	YES
24 months and within 5 years	1.8	3.38%	0%	30%	YES
5 years and within 10 years	0.6	1.19%	0%	30%	YES
10 years and within 20 years	43.8	81.33%	0%	90%	YES
20 years and above	5.7	10.57%	0%	30%	YES
Totals	53.8	100%			

10.6 Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.

10.7 **Principal Sums Invested for Periods Longer than a year:** The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the long-term principal sum invested to final maturities beyond the period end were:

Table 13: Long Term Investments

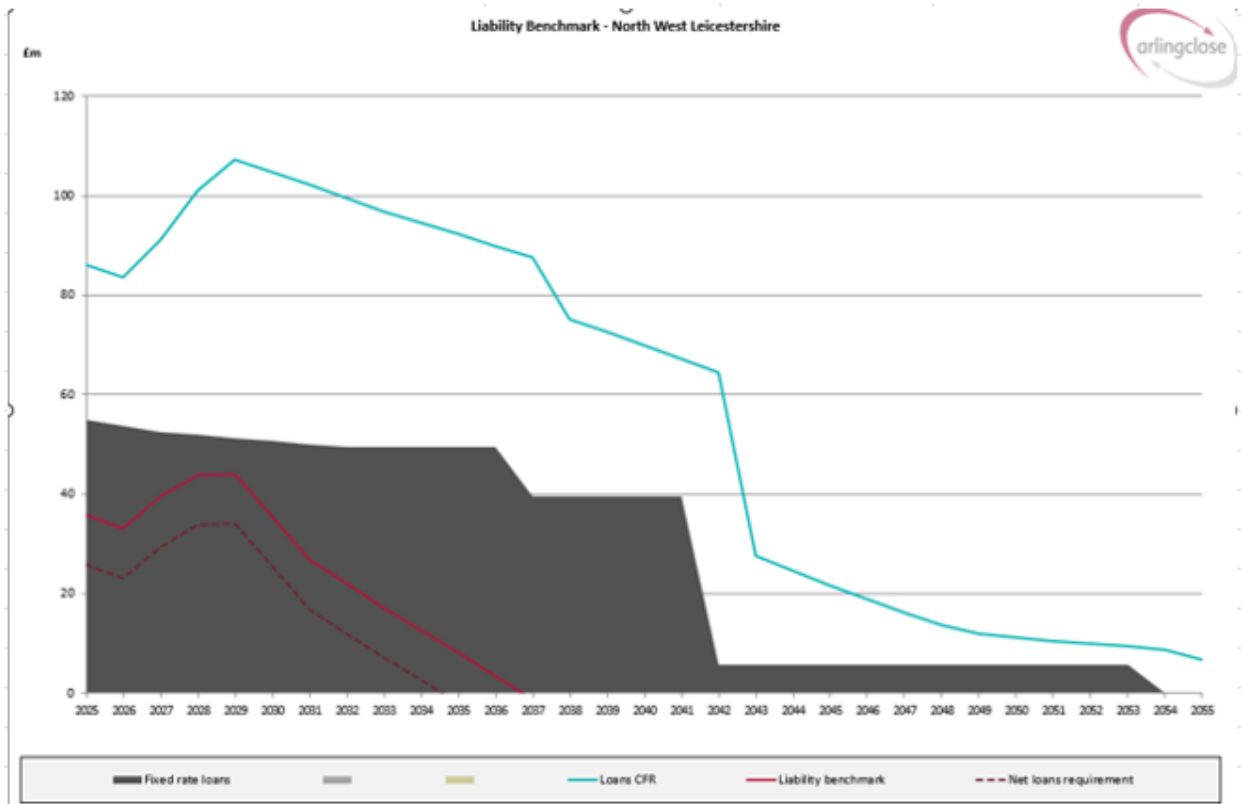
	2025/26	2026/27	2027/28	No Fixed Date
Actual principal invested beyond year end	£0m	£0m	£0m	£0m
Limit on principal invested beyond year end	£60m	£10m	£10m	£10m
Complied?	YES	YES	YES	YES

10.8 **Liability Benchmark:** This indicator compares the Council's actual existing borrowing against a liability benchmark that has been calculated to show the lowest risk level of borrowing. The liability benchmark is an important tool to help establish whether the Council is likely to be a long-term borrower or long-term investor in the future and so shape its strategic focus and decision making. It represents an estimate of the cumulative amount of external borrowing the Council must hold to fund its current capital and revenue plans while keeping treasury investments at the minimum level of £10m required to manage day-to-day cash flow.

10.9 **Table 14: Liability Benchmark**

	31.3.26 Estimate	31.3.27 Forecast	31.3.28 Forecast	31.3.29 Forecast
Loans CFR	83.7	90.9	101.1	107.3
Less: Balance sheet resources	-60.7	-61.6	-67.4	-73.3
Net loans requirement	23.0	29.3	33.7	34.0
Plus: Liquidity allowance	10.0	10.0	10.0	10.0
Liability benchmark	33.0	39.3	43.7	44.0
Existing external borrowing	-53.8	-52.7	-52.1	-51.6

10.10 Following on from the medium-term forecast above, the long-term liability benchmark assumes no capital expenditure funded by borrowing before 2025/26, minimum revenue provision on new capital expenditure based on a variable asset life depending on asset type (This can vary from 5 – 50 years) and income, expenditure and reserves all increasing by inflation of 2.5% p.a. This is shown in the chart below together with the maturity profile of the Council's existing borrowing.



10.11 The Liability Benchmark shows the underlying need to borrow (Loans CFR) in the blue line at the top of the graph, the grey shaded area as existing loans and the strong red line as the requirement for external borrowing. This graph demonstrates that by using internal resources the Council is likely to not have an external borrowing requirement in 2025/26. However, there is little room for adjustment and the Liability Benchmark graph is an estimate and subject to significant change. This situation may evolve and create a borrowing requirement in the next couple of years.



Investment Benchmarking
31 March 2026

North West Leicestershire
48 English Non-Met Districts Average
156 LAs Average

Internal Investments	£31.0m	£27.5m	£49.8m
Cash Plus & Short Bond Funds	£0.0m	£1.2m	£0.7m
Strategic Pooled Funds	£0.0m	£9.3m	£9.9m
TOTAL INVESTMENTS	£31.0m	£38.0m	£60.5m

Security

Average Credit Score	4.69	4.57	4.60
Average Credit Rating	A+	A+	A+
Average Credit Score (time-weighted)	4.58	4.45	4.51
Average Credit Rating (time-weighted)	A+	AA-	A+
Number of Counterparties / Funds	8	10	10
Proportion Exposed to Bail-in	55%	58%	64%

Liquidity

Proportion Available within 7 days	55%	49%	57%
Proportion Available within 100 days	84%	67%	72%
Average Days to Maturity	43	45	10

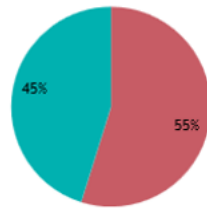
Market Risks

Average Days to Next Rate Reset	68	66	52
Strategic Fund Volatility	-	2.3%	3.1%

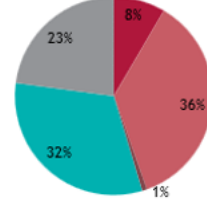
Yield

Internal Investment Return	3.89%	4.14%	4.02%
Cash Plus Funds - Income Return	-	3.57%	3.60%
Strategic Funds - Income Return	-	4.91%	4.88%
Total Investments - Income Return	3.89%	4.29%	4.18%
Cash Plus Funds - Capital Gain/Loss	-	0.64%	0.62%
Strategic Funds - Capital Gain/Loss	-	1.31%	1.19%
Total Investments - Total Return	3.89%	4.67%	4.46%

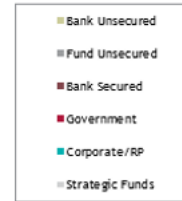
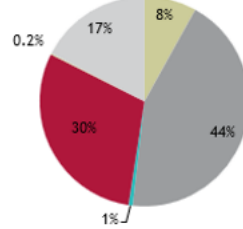
North West Leicestershire



English Non-Met Districts



All Arlingclose Clients



Notes

- Unless otherwise stated, all measures relate to internally managed investments only, i.e. excluding external pooled funds.
- Averages within a portfolio are weighted by size of investment, but averages across authorities are not weighted.
- Pooled fund returns are 1-year to the end of the quarter.
- Credit scores are calculated as AAA = 1, AA+ = 2, etc.
- Volatility is the standard deviation of weekly total returns, annualised.

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	SUPPLEMENTARY ESTIMATES, VIREMENTS AND CAPITAL APPROVALS	
Presented by	Councillor Keith Merrie Finance and Corporate Portfolio Holder PH Briefed <input type="checkbox" value="Y"/>	
Background Papers	Council 17 February 2026: General Fund Budget and Council Tax 2026/27	Public Report: Yes
	Cabinet 28 April 2026: Supplementary Estimates, Virements and Capital Approvals	Key Decision: Yes
Financial Implications	The report seeks approval to move the Solar Panels scheme at Ashby Leisure Centre from the Development Pool to the Active Programme, with a £195,000 budget funded from the Business Rates Reserve.	
	Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	No legal implications arising from this report.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	There are no staffing implications arising from the report.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	To seek approval to move a capital scheme from the development pool to the active programme.	
Reason for Decision	The Council's Financial Procedure Rules, Section 2, paragraphs A24 to A28 stipulate the procedures for virements and supplementary estimates, whilst the Council's Capital Strategy sets out the Governance of the Capital Programme	
Recommendations	THAT CABINET: 1. THAT CABINET APPROVES THE MOVEMENT OF THE CAPITAL SCHEMES DETAILED IN PARAGRAPH 2.2 FROM THE DEVELOPMENT POOL TO THE ACTIVE PROGRAMME.	

1.0 BACKGROUND

- 1.1 This is a regular report to Cabinet to enable the approval of supplementary estimates, virements and capital movements in a timely manner for the efficient operation of the Council.
- 1.2 This report covers items in respect of the General Fund.

2.0 SUPPLEMENTARY ESTIMATES

- 2.1 A supplementary estimate is an addition to the Council's approved budget and is considered in line with the Council's Financial Procedure Rules and Constitution.
- 2.2 There are no supplementary estimates requiring approval or reporting for this period.

3.0 VIREMENTS

- 3.1 A virement is the transfer of budget provision from one area to another and does not result in a change to the overall Council-approved budget.
- 3.2 Virement approval levels are set out in the Council's Constitution and Financial Procedure Rules.
- 3.3 There are no virements requiring approval or reporting for this period.

4.0 CHANGES TO THE CAPITAL PROGRAMME

- 4.1 Schemes in the capital programme are grouped under two categories and these are:

Development Pool: These are schemes not yet fully costed, or funding sources identified. A full business case is required to be prepared and presented to the Capital Strategy Group for consideration before the scheme can go ahead.

Active Programme: Schemes in this category have been approved (by Capital Strategy Group, Cabinet or Council), fully funded and are being delivered.

- 4.2 Table 1 below provides details of schemes for Cabinet approval to move from the development pool to the active projects.

Table 1: Capital Programme Changes

Scheme	Fund	Budget £	Additional Information
Solar Panels - Ashby Leisure Centre	General	195,000	The installation of solar panels on the roof of Ashby Leisure centre will contribute to ongoing cost saving and enhance The Councils sustainability objectives; funded from the Business Rates Reserve.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	The proposal is in line with the Council's Constitution and Financial Procedure Rules, which require Cabinet approval for amendments to the Capital Programme and the reallocation of resources between schemes.
Safeguarding:	N/A
Equalities/Diversity:	N/A
Customer Impact:	N/A
Economic and Social Impact:	The scheme is expected to contribute positively through investment in local infrastructure and improved leisure provision.
Environment, Climate Change and Zero Carbon:	The installation of solar panels supports the Council's environmental objectives by reducing carbon emissions and contributing to energy efficiency.
Consultation/Community/Tenant Engagement:	None.
Risks:	<p>Risks will be managed through normal project governance processes, including cost control, delivery timelines and performance of the scheme.</p> <p>This report helps maintain compliance with the Council's constitution and reduces the risk of unauthorised spending.</p>
Officer Contact	Anna Crouch Head of Finance and Deputy S151 Officer anna.crouch@nwleicestershire.gov.uk

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	CORPORATE BUSINESS CONTINUITY POLICY	
Presented by	Councillor Nicholas Rushton Infrastructure Portfolio Holder PH Briefed <input type="checkbox" value="Y"/>	
Background Papers	None	Public Report: Yes
		Key Decision: No
Financial Implications	The policy itself has no direct financial implications. Any costs associated with training, exercises, or improvements identified through testing will be managed within existing resources unless reported otherwise.	
	Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	The policy supports the Council's statutory duties under the Civil Contingencies Act 2004 by strengthening preparedness, resilience, and continuity of critical services.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	The policy has minimal direct staffing implications, however, there may be a need for periodic training, awareness, and contingency planning to ensure staff are prepared to respond effectively during disruptions. From a corporate perspective, implementing the policy strengthens organisational resilience, supports statutory and regulatory compliance, and helps safeguard service delivery, reputation, and stakeholder confidence in the event of an incident.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	This report seeks Cabinet approval of the Business Continuity Policy at Appendix 1. The policy provides a consistent, Council-wide framework to support resilience, assurance, and continuous improvement. Business continuity management complements, rather than replaces, the Council's statutory role in civil contingencies and emergency planning.	
Reason for Decision	<i>This is a corporate policy which requires Cabinet approval in accordance with the Constitution.</i>	

Recommendations	THAT CABINET: <ol style="list-style-type: none"> 1) APPROVES THE ADOPTION OF THE COUNCIL'S BUSINESS CONTINUITY POLICY, ATTACHED AT APPENDIX 1. 2) NOTES THAT SERVICE-LEVEL BUSINESS CONTINUITY PLANS ARE ALREADY IN PLACE, AND THAT THE POLICY PROVIDES ORGANISATION-WIDE GOVERNANCE, CONSISTENCY, AND BEST-PRACTICE ASSURANCE. 3) NOTES THAT BUSINESS CONTINUITY TRAINING FOR SENIOR LEADERSHIP IS BEING PROCURED TO STRENGTHEN STRATEGIC READINESS AND RESPONSE. 4) DELEGATES AUTHORITY TO THE HEAD OF PAID SERVICE TO MAKE ANY NECESSARY MINOR, NON-MATERIAL AMENDMENTS TO THE POLICY PRIOR TO PUBLICATION.
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1.0 BACKGROUND

Business Continuity Management (BCM) describes how the Council prepares for, responds to, and recovers from disruptions that affect the delivery of services, such as loss of premises, ICT failure, supplier disruption, or severe staff shortages.

While service-level Business Continuity Plans (BCPs) are already in place, the absence of a single corporate policy means there is no formal organisation-wide standard covering governance, accountability, training, testing, and review. Introducing a corporate policy aligns the Council with recognised good practice, strengthens assurance, and supports consistent implementation across all directorates, including commissioned and outsourced services.

The Council's BCM arrangements sit alongside and in support of its responsibilities under the Civil Contingencies Act 2004. Business continuity focuses on maintaining and restoring critical services and internal operations, enabling the Council to continue to function effectively while also contributing to wider emergency response arrangements led through civil contingencies and emergency planning.

2.0 PROPOSED POLICY – KEY POINTS

The Business Continuity Policy (Appendix 1):

- Sets out a clear organisational framework for business continuity management.
- Defines roles and responsibilities for Members, Senior Leadership, Directors, managers, staff, and the Business Continuity Lead.
- Establishes expectations for service-level BCPs, including business impact assessment and alignment with incident management and ICT disaster recovery.

- Covers supply-chain resilience, including commissioned and outsourced services.
- Commits the Council to training, exercising, and testing of plans.
- Introduces consistent monitoring and review of arrangements to provide assurance and drive improvement.

3.0 EXISTING ARRANGEMENTS

Service Business Continuity Plans are already in place and are used operationally when disruptions occur. The proposed policy does not replace these plans; instead, it:

- Consolidates existing practice into a single, approved corporate framework.
- Provides clarity on expectations and accountability.
- Supports consistent quality, review, and testing of plans across the organisation.

4.0 TRAINING AND EMBEDDING

To strengthen strategic capability, business continuity training for Senior Leadership is being procured. This will support leaders to:

- Understand their roles during significant disruption.
- Set recovery priorities for critical services.
- Operate effectively at the interface between incident management, business continuity activation, and wider emergency planning arrangements.

This will be complemented by ongoing awareness, training, and exercising for relevant officers to ensure arrangements are understood and kept up to date.

5.0 IMPLEMENTATION AND REVIEW

Subject to approval, the policy will be published and communicated across the organisation. Directors and Heads of Service will remain responsible for maintaining service-level BCPs in line with the policy.

The Policy was considered by the Corporate Scrutiny Committee on 18 June 2026 and a verbal update will be given as to any comments provided by the Committee.

The Business Continuity Policy will be reviewed on a three yearly cycle, or earlier where significant organisational or external change occurs.

Policies and other considerations, as appropriate	
Council Priorities:	- A well-run council
Policy Considerations:	None
Safeguarding:	The policy has a positive, indirect safeguarding implication by helping ensure continuity of critical services that support children and adults at risk during disruption.
Equalities/Diversity:	Effective business continuity planning supports fair access to services during disruption, including for vulnerable groups.
Customer Impact:	The policy supports continuity of customer-facing services and communications during disruption, helping residents and service users access information, report issues, and receive support (including alternative contact routes where normal channels are unavailable).
Economic and Social Impact:	By strengthening service resilience, the policy helps minimise disruption that can impact local residents, communities, and businesses (for example, delays to statutory services, advice, or operational responses).
Environment, Climate Change and Zero Carbon:	N/A
Consultation/Community/Tenant Engagement:	N/A
Risks:	Adoption of the policy reduces the likelihood and impact of service disruption. Risks relating to inconsistent coverage or plan quality will be managed through monitoring, review, and training.
Officer Contact	Hannah Panter Head of HR and OD hannah.panter@nwleicestershire.gov.uk



Item	Details
Reference:	[Insert report reference]
Status:	For decision
Originator:	[Service/Directorate]
Owner:	[Policy owner / Responsible officer]
Version No:	1.0
Date:	[Insert date]

Policy Statement

North West Leicestershire Council is committed to ensuring robust and effective Business Continuity Management (BCM) arrangements are in place as a key mechanism to restore and deliver continuity of services in the event of a disruption or emergency. The Council provides services to the community and so must be able to continue providing critical services effectively when incidents or service disruptions occur.

The Civil Contingencies Act 2004 places a statutory duty on the Council to ensure that it can:

- respond to an emergency
- continue to support emergency response partners
- continue to provide critical services to the public.

Effective business continuity planning enables the Council to fulfil its duties by requiring that services have robust business continuity arrangements in place. The Council acknowledges that while not all services are critical, most services are important to the wider community and, therefore, the Council is committed to ensuring that all plans are in place.

These plans help to build confidence that the Council will respond effectively if unexpected events happen, by having procedures in place to reduce risk and limit the impact of an incident and any effect on its ability to achieve the corporate plan priorities.

In a disruptive situation, it may not be possible to continue to provide all Council services. Whilst all services are important, priority for recovery will be given to those which have been established as being the most essential, the business-critical activities – i.e., those that the organisation has agreed must be back up and running first. Resources will be directed to these business-critical services first. It may be unrealistic to expect the entire service, critical or not, to be recovered immediately. In this case, the essential parts of the service must be restored followed by the non-essential elements when possible.

Definition and Scope

Business Continuity Management (BCM) is how the Council prepares for disasters, unexpected incidents or events that effect the delivery of services. This policy outlines the BCM principles to identify critical activities and ensuring we meet our duty under the Civils Contingencies Act 2004.

Business continuity management (BCM) and incident management are distinct but related processes; however, an incident may invoke business continuity arrangements, and business continuity activation may itself involve incident management actions

By having effective BCM planning when incidents do occur, the disruption to the Council should be reduced and have a limited impact.

There are several events which may disrupt the Council's day-to-day activities, causing Business Continuity Plan's (BCPs) to be invoked, examples include but not limited to:

- Loss of access to buildings
- Absence of large numbers of staff i.e. industrial action, pandemic

- Loss of utilities within buildings
- Loss of key suppliers or partners
- Major IT / Power outage (internal)
- Widespread Power Outage (covered under incident management)
- Severe weather conditions (covered under Incident management)
- Fuel disruption
- Flooding (covered under incident management)
- Other major incident- A major incident is an event or situation that threatens serious damage to human welfare, the environment, or security, and requires the implementation of special arrangements to manage and respond to it.

All officers and those working voluntarily or under contract to the Council must be aware of, their responsibilities under the BCPs and are required to comply with such requirements.

This policy also applies to the management of all supply chains especially outsourced contracts.

It requires those responsible for negotiating and managing contracts to ensure appropriate business continuity conditions are included in contracts, in order that the service provider can deliver acceptable levels of service following a disruption to the Council or the supplying company.

Performance monitoring will be co-ordinated by the Business Continuity lead and will focus on the following components:

- Scope - ensure BCPs are implemented and reviewed, highlighting critical services.
- Validation - To verify that BCPs work and are fit for purpose.
- Training and Exercising - to ensure key staff are familiarised with the BCPs and what is expected of them in a crisis.

Disaster Recovery Planning

Disaster recovery planning refers to the way data, servers, files, software applications, and operating systems are restored following a damaging event. In contrast, business continuity refers to the way a business maintains operations during a time of technological malfunction or outage.

In other words, a disaster or data recovery plan dictates how a business should respond to a disaster, while a business continuity plan dictates how a business can continue to operate throughout a disaster.

The Council has an ICT Disaster Recovery Plan in place.

Aims and Objectives

The Council's BCPs provide a structure to anticipate risks, mitigate them where possible, and to have flexible and tested plans in place to minimise disruption when an unplanned event significantly disrupts normal business.

The objectives are:

- To ensure the Council can continue to exercise its functions and contractual obligations in the event of an emergency
- To maintain a suite of robust business continuity management documents covering all service areas
- To identify the potential areas of vulnerability affecting Council services
- To determine overall priorities for recovery of functions if disruption takes place
- To build on good work already in place within risk management arrangements
- To ensure that all Council directorates and service areas are involved in business continuity planning so that there is an effective and consistent response
- To undertake training and awareness programmes for staff, elected members, suppliers, and partners as required
- To validate business continuity arrangements by performing periodic testing of BCPs
- To ensure that critical IT systems have a Disaster Recovery Planning solution in place so critical services can continue.

The benefits of effective business continuity planning are:

- Increased resilience to key threats
- Greater awareness of risk exposure
- Ability to respond rapidly to minimise cost interruptions
- A workable, accountable approach that can be reviewed
- A process that forms part of effective corporate governance

Business Continuity Document Framework

Business continuity management documentation suggests a single document. However, a variety of plans can exist at any organisation level. The Council's BCM document framework currently comprises of several documents which include:

Incident Plan – This plan determines the individual department and teams involved in an incident response. It provides details on how to invoke the business continuity arrangements, actions to be taken and timescales. The plan includes information on communication and call-cascading processes, opening of Emergency Centres etc.

Business Continuity Plan (Service Plans) – this is the key data gathering document, it includes a Business Impact Analysis for each critical service to identify and assess its needs. It provides key details for their recovery procedures and the service's ability to work from home or other locations if required. Additionally, it lists all the contact details for the team, both in and out of office hours.

ICT disaster recovery plan- outlines how a disaster recovery invocation will be managed and provides details on the disaster recovery planning arrangements.

Roles and Responsibilities

The following table details the key roles and responsibilities in relation to ensuring the ongoing success and support of the BCM programme within the Council.

Elected Members / Senior Leadership

- Provide strategic oversight and assurance that effective business continuity arrangements are in place.
- Support decision-making during significant disruption where required.

Corporate Leadership Team

- Provide overall leadership and direction during major incidents or significant disruptions.
- Ensure adequate resources are available to support business continuity management.
- Agree recovery priorities for critical services.

Business Continuity Lead (Head of HR and Organisational Development)

- Develop, maintain, and review the Business Continuity Policy and framework.
- Provide guidance and support to services in developing and maintaining Business Continuity Plans (BCPs).
- Coordinate training, awareness, testing, and exercising of BCPs.
- Monitor compliance and report on business continuity arrangements.

Directors and Heads of Service

- Identify critical services and undertake Business Impact Assessments.
- Develop, maintain, test, and review service-level Business Continuity Plans.
- Ensure staff are aware of their roles and responsibilities within the BCP.
- Activate and manage service BCPs during disruptions and report issues as required (this may be as ICO under the incident plan).

Managers and Team Leaders

- Implement continuity arrangements within their teams when plans are invoked.
- Ensure staff safety and welfare during disruptions.
- Maintain communication with service managers during incidents.

Employees

- Be familiar with relevant Business Continuity Plans and follow agreed procedures.
- Participate in training and exercises when required.
- Report incidents or disruptions promptly through agreed channels.

ICT Services

- Maintain and test ICT disaster recovery arrangements.
- Support the restoration and continuity of critical systems and data.
- Work with services to identify ICT dependencies and recovery priorities.

Human Resources

- Provide advice and support on staffing, redeployment, absence management, and staff welfare during disruptions.

Communications Team

- Coordinate internal and external communications during incidents.
- Ensure timely and accurate information is provided to staff, partners, and the public.

Suppliers and Partners

- Maintain appropriate business continuity arrangements in line with contractual requirements.
- Support continuity of commissioned and outsourced services during disruption.

Skills and Training

Having established the roles and accountabilities for BCM programme, the Council must ensure that it has the required skills for maintaining the procedures and plans. This will be achieved by a programme of BCM awareness / training which will include

- Awareness of business continuity management for new employees through the Corporate Induction programme.
- Provision of tailored training sessions
- Attendance at regional seminars, webinars, Emergency Planning groups, and Business

In addition, BCM documentation is stored on the Councils network server and on Resilience Direct which is a secure government storage platform that can only be accessed by relevant officers.

Training is also provided on the use of both storage options.

Testing of Business Continuity Plans

Business continuity management cannot be considered as reliable or effective until it has been tested. Testing these arrangements is key to confirming that those plans are robust and will be effective in the event of an actual incident.

The Business Continuity lead will arrange testing of the business continuity arrangements, a minimum of two exercises will be undertaken a year utilising the following types of exercises:

- Discussion-based exercises – participants can explore relevant issues and walk-through plans in a low-pressure environment.
- Scenario exercises – usually conducted in a tabletop environment. Participants are expected to have some familiarity with the plans being exercised and are required to demonstrate their understanding of how the plans work as the scenario unfolds.
- Simulation exercises – these are more elaborate and can involve teams across the Council.

Participants are given information in a way that simulates a real incident and are asked

to deal with the updates or requests for information as if it were real and develop and implement a suitable response. These are generally carried out as testing of emergency planning arrangements.

Monitoring and Review

BCM is essential if the Council is to meet its obligations to provide critical services to the public and partner agencies during a period of disruption.

To maintain the effectiveness of the BCP (Service Plans) there will be a 12-month review date set.

Additionally, plans will be reviewed outside of this arrangement if the following circumstances occur:

- Structural, procedural or systems changes within the Council that would significantly affect the management of a major disruption to critical services
- External changes that would significantly affect the management of major disruption to the Council's identified critical services
- Significant changes to staff and buildings
- New Regulations / Guidance
- Recommended changes following testing/exercises
- Recommended changes following a major disruption or activation of this plan

The Business Continuity Policy will be reviewed every two years or earlier if there are any significant changes because of the circumstances occurring.

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	FOOD SAFETY SERVICE DELIVERY PLAN 2026/27	
Presented by	Councillor Michael Wyatt Community, Environment and Climate Change Portfolio Holder PH Briefed <input data-bbox="1252 577 1356 645" type="checkbox" value="Y"/>	
Background Papers	Food Standards Agency – The Framework Agreement on Official Feed and Food Controls by Local Authorities. Food Standards Agency – Food Law Code of Practice (England) North West Leicestershire District Council General Enforcement Policy North West Leicestershire District Council food Law Enforcement Policy	Public Report: Yes Key Decision: Yes
Financial Implications	The budget for the provision of the food safety service is £376,330. No additional funding is required to deliver the 2026/27 service delivery plan Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	The Council has statutory duties under the Food Safety Act 1990 and associated legislation, including the Food Law Code of Practice (England), to enforce food safety within its district. The Food Safety Service Delivery Plan demonstrates how the Council will discharge these duties in accordance with the Food Standards Agency’s Framework Agreement on Official Feed and Food Controls. Failure to implement an adequate and properly resourced service delivery plan may result in intervention by the Food Standards Agency under its statutory powers. The Plan also supports the Council’s obligations under the Regulators’ Code and the Better Regulation Framework, ensuring that enforcement activities are proportionate, consistent and risk based.	

	Signed off by the Deputy Monitoring Officer: Yes
Staffing and Corporate Implications	The delivery plan will be undertaken within existing resources.
	Signed off by the Head of Paid Service: Yes
Purpose of Report	To inform Members of and seek approval for, the Food Safety Service Delivery Plan 2026/2027 as required by the Food Standards Agency. To inform Members of the service performance in 2025/2026.
Reason for Decision	To enable the Council to discharge its statutory duties under the Food Safety Act 1990 and comply with the Food Standards Agency Framework Agreement by approving the Food Safety Service Delivery Plan 2026/27.
Recommendations	(1) THAT THE ENVIRONMENTAL HEALTH FOOD SAFETY SERVICE DELIVERY PLAN 2026/27 APPENDED TO THIS REPORT BE APPROVED. (2) THAT THE PERFORMANCE AND ACHIEVEMENTS IN 2025/26 BE NOTED.

1.0 BACKGROUND

- 1.1 The Food Safety function is delivered by the Environmental Health team. When providing the Food Safety function, the Council must have regard to the 'Framework Agreement on Official Feed and Food Controls by Local Authorities' ("the Framework Agreement") which sets out the standards agreed with the Food Standards Agency. These duties arise from primary legislation including the Food Safety Act 1990 and associated regulations.
- 1.2 The Framework Agreement requires each food safety service to document and implement a Food Safety Service Delivery Plan in accordance with a specified standard. In addition, a documented performance review of the plan is required to be carried out at least once a year. The Framework Agreement requires the Service Plan, together with the performance review to be submitted for member approval to ensure local transparency and accountability.
- 1.3 The Environmental Health Food Safety Service Delivery Plan 2026/27 is attached at **Appendix 1**.

2.0 MAIN FOCUS OF THE 2026/27 PLAN

2.1 Planned Activities

- Undertake a programme of food safety interventions consisting of inspection, auditing and sampling will be carried out at high and medium risk food establishments (Categories A, B, C, D and unrated).
- Undertake a programme of official and non-official food controls of low-risk food establishments (risk category E)
- Investigate food and food premises complaints and all outbreaks and incidents of food related illnesses.

- Provide information and advice on food safety to businesses and customers.
- Undertake a programme of food, water and environmental sampling.
- Promote the National Food Hygiene Rating Scheme for food establishments within the district. Food establishments will be encouraged to display their rating.
- Facilitate international trade through the issuing of export certificates, organic certification and catch certificates (fish).
- Operate the inspection facility at East Midlands Airport (EMA). Check all products of animal origin and certain high-risk foods not of animal origin entering the United Kingdom for the first time via EMA.

2.2 **Government Policy on Managing Britain's Borders and implications for operating the border control post at East Midlands Airport**

Food Export Health Certificates

Export Health Certificates are issued to food businesses that wish to export certain foodstuffs from Great Britain to European Union countries and other non-EU countries. They are provided to help local exporters meet food safety requirements. The team checks that the business is registered with the Council and that the food hygiene standards are satisfactory before issuing the certificate.

Imported Foods at Point of Entry (East Midlands Airport)

Border Control Post (BCP) – Products of animal origin

The team manages and operates the border control post (BCP) at East Midlands Airport (EMA). The BCP is subject to audits and verification visits by Animal and Plant Health Agency (APHA).

The Official Veterinarian Surgeon (OVS) inspects all other products of animal origin entering Great Britain via the Border Control Post. Support is provided by officers of the Food Safety Team.

Catch certificates (Fish and Fishery Products)

Illegal fishing has environmental, social and economic impacts. Europe-wide import controls, introduced by the EC in 2008 and retained in UK legislation from 1 January 2021, aim to cut out Europe and the UK as a market for illegal fish. In order to prove that an imported consignment is compliant with regulations, it must be accompanied by a catch certificate. Checking catch certificates at East Midlands Airport (EMA) is the responsibility of the Food Team within Environmental Health.

Border Control Post (BCP) – High risk foods not of animal origin

Controls are in place under UK law to make sure products imported into Great Britain meet GB standards.

The BCP at EMA is approved to handle food products for human consumption, both not requiring temperature control and chilled, and feed and other products not for human consumption, both not requiring temperature control and chilled.

Officers of the Food Safety Team are responsible for checking all 'high-risk' foods of non-animal origin from the rest of the world entering Great Britain via the border control post.

Organic Products

Controls are in place to check that organic products imported into Great Britain comply with organic production standards. Importers of consignments of organic products must submit the required documentation to the Food Team within Environmental Health for checking prior to importation.

Surveillance

A risk-based programme of surveillance will be carried out. This will involve officers carrying out checks of flight manifests and visits to transit sheds. Sampling of foodstuffs found may be undertaken.

3.0 REVIEW OF 2025/26

- 3.1 The Food service delivery plan appended to this report sets out at section 8, a detailed account and review of programmed inspections.

During 2025/2026, the Food Safety Service continued to deliver a strong level of regulatory activity across programmed inspections, service requests, complaints, sampling, infectious disease investigations and Border Control Post operations.

Overall, 94% of programmed interventions were completed, with high completion rates across risk categories and continued progress made despite a backlog of unrated premises.

The service dealt with 54 food hygiene service requests, 26 food complaints and 73 requests for food safety advice, while also responding to 21 suspected food poisoning cases and 25 confirmed infectious disease notifications.

At East Midlands Airport, significant activity continued through the Border Control Post, including processing 437 catch certificates, handling large volumes of imported products and undertaking enforcement action where required.

The year also saw continued liaison with partner agencies, support for businesses, promotion of the Food Hygiene Rating Scheme, and the maintenance of staff competence through ongoing professional development.

4.0 RESOURCES

- 4.1 The budget for the provision of the food safety service is £376,330. The general expenses incurred by the service such as training, salaries and administrative costs are budgeted for as part of the budget for Environmental Health.

5.0 RECOMMENDATIONS

- (1) That the Environmental Health Food Safety Service Delivery Plan 2026/27 appended to this report be approved.
- (2) That the performance and achievements in 2025/26 be noted.

Policies and other considerations, as appropriate	
Council Priorities:	<ul style="list-style-type: none"> - Support for businesses and helping people into local jobs. - Our communities are safe, healthy and connected.
Policy Considerations:	None
Safeguarding:	N/A
Equalities/Diversity:	No negative impact
Customer Impact:	Delivery of the food safety service delivery plan will ensure that food manufactured, purchased and consumed is safe.
Economic and Social Impact:	Regulatory support provided to food establishments will support economic growth. Publication of food hygiene ratings will provide consumer confidence.
Environment and Climate Change:	None
Consultation/Community Engagement:	None
Risks:	Failing to approve an adequately resourced food safety service delivery plan would present a risk to the Council.
Officer Contact	Paul Sanders Head of Community Services Paul.Sanders@nwleicestershire.gov.uk

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FOOD SAFETY
ENVIRONMENTAL HEALTH
SERVICE DELIVERY PLAN 2026-2027



FOOD SAFETY SERVICE DELIVERY PLAN 2026-2027

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FOOD SAFETY SERVICE DELIVERY PLAN 2026-2027

1.0 INTRODUCTION

The Framework Agreement on Official Feed and Food Controls by Local Authorities requires each Food Authority to identify its strategy and the resources required to fulfil its Food Safety function each year in the form of a Food Service Delivery Plan.

The Food Service Delivery Plan 2026-2027 is contained within this report and includes a review of the food safety activity carried out in 2025-2026, as required. This plan provides the basis on which the authority will be monitored and audited by the Food Standards Agency.

All Local Authorities are required to produce a Food Service Delivery Plan to:

- Set out their commitment to food safety and allocate sufficient resources to food service functions;
- Outline the measures that will be taken to safeguard food safety in the forthcoming financial year; and
- Review data from the previous year.

2.0 AIM AND OBJECTIVES OF THE SERVICE

2.1 Aim

To protect public health in North West Leicestershire and ensure that the food imported, prepared, stored, sold and consumed in the district is safe to eat, through enforcement and education.

2.2 Objectives

- To undertake quality programmed interventions at food establishments (inland and at the point of entry) in line with their risk rating and intervention policy.
- To undertake an alternative enforcement strategy in low-risk premises.
- To investigate all reports of food poisoning in line with service standards and take appropriate action.
- To investigate all service requests in line with service standards and inform complainants of outcomes and the reason for the outcomes.
- To undertake a programme of food sampling to demonstrate the importance of good hygiene and to check food safety systems are working.
- To further develop Primary Authority partnerships.
- To maintain an accurate database.
- To undertake a programme of education aimed at the public and businesses.
- To undertake surveillance, inspection and sampling of imported foods.

2.3 Strategic Aims

The work of the Food Safety Team makes an important contribution to the Council's priority of 'Communities - keeping our communities safe'.

2.4 Performance Indicators

Indicator	Target
Percentage of food establishments rated as very good (rating 5) using the national food hygiene rating scheme	81%
Percentage of overdue food interventions for unrated businesses registered in 2023, 2024 and 2025 – official control	100%
Percentage of due and overdue food interventions completed for unrated businesses registered in 2026 – official control	50%
Percentage of due food interventions completed at food establishments within risk category A, B, C – official control	100%

2.5 Service Standards

All service users can expect and will receive a timely and professional response. Officers will identify themselves by name in all dealings with service users. Officers will carry identification cards. Service users will be informed of the name and telephone number of the officer who is dealing with them. All service requests will receive a response; however, anonymous requests may not be dealt with.

The following initial response times to service requests can be expected by service users:

Within 24 hours

Vermin in food premises.
Food poisoning outbreak.
Situations likely to result in an imminent risk to health.

IUU – catch certificates.

Within three days

Imported food enquiries – requests for advice.
Inspection of imported food at EMA.
All other food hygiene related complaints.
Case of suspected food poisoning.

Within five days

Mouldy food complaint.
Confirmed cases of all other food related illness or communicable disease.
Collection of a food complaint.
Organics.

Within 14 days

Following a food hygiene intervention, food business operators will receive a letter within 14 days. The letter will contain details of how to make representations to the Environmental Health Safety Team Leader or Public Protection Team Manager.

All enforcement action will be taken in accordance with the Council's General Enforcement Policy and Food Law Enforcement Policy.

3.0 BACKGROUND

3.1 Profile of the Authority

North West Leicestershire District Council serves an estimated population of 104,705 (2021 Census, ONS) and covers an area of 27,933 hectares. It is a predominantly rural district with two main urban areas, Coalville and Ashby de la Zouch, with other main settlements being Castle Donington, Ibstock, Kegworth and Measham.

3.2 Organisational Structure

3.2.1 Democratic Structure

The Council comprises 38 Councillors elected every four years. All Councillors meet as the full Council. Meetings of the Council are normally open to the public. Councillors decide the Council's overall policies and set the budget each year. The Council will appoint a Leader, scrutiny committees, regulatory bodies, an Audit and Governance Committee and other statutory, advisory and consultative bodies.

The Cabinet is responsible for most day-to-day decisions and comprises the Leader and his appointed Portfolio Holders. The Cabinet has to make decisions which are in line with the Council's budget and policy framework.

The scrutiny committees may make recommendations which advise the Cabinet and the Council on its policies, budget and service delivery as well as monitoring the decisions of the Cabinet.

3.2.2 Food Safety Team Structure

The Food Safety Team sits within the Environmental Health Safety Team, which forms part of Community Services. The team is managed by the Public Protection Team Manager. In addition, the following staff contribute to the Food Safety Service:

- One Environmental Health Team Leader
- Three Environmental Health Officers
- Two Food Safety Officers
- One Official Veterinary Surgeon

Support is provided to the service by a Business Support Assistant.

The team submits any samples for microbiological analysis to the Public Health Laboratory Colindale, London and all other samples for analysis to the County Public Analyst (Wolverhampton Scientific Services).

Eville and Jones Ltd provides the Official Veterinary Surgeon services at the Border Control Post at East Midlands Airport (EMA), which consists of one lead and one part-time Official Veterinary Surgeon.

3.3 Description and Scope of Service

Proactive	Reactive
Programmed inspections Programmed surveillance visits Food sampling (including imported foods) Water sampling Flight manifest checks (imported food) Advice / Coaching	Food hygiene complaints Food complaints Food poisoning investigations/outbreaks Food alerts / Incidents Food Import enquiries Catch certificates Export certificates Organics certificates New Business enquiries Inspections of products of animal origin and high risk foods of non-animal origin at the border control post/designated point of entry

3.4 Demands on the Service

The food safety service is based at offices situated at Whitwick Business Centre, Coalville. The hours of opening are 8.45am to 5.00pm Monday, Tuesday, Wednesday and Friday, and 9.30am to 5.00pm on Thursday. Officers from the Food Team operate a hybrid working model and work normal office hours, as the need arises.

The border control post situated at EMA is open for business on a full-time basis (Monday to Friday, 9.00am to 5.00pm). As a significant proportion of tasks are able to be carried out remotely, the BCP is not permanently manned.

- 3.4.1 There are 1076 food establishments registered with North West Leicestershire District Council.

4%	Manufacturers
4%	Distribution / Importer / Exporter
18%	Retailers
74%	Caterers

These range from small and medium-sized businesses to large establishments. This includes five premises which require specific approval under Regulation 853/2004.

One dairy product manufacturer
 One rewrapping premises
 Three cold stores

- 3.4.2 EMA is situated in the district. The Border Control Post (BCP) at EMA is managed by the Environmental Health Team with support from Eville and Jones who provide the Official Veterinary Surgeon service.
- 3.4.3 Food safety activities are undertaken in line with the 'Better Regulation Agenda' (Regulatory Enforcement and Sanctions Act 2008) being proportionate, accountable, consistent, transparent and targeted. The Act places emphasis on providing advice and guidance to food businesses in addition to firm but fair enforcement.

3.5 Food Premises Profile on 1 April 2026

Category	Number	Intervention Frequency
A (high risk)	2	At least every 6 months
B (high risk)	29	At least every 12 months
C (medium risk)	123	At least every 18 months
D (medium risk)	333	At least every 2 years
E (low risk)	398	At least every 3 years
Unrated	187	Within 28 days of registration
Total registered food establishments	1072	

All food establishments are categorised according to their intervention frequency in accordance with the Statutory Food Law Code of Practice. This determines the required frequency of food hygiene intervention. These figures do not account for those businesses which have not registered with the authority and are unknown.

3.6 Enforcement Policy

The Food Service Delivery Plan should be read in conjunction with the North West Leicestershire District Council's Enforcement Policy and Food Law Enforcement Policy. The principles of good enforcement set out in the Regulators' Code, the context of which, are accounted for in these policies.

4.0 SERVICE DELIVERY 2026-2027

4.1 Food Premises Intervention

The following table displays the food premises risk categories and the number of premises due on 1 April 2026. This includes outstanding food inspections from the previous financial year that were due before 31 March 2026.

Council Policy: "that all food establishment interventions will be carried out in accordance with the Statutory Food Law Code of Practice and internal procedure: PN1.0 Food Interventions. Interventions will take place unannounced wherever possible."

Risk Category	Inspections due 2026/2027	Carried forward 2025/2026	Total Programmed 2026/2027
A	2	0	2
B	25	2	27
C	73	17	90
D	165	22	187
E	81	19	100
Unrated	n/a	187	187
Total	346	247	593

Intervention Policy

Category	Planned Intervention
A (non-compliant) B (non-compliant) C (non-compliant) D (non-compliant)	Full/Partial inspection/audit Full/Partial inspection/audit Full/Partial inspection/audit Full/Partial inspection/audit monitoring / verification / official sampling or education/advice/ coaching
A (compliant) B (compliant) C (compliant)	Full/Partial inspection/audit Full/Partial inspection/audit Full/Partial inspection/audit Or Monitoring / verification / official sampling
D (compliant)	Full/Partial inspection/audit monitoring / verification / official sampling or education/advice/ coaching
E (compliant) Unrated	Alternative Intervention Strategy Full/Partial inspection/audit
Non food ETSF / Importers	Telephone questionnaire Liaison with UKBF

4.1.1 Inspection of aircraft

Aircraft are included within the definition of premises. The Food Law Code of Practice states that primary consideration should be given to the origin of the food on board, including water and other drinks, and the transport to, and loading of, the aircraft.

4.1.2 Specialised Processes

The manufacture of dairy products, in-flight catering, the inspection of imports of products of animal origin and high-risk foods of non-animal origin, the production of carbonated drinks and the production of crisps and snacks are all specialist areas of work undertaken within North West Leicestershire. The current post holders within the Food Safety Team hold adequate expertise within these specialist areas of work. When devising the departmental training needs, maintaining adequate knowledge in these areas of work is a priority.

Donington Park is situated within North West Leicestershire. A number of international sporting and musical events are held at the park. Officer time will be spent assisting with the planning of large events such as the Download music festival. This work will include the partial inspection of a proportion of food establishments trading at these events. Where water provision involves a temporary installation, work to ensure water safety will be undertaken.

A street trading consent scheme operates within North West Leicestershire. All mobile food establishments and static units trading within the District hold a 'consent' under the scheme.

4.2 Food Complaints

Council procedure **“that all food complaints received are investigated in accordance with the Statutory Food Law Code of Practice and internal procedure note *Food Complaints*.”**

All complaints are assessed; complaints are investigated on a health risk basis.

4.2.1 Food Hygiene Service Requests

Council procedure: **“that the Food Safety Team undertakes unprogrammed visits as a result of a complaint about the standards of hygiene at a food establishment, a new establishment opening, new management taking over or due to a request by another agency”** e.g. Defra, Ofsted.

This will include most service requests received by the food team regarding standards of hygiene e.g. including complaints about:

cleanliness in premises

drainage defects

pest problems

service requests for inspections by other statutory bodies, e.g. Ofsted, Animal Health

service requests for guidance from new owners of food establishments

These interventions do not form part of the programmed interventions.

4.3 Primary Authority

Council procedure: **“to have regard to the Primary Authority Scheme”**.

Council Policy: **“to have regard to the information (national inspection plans and approved assured advice) provided on the Primary Authority website before undertaking an intervention at an establishment with a Primary Authority.”**

The Council currently does not have any Primary Authority partnerships.

4.4 Support and Advice to Business

Council procedure: **“to provide advice to both established and new food establishments”**.

The Leicester and Leicestershire Regulatory Services Partnership and Better Business for All (BBfA) Steering Group was established in 2011. The overriding objective of the Partnership and the BBfA programme is to improve engagement with local businesses and provide them with advice and guidance to assist in reducing the burden of regulation on compliant businesses.

The following food safety support is available to businesses:

- Officers provide Food Safety advice during routine food hygiene inspections and complaint visits.
- Food Safety advice is available on the Council’s website and the Food Standards Agency website.

- Businesses are routinely signposted to the LLEP Business Gateway advice line and website.
- Electronic advice leaflets are provided at the time of business registration.

4.5 Sampling Programme

4.5.1 Food Sampling

Council procedure: **“to take part in the National and Local Food Sampling Programme.”**

The food items which form part of this programme are selected by the Leicester and Leicestershire Food Best Practice Group. Samples are taken in accordance with the Statutory Food Law Code of Practice.

In addition to the sampling programme, food samples may be submitted for examination as part of a programmed intervention, complaint, infectious disease investigation, outbreak investigation or imported food surveillance.

Using sampling as an Official Control intervention is highlighted in the Statutory Food Law Code of Practice. Some samples may be sent to the Public Analyst for analysis. The authority is charged for this service.

The number of samples that can be submitted for examination free of charge is allocated by the Public Health Laboratory Service (PHLS).

4.5.2 Water Sampling (Commercial Premises & Aircraft)

Council Policy: “that routine sampling of mains water is not undertaken.”

Council procedure: “to periodically audit the sampling and monitoring programme in place to ensure the quality of water on-board aircraft at EMA.”

However, this work is currently suspended, and the service is awaiting further updates from the UK Health Security Agency as to when this will be reinstated.

4.5.3 Private Water Supplies

The district has the following private water supplies and distribution systems in its area:

	Large	Small	Single domestic
Private Water Supplies	3	1	11
Distribution Systems	2		

The Council has a statutory duty to risk assess private water supplies within its district, excluding those serving single dwellings or where requested by the supply owner. It will then conduct a sampling programme based on the risk assessment.

Sampling Programme 2026/2027

Two of the three large supplies will be sampled twice during the year.
One of the three large supplies will be sampled once during the year.
One small supply will be sampled every five years.
Single domestic supplies will not routinely be sampled but sampling can be carried out on request.

Private Distribution Systems will be sampled based on the outcome of the risk assessment.

4.6 Infectious Disease Control

Council procedure: **“to investigate all food borne diseases.”**

The Service receives notifications from the UK Health Security Agency (UKHSA) relating to residents/visitors within the district suffering from a notifiable infectious disease. The team may also receive informal notifications of suspected food poisoning from members of the public. Non-food related infectious diseases are investigated based on advice from the Consultant for Communicable Disease Control (CCDC).

These notifications are investigated on a risk basis. Due to volume, notifications of campylobacter are not investigated.

4.7 National Food Safety Incidents

Council procedure: **“to deal with food alerts in accordance with the Statutory Food Law Code of Practice.”**

The Food Standards Agency issues a ‘Product Withdrawal Information Notice’ or a ‘Product Recall Information Notice’ to let local authorities and consumers know about problems associated with food. In some cases, a ‘Food Alert for Action’ is issued. This provides local authorities with details of specific action to be taken.

The team receives food alerts via the FSA Enforcement mailbox. Food Alerts for Action are referred for the urgent attention of relevant authorised officers.

4.8 Food Export Health Certificates

Export Health Certificates are issued to food businesses that wish to export certain foodstuffs from Great Britain to European Union countries and other non-EU countries. They are provided to help local exporters meet food safety requirements. The team checks that the business is registered with the Council and that the food hygiene standards are satisfactory before issuing the certificate.

4.9 Imported Foods at Point of Entry (EMA)

4.9.1 Border Control Post (BCP) – Products of animal origin

The service manages and operates the border control post (BCP) at EMA. The BCP is subject to audits and verification visits by Animal and Plant Health Agency (APHA).

The OVS inspects all other products of animal origin entering Great Britain via the Border Control Post. Support is provided by officers of the Food Safety Team.

4.9.2 Catch certificates (Fish and Fishery Products)

Illegal fishing has environmental, social and economic impacts. Europe-wide import controls, introduced by the EC in 2008 and retained in UK legislation from 1 January 2021, aim to cut out Europe and the UK as a market for illegal fish. In order to prove that an imported consignment is compliant with regulations, it must be accompanied by a catch certificate. Checking catch certificates at EMA is the responsibility of the Food Team within Environmental Health.

4.9.3 Border Control Post (BCP) – High risk foods not of animal origin

Controls are in place under UK law to make sure products imported into Great Britain meet GB standards.

The BCP at EMA is approved to handle food products for human consumption not requiring temperature control and chilled and feed and other products not for human consumption both not requiring temperature control and chilled.

The Food Safety Team is responsible for checking all 'high-risk' foods of non-animal origin from the rest of the world entering Great Britain via the border control post.

4.9.4 Organic Products

Controls are in place to check that organic products imported into Great Britain comply with organic production standards. Importers of consignments of organic products must submit the required documentation to the Food Team within Environmental Health for checking prior to importation.

4.9.5 Surveillance

A risk-based programme of surveillance will be carried out. This will involve officers carrying out checks of flight manifests and visits to transit sheds. Sampling of foodstuffs found may be undertaken.

Each of the importers / ETSF and transit shed operators that do not currently handle foodstuffs will be contacted periodically to ensure that the database remains up to date.

Due to the flight schedule, the monitoring of 'live' manifests has to be undertaken outside normal office hours. In addition, some manifests checked will not be 'live'. They will be viewed after the freight has left the airport. The checking of such manifests provides a useful auditing tool.

4.9.6 Sampling

A sampling programme will be carried out, being informed by the national monitoring plan and local intelligence and information.

4.9.7 Liaison/Management of Port Health

In 2008, a multi-agency EMA Port Health Group was established. Membership of this group includes UKHSA, North West Leicestershire District Council, EMA and UK Border Force.

Council Policy: **“To contribute to the delivery of the multi-agency Port Health Group at EMA.”**

A representative from Environmental Health will attend meetings of this group.

Regular communication with Border Force is in place.

4.10 **Other interventions**

Council Policy: **“to raise the awareness of the public to the potential causes of food poisoning.”** Throughout the year articles will be published on the Council web pages and social media accounts regarding food safety matters.

Key messages are communicated as suggested by the Food Standards Agency during National Food Safety Week and via the Christmas Food Safety Campaign.

4.11 **Food Hygiene Rating Scheme**

Council Policy: **“To communicate and issue a food hygiene rating in accordance with the brand standard. Officers have discretion over the timing of the issue of the rating.”**

North West Leicestershire District Council operates the national Food Hygiene Rating Scheme (FHRS) in accordance with ‘The Brand Standard’. The scheme provides consumers with information regarding the hygiene standards identified in food establishments at the time of the last intervention. Broadly, the three areas assessed are:

- Hygiene (safe practices)
- Structure (including cleanliness)
- Confidence in Management (documented food safety procedures including allergen management).

The Food Standards Agency’s ratings website features all inspected food businesses, subject to status, and those awaiting inspection.

Safeguards are in place for businesses operating under the Food Hygiene Rating Scheme, in that all appeal applications, re-score visit applications and Right to Reply requests will be processed in accordance with the brand standard.

The data is managed by the Environmental Health Safety Team on an ongoing basis, and a data upload is carried out a minimum of every 14 days.

The display of Rating Stickers is currently discretionary in England.

4.12 **Licensing/Consents**

The team is consulted prior to the issue of premises licences (new and variations) under the Licensing Act 2003. All take-away premises and food mobiles trading between 11.00 p.m. and 5.00 a.m. require licensing under the Act. The Safety Team will respond to any new applications and variation applications received and make representations if there are public safety or public nuisance concerns.

The team is consulted prior to the issue of new consents and existing non-compliant traders under the Street Trading Scheme. All mobile food establishments and static units trading within the district hold a 'consent' under the scheme.

4.13 **Liaison with Other Organisations and Internal Communication**

The Environmental Health Service is represented on the following groups/meetings:

External/Multi-agency Groups:

- Leicestershire and Rutland CIEH Food Best Practice Group
- Association of Port Health Authorities Liaison Groups
- EMA multi-agency Port Health Group
- Leicestershire CIEH Environmental Health Managers Group
- UK Health Security Agency Liaison Group
- Idox Uniform User Group
- NWL Safety Advisory Group
- Better Business for All Partnership
- UK Border Force liaison meetings

Internal Groups:

- Safety Team Meeting
- Monthly 121's/Performance meetings
- NWLDC Idox user group

5.0 **RESOURCES**

5.1 **Financial Allocation**

The budget for the provision of the food safety service is £376,330. The general expenses incurred by the service such as training, salaries and administrative costs are budgeted for as part of the budget for Environmental Health.

5.2 **Staffing Allocation**

It is the Council's policy to authorise officers appropriately in accordance with their qualifications and experience having regard to the Statutory Food Law Code of Practice.

The nominated lead officer for food safety is the Environmental Health Safety Team Leader. The lead officer for food safety has assessed the competency of all authorised officers. Individual officer authorisations have been signed and issued by the Public Protection Team Manager based on the recommendation of the lead officer for food safety.

5.2.1 The details of the staffing levels in the section are as follows:

Public Protection Team Manager – The post holder is not an Environmental Health Officer but has management responsibility for the following functions: food hygiene, health and safety, port health, pest control, animal welfare, licensing and environmental protection functions, private sector housing, noise and pollution, and environmental crime.

Environmental Health Team Leader- The post holder is an Environmental Health Officer who supervises the operational work of the team and undertakes food safety work. Food-related work = 0.5 Full Time Equivalent (FTE) (imported foods = 0.05 FTE).

Environmental Health Officer– The post holder undertakes food safety work and also carries out duties under the Health and Safety at Work etc. Act 1974.

Food related work = 0.7 FTE (Imported foods= 0.2 FTE)

Environmental Health Officer– The post holder undertakes food safety work and also carries out duties under the Health and Safety at Work etc. Act 1974.

Food related work = 0.7 FTE (Imported foods= 0.05FTE)

Environmental Health Officer– The post holder undertakes food safety work and also carries out duties under the Health and Safety at Work etc. Act 1974.

Food related work = 0.7 FTE (Imported foods= 0.05FTE)

Food Safety Officer– The post holder undertakes food safety work and also carries out limited duties supporting an appointed inspector under the Health and Safety at Work etc. Act 1974. Food-related work = 0.9 FTE (imported foods = 0.05 FTE)

Food Safety Officer– The post holder undertakes food safety work and also carries out limited duties supporting an appointed inspector under the Health and Safety at Work etc. Act 1974.

Food related work = 0.9 FTE (Imported foods= 0.05FTE)

There is one Business Support Officer and one Business Support Assistant providing support to the food safety section. Food related work = 0.1 FTE and 0.1 FTE

5.3 **Staff Development/Training**

The individual Performance Review meetings are a key element of North West Leicestershire District Council's aim to support its employees by providing them with the development and learning required. Additional training requirements will be identified during the performance review meetings and regular one to one meetings and will form a training plan for the team. Officers from the team will be given training which will take into account any changes in legislation or guidance as and when required.

NOTE: Each Food Officer is required by the Statutory Food Law Code of Practice to undertake a minimum of ten hours Core Professional Development per year.

6.0 **QUALITY ASSESSMENT / INTERNAL MONITORING**

6.1 A performance management system is in place within the Environmental Health Team in order to assess the quality of the service provided and the performance against agreed standards and how this information is communicated.

The system involves:

- The Public Protection Team Manager and Environmental Health Team Leader monitor team performance against the Service Delivery Plan on a quarterly basis.
- One accompanied inspection will be carried out for each Authorised Officer each year by the Environmental Health Team Leader.

- Additional checks to assess the adequacy of the post inspection paperwork will be carried out by the Environmental Health Team Leader.
- Statutory notices are peer reviewed prior to service. Officers are responsible for the monitoring and enforcement of notices including the prosecution of offenders.
- Monitoring of service requests will be carried out by the Environmental Health Team Leader.
- Periodically customer satisfaction surveys will be carried out. The Environmental Health Team Leader will receive all completed customer satisfaction forms and will reply to any questionnaires requesting a response.

When undertaking the above checks will be made to ensure the Code of Practice and internal procedures are being complied with.

Internal procedures have been and will continue to be developed in consultation with the Leicester and Leicestershire Food Best Practice Group to ensure consistency across the County.

7.0 COMMUNICATION

7.1 Communication within the Team

- 7.1.1 Every month the Public Protection Team Manager meets with the Head of Community Services.
- 7.1.2 Every month the Public Protection Team Manager meets with the Environmental Health Team Leader to discuss any issues and the previous month's performance. In addition, on-going issues are discussed as and when they arise.
- 7.1.3 The Environmental Health Team Leader meets with the officers individually to discuss performance and development.
- 7.1.4 At least every month there is a team meeting where specific issues are discussed with the Food Team.

8.0 REVIEW OF 2025/2026

8.1 Programmed Inspections

Risk Category	Total Programmed 2025/26	Interventions remaining due on 31 March 2026	% completed
A	1	0	100%
B	16	2	89%
C	145	17	90%
D	362	22	94%
E	420	19	96%
Total	944	60	94%
Unrated	71	187	n/a

8.1.1 Food Hygiene Service Requests

	2023/24	2024/25	2025/2026
Food Hygiene Service Requests including drainage	53	66	46
Regarding problems with pests and rubbish	4	5	8
Total	57	71	54

8.1.2 Food Complaints

	2023/24	2024/25	2025/2026
Foreign bodies in food	8	9	14
Mouldy food	10	3	7
Chemical issues	0	2	0
Labelling of food	1	1	2
Allergy related	2	1	3
Total	21	16	26

8.1.3 Advice to Businesses

The Safety Team and Customer Contact Centre gave advice over the telephone to customers.

	2023/24	2024/25	2025/26
Requests for food safety advice	56	89	73

8.1.4 Sampling

	2023/24	2024/25	2025/26
Food Samples - Total	7	0	9
Food Samples - unsatisfactory (number)	0	0	0
Environmental Samples - Total	0	21	0
Environmental Samples - unsatisfactory (number)	0	4	0
Private Water Supply Samples - Total	11	0 outsourced	0
Private Water Supply Samples - % unsatisfactory		0 outsourced	0
Large Public Event Samples - Total	0	0	0
Large Public Event - % unsatisfactory	0% (0)	0	0

8.1.5 Infectious Disease

	2023/24	2024/25	2025/26
Reported suspected food poisoning cases	24	42	21
Infectious Disease notifications (confirmed)	31	27	25

8.1.6 Border Control Post

Year	Catch Certs / Icelandic Fish	Total consignments CHED	Fish (other)	Other POAO products	Total Rejected	% Rejected	Enquiries
2023/24	211	604	80	524	440	73	245
2024/25	376	27 (CHED Ds)	158	9204	306	3%	286
2025/26	437	27 (CHED Ds)	744	6918	615	7.5	72

8.1.7 Imported High-Risk Foods of Non- Animal Origin

The table below lists the number and nature of consignments categorised as high-risk foods of non-animal origin handled at the border control post at EMA.

	Number of consignments presented	Number cleared
2023/24	34	30
2024/25	27	25
2025/26	27	16

8.1.8 Surveillance of flight manifests

An enhanced level of surveillance was carried out during September, October, November and December 2025 by the Official Veterinarian Service as a result of a grant from the Food Standards Agency.

210 flight manifests were checked during the reporting period.

Summary of the outputs:

- 64 commercial shipments of restricted commodities were found.
- 125 commercial shipments of potentially restricted commodities with a generic description were found.
- 92 private shipments of restricted Product of animal origin commodities were found.

- 212 private shipments of potentially restricted commodities with generic description were found.

8.1.9 Food Export Health Certificates

	Number of export certificates issued	Number of customers
2016/17	98	1
2017/18	210	4
2018/19	122	5
2019/20	37	4
2020/21	20	4
2021/22	51	2
2022/23	45	2
2023/24	90	2
2024/25	90	3
2025/26	54	2

8.1.10 Liaison with Other Organisations

During 2025/2026 the following liaison took place:-

Leicestershire and Rutland Chartered Institute of Environmental Health (CIEH) Food Best Practice Group / Technical Sub-Committee: Quarterly meetings. The Environmental Health Team Leader attended the quarterly meetings.

EMA Multi-Agency Port Health Meeting.

Leicestershire CIEH Environmental Health Managers Group.

Leicestershire Better Business for All Steering Group / Partnership.

UK Health Security Agency Group.

EMA – Port Health Authorities Capability Delivery Forum – The Environmental Health Team Manager attended the fortnightly meetings.

Event Safety Advisory Groups

Leicestershire County Council Trading Standards

Bi-weekly and monthly meetings with Food Standards Agency imports team, freight carrier such as DHL, Fedex, UPS, and Border Control management.

8.1.11 Education & Awareness Initiatives (Other Non-Official Controls Interventions)

National Food Hygiene Rating Scheme

The food hygiene rating scheme was promoted.

8.2 Staffing Allocation

A full-time Team Leader post has been recruited.

8.3 Food Hygiene Training Undertaken by Staff

All authorised officers continued to undertake a programme of continuous professional development.

8.4 Enforcement Action Taken

Hygiene Improvement Notices	2
Voluntary Closures	4
Prohibition related notices	0
Seizure of food notices	0
Detention / Remedial Action Notices	0
Enforcement Notices (Regulation 20) under The Trade and Related Animal Product Regulations – Fail Veterinary checks at BCP	615
Enforcement Notices (Regulation 32(6)) under The Trade and Related Animal Product Regulations – Introduced in breach of regulations	1
Regulation 32 Notices under Official Feed and Food Controls (England) Regulations	0
Cautions for offences under food hygiene legislation	0
Conviction for offences under food hygiene legislation	0
Prohibition of Person from managing a food business	0

9.0 FORWARD PLANNING FOR 2026/2027

There are varying demands which impact on the delivery of the food safety service and ensuring that the statutory inspection targets are met.

Enforcement

The service has seen a recent increase in premises requiring additional support to meet minimum statutory food law requirements. As a result, enforcement activity has also increased and is expected to continue into 2026/2027.

Unrated food premises

There is currently a backlog of unrated new food business registrations, and it is anticipated that this may extend beyond the current financial year. Inspections will be prioritised using a risk-based approach, followed by chronological order.

Changes to Category D non-official controls

Recent changes to the Food Law Code of Practice have provided the service with capacity to inspect the backlog of unrated premises. On an alternating basis, Category D premises can alternate between official controls (inspections) and non-official controls (remote activities).

Border Control Post

The service awaits confirmation on EU/UK trade deals and the impact on imported food enforcement and the Environmental Health Service.

Other

To undertake a review of officer authorisations following permanent recruitment to the Public Protection Team Manager post.

To undertake a review of the food law enforcement policy.

To undertake a review of food operational procedure notes.

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	EAST MIDLANDS FREEPORT STRATEGIC INFRASTRUCTURE AND CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT (SPD)	
Presented by	Councillor Tony Saffell Planning Portfolio Holder PH Briefed <input type="checkbox" value="Y"/>	
Background Papers	Local Plan Committee Report 20th March	Public Report: Yes
		Key Decision: Yes
Financial Implications	This report has no direct financial implications.	
	Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	The preparation and adoption of the Supplementary Planning Document (SPD) must comply with the Town and Country Planning (Local Planning) (England) Regulations 2012. The SPD must be consistent with the adopted development plan and cannot introduce new policy but may provide guidance to support existing policies.	
	Signed off by the Deputy Monitoring Officer: Yes	
Staffing and Corporate Implications	There are no direct staffing or corporate implications.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	<p>To update Cabinet on the preparation of the East Midlands Freeport Strategic Infrastructure and Contributions SPD and the outcome of public consultation held between March and April 2026.</p> <p>To present a revised East Midlands Freeport Strategic Infrastructure and Contributions SPD for consideration, with a recommendation that the Local Plan Committee adopts the SPD.</p>	
Reason for Decision	The Council's Constitution (Part 2, Section D5, paragraph 2.2.1) requires the Local Plan Committee to receive reports from Cabinet on proposed SPDs.	
Recommendations	THAT CABINET: <ol style="list-style-type: none"> SUPPORTS THE PROPOSED REVISIONS TO THE DRAFT EAST MIDLANDS FREEPORT STRATEGIC 	

	<p style="text-align: center;">INFRASTRUCTURE AND CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT;</p> <p>2. RECOMMENDS THAT, SUBJECT TO NO MATERIAL COMMENTS BEING RECEIVED FROM THE STATUTORY CONSULTATION BODIES ON THE SCREENING REPORT FOR STRATEGIC ENVIRONMENTAL ASSESSMENT AND HABITATS ASSESSMENT, THE LOCAL PLAN COMMITTEE ADOPTS THE EAST MIDLANDS FREEPORT STRATEGIC INFRASTRUCTURE AND CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT (APPENDIX B); AND</p> <p>3. DELEGATES AUTHORITY TO THE STRATEGIC DIRECTOR OF PLACE TO REVIEW AND RECOMMEND ANY MINOR MODIFICATIONS TO THE FINAL DRAFT EAST MIDLANDS FREEPORT STRATEGIC INFRASTRUCTURE AND CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT PRIOR TO ADOPTION AT LOCAL PLAN COMMITTEE.</p>
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1.0 BACKGROUND

- 1.1 The principal purpose of the East Midlands Freeport Strategic Infrastructure and Contributions Supplementary Planning Document ('the SPD') is to support the coordinated and collaborative delivery and funding of the strategic transport infrastructure required for the development of the three East Midlands Freeport ('EMF') sites. Development on the EMF sites, together with development on strategic allocation sites and other major development sites adjacent to or outside the EMF sites in Rushcliffe Borough, North West Leicestershire District and South Derbyshire District that are unlocked by, or would significantly benefit from, this infrastructure (referred to collectively, with the EMF sites, as 'the SPD Sites'), will be expected to contribute towards that infrastructure on an equitable and proportionate basis.
- 1.2 The evidence underpinning the SPD, alongside work that will be developed further through the EMF Infrastructure Delivery Plan ('IDP') process and through assessments accompanying relevant planning or consenting applications, establishes the in-principle need for pooled contributions, which may include works in kind. Further highways modelling is continuing and will inform the EMF IDP, which will be subject of public consultation, in due course.
- 1.3 Members are advised that the Council has been working with the EMF and the other Local Planning Authorities and County Authorities within which the EMF sites are located, to prepare and adopt the SPD.
- 1.4 The SPD has been prepared on a collaborative basis with the Freeport and their appointed consultants for the three local planning authorities for the EMF sites – the Council, Rushcliffe Borough, and South Derbyshire District (the 'Local Planning Authorities') with the intention (subject to necessary approvals) that all three Local Planning Authorities adopt the SPD by 30 June 2026. There is a cut-off date for the adoption of SPDs of 30 June 2026 – beyond that date it is not possible for local planning authorities to adopt an SPD. This has

been confirmed in the Levelling-up and Regeneration Act 2023 (Commencement No. 11 and Saving and Transitional Provisions) Regulations 2026, (Schedule 1, paragraph 6), which came into force on 25 March 2026. The cut-off date for the adoption of SPDs is part of the transition to a new plan-making system. In the event that one of the other Local Planning Authorities does not adopt the SPD then the Council will review their position as regards the SPD.

- 1.5 This report recommends to Members that the draft East Midlands Freeport Strategic Infrastructure and Contributions SPD (at Appendix B) is adopted. Once adopted, it will form a material consideration in the determination of relevant planning applications in the District, and the weight it is expected to carry in advance of the EMF IDP being published and endorsed by the Council is set out in paragraph 2.3 below.

2.0 THE EAST MIDLANDS FREEPORT STRATEGIC INFRASTRUCTURE AND CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT

- 2.1 If adopted, the SPD will help ensure the coordinated and collaborative delivery and funding of the strategic transport infrastructure needed to support development of the three EMF sites and help ensure that all schemes coming forward on the EMF sites and other SPD Sites contribute towards that strategic infrastructure on an equitable and proportionate basis.
- 2.2 The SPD envisages a mechanism (a framework section 106 agreement) to coordinate the funding and delivery of this strategic transport infrastructure from multiple sites through the planning process, as and when those sites come forward for development. The evidential work underpinning the draft SPD establishes the need for shared infrastructure pooled contributions from multiple sites. Ongoing highways modelling and evidence work is also being carried out in order to inform an EMF IDP in due course which will supplement the SPD and provide greater detail on the strategic infrastructure, estimated costings, SPD Sites and where possible timescales for delivery and delivery bodies. The EMF IDP will be the subject of further public consultation, once available, which it is anticipated to be towards the end of 2026/early 2027. Following public consultation, it is expected that the Council (and other Local Planning Authorities) will ask their respective appropriate Committee and/or Cabinet to endorse the final EMF IDP before it is published and used for the purpose set out in the SPD.
- 2.3 The SPD makes it clear that it is not part of the development plan and is not development plan policy. From the date of its adoption, the SPD is a material planning consideration in planning determinations under the Planning Acts (as defined in the Town and Country Planning Act 1990) and any other relevant planning decision in relation to the SPD Sites. However, at the date of adoption of this SPD, the EMF IDP will not yet have been issued for public consultation, published or endorsed by the Council, and therefore the detail of the strategic infrastructure required will not have been established. The SPD includes a statement that until such time as the EMF IDP has, following public consultation, been published and endorsed by the Council, only limited weight should be given to the SPD as a material planning consideration by the Council. However, the “in principle” need for pooled contributions set out in this SPD (which may include works in kind in accordance with this SPD) in relation to strategic infrastructure has been established by the SPD at the date of adoption. It will, therefore, carry weight as a material planning consideration in that regard from the date of adoption. This is relevant to the Council and other Local Planning Authorities’ application of Section 38(6) of the Planning and Compulsory Purchase Act 2004, which provides that in determining planning applications the determination must be made in accordance with the development plan, unless material considerations indicate otherwise.

2.4 As referred to above, adoption of the SPD cannot be deferred beyond 30 June 2026 and it is, therefore, not possible that adoption of the SPD be delayed until the EMF IDP has been prepared as this would not be possible. Beyond 30 June 2026, as part of the move towards a new plan-making system, it is envisaged that Supplementary Plans will be prepared and adopted by local planning authorities in place of SPDs. However, it is not yet clear that Supplementary Plans can be prepared pursuant to existing adopted plans or emerging 'old-style' local plans (such as the Council's emerging local plan will be) and in addition Supplementary Plans will be subject to a different adoption process, including independent public examination. On the basis that, that there is a need for pooled contributions towards certain strategic transport infrastructure, amongst other things, it is recommended that the SPD be adopted now, with the weight to be given to the SPD as a whole as a material planning consideration being adjusted pre- and post- endorsement of the EMF IDP by the Council as set out in paragraph 2.3 above.

3.0 CONSULTATION

3.1 The SPD was subject of a five-week public consultation running between 23 March 2026 to 27 April 2026.

3.2 The consultation responses were all considered carefully. The Statement of Consultation on the SPD (at Appendix A) sets out a summary of the responses received to that public consultation, outlines how the Council has considered the main issues raised and indicates where the SPD has been modified in response to the consultation comments received or due to other relevant matters.

3.3 As set out in the Statement of Consultation, 32 responses were received to the consultation from a broad range of stakeholders including statutory consultees, neighbouring Councils, landowners, promoters, housing and employment developers, local interest groups, local residents, Parish Councils and Borough and District Councillors.

3.4 Responses received typically supported the principle of what the SPD is trying to achieve. This notwithstanding, there were concerns raised focussed primarily on the perceived lack of evidence underpinning the SPD and the timing for the preparation of an IDP and how the IDP would be consulted on.

3.5 The Statement of Consultation sets out how the representations received have been responded to and in several cases, how the SPD has been amended to address the points raised. Of particular note, the SPD has been amended in the following respects:

- Text has been added (as referred to in paragraph 2.3 above) to make it clear that the SPD is not part of the development plan and not development plan policy. From the date of its adoption, the SPD will be a material planning consideration in planning determinations under the Planning Acts (as defined in the Town and Country Planning Act 1990) in relation to the SPD Sites (which have been clarified – see below). However, at the date of adoption of the SPD, the EMF IDP will not have been issued for public consultation, published or endorsed by the Local Planning Authorities, and therefore the detail of the Strategic Infrastructure required will not have been established. Until such time as the EMF IDP has, following public consultation, been published and endorsed by the Local Planning Authorities, only limited weight should be given to the SPD as a material planning consideration by the Local Planning Authorities. However, the "in principle" need for pooled contributions set out in this SPD (which may include works in kind in accordance with the SPD) in relation to Strategic Infrastructure has been established by the SPD at the date of adoption. It will, therefore, carry weight as a material planning consideration in that regard. This is relevant to the local planning authorities' application of Section 38(6)

of the Planning and Compulsory Purchase Act 2004, which provides that in determining planning applications the determination must be made in accordance with the development plan, unless material considerations indicate otherwise. Where reference is made in the SPD to something being 'required' or a 'requirement', that something 'will', 'must' or is 'expected' to be provided, then that must be understood in the context of this SPD being material planning consideration and not a development plan document (paragraph 1.17);

- Further clarification has been added in relation to the proposed EMF IDP, including:
 - that the EMF IDP will include estimated costs for identified strategic infrastructure, as well as (where possible) timescales for delivery and the body anticipated expecting to deliver each item (paragraph 1.7);
 - that the EMF IDP will be accompanied by an appropriate evidence base including viability evidence (paragraph 1.10);
 - that the basis on which contributions are sought will be considered as part of the IDP preparation (paragraph 2.9.1(d)); and
 - that the IDP will be the subject of public consultation, following which the IDP is expected to be endorsed by the respective appropriate committee and/or Cabinet of the local planning authorities, prior to it being brought into use for the purposes of the SPD (paragraphs 1.10-1.11);
- Further clarification has been added around how 'Other Benefitting Development Sites' will be determined, including that these are expected to include development sites immediately adjacent to the EMF Sites which form part of or are related to development of an EMF Site. It has also been clarified that 'Other Benefitting Development Sites' will also be 'SPD Sites' and a key has been added to the plan at Appendix 4 to assist (paragraph 1.4);
- Text has also been added to explain that the EMF IDP will identify which SPD Sites are intended to contribute towards which items of Strategic Infrastructure, as far as is reasonably practicable at the stage of EMF IDP endorsement by the local planning authorities (paragraph 1.7);
- Text has been added to clarify that it is intended that the substance of this SPD (possibly in a different format, for example a Supplementary Plan where possible) will continue to apply once the adopted local plans cease to have effect and the local planning authorities will work together to achieve that (paragraph 1.20);
- Reference has been added to the East Midlands Gateway Phase 2 DCO application including proposed highway mitigation works to M1 J24 (paragraph 1.21.1(a)(i)(1));
- The description of the proposed development of the Ratcliffe on Soar Power Station site has been amended and further reference to the Ratcliffe on Soar Power Station Local Development Order has been added (paragraph 1.21.2(a)(i));
- The strategic infrastructure identified in respect of the Ratcliffe on Soar Power Station site has been amended to include reference to strategic landscape and visual mitigation measures including to address heritage (paragraph 1.21.2(d)(i)(5));
- The strategic infrastructure needed to deliver the EMIP site has been reviewed and reference to the M1 J24 Improvement Scheme removed, in light of the representations received and an understanding that the EMIP site is unlikely to have a substantial impact on M1 J24 (paragraph 1.21.3(d));
- Other minor amendments have been made to the description of strategic infrastructure for all 3 EMF Sites (paragraphs 1.21.1(d), 1.21.2(d) and 1.21.3(d));
- Further clarification has been added in relation to the application of CIL in Rushcliffe Borough (paragraph 1.22.2);
- It has been clarified that public sector funding may be sought towards the strategic transport infrastructure (paragraph 2.9.1(c));
- Reference to circumstances where roads will be expected to be offered for adoption has been removed (paragraph 2.11);

- Reference has been added to current RICS valuation standards applying to financial viability assessments (paragraph 2.13.3); and
- Minor typos and grammatical errors have been corrected.

3.6 The final SPD document, which has been amended to take into account the consultation responses where appropriate, is attached as Appendix B.

3.7 The Strategic Environmental Assessment (SEA) and Habitats Regulations Assessment (HRA) screening document published with the consultation draft SPD has been updated to take into account applicable consultation responses in respect of the SEA, add further explanation to support the conclusions and make it clear that it is a screening opinion report in respect of SEA and HRA. The comments of the three statutory consultation bodies (Historic England, Natural England and the Environment Agency) have been sought in advance of this meeting, following the amendments to the SEA and HRA Screening Report and no significant comments or no comments have been received to date (any further update will be reported at the Cabinet meeting) and the conclusions of the SEA and HRA document published with the consultation draft SPD remain that the SPD does not require a SEA or HRA. For the purposes of the SEA and HRA Screening Report the whole area covered by the SPD was considered, but for the purposes of this report and recommendation the conclusions of the SEA and HRA Screening Report and the SPD have been considered specifically in relation to the Council's area. The updated Screening Report is attached as Appendix C.

4.0 NEXT STEPS

4.1 Formulation of an SPD is an Executive function, but adoption is a non-executive function which has been delegated to the Local Plan Committee in accordance with the Council's Constitution.

4.2 Therefore, Cabinet is asked to recommend to the Local Plan Committee that it formally adopts the East Midlands Freeport Strategic Infrastructure and Contributions SPD at its meeting on 29 June 2026.

Policies and other considerations, as appropriate	
Council Priorities:	<ul style="list-style-type: none"> - Planning and regeneration - Communities and housing - Clean, green and Zero Carbon - A well-run council
Policy Considerations:	<p>The National Planning Policy Framework (NPPF), paragraphs 24 to 28, encourages collaborative working across local planning authority boundaries to deliver strategic infrastructure.</p> <p>Policies Ec1, Ec4, Ec5, IF1, and IF4 of the North West Leicestershire Local Plan (adopted 2017 but subject to Partial Review in 2020 and adopted in 2021), provide the policy context for the EMF site(s) and delivery of strategic infrastructure within North West Leicestershire.</p>
Safeguarding:	None identified.

Equalities/Diversity:	None identified, however Equalities Impact Assessments were undertaken in preparing the Local Plan. The EMF Strategic Infrastructure & Contributions SPD would not put in place new policies but would rather supplement relevant policies from the Local Plan with guidance, none of which are considered to have any effect in equalities' impact terms.
Customer Impact:	The EMF Strategic Infrastructure and Contributions SPD will provide clarity for applicants and customers on how the Council expects infrastructure required to mitigate impacts and enable new development to come forward will be funded.
Economic and Social Impact:	The EMF will provide businesses located within its designated 'tax sites' with financial incentives to enable economic growth, stimulate innovation, and to create regional investment and employment opportunities.
Environment, Climate Change and Zero Carbon:	<p>The draft EMF Strategic Infrastructure and Contributions SPD has been assessed under the relevant legislative frameworks for potential environmental impacts.</p> <p>A Screening Report is provided in Appendix C. The report assesses the contents of the EMF Strategic Infrastructure & Contributions SPD in order to identify potential environmental impacts that would require a Strategic Environmental Assessment (SEA). The report also determines whether or not the contents of the draft SPD would require a Habitats Regulations Appropriate Assessment (HRA).</p> <p>The Screening Report concludes that a SEA and HRA are not required to accompany the SPD. The SPD does not give rise to any new or materially different likely significant environmental effects that have not already been assessed at adopted local plan stages, and also having regard to emerging local plan stages and SEA and HRA assessment of the emerging local plan stages to date</p>
Consultation/Community/Tenant Engagement:	Consultation of the draft EMF Strategic Infrastructure and Contributions SPD took place between 23 March 2026 to 27 April 2026.
Risks:	As part of its Corporate Governance arrangements, the Council must ensure that Risk management is considered and satisfactorily

	<p>covered in any report put before elected Members for a decision or action.</p> <p>The SPD will help ensure the coordinated and collaborative delivery and funding of necessary strategic transport infrastructure for the EMF sites. In addition, the SPD will help ensure that strategic allocations and other major development sites in adopted and emerging Local Plans, which are adjacent to or outside the EMF sites, which will be unlocked by or significantly benefit from that strategic transport infrastructure, make appropriate and proportionate contributions towards this strategic transport infrastructure. Without an SPD in place, there is a risk that infrastructure delivery will not be co-ordinated, which could result in a lack of certainty regarding funding mechanisms, and delays to delivery.</p> <p>If the SPD is not adopted before 30 June 2026, there is a risk of delay to agreeing funding mechanisms and co-ordinating approaches across neighbouring local planning authorities towards delivery of strategic transport infrastructure associated with the EMF sites, which could jeopardise the delivery and funding of this strategic transport infrastructure. This is because beyond 30 June 2026, as part of the move towards a new plan-making system, it is envisaged that Supplementary Plans will be prepared and adopted by local planning authorities in place of SPDs. However, it is not yet clear that Supplementary Plans can be prepared pursuant to existing adopted plans or emerging 'old-style' local plans (such as the Council's emerging local plan will be) and in addition Supplementary Plans will be subject to a different adoption process, including independent public examination.</p>
Officer Contact	<p>Chris Elston Head of Planning and Infrastructure chris.elston@nwleicestershire.gov.uk</p>

Appendix A – Statement of Consultation on draft East Midlands Freeport Strategic Infrastructure & Contributions SPD

Appendix B – Final Draft East Midlands Freeport Strategic Infrastructure and & Contributions SPD

Appendix C – SEA and HRA Screening Report

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East Midlands Freeport Contributions Supplementary Planning Document Statement of Consultation

Produced pursuant to the Town and County Planning
(Local Planning) (England) Regulations 2012

May 2026

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Executive Summary

1. This Statement of Consultation sets out a summary of the responses received during the five-week public consultation (23 March 2026 to 27 April 2026) on the emerging East Midlands Freeport (EMF) Supplementary Planning Document (SPD).
2. The Statement also outlines how the Council has considered the main issues raised and indicates where the SPD has been modified in response to the consultation comments received or due to other relevant matters.
3. The purpose of the SPD is to ensure the coordinated and collaborative delivery and funding of the necessary strategic transport infrastructure required to support development of the three East Midlands Freeport (EMF) sites and that all development coming forward on the EMF sites, or on strategic allocation sites or other major development sites adjacent to or outside the EMF sites which will be unlocked by or significantly benefit from that strategic transport infrastructure (the SPD Sites), contribute towards that strategic transport infrastructure on an equitable and proportionate basis. The evidential work underpinning the SPD, which will be further evolved through an EMF Infrastructure Delivery Plan (IDP) process, as well as assessments accompanying relevant planning or consenting applications, establishes the “in principle” need for pooled contributions (which may include works in kind) from SPD Sites in relation to this strategic transport infrastructure. Further highways modelling work is continuing and will inform an EMF IDP in due course.
4. As set out in this Statement, 32 responses were received to the consultation from a broad range of stakeholders including statutory consultees, neighbouring Councils, landowners, promoters, housing and employment developers, local interest groups, local residents, Parish Councils and Borough and District Councillors.
5. Responses received typically supported the principle of what the SPD is trying to achieve. This notwithstanding, there were concerns raised focussed primarily on the perceived lack of evidence underpinning the SPD and the timing for the preparation of an IDP and how the IDP would be consulted on.
6. This Statement sets out how the representations received have been responded to and in several cases, how the SPD has been amended to address the points raised. Of particular note, the SPD has been amended in the following respects:
 - Text has been added to make it clear that the SPD is not part of the development plan and not development plan policy. From the date of its adoption, the SPD will be a material planning consideration in planning determinations under the Planning Acts (as defined in the Town and Country Planning Act 1990) in relation to the SPD Sites (which have been clarified – see below). However, at the date of adoption of the SPD, the EMF IDP will not have been issued for public consultation, published or endorsed by the Local Planning Authorities, and therefore the detail of the Strategic Infrastructure required will not have been established. Until such time as the EMF IDP has been published and endorsed by the Local Planning Authorities, following public consultation, only limited weight should be given to the SPD as a material planning consideration by the Local Planning Authorities,

though the “in principle” need for pooled contributions set out in this SPD (which may include works in kind in accordance with the SPD) in relation to Strategic Infrastructure has been established by the SPD at the date of adoption and carries weight as a material planning consideration in that regard. This is relevant to the local planning authorities’ application of Section 38(6) of the Planning and Compulsory Purchase Act 2004, which provides that in determining planning applications the determination must be made in accordance with the development plan, unless material considerations indicate otherwise. Where reference is made in the SPD to something being ‘required’ or a ‘requirement’, that something ‘will’, ‘must’ or is ‘expected’ to be provided, then that must be understood in the context of this SPD being material planning consideration and not a development plan document (paragraph 1.17);

- Further clarification has been added in relation to the proposed EMF IDP, including:
 - that the EMF IDP will include estimated costs for identified strategic infrastructure, as well as (where possible) timescales for delivery and the body anticipated expecting to deliver each item (paragraph 1.7);
 - that the EMF IDP will be accompanied by an appropriate evidence base including viability evidence (paragraph 1.10);
 - that the basis on which contributions are sought will be considered as part of the IDP preparation (paragraph 2.9.1(d)); and
 - that the IDP will be the subject of public consultation, following which the IDP is expected to be endorsed by the respective appropriate committee and/or Cabinet of the local planning authorities, prior to it being brought into use for the purposes of the SPD (paragraphs 1.10-1.11.)
- Further clarification has been added around how ‘Other Benefitting Development Sites’ will be determined, including that these are expected to include development sites immediately adjacent to the EMF Sites which form part of or are related to development of an EMF Site. It has also been clarified that ‘Other Benefitting Development Sites’ will also be ‘SPD Sites’ and a key has been added to the plan at Appendix 4 to assist (paragraph 1.4.)
- Text has also been added to explain that the EMF IDP will identify which SPD Sites are intended to contribute towards which items of Strategic Infrastructure, as far as is reasonably practicable at the stage of EMF IDP endorsement by the local planning authorities (paragraph 1.7);
- Text has been added to clarify that it is intended that the substance of this SPD (possibly in a different format, for example a Supplementary Plan where possible) will continue to apply once the adopted local plans cease to have effect and the local planning authorities will work together to achieve that (paragraph 1.20);

- Reference has been added to the East Midlands Gateway Phase 2 DCO application including proposed highway mitigation works to M1 J24 (paragraph 1.21.1(a)(i)(1));
- The description of the proposed development of the Ratcliffe on Soar Power Station Site has been amended and further reference to the Ratcliffe on Soar Power Station Local Development Order has been added (paragraph 1.21.2(a)(i));
- The strategic infrastructure identified in respect of Ratcliffe has been amended to include reference to strategic landscape and visual mitigation measures including to address heritage (paragraph 1.21.2(d)(i)(5));
- The strategic infrastructure needed to deliver the EMIP site has been reviewed and reference to the M1 J24 Improvement Scheme removed, in light of the representations received and an understanding that the EMIP site is unlikely to have a substantial impact on M1 J24 (paragraph 1.21.3(d));
- Other minor amendments have been made to the description of strategic infrastructure for all 3 EMF Sites (paragraphs 1.21.1(d), 1.21.2(d) and 1.21.3(d));
- Further clarification has been added in relation to the application of CIL in Rushcliffe Borough (paragraph 1.22.2);
- It has been clarified that public sector funding may be sought towards the strategic transport infrastructure (paragraph 2.9.1(c));
- Reference to circumstances where roads will be expected to be offered for adoption has been removed (paragraph 2.11);
- Reference has been added to current RICS valuation standards applying to financial viability assessments (paragraph 2.13.3); and
- Minor typos and grammatical errors have been corrected.

1. Introduction

- 1.1 This document outlines the consultation that was undertaken in the preparation of the East Midlands Freeport (EMF) Supplementary Planning Document (SPD).
- 1.2 The Town & Country Planning (Local Planning) (England) Regulations 2012 (“2012 Regulations”) sets out in Regulation 12 that before a planning authority adopt a supplementary planning document, they must prepare a statement (i.e. a statement of consultation) setting out:
 - 1.2.1 The persons the local planning authority consulted when preparing the SPD;
 - 1.2.2 A summary of the main issues raised by those persons; and
 - 1.2.3 How those issues have been addressed in the SPD.
- 1.3 A statement of consultation was published with the consultation draft of the EMF SPD. This document is an updated version of that statement of consultation and provides a summary of those who were consulted on the consultation draft version of the SPD (at Appendix 1), a list of who responded to that consultation (at Table 1 below) and the main issues arising from the responses received (at Table 2 below). It also outlines how the Council has considered the main issues raised and indicates where the SPD has been modified in response to the consultation comments received or due to other relevant matters. These are summarised below and also set out in Table 2.
- 1.4 The consultation period ran from 23 March to 27 April 2026. As the consultation commenced prior to 25 March 2026, the date on which the Town and Country Planning (Local Planning) (England) Regulations 2026 (“2026 Regulations”) came into force, the consultation was therefore undertaken pursuant to the 2012 Regulations.

2. Purpose of the Supplementary Planning Document

- 2.1 EMF was approved by Government in 2023 and provides businesses located within its designated “tax sites” with financial incentives to enable economic growth, stimulate innovation, and to create regional investment and employment opportunities.
- 2.2 The EMF comprises three ‘tax’ sites, respectively falling within three different local authority administrative boundaries:
 - East Midlands Airport Gateway and Industrial Cluster (EMAGIC) in North West Leicestershire District, Leicestershire.
 - Ratcliffe-on-Soar Power Station (Ratcliffe) in Rushcliffe Borough, Nottinghamshire.
 - East Midlands Intermodal Park (EMIP) in South Derbyshire District, Derbyshire.
- 2.3 The Council is working with the EMF and the other Local Planning Authorities and County Authorities within which the EMF sites are located, to prepare and adopt the SPD.
- 2.4 The SPD will ensure the coordinated and collaborative delivery and funding of the necessary strategic transport infrastructure required to support development of the three EMF sites and to ensure that all schemes coming forward on the EMF sites contribute towards that strategic infrastructure on an equitable and proportionate basis.
- 2.5 In addition, the SPD will ensure that strategic allocations in the adopted and emerging Local Plans, together with other development within the local authority areas, which are not within the EMF sites but will be unlocked by or significantly benefit from the strategic transport infrastructure delivered to facilitate development of the EMF sites, make appropriate and proportionate contributions towards that strategic transport infrastructure.
- 2.6 The SPD helps facilitate a mechanism (a framework section 106 agreement) to coordinate the funding and delivery of this strategic transport infrastructure from multiple sites through the planning process, as and when those sites come forward for development. The evidential work underpinning the draft SPD establishes the need for shared infrastructure pooled contributions from multiple sites. Ongoing work is also being carried out in order to inform an EMF Infrastructure Delivery Plan (IDP) in due course which will supplement the SPD and provide greater detail on the strategic infrastructure required and apportionment. The EMF IDP will be the subject of further public consultation, once available.
- 2.7 Subject to adoption, the SPD would form a material planning consideration for the determination of any planning application(s) coming forward on the EMF sites, and/or on other allocated sites or development within those administrative areas which would

also be unlocked by or significantly benefit from the strategic transport infrastructure being delivered to facilitate development of the EMF sites.

3. Consultation on the draft Supplementary Planning Document

- 3.1 A draft of the SPD was consulted on between 23 March and 27 April 2026.
- 3.2 In accordance with Regulations 12, 13, 35 and 36 of the Town and County Planning (Local Planning) (England) Regulations 2012, the draft SPD and supporting documents (Statement of Consultation and Strategic Environmental Assessment and Habitats Regulations Assessment) were made available for inspection during the consultation period at the following locations:
- On the Council’s websites:
 - Rushcliffe Borough Council
<https://www.rushcliffe.gov.uk/supplementary-planning-documents>
 - South Derbyshire District Council
<https://www.southderbyshire.gov.uk/our-services/planning-and-building-control/planning/east-midlands-freeport-strategic-infrastructure-and-contributions-spd>
 - North West Leicestershire
https://www.nwleics.gov.uk/pages/supplementary_planning_guidance
 - As hard copies at libraries in Ashby de la Zouch, Castle Donington and Kegworth and at Rushcliffe Borough Council’s Customer Centre, Belvoir Road, Coalville.
- 3.3 The consultation was facilitated by Rushcliffe Borough Council on behalf of all three Councils. All respondents were able to submit their comments during the consultation period through the following methods:
- By email to localdevelopment@rushcliffe.gov.uk
 - By post to Planning Policy, Rushcliffe Arena, Rugby Road, West Bridgford, NG2 7YG.
- 3.4 Several stakeholders were directly notified as part of the consultation, as set out at Appendix 1.
- 3.5 Table 1 sets out a list of stakeholders, statutory consultees and interested parties who responded to the consultation.

Table 1: List of all responses received

Response received
Historic England
National Highways

Natural England
Derbyshire Wildlife Trust
National Grid Electricity Transmission
Broxtowe Borough Council
Councillors Way, Bilin and Thomas (Leake Ward, Rushcliffe Borough Council)
Normanton on Soar Parish Council
East Leake Parish Council
Kegworth Parish Council
Repton Parish Council
Cllr Sutton (Independent Party NWLDC Councillor / Kegworth Parish Council Councillor)
Uniper
SEGRO
Goodman
Junction 24 Consortium
Barratt Redrow, Clowes Developments and Wilson Enterprises Consortium
Hallam Land
Coaker Trusts
Rula Developments
Parker Strategic Land
Strategic Land Group
Davidsons Developments Ltd
Caesarea Development Holdings (Caesarea) and Harworth Group (Harworth)
The Trustees of Lord Crawshaw 1997 Discretionary Settlement (the Whatton Estate) and Bryan and Colin Jarrom
Road Haulage Association
Protect Diseworth (marked as Resident 5)
Save Aston & Weston Village Environment (SAVE) (marked as Resident 6)
4 x Other Resident Responses [names redacted]

- 3.6 A summary of all responses received, grouped by issue/theme, is provided at Table 2 in Section 5 of this report.

4. Modifications to the Supplementary Planning Document

4.1 In response to the main issues arising from the consultation responses received, a number of modifications have been made to the SPD where this is considered to be appropriate. The modifications are summarised below and are also referred to in Table 2.

4.2 In summary, the principal modifications made to the SPD are:

- Text has been added to make it clear that the SPD is not part of the development plan and not development plan policy. From the date of its adoption, the SPD will be a material planning consideration in planning determinations under the Planning Acts (as defined in the Town and Country Planning Act 1990) in relation to the SPD Sites (which have been clarified – see below). However, at the date of adoption of the SPD, the EMF IDP will not have been issued for public consultation, published or endorsed by the Local Planning Authorities, and therefore the detail of the Strategic Infrastructure required will not have been established. Until such time as the EMF IDP has been published and endorsed by the Local Planning Authorities, following public consultation, only limited weight should be given to the SPD as a material planning consideration by the Local Planning Authorities, though the “in principle” need for pooled contributions set out in this SPD (which may include works in kind in accordance with the SPD) in relation to Strategic Infrastructure has been established by the SPD at the date of adoption and carries weight as a material planning consideration in that regard. This is relevant to the local planning authorities’ application of Section 38(6) of the Planning and Compulsory Purchase Act 2004, which provides that in determining planning applications the determination must be made in accordance with the development plan, unless material considerations indicate otherwise. Where reference is made in the SPD to something being ‘required’ or a ‘requirement’, that something ‘will’, ‘must’ or is ‘expected’ to be provided, then that must be understood in the context of this SPD being material planning consideration and not a development plan document (paragraph 1.17);
- Further clarification has been added in relation to the proposed EMF IDP, including:
 - that the EMF IDP will include estimated costs for identified strategic infrastructure, as well as (where possible) timescales for delivery and the body anticipated expecting to deliver each item (paragraph 1.7);
 - that the EMF IDP will be accompanied by an appropriate evidence base including viability evidence (paragraph 1.10);
 - that the basis on which contributions are sought will be considered as part of the IDP preparation (paragraph 2.9.1(d)); and
 - that the IDP will be the subject of public consultation, following which the IDP is expected to be endorsed by the respective appropriate committee

and/or Cabinet of the local planning authorities, prior to it being brought into use for the purposes of the SPD (paragraphs 1.10-1.11.)

- Further clarification has been added around how 'Other Benefitting Development Sites' will be determined, including that these are expected to include development sites immediately adjacent to the EMF Sites which form part of or are related to development of an EMF Site. It has also been clarified that 'Other Benefitting Development Sites' will also be 'SPD Sites' and a key has been added to the plan at Appendix 4 to assist (paragraph 1.4.)
- Text has also been added to explain that the EMF IDP will identify which SPD Sites are intended to contribute towards which items of Strategic Infrastructure, as far as is reasonably practicable at the stage of EMF IDP endorsement by the local planning authorities (paragraph 1.7);
- Text has been added to clarify that it is intended that the substance of this SPD (possibly in a different format, for example a Supplementary Plan where possible) will continue to apply once the adopted local plans cease to have effect and the local planning authorities will work together to achieve that (paragraph 1.20);
- Reference has been added to the East Midlands Gateway Phase 2 DCO application including proposed highway mitigation works to M1 J24 (paragraph 1.21.1(a)(i)(1));
- The description of the proposed development of the Ratcliffe on Soar Power Station Site has been amended and further reference to the Ratcliffe on Soar Power Station Local Development Order has been added (paragraph 1.21.2(a)(i));
- The strategic infrastructure identified in respect of Ratcliffe has been amended to include reference to strategic landscape and visual mitigation measures including to address heritage (paragraph 1.21.2(d)(i)(5));
- The strategic infrastructure needed to deliver the EMIP site has been reviewed and reference to the M1 J24 Improvement Scheme removed, in light of the representations received and an understanding that the EMIP site is unlikely to have a substantial impact on M1 J24 (paragraph 1.21.3(d));
- Other minor amendments have been made to the description of strategic infrastructure for all 3 EMF Sites (paragraphs 1.21.1(d), 1.21.2(d) and 1.21.3(d));
- Further clarification has been added in relation to the application of CIL in Rushcliffe Borough (paragraph 1.22.2);
- It has been clarified that public sector funding may be sought towards the strategic transport infrastructure (paragraph 2.9.1(c));
- Reference to circumstances where roads will be expected to be offered for adoption has been removed (paragraph 2.11);
- Reference has been added to current RICS valuation standards applying to financial viability assessments (paragraph 2.13.3); and

- Minor typos and grammatical errors have been corrected.

4.3 Alongside the SPD, a Strategic Environmental Assessment and Habitats Assessment document was also issued as part of the consultation. This document has been updated to take into account applicable consultation responses in respect of the SEA, add further explanation to support the conclusions and make it clear that it is a screening opinion in respect of Strategic Environmental Assessment and Habitats Assessment. The comments of statutory consultation bodies have been sought in advance of the respective Cabinet meetings and the conclusions remain unchanged.

5. Summary of Responses received to the Supplementary Planning Document

5.1 Over the course of the five-week public consultation undertaken concurrently across North West Leicestershire District, South Derbyshire District and Rushcliffe Borough, a total of 32 representations were received from a range of stakeholders, statutory consultees and public consultees. Table 2 below provides a summary of the comments received, grouped by theme/topic, against which a response has been provided.

Table 2: Summary of representations received and a response to the comments raised.

No.	Respondents	Section Reference/Topic	Summary of Comments	Response to Comments
Lawfulness and scope of SPD				
1	Broxtowe Borough Council	Background & Policy Context	Highlighted recent changes to planning regulations in relation to SPDs, and the need for updated references within the document (para 1.16).	Noted. Modifications proposed at paragraph 1.20 of the SPD.
2	Cllr Sutton Kegworth Parish Council Resident 3 The Strategic Land Group Protect Diseworth Save Aston & Weston Village Environment	Procedural Approach	Concerns on whether the SPD remains within the lawful scope of a supplementary planning document. SPD should be scaled back to provide guidance on the implementation of existing adopted policies only with any mechanisms that amount to new policy being progressed through the Development Plan Document Process.	The SPD is within the lawful scope of a supplementary planning document. There is no new policy being introduced by the SPD, which has been prepared pursuant to and in order to provide guidance to support adopted local plan policy which is referred to in the SPD. The SPD makes it clear that it is not part of the development plan but will be a material planning consideration for the local planning authorities in making planning determinations, with explanation given as to the weight it will carry until the related IDP is published and endorsed (explained further below and in paragraph 1.17 of the SPD). Also, the strategic transport infrastructure works referred to in the SPD are essentially an evolution

	Davidsons Developments Ltd Hallam Land SEGRO Barratt Redrow, Clowes Developments and Wilson Enterprises Consortium			of those transport works that are already envisaged as part of the relevant local plans.
3	Goodman	EMIP	Support reorder to move EMIP behind EMAGIC and Ratcliffe in the document order to reflect spatial proximity to M1 J24.	SPD amended to reflect request.
4	Davidsons Developments Ltd Hallam Land SEGRO Barratt Redrow, Clowes Developments and Wilson Enterprises Consortium The Strategic Land Group	Procedural Approach	Concerns relating to whether the SPD has an appropriate policy context in all the relevant adopted Local Plans to which it can be properly described as being supplemental. Consider an SPD cannot be supplemental to emerging policies that are yet to be adopted.	Noted. The SPD is clear that it does not form part of the development plan and is intended to be adopted by each local planning authority pursuant to adopted local plan policy not emerging local plan policy. The adopted plan policies to which the SPD relates are set out in the SPD. This includes generic policies relating to development, developer contributions and infrastructure.

5	Protect Diseworth	Procedural Approach	Unacceptable that those communities within NWLDC will have no voice in decisions relating to the SPD made or influenced by either South Derbyshire CC and Rushcliffe CC who will have neither regard nor responsibility for the wellbeing or best interests of NWLDC residents and which collectively could outvote NWLDC.	The draft SPD has been the subject of comprehensive public consultation, which has been run concurrently across North West Leicestershire District, Rushcliffe Borough and South Derbyshire District. Local stakeholders, including residents, will have the opportunity to comment and make representations in relation to any planning applications on the strategic applications coming forward on the EMF sites when they are submitted and the local planning authorities will consider mitigation and/or compensatory measures at that time.
6	Protect Diseworth Junction 24 Consortium	Procedural Approach	Concern regarding level of promoter involvement/influence over the content and direction of the SPD and concerns around impartiality whether the document can be reasonably regarded impartial expression of planning guidance.	The SPD aims to ensure the coordinated and collaborative delivery and funding of the necessary strategic infrastructure required to support development of the three EMF sites and to ensure that all schemes coming forward on the EMF sites contribute towards that strategic infrastructure on an equitable and proportionate basis. Whilst East Midlands Freeport, given their remit to support the development of the three tax sites, have assisted with the preparation of the draft SPD alongside their appointed consultant team, all work was undertaken alongside discussion and coordination with all three relevant local planning authorities as well as the County Authorities within which the EMF sites are located and the SPD has been promoted by the relevant local planning authorities, not East Midlands Freeport. Such collaborative working is common-place in relation to the production of emerging draft Supplementary Planning Documents in England. Following liaison with the Planning Policy teams at each authority, the draft SPD was presented to the relevant Committees/Cabinets in line with local governance requirements.

				<p>The authority to formally consult, adopt, publish, and give weight to an SPD rests with each local planning authority and Council officers at the three local planning authorities have been clear throughout in this regard.</p> <p>The solicitors independently assisting EMF are an entirely separate part of the firm from that part advising any parties on any Development Consent Order process, with full information barriers in place as is common-place, and there is no conflict of interest arising.</p>
7	Save Aston & Weston Village Environment	Procedural Approach	Concerns regarding the complexity of the consultation material and absence of any public meetings or online events to communicate the SPD. Request that consultation should be re-run.	The consultation on the SPD has been carried out in accordance with statutory procedures and the Councils' own consultation processes. The consultation documents have been available on the Councils' websites and hard copies have also been available to view throughout the 5 week consultation process. This is considered to be an appropriate and robust approach to consultation and has allowed a meaningful period in which consultees have had an effective opportunity to consider and submit representations on the documents.
8	Save Aston & Weston Village Environment	Procedural Approach	Queries regarding other Rushcliffe Borough Council Documents on the consultation page.	The consultation link through Rushcliffe.gov.uk links to the Council's Supplementary Planning Documents page. The Affordable Housing, Design Codes, Developer Contributions, Low Carbon & Sustainable Development, Solar Farms & Wind Energy documents referenced in the SAVE response are currently adopted Rushcliffe Borough Council SPDs further down on the SPD page of the website and for clarity did not form part of this consultation. The consultation was clear that it related to this SPD.
9	Resident 3	Procedural	The SPD reduces transparency, limits public scrutiny and limits the	This SPD helps facilitate a mechanism (a framework section 106 agreement) for securing shared infrastructure pooled contributions

			role of elected local planning authorities in decision making.	<p>through the planning process. The framework section 106 agreement will be developed by the three local planning authorities jointly.</p> <p>If adopted, the SPD will be a material consideration in the determination of any subsequent relevant planning application, subject to the limited weight to be given to the SPD until the related IDP is published and endorsed by the relevant local planning authorities (explained further below and in paragraph 1.17 of the SPD). All planning applications will still be determined by their respective local planning authorities in line with legal governance procedures.</p>
Local Policy / Planning Application Matters				
10	National Highways		Would welcome more clarity on identifying individual development's impacts on the highway network.	Noted. This will be considered at a high level as part of the highway modelling work being undertaken to inform the EMF IDP and at a more detailed level when planning applications come forward.
11	National Highways		Consider that where trigger points for mitigation are identified, the framework section 106 agreement and individual section 106 agreements should make clear that occupation is not permitted until the appropriate SRN mitigation has been constructed and open to traffic.	The SPD already contains reference to the Local Planning Authority using conditions to prevent development and/or occupation of relevant phases of the development in advance of the necessary Strategic Infrastructure being in place.

12	Historic England	Heritage	<p>References to historic environmental contributions could be made more explicit.</p> <p>* Heritage is not specifically mentioned for EMIP</p> <p>* Suggest EMAGIC para 1.17.2 amended to read “Strategic landscape and visual mitigation measures including to conserve and enhance the significance of heritage assets and their setting.”</p> <p>* Ratcliffe text should make specific reference to conserving and enhancing the significance of heritage assets and their setting as part of required landscape and mitigation measures.</p>	<p>This SPD is focused on the delivery of strategic highways infrastructure. However, we note that heritage is referred to in relation to EMAGIC and we have agreed that it could also be relevant to Ratcliffe, so have added the same wording there. This will be considered further as part of the IDP preparation.</p> <p>Heritage impacts and any necessary mitigation would also be considered through the planning application process.</p>
13	National Grid	General	<p>SPD represents an opportunity to highlight the presence of NGET assets. Without appropriate acknowledgement of the NGET assets within and adjacent to the site, the SPD risks being less effective. Recommendations for wider area planning for protecting existing NGET assets and enabling future network development.</p>	<p>The SPD is focused on the delivery of strategic transport infrastructure. National Grid assets are beyond the remit of the SPD and will need to be considered by applicants through the necessary licensing and permitting processes.</p>

14	Repton Parish Council	Infrastructure	Need for the document to define the requirement to address the impact of the EMIP workforce travel on the neighbouring settlements and require it to be addressed in the SPD as part of the fundamental infrastructure.	As part of the planning applications for strategic employment sites, including the EMIP site, it is anticipated that Travel Plans will be prepared to set out how workers will travel to work, including via active travel and public transport. This SPD is focussed on the delivery of strategic infrastructure, but travel plans are referenced as a potential site-specific measure that may be included in the section 106 agreement.
15	Normanton on Soar Parish Council East Leake Parish Council	General	SPD should be strengthened to ensure local impacts are fully assessed and mitigated.	The impact of development of the respective strategic sites, including the EMF sites, would be considered on a site-by-site basis during the planning application process in the usual way and mitigation and/or compensatory measures will be considered by the local planning authority at this stage.
16	Normanton on Soar Parish Council East Leake Parish Council	Infrastructure Delivery	SPD lacks sufficient guarantees /should be strengthened to ensure infrastructure will be delivered ahead of development, particularly transport improvements.	The EMF IDP will consider timescales and triggers for the delivery of strategic transport infrastructure. Any site specific infrastructure requirements and related phasing will be considered as part of individual planning applications and the Framework S106/S106 process.
17	Normanton on Soar Parish Council	General	SPD should be strengthened to ensure rural communities are protected from adverse effects.	The impact of development of the respective strategic sites, including the EMF sites, would be considered on a site by site basis during the planning application process in the usual way and mitigation and/or compensatory measures will be considered by the local planning authority at this stage.
18	East Leake Parish Council	General	The SPD prioritises strategic growth over local mitigation, with no clear mechanism to ensure	The SPD recognises that there will be a need for site specific infrastructure, but the focus of the SPD is on ensuring the delivery and funding of strategic transport infrastructure on an equitable and

			affected communities receive proportionate benefits.	proportionate basis. The local impact of development of the respective strategic sites, including the EMF sites, would be considered on a site by site basis during the planning application process together with any mitigation and/or compensatory measures that may be required.
19	Save Aston & Weston Village Environment	Active Travel	Given the Freeport's green aspirations, a robust Transport Strategy should promote rail with a strong focus on rail improvements and potentially electrification.	This is outside of the remit of the SPD. Rail specific requirements will be included within the site specific allocation policies.
20	Junction 24 Consortium Uniper	SPD error	Plan at Appendix 5 is out of date and incorrectly sourced.	Noted. This is not part of the updated SPD.
21	Resident 1	General	Unnecessary development resulting in loss of farmland and risks food security.	These are development management considerations when planning applications come forward. Allocation of the EMF and other strategic sites through the emerging Local Plans are being prepared which will assess the loss of farmland in their Sustainability Appraisals underpinning the Local Plans.
22	Resident 2	General	Expansion of infrastructure will make congestion worse.	Infrastructure expansion will be subject to appropriate testing/consideration through the development management process at the point of an application being submitted.
23	Resident 2	General	Concerns around environmental impact from additional vehicle movements.	Environmental impacts of additional vehicle movements will be subject to appropriate testing/consideration through the development management process, and any applications.

24	Resident 2	General	No reference to where workers will live.	Strategic housing allocations will be included as part of the emerging Local Plans, alongside strategic employment site allocations. As part of the Planning Applications for strategic employment sites, including the EMF sites, it is anticipated that Travel Plans will be prepared to set out how workers will travel to work, including via active travel and public transport.
25	Resident 4	Active Travel	An Active Travel Study should form part of the EMF IDP. SPD is vague about the schemes that will be required for 'active travel' which will make negotiation of contributions for active travel infrastructure difficult.	Active travel requirements would be set at a Local Plan level, with any site specific requirements included in the site specific allocation policies. It is not anticipated that this would be included in the SPD or as part of the EMF IDP.
IDP				
26	Coaker Trusts	Strategic Infrastructure Land	The SPD should recognise that not all contributions will be measured with monetary commitments. There should be recognition of safeguarding land to enable the proposed infrastructure improvement works at Junction 24 to come forward. Para 2.9.3 is unacceptable and strongly opposed. A blanket transferring of land to another authority or body, with no compensation or confirmation of	It is envisaged that there would be land equalisation agreements between landowners which would cover the provision of strategic infrastructure land. This will be assessed and considered as part of the IDP work. To the extent that landowners have not equalised between themselves for necessary strategic infrastructure, the Framework S106 mechanism provides a mechanism to help ensure fair and equitable contributions are made. The reference in the SPD to land transfers to be assumed at nil land value does not mean that there is no compensation or consideration payable to the landowner; rather it means that for planning viability purposes in relation to a Framework S106 mechanism,

			<p>how and when the infrastructure works are to be delivered would not be acceptable. Works in kind principles should be applied.</p>	<p>land will be assumed to be transferred at nil value for the purposes of calculating relevant planning obligation contributions and/or works in kind for strategic infrastructure. The actual land value in relation to any land transfers for strategic infrastructure delivery will remain a matter to be agreed between landowners, subject to a dispute resolution mechanism to be included in a framework S106 Agreement. Paragraph 2.9.4 of the SPD covers the situation where equalisation agreements are not agreed or entered into – the framework section 106 agreement will provide that in this situation the developer shall submit to dispute resolution (arbitration or expert determination) and following determination the equalisation agreement will be entered into. Therefore, there is a mechanism in place to deal with any disputes on equalisation agreements so that these are resolved by an expert or arbitrator and such decision will be binding on the parties to the section 106 agreement.</p> <p>Works in kind in lieu of planning obligations may be provided with the agreement of the relevant local planning authority.</p>
27	<p>Cllr Sutton East Leake Parish Council Kegworth Parish Council Resident 3 The Strategic Land Group Leake Ward Councillors Protect Diseworth Goodman</p>	Procedural Approach	<p>Concerns around proceeding with the SPD without the EMF IDP, full viability evidence and strategic transport modelling being available/agreed.</p> <p>Clarification on subsequent consultations on the EMF IDP/evidence base requested.</p>	<p>This is noted and understood. The draft SPD has been amended to include an explanation of how the SPD is intended to operate in advance of the IDP being published (paragraph 1.17). The EMF IDP and evidence base (including viability evidence and strategic transport modelling) will be the subject of public consultation and the EMF IDP endorsed before it is published and used for the purposes of the SPD.</p> <p>EMF IDP</p> <p>Further highways modelling work currently being undertaken across Leicestershire, Nottinghamshire and Derbyshire (commissioned by the EMF), as well as highways evidence separately being prepared by the</p>

	<p>Parker Strategic Land</p> <p>Save Aston & Weston Village Environment</p> <p>National Highways Uniper</p> <p>Davidsons Developments Ltd</p> <p>Hallam Land Junction 24 Consortium</p> <p>Coaker Trusts</p> <p>SEGRO</p> <p>The Whatton Estate & Bryan and Colin Jarrom</p> <p>Barratt Redrow, Clowes Developments and Wilson Enterprises Consortium</p>			<p>respective local planning authorities to inform respective emerging Local Plans, is continuing and will inform an EMF IDP.</p> <p>The EMF IDP methodology is designed to provide an evidence-led Infrastructure Delivery Plan that identifies the transport and highway interventions required to support the development of the EMF Sites, alongside clear cost and programme details. The section of the SPD which sets out what the IDP will cover has been expanded (paragraph 1.7.)</p> <p>Work is underway on the EMF IDP and it is anticipated that a draft EMF IDP will be issued for public consultation in late 2026. This public consultation draft EMF IDP will be accompanied by an appropriate evidence base including viability and further transport evidence – this has been clarified in the SPD. Following that public consultation, the local planning authorities expect to take the IDP to Cabinet for endorsement.</p> <p>The EMF IDP will supplement this SPD and provide greater detail on the strategic transport infrastructure required, costings and programme, which will, in turn, inform the contributions and obligations to be included in the framework S106 agreement.</p> <p>Transport Evidence</p> <p>Substantial transport assessment work and modelling has been carried out to date in relation to the three EMF sites which is considered sufficient to underpin the evidence base for the SPD in relation to each of these sites at this stage, to be further worked on as part of a common EMF IDP pursuant to the SPDs.</p> <p>Viability Evidence</p>
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				Viability work will be undertaken alongside preparation of the EMF IDP which will be used to inform decisions concerning what strategic transport infrastructure is to be included and what levels of contributions or provision are to be sought (or what other funding may be sought).
28	National Highways	EMF IDP	The SPD is not prescriptive about which organisation(s) would lead on the delivery of any required infrastructure and this should be made clear in the EMF IDP and the framework section 106 agreement. These documents should also set out how contribution will be managed and prioritised when funding is pooled.	Noted. The EMF IDP has been amended to make it clear that the EMF IDP will, where possible, seek to identify the body which is anticipated to deliver each item of Strategic Infrastructure. The management and prioritisation of contributions will be dealt with in the framework section 106 agreement.
29	Uniper	Procedural Approach	EMF should work with relevant landowners and developers to produce the EMF IDP. The SPD should clearly set out it will only come into force once the EMF IDP has been consulted upon and adopted.	Noted. The EMF IDP will be consulted on in due course and be accompanied by evidence on a number of areas e.g. transport and highway evidence, viability evidence. The SPD has been updated to confirm the approach (see row below).
30	Uniper Davidsons Developments Ltd Hallam Land Caesarea & Harworth	General	Concerns around an absence of detail around how the SPD might be implemented in practice, which could create significant uncertainty for developers and delay the delivery of infrastructure	Noted. As referred to above, the SPD has been amended to clarify that from the date of its adoption, the SPD is a material planning consideration in planning determinations in relation to the SPD Sites, but, as it is recognised that at the date of adoption of the SPD the EMF IDP has not yet been published or endorsed by the Local Planning Authorities, until such time as the EMF IDP has been published and

	Junction 24 Consortium Coaker Trusts SEGRO The Whatton Estate & Bryan and Colin Jarrom		improvement works (including the J24 Consortium proposal).	endorsed by the Local Planning Authorities, only limited weight shall be given to the SPD as a material planning consideration by the Local Planning Authorities, though the “in principle” need for pooled contributions set out in the SPD (which may include works in kind in accordance with the SPD) in relation to Strategic Infrastructure has been established and should carry weight as a material planning consideration in that regard in the meantime. This should ensure there is no unacceptable degree of uncertainty for developers. The SPD is designed to help facilitate the delivery of strategic infrastructure improvements, not hinder it.
31	Cllr Sutton Kegworth Parish Council	Infrastructure Delivery	Queries around National Highways endorsement of the infrastructure packages at J24 and when their agreement will be obtained.	National Highways have responded to the SPD consultation. As noted in their response, National Highways have been actively engaged in discussions around the development of the EMF and other major sites in proximity to J24 for some time. The full extent of mitigation required however, will only be understood following completion of the transport evidence and progression of the EMF IDP.
32	Road Haulage Association	General	Lack of consideration for the road freight sector, favouring other modes such as rail and air. Unclear to what degree projects included will be built to suit freight operators	Comprehensive modelling and evidence base gathering is taking place to identify the strategic infrastructure requirements. Given the nature of likely development at the EMF sites, considerations around road freight will be a core element of this work.
Framework S106 / Site-Specific S106 Agreements				
33	Uniper Davidsons Developments Ltd Hallam Land		Unclear what ‘Strategic Infrastructure’ is and how this differs from ‘Site Specific Infrastructure’ and ‘site-wide	‘Strategic Infrastructure’ and ‘Site Specific Infrastructure’ are defined in the SPD. The SPD seeks to cover other strategic transport infrastructure, so is not solely focused on M1 J24, although that is clearly a significant part of the strategic infrastructure requirement. ‘Site Specific

			remediation strategies'. The SPD should set out a clearer objective, for example focussing solely on works to increase capacity through M1 J24. Site Specific Infrastructure' and 'site-wide remediation strategies' may be better addressed through separate agreements (as needed) outside the scope of the SPD.	Infrastructure' will be covered in the framework section 106 agreement (see paragraph 2.8 of the SPD for an explanation of how this will work).
34	Cllr Sutton Kegworth Parish Council The Whatton Estate & Bryan and Colin Jarrom Barratt Redrow, Clowes Developments and Wilson Enterprises Consortium	Equalisation	SPD does not adequately address what happens if equalisation agreements cannot be reached. Lack of justification for imposing commercial arrangements onto developers where no existing contract exists.	Paragraph 2.9.4 of the SPD covers the situation where equalisation agreements are not agreed or entered into – the framework section 106 agreement will provide that in this situation the developer shall submit to dispute resolution (arbitration or expert determination) and following determination the equalisation agreement will be entered into. Therefore, there is a mechanism in place to deal with any disputes on equalisation agreements so that these are resolved by an expert or arbitrator and such decision will be binding on the parties to the section 106 agreement.
35	The Strategic Land Group	Exemptions	Concerns around limited exemptions for contributing and absence of justification for why the parameters were selected. Disproportionate and unjustified to require all development above	There is a threshold, as stated in the SPD, below which sites won't be considered. If they are above that threshold then they <i>may</i> need to contribute, in accordance with and subject to CIL regulation 122. The IDP will consider which strategic allocation sites will be expected to contribute towards the strategic transport infrastructure. The IDP will be

			<p>the thresholds to contribute. SPD scope should be limited to strategic allocations directly unlocked by the EMF. Council should be able to identify what types of development this would apply to and in what geographical locations.</p>	<p>the subject of public consultation so representations can be made in relation to that when it is issued for consultation.</p> <p>The SPD makes it clear that other development sites (defined as 'Other Benefitting Development Sites' in the SPD) will only be expected to contribute towards the strategic transport infrastructure identified where it is unlocked by or significantly benefits from that infrastructure. This will be considered by the Local Planning Authorities when the IDP is prepared and also on a case by case basis as planning applications come forward. Such sites are expected to include any development site immediately adjacent to the EMF Sites where such a development site forms part of or is related to development of an EMF Site. Any section 106 obligation must satisfy statutory tests set out in Regulation 122 of the CIL Regulations 2010 in any event to ensure it is necessary to make the development acceptable in planning terms, directly related to the development and fairly and reasonably related in scale and kind to the development.</p>
36	Leake Ward Councillors, Rushcliffe Borough Council	Site Specific Infrastructure	<p>Concerns regarding omissions for site specific infrastructure needed to deliver the Ratcliffe on Soar site.</p>	<p>The EMF IDP currently being prepared will set out requirements for strategic highways infrastructure and the associated costs. Other site specific infrastructure would be considered further at planning application stage, or would be set out in the site specific allocation policy in the emerging Local Plan. Site specific infrastructure is envisaged to be included in any framework section 106 agreement and this is explained in the SPD (see paragraph 2.8 of the SPD).</p>
37	Parker Strategic Land	CIL	<p>Important that there is no overlap or double counting between S106 obligations and CIL charges towards the 'strategic</p>	<p>As set out in paragraph 2.9.8 of the SPD, the framework section 106 agreement shall include a provision that if CIL were to be introduced which applied to any of the SPD Sites, the framework section 106 Agreement would be adjusted so that there would be no increased</p>

			infrastructure’ where CIL is in place/may come in to operation in the future.	financial burden on landowners or developers of land within the allocation site as a result. The current position in relation to CIL is summarised at paragraph 1.21 of the SPD.
	Barratt Redrow, Clowes Developments and Wilson Enterprises Consortium	Procedural Approach	Risk that the approach to s106 contributions proposed to be taken is via a tariff; if this is the case it should be taken forward via the Community Infrastructure Levy and not s106 contributions.	The approach is a framework section 106 agreement and not a tariff, as explained in the SPD.
Sites which may need to contribute to infrastructure				
38	Broxtowe Borough Council	Appendix 4	Suggest adding a key to the map in Appendix 4 to understand when the SPD may apply to development outside of the designated Freeport sites.	The criteria as to where contributions may be sought is set out in paragraph 1.4 of the SPD and could comprise any development parcel within any of the EMF Sites, Other Benefitting Strategic Allocation Sites or Other Benefitting Development Sites within the relevant local authority areas. A key has been added to Appendix 4 to clarify the area relevant for the purposes of ‘Other Benefitting Development Sites’.
39	Cllr Sutton Kegworth Parish Council Resident 3 The Strategic Land Group Leake Ward Councillors Protect Diseworth	Other Benefitting Development	Queries/concerns regarding the thresholds and study area used in the SPD and identification of “Other Benefitting Development” and Strategic Allocation Sites. Concerns as to how the assessment of whether sites should contribute will be applied consistently and transparently, and how contribution requests will	There is a threshold, as stated in the SPD, below which sites won’t be considered. If they are above that threshold then they <i>may</i> need to contribute, in accordance with and subject to CIL regulation 122, which does not need to be specifically referred to since it applies as a matter of law. Further clarificatory text has been added to the SPD, which explains that it applies to ‘SPD Sites’ defined as the EMF Sites, the Other Benefitting Strategic Allocation Sites and Other Benefitting Development Sites (all as defined.) Other Benefitting Strategic Allocation Sites and Other Benefitting Development Sites will be sites which will be unlocked by or significantly benefit from the strategic infrastructure. The identification of SPD Sites will be progressed through the EMF IDP (so far as is

	Rula Developments Limited Parker Strategic Land Davidsons Developments Ltd Hallam Land Caesarea & Harworth SEGRO The Whatton Estate & Bryan and Colin Jarrom National Highways		meet the tests under Regulation 122 of the CIL regulations.	reasonably practicable at that stage) which will be the subject of public consultation. It has also been clarified that Other Benefitting Development Sites are expected to include any development site immediately adjacent to the EMF Sites where such a development site forms part of or is related to development of an EMF Site (paragraph 1.4 of the SPD). The SPD provides a mechanism (a framework section 106 agreement) for achieving a consistent approach towards the contributions which will be sought from SPD Sites towards the delivery and funding of necessary strategy transport infrastructure. This framework section 106 agreement will be developed by the three local planning authorities jointly and used as a base template document for all section 106 agreements being negotiated by the local planning authorities in relation to relevant development as and when planning permission is sought for that development. This will ensure the approach taken by the three Local Planning Authorities is consistent and transparent.
40	Leake Ward Councillors, Rushcliffe Borough Council	Site Specific Infrastructure	Ratcliffe on Soar site is not entirely within freeport area and there should be equivalent contributions from those areas outside.	The SPD has been amended to make it clear that Other Benefitting Development Sites are expected to include any development site immediately adjacent to the EMF Sites where such a development site forms part of or is related to development of an EMF Site and will therefore be expected to contribute.
SEA				
41	Cllr Sutton Kegworth Parish Council	Strategic Environmental Assessment	Clarification as to whether SEA screening has been undertaken and, if so, the screening conclusion and its basis. If screening has not	The SEA and HRA document published with the consultation draft SPD has been updated to take into account applicable consultation responses in respect of the SEA, add further explanation to support the conclusions and make it clear that it is a screening opinion in respect of Strategic

	Protect Diseworth		<p>been undertaken, it should be carried out before the consultation proceeds further.</p> <p>Concern on reliance on historic assessments without re-evaluating cumulative impacts.</p>	<p>Environmental Assessment and Habitats Assessment. The comments of statutory consultation bodies have been sought in advance of the respective Cabinet meetings and the conclusions remain unchanged.</p>
Environmental / BNG / Green Infrastructure				
42	Natural England	Green Infrastructure and Biodiversity Net Gain	<p>Strategic Green Infrastructure should be coordinated throughout the large developments within the surrounding area, together with BNG sites to provide connected habitats for the maximum benefit for nature recovery and access for people to nature.</p>	<p>Strategic green infrastructure is outside of the remit of the SPD, which is focused on the delivery of strategic transport infrastructure.</p> <p>Furthermore, the Local Nature Recovery Strategies in effect across Nottinghamshire, Derbyshire and Leicestershire set out the priorities for BNG provision and habitat enhancements across the strategic sites, including the EMF sites, coming forward in the respective Local Plans. This will help to coordinate Strategic Green Infrastructure and does not need to be duplicated in the SPD.</p> <p>It is also anticipated that each respective emerging Local Plan will also have its own Green Infrastructure policy.</p>
43	Derbyshire Wildlife Trust	Green Infrastructure and Biodiversity Net Gain	<p>Government requirements on NSIP are due to be published November 2026. A clear biodiversity strategy should be developed that could underpin the ongoing EMF development and ensure meaningful gains that deliver locally and for the respective Local Nature Recovery Strategies. The strategy could help</p>	<p>Green infrastructure and Biodiversity Net Gate is outside of the remit of the SPD, which is focused on the delivery of strategic highways infrastructure.</p> <p>Furthermore, the Local Nature Recovery Strategies in effect across Nottinghamshire, Derbyshire and Leicestershire set out the priorities for BNG provision and habitat enhancements across the strategic sites,</p>

			build partnerships to enhance biodiversity locally.	including the EMF sites, coming forward in the respective Local Plans. This will help to coordinate Strategic Green Infrastructure. It is also anticipated that each respective emerging Local Plan will also have its own Green Infrastructure policy.
Other SPD representations				
44	Uniper	General	Response makes 17 recommendations for amends to the SPD which are not all covered here individually.	We have updated the SPD where appropriate in response to these comments.

Appendix 1: List of consultees and stakeholders consulted

Rushcliffe Borough Council

Active Notts	Barton Willmore
Active Travel England	Barwood Development Securities Limited
Aerodynamics Dry Leasing Ltd	Barwood Homes
Aitchison Raffety Ltd	Barwood Land
Aldergate Properties Ltd	Bassetlaw District Council
Alexandra Blue Ltd	Bellway Homes
Alverton & Kilvington Parish Meeting	Bidwells
Alverton and Kilvington Parish Council	Bingham Town Council
Amber Valley Borough Council	Bleasby Parish Council
Andrew Granger & Co	Bloor Homes
Andrew Hiorns Town Planning Limited	BNP Paribas Real Estate
Angelorange Ltd	Bottesford Parish Council
Arc Partnership	Boyer Planning
Arcstone Ltd	Bradair Aviation Consultancy Ltd
Arquiva	Bradmore Parish Council
Ashfield District Council	Braemore Group
Aslockton Parish Council	British Gas
Aspbury Planning Ltd	British Gypsum
Astill Planning Consultants Ltd	British Horse Society
Avison Young	Broughton and Dalby Parish Council
AXIS	Broxtowe Borough Council
Barkestone, Plungar and Redmile Parish Council	BT Openreach
Barratt David Wilson Homes	Bulcote Parish Council
Barratt David Wilson Homes and Averill Land Limited	Bunny Parish Council
Barratt Homes	Burton Joyce Parish Council

Barratt Redrow	Burton on the Wolds, Cotes and Prestwold Parish Council
Barton in Fabis Parish Council	Cadent Gas
Camelot Pictures Ltd	Davidsons Developments Ltd
Cameron Homes	Deeley Homes
Canal & River Trust	Defence Infrastructure Organisation
Car Colston Parish Meeting	Define Planning and Design Ltd
CarneySweeney	Derby City Council
Carter Jonas	Derbyshire County Council
Caythorpe Parish Council	DevPlan
CBP Architects	DIO Operations
Cerda Planning	DLP Planning Ltd
Ceylon Tea Growers Association Limited	DLUHC
CFS Flight Training Ltd	DPP UK Ltd
Change.org	Duchy of Cornwall
Charnwood Borough Council	East Bridgford Parish Council
Charter Point	East Bridgford St Peter's Cofe Academy
Chave Planning	East Leake Academy
Chris Wade Aviation Ltd	East Leake Parish Council
Churchill Living and Mccarthy Stone Retirement Lifestyles	East Midlands Ambulance Service
Civil Aviation Authority	East Midlands Building Consultancy
Clark Architectural Services	East Midlands Combined County Authority
Clawson, Hose and Harby Parish Council	East Midlands Freeport Ltd.
Clipston Parish Meeting	East Midlands Railway
Colston Bassett Parish Council	Edwalton Municipal Golf and Social Club

Colwick Parish Council	EE
Compass North Aviation	Elston Parish Council
Copperfield Ltd	Elton-on-the-Hill Parish Meeting
Cora Homes Ltd	Emery Planning
Costock Parish Council	Endurance Estates
Cotgrave Town Council	Environment Agency
Country Land and Business Association	Erewash Borough Council
Countryside Properties	Evolve Planning & Design
CPRE	FH Farms Ltd
Creagh Concrete	Fisher German LLP
Crofts Development Ltd	Flawborough Parish Meeting
Cropwell Bishop Parish Council	Flintham Parish Council
Cropwell Bishop Primary School	Forestry Commission
Cropwell Butler Parish Council	Frazer Halls Associates
Crown Estate	Freeths LLP
Crown Estates Commissioners	Friends of Sharphill Wood
CT Planning	G Longley Planning & Property Services
Cushman & Wakefield	Garden History Society
DAQS Ltd	Gascoines Group Limited
David Lock Associates	Gedling & Sherwood CC
David Wilson Home East Midlands	Gedling Borough Council
General Aviation Awareness Council	Integrated Care Board
Girlguiding Nottinghamshire	Jelson Homes
Gladman Developments Ltd	JG Woodhouse & Sons
Gleeson Homes	Jigsaw Homes

Gotham Parish Council	Jigsaw Planning Limited
Grace Machin Planning & Property	JMS Planning & Development
Granby cum Sutton Parish Council	John A Wells Limited
Grantham Canal Society	John Church Planning Consultancy Ltd
Green 4 Planning	JVH Town Planning Consultants Ltd
Gunthorpe Parish Council	Kase Aero Ltd
GVA	Kegworth Parish Council
Hallam Land and Davidsons Developments	Keyworth Conservation Area Advisory Group
Hallam Land Management Limited	Keyworth Labour Group
Harris Lamb Limited	Keyworth Parish Council
Harris Land Management	Kingston on Soar Parish Council
Harworth Group	Kinoulton Parish Council
Hathern Parish Council	Kittyhawk Aerodrome
Havenwood Construction Limited	Kneeton Parish Meeting
Hawksmoor	Knightwood Developments Limited
Hawksworth Parish Meeting	Lambert Smith Hampton
Hayhoe Marine Services	Landstack
Health and Safety Executive	Langar cum Barnstone Parish Council
Heaton Planinng	Langridge Homes Ltd
Heaton Planning	Leaders Romans Group
Hickling Parish Council	Leicester City Council
Historic England	Leicestershire County Council
Hollins Strategic Land	Leicestershire Police and Crime Commissioner
Holme Pierrepont And Gamston Parish Council	Leith Planning
Home Builders Federation	Pleydell Smithyman Ltd

Homes England	Lidl GB Ltd
Hortons' Estate Limited	Lightsource BP
Hoton Parish Council	Lockington and Hemington Parish Council
Hoveringham Parish Council	Lone Star Land
HTA Design LLP	Lone Star Land Ltd
IBA Planning Ltd	Long Whatton and Diseworth Parish
Iceni Projects	Lucy White Planning
ID Planning	M1 Agency
IDC & Associates	Mansfield District Council
IM Land Limited	Marine Management Organisation
Infraland	Marrons Planning
Inland Waterways Association	Mather Jamie Ltd
Innes England	McCarthy Stone
Inovo Consulting	Meadow School of Riding
Inspired Villages	Melton Borough Council
Midlands Engine	OSVAID
Midlands Land Portfolio Limited	Owthorpe Parish Meeting
Mike Downes Planning Consultant	Oxalis Planning
Ministry of Defence Defence Infrastructure Organisation Safeguarding	Paget Estate
Mobile Operators Association	Parker Strategic Land Limited
National Air Traffic Services Ltd	Pegasus Group
National Federation of Gypsy Liaison Groups	Pell Frischmann
National Grid Electricity Distribution Plc	Penland Estates
National Grid Electricity Transmission	Persimmon Homes
National Highways	Peter Tyers Associates

Natural England	Peveril Securities Limited & Omnivale Pension Scheme
neighbourhood-planning.co.uk	Planning & Design Group Limited
Nottingham Express Transit	Planning Issues
Network Rail	Planning Potential
Newark and Sherwood District Council	Planning Prospects Ltd
Newton Nottingham LLP	Plumtree Parish Council
Newton Parish Council	PMC Land and Planning Limited
Nexus Planning	Positive Homes Ltd
NHS England	Profectus Town Planning
NHS Nottm & Notts ICB	Q+A Planning Ltd
NHS Property Services	Quiet Tiger Aviation
nineteen47	Radcliffe-on-Trent Parish Council
Normanton on Soar Parish Council	Radcliffe-on-Trent Residents Assoc
Normanton-on-Soar Parish Council	Railfuture
Normanton-on-the-Wolds Parish Council	Rapleys LLP
North West Leicestershire District Council	Ratcliffe Marina
Northern Trust Land Ltd	Ratcliffe on Soar Parish Meeting
Notcutts Ltd	Ratcliffe-on-Soar Parish Meeting
Nottingham City Council	Redrow Homes East Midlands Ltd
Nottingham City Transport	Regatta Way Sports Club
Nottingham Credit Union	Regen
Nottingham Green Party	Rempstone Parish Council
Nottingham Students' Partnership	Rentplus UK
Nottinghamshire Area Ramblers	RES
Nottinghamshire CPRE	rg+p Ltd.

Nottinghamshire County Council	Richard Ling & Associates
Nottinghamshire Police	Richborough Commercial
Nottinghamshire Ramblers	Richborough Estates Ltd
Nottinghamshire Sports Properties	Ridge and Partners LLP
Nottinghamshire Wildlife Trust	Royal Mail
Orchestra Land	Ruddington Parish Council
Orston Parish Council	Rula Developments Ltd
Office of Rail and Road	Rural Insight Land & Development
Rural Solutions	Syerston Parish Meeting
Rushcliffe Green Party	TASCforce
Rushcliffe Nature Conservation Strategy Implementation Group	Taylor Wimpey
Rushcliffe School	Taylormade Group
Samworth Farms Limited	Terra
Savills UK Ltd	Tetlow King Planning
Sawley Parish Council	The Coal Authority / The Mining Remediation Authority
Saxondale Parish Meeting	The Cranmer Group of Parishes
Scarrington Parish Meeting	The Crown Estate
Screveton Parish Meeting	The Gardens Trust
Sequence Ltd	The General Aviation Awareness Council
Seven Homes	The Labour Group, Rushcliffe Borough Council
Severn Trent	The Planning Bureau
Sharphill Action Group	The Planning Inspectorate
Sharphill Management Services	The University of Nottingham
Shelford Parish Council	The Victoria Centre Partnership

Shelton Parish Meeting	The Woodland Trust
Sherwood Conservatives	Theatres Trust
Shouler and Son	Theta Squared Aviation
Sibthorpe Parish Meeting	Thomas Heap
South Notts Association for Visually Impaired Group	Thoroton & District Branch - Newark Conservative Association
Spawforths	Thoroton Parish Meeting
Sport England	Three
St James' Church NOS	Thrumpton Parish Meeting
Stagfield Group	Tithby and Wiverton Parish Meeting
Stainton Planning	Tollerton Against Backdoor Urbanisation
Stanford on Soar Parish Council	Tollerton Parish Council
Stanford-on-Soar Parish Council	tor&co
Stantec UK	Trebor Developments LLP
Stanton on the Wolds Parish Council	Trent Valley Internal Drainage Board
Stanton-on-the-Wolds Parish Council	Trustees of Hammond Farm
Stathern Parish Council	Turley
Staunton Parish Meeting	T/as Hawk Helicopters
Stoke Bardolph Parish Council	Uniper UK Limited
Strata	Unite Notts Retired Members Branch
Strawson Group Investments Ltd	Unite the Union
Strutt and Parker	Upper Broughton Parish Council
Sustainable Transport Nottingham	Upper Saxondale
Sutton Bonington Local Residents Committee	Vale Planning Consultants
Sutton Bonington Parish Council	Vistry Homes Ltd
Swift Aero Maintenance	West Bridgford LAF Traffic and Transport Group

Swords Aviation	West Bridgford Local Area Forum
West Leake Parish Council	West Bridgford Hockey Club
West Leake Parish Meeting	Wilson Bowden Developments Ltd
Western Power Distribution	Wood PLC
Whatton in the Vale Parish Council	Woodall Homes Ltd
Whitefields Farm	Woodland Trust
Widmerpool Parish Council	WSP
William Davis Homes	www.GeoGreenPower.com
Willoughby on the Wolds Parish Council	Wymeswold Parish Council
W Westerman Ltd	Wysall And Thorpe-in-the-Glebe Parish Council
Via East Midlands	Zesta Planning Ltd
Wellesbourne Matters	Over 1,500 private consultees, other businesses and other organisations

North West Leicestershire District Council

Clerk to Calke Parish Meeting
Clerk to Ulverscroft Parish Meeting
Carter Jonas
Savills
Planware Ltd
Leicester Centre for Integrated Living
Ashby de la Zouch Endowed Schools Foundation
VIP - Volunteering Partnerships
Moira Furnace Trustees
Ashby Canal Trust
Friends of Ashby Bath Grounds

Citizen's Watch
Design Council
Campaign for Real Ale Ltd
Guide Association UK
RSPB
CPRE (Leicestershire)
Roberts Coaches
dglg planning
Mono Consultants (represents all Comms Companies)
Stephenson College
Loughborough Council of Faiths
Action Deafness
Age UK
The Garden History Society
MOSAIC (user-led disability group)
Twentieth Century Society
Creative Leicestershire
Garden History Society
Council for British Archaeology
CPRE
The Georgian Group
Leicester Council of Faiths
Moira Replan
Marlene Reid Centre (Community Action)
The Society for the Protection of Ancient Buildings & The Victorian Society

VISTA
Ibstock in Bloom
Sustrans
Trent Barton
St David's Vicarage
Leicestershire and Rutland Wildlife Trust
National Trust
Press for Change
MENCAP
National Forest Charitable Trust
Leicestershire County Council
Woodland Trust
Friends of Thringstone
Ancient Monuments Society
Coalville Brownies, Guides and Rainbows
Packington Nook Residents Association
Long Whatton and Diseworth Parish Council
NFU East Midlands Region
St David's Church
Castle Donington Community Appraisal Group
People's Forum
Inland Waterways Association
Theatres Trust
CAMRA
Harlow Brothers Ltd

Greenhill Community Church
Roger Yarwood Planning Consultant
The Loughborough Gospel Halls Trust
Leicestershire Local Access Forum
Ibstock Brick Ltd
Castle Rock High School
Home Builders Federation
Trent Barton
Everything is Somewhere Ltd
Friends of Ashby Bath Grounds
Castle Donington Parish Council
Packington Parish Council
Hugglescote and Donington le Heath Parish Council
Breedon on the Hill Parish Council
Natural England
Historic England
Leicestershire Partnership NHS Trust
Environment Agency
Canal and River Trust
Sport England East Midlands Region
East Midlands Airport
Health and Safety Executive
NHS Property Services Ltd
Homes England
East Midlands Chamber

Severn Trent
Sport England
The Coal Authority
The National Forest Company
Office of the Police and Crime Commissioner
Natural England
Leicestershire Fire and Rescue
Marine Management Organisation
Network Rail Property
Department for Education
Highways England
Clerk to Sawley Parish Council
Clerk to Breaston Parish Council
Clerk to Weston on Trent Parish Council
Clerk to Bagworth and Thornton Parish Council
Clerk to Hathern Parish Council
Clerk to Overseal Parish Council
Clerk to Shakerstone Parish Council
Clerk to Woodhouse Parish Council
Clerk to Shepshed Town Council
Clerk to Stanton under Bardon Parish Council
Clerk to Markfield Parish Council
Clerk to Ticknall Parish Council
Clerk to Hartshorne Parish Council
Clerk to Ratcliffe on Soar Parish Meeting

Clerk to Shardlow and Great Wilne Parish Council
Clerk to Melbourne Parish Council
Clerk to Nailstone Parish Council
Clerk to Netherseal Parish Council
Clerk to Newton Regis, Seckington and No Man's Heath Parish Council
Clerk to Clifton Campville Parish Council
Clerk to Kingston on Soar Parish Council
Chilcote Parish Meeting
Clerk to Thrumpton Parish Council
Clerk to Smisby Parish Council
Clerk to Aston on Trent Parish Council
Clerk to Twycross Parish Council
Clerk to Woodville Parish Council
Stetton en le Field Parish Meeting
Clerk to Coton-in-the-Elms Parish Council
Clerk to Sutton Bonnington Parish Council
Blaby District Council
Broxtowe Borough Council
Charnwood Borough Council
Derby City Council
Derby City Council
Derbyshire County Council
Erewash Borough Council
Erewash Borough Council
Harborough District Council

Leicester City Council
Leicestershire County Council
Lichfield District Council
Melton Borough Council
North Warwickshire Borough Council
Nottingham City Council
Nottinghamshire County Council
Oadby and Wigston Borough Council
Rugby Borough Council
Rushcliffe District Council
South Derbyshire District Council
Staffordshire County Council
Warwickshire County Council
Ashby de la Zouch Civic Society
Leicester, Leicestershire and Rutland Integrated Care Board
Nottingham and Nottinghamshire Integrated Care Board
CCG/NHS
Taylor Wimpey
Cadent
National Grid
Leicestershire County Council
GraceMachin Planning&Property
Oxalis Planning Ltd
Savills
BNP Paribas

Tetlow King Planning
Inspire Planning
GVA
Vale Planning Consultants
Pegasus Group
Redrow Homes Limited
Duckworth Planning and Design
Fisher German LLP
Heatons
Iceni
The Coach House
Copesticks Ltd.
Andrew Large Surveyors
Persimmon Homes North Midlands
M and M Lettings
Measham Parish Council
MPC
JVH Town Planning Consultants Ltd
Harworth
David Wilson Homes East Midlands
JVH Town Planning Consultants Ltd
Fox Bennett
Muller Property Group
Willder.com
SF Planning Ltd

Savills
Chave Planning
Sansom Clarke Ltd
nineteen47
Savills
Apusprojects
DLP Planning Ltd
GVA
Howkins and Harrison
Savills
rg+p Ltd.
Appleby Magna Parish Council
Jelson
Kingswood Homes
Andrew Large Surveyors
Harworth Group
Brackley Property Developments Ltd
Planning and Design Group (UK) Limited
Astill Planning Consultants Ltd.
Walton & Co (Planning Lawyers) Limited
Andrew granger & Co Ltd
Barton Willmore
Future Energy Performance
Sirius Planning
Leicestershire Police

Federation of Small Businesses
planinfo
Walsingham Planning (Representing Whitbread)
ID Planning
Barratt and David Wilson Homes North Midlands
Trebor Developments
Lichfields
Turley
DWD Property and Planning
Fisher German LLP
Hodgetts Estates
Forest Holidays
Clarendon Land and Development
Miller Homes
Intro Crowd
Richborough
Nineteen47
Delta Planning
King West
Mather Jamie
Mulberry Land
Avison Young on behalf of National Gas Transmission
FP McCann
Berrys
Bloors

Gladman Development
Planning Potential
Barwood Land
Gladman Development
Longhurst Group
Cornwall Buildings
Marble Property Services Ltd
Appleby Environment
David Granger Architectural Design Limited
Barton Willmore
DevPlan
Stantec
Avison Young
R3Design Developments Ltd
Rosconn Group
Planning Prospects Ltd
Spawforths
Boyer Planning
Cerda Planning Ltd
Hollins Strategic Land
National Grid
Hallam Land Management
Class Q Ltd
RG-P
Harris Lamb

Gladman Developments Ltd
KC Planning and Development
Hallam Land Management
Taylor Wimpey
RG+P
Breedon Northern
Pegasus Group
Barwood Homes
Planning Prospects Ltd
Carter Jonas
JJM Planning
Housing 21
Wonderful Homes Limited
NHS Property Services Ltd
Lucy White Planning
Sports Facilities Development Officer Active Together (formerly Leicester Shire & Rutland Sport)
Habinteg Housing Association
Alec MacGregor Associates
Burnett Planning
CT Planning
Adams Hendry Consulting
Evolve Planning & Design
Pegasus Group
Avison Young
WSP

Evolve Planning & Design
Copperfield L & P Ltd
Thomas Taylor Planning
Metacre Ltd
Savills Uk Ltd
Turley
JLL
Define Planning and Design Ltd
Brown & Co.
Hodgetts Estates
Gladman Developments Ltd
Carney Sweeney
William Davis
James Martin Consultancy
Oxalis Planning Limited
Mather Jamie
I Gray Consulting
Knights
Marrons Planning
Define Planning and Design Ltd
WSP
Chief Executive, Diocesan Secretary and Cathedral Administrator, Diocese of Leicester
Williams Homes
Midlands Connect
Trammell Crow

Barratt Development East
Carney Sweeney
Strata
National Highways (Midlands)
Richborough
Boaz Real Estate
Andrew Granger & Co. Ltd.
CBRE Ltd
Clerk of Osgathorpe Parish Council
Mather Jamie
Protect Diseworth
Carter Jonas
Stantec
Barwood Land
Director - Stone Planning Services
Chair of the Melbourne Civic Society
Stantec
Caddick Group
Chairperson, Willesley Environment Protection Association (WEPA)
Country Land and Business Association (CLA)
ELG Planning
WSP
Firstplan
Mather Jamie
Walton Homes

Rural Solutions
CBRE Ltd
Caddick Group
David Wilson Homes East Midlands
HA Law
National Highways (Midlands)
East Midlands Freeport
Alexander Bruce Estates
Leicestershire Local Access Forum
DHL International (UK) Ltd
Strategic Land Group
CBRE
C. Green Planning
Savills
Pegasus Group
Satplan
Turley
Nurton Developments
Define Planning & Design Ltd
Stantec UK Ltd
TWB Town Planning Consultants
Marrons
Gladman Developments Ltd
Stantec UK Ltd
Charley Heritage Group

Coleorton Heritage Group
Crowne Estate
NFU Midlands
The National Forest Company
Sustrans (East Midlands)
Active Travel England
Leicestershire and Rutland Wildlife Trust
Friends of Thringstone
The Scout Association
Hugglescote Heritage Society
Whitwick Historical Group
Equality & Human Rights Commission
Coalville Heritage
Savills
Ashby Civic Society
Environment Agency
Hinckley and Bosworth Borough Council
Clerk to Castle Gresley Parish Council
Clerk to Austrey Parish Council
Clerk to Draycott and Church Wilne Parish Council
Clerk to Newton Regis, Seckington & No Man's Heath Parish Council
Campaigne for Real Ale (CAMRA)
Marble Homes Ltd
Planning and Design Group
Stoford Properties Ltd

Twentieth Century Society
Oxalis Planning
Allison Homes
Maplevale Planning
Twenty5
Taylor Wimpey
William Davis
Four Counties Architecture
Persimmon Homes
Carter Jonas
Four Counties Architecture
Leicester City Council
Hinckley & Bosworth Borough Council
Spawforths
Oxalis Planning
Redrow
Pick Everard
Sport England
South Derbyshire District Council
Marrons
Define Planning and Design
Kier
Stantec
Andrew Large Surveyors
Ashby Town Council

National Highways
Mather Jamie
The Coal Authority
Packington Nook Residents Association
Derbyshire County Council
Fisher German
PM Group
Castle Donington Parish Council
Ibstock Parish Council
Kegworth Parish Council
Packington Parish Council
Whitwick Parish Council
Leicester Leicestershire and Rutland Integrated Care Board
Clowes Developments
Firstplan

South Derbyshire District Council

1Mini	2012 Partnership Homes Ltd
Ainscough Strategic Land	ALPAC
ALYeomans	Amber Valley Bourough Council
Amy Taylor Affinity Learning Partnership	Ancient Monuments Society
Andrew Large Surveyors Ltd	Aspbury Planning
Astill Consultants	Aston on Trent Parish Council

Avison Young	Avril Record
AYeomans	B & Y C Gambini
Bagshaws	Bailey-English Studio
Barratt Homes	Barrow Upon Trent Parish Council
Barton Willmore	Bellway Homes
Bi Design	Bloor Homes
Bolsover District Council	Boyer Planning
Brackley Property Developments	Bretby Parish Council
Burnaston Parish Council	Burnett Planning
Bus Link	Caddick Land
Cameron Homes	Canal and River Trust
Carden Group	Carney Sweeney
Carter Jonas	Cass Associates
Castle Gresley Parish Council	Catesby Estates
Cauldwell Parish Meeting	CBRE Ltd
Centrica	Cerda Planning
Chave Planning	Chesterfield Borough Council
Church Broughton Parish Council	Church Gresley Infant & Nursery School
Church Broughton Primary School	Churchill Living

Citizens Advice Mid Mercia	Civic Aviation Authority
Commercial Development Projects Ltd	Copesticks
Coton in the Elms Parish Council	Council For British Archaeology
CPRE	Crime Prevention Design Advisor
CT Planning	Cushman & Wakefield
Dalbury Lees Parish Council	David Wilsom Homes (East Midlands)
Davidsons Developments Ltd	Dean Lewis Estates
Define Planning & Design	Deloitte
Department for Transport	Derby Airfield
Derby City Council	Derby Sandiacre Canal Trust
Derby & Derbyshire CCG	Derby Canal
Derbyshire Association of Local Councils	Derbyshire County Council
Derbyshire Swift Conservation Project	Derbyshire Wildlife Trust
Derbyshire Association of Local Councils	Derbyshire Dales District Council
Derbyshire Fire and Rescue	Derbyshire Gypsy Liaison Group
Derbyshire Heathcare NHS Foundation Trust	Derwent Valley Trust
Design30	Diocese of Derby
DKA Commercial Ltd	DLP Consultants
DPDS consulting	Drakelow Parish Council

DTH Services Ltd	E.ON UK Ltd
East Midlands Airport	East Midlands Combined County Authority
East Staffordshire Borough Council	East Midlands Homes
Egginton Parish Council	Egginton Airfield
ELG Planning	Elvaston Parish Council
Emery Planning	Environment Agency
Erewash Borough Council	Etwall Parish Council
Etwall Preschool	Etwall Cricket Club
Evolve Planning and Design	Findern Parish Council
Fisher German	Forestry Commission
Foston & Scropton Parish Council	Framptons Planning
Freeths	Futures Housing Group
Gainsborough Property	Gibson Technology
Gladman	Goodman UK Ltd
Green 4 Developments	GRL Planning
Hallam Land	Harris Lamb
Harrow Estates	Hartshorne Parish Council
Hartshorne Residents Association	Harworth Group

Hatton Parish Council	Hawksmoor Property Services
HBF	Heaton Planning
High Peak Borough Council	Highways England
Hilton Parish Council	Historic England
Howard Sharp & Partners LLP	Indigo Planning
Ingleby Parish Meeting	Innova Renewables Developments Ltd
IVC Brunel Healthcare	JF Planning
JMI Planning	JTA Accountants
JVH Planning	Kings Newton Residents Association
Kingsmere Holdings	Land Allocation Ltd
Land Project UK (LPUK)	Land & Planning Consultants
Landmark Planning	Lathams
Lichfield District Council	Lichfields
Lightsource bp	Linton Parish Council
Linton Primary School	Lion Planning
Lucy White Planning	Lullington Parish Meeting
MAG East Midlands Airport	Marrons Planning
Marston on Dove Parish Meeting	Martin Hubbard and Associates
Mather Jamie	Mcarthy and Stone Retirement Lifestyles

Melbourne Civic Society	Melbourne Parish Council
Melbourne Infant School	Midland Land Portfolio
Midland Heart	Midland Rural Housing
Midland Searches	Miller Homes
Mining Remediation Authority	National Forest Company
National Grid	National Highways
National Trust	National Grid
Natural England	Netherseal Parish Council
Network Rail	Newton Solney Parish Council
Newton Park Residents	NHS Derby and Derbyshire Integrated Care Board
NHS Property Services	Nightingale Land
Nineteen47	North West Leicestershire District Council
Northern Trust	North East Derbyshire District Council
NT Land	Overseal Parish Council
Oxalis Planning	P&DG
Parker Strategic Land	Pearlsfield Planning
Pegasus Group	Persimmon Homes
Peveiril Homes Ltd	Places for People

Planning & Design Practice Ltd	Planning Issues
Planning Prospects	Planware Ltd
Police & Crime Commissioner Derbyshire	Posford
Providence Land Ltd	R & M Property Group Ltd
Radbourne Parish Meeting	Ramblers Association
Rapleys Planning	Redrow Homes Ltd
Redrow	Repton Parish Council
Repton School	Repton Village Society
rg-p	Richborough Estates Ltd
Rosliston Parish Council	Roger Bullivant Ltd
RPS Group	Rula Developments Ltd
Rural Solutions	Sale & Davys Church of England Primary School
Salloway	SAVE
Savills	Severn Trent Water
Shardlow and Great Wilne Parish Council	Shardlow Heritage Centre
Smisby Parish Council	South Staffs Water
Sport England	SSA Planning
St James's Property Management	St Modwen Homes

St Philips	Stantec
Stanton By Bridge Parish Meeting	Stenson Fields Parish Council
Stone Planning Services	Strategic Land Group
Strata	Walk Wheel Cycle Trust
Sutton on the Hill Parish Meeting	Swifts Local Network
Tarmac Trading Ltd	Taylor Wimpey Strategic Land
Tensi Properties Ltd	Tetlow King Planning
The Derby and Derbyshire Local Access Forum	The Planning Bureau Ltd
Theatres Trust	The Sirius Group
Ticknall Parish Council	Trenport Investments Limited
Trent and Dove Housing Association	Trusley Parish Meeting
Turley	Town Planning Consultants Ltd
Twyford and Stenson Parish Meeting	Vista Planning
Vodafone & O2 Mobile	Wain Estates
Walsingham Planning	Walton on Trent Parish Council
Western Power	Weston-on-Trent Parish Council
Wheelton Bros Ltd	William Davis Homes
Willington Parish Council	Wilson Bowden

Woodland Trust	Woodville Parish Council
Woolf Bond Planning	WSP
Over 1,000 private consultees.	

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EAST MIDLANDS FREEPORT (EMF) STATEGIC INFRASTRUCTURE & CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT (SPD)

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EXECUTIVE SUMMARY

East Midlands Freeport (“**EMF**”) was approved by Government in 2023 and provides businesses located within its designated ‘tax sites’ with financial incentives to enable economic growth, stimulate innovation, and to create regional investment and employment opportunities. EMF is the UK’s only inland freeport, strategically located at the heart of the UK.

EMF is formed of three ‘tax sites’, respectively falling within three different local authority administrative boundaries:

- the East Midlands Airport and Gateway Industrial Cluster in North West Leicestershire District; and
- the Ratcliffe on Soar Power Station site in Rushcliffe Borough, Nottinghamshire; and
- the East Midlands Intermodal Park in South Derbyshire District;

Certain strategic transport infrastructure is needed to support the delivery and operation of these three EMF sites (“**the EMF Sites**”), including improvement works to Junction 24 of the M1 (“**Strategic Infrastructure**”).

The purpose of this Supplementary Planning Document (“**SPD**”) is to ensure the coordinated and collaborative delivery and funding of the Strategic Infrastructure and that all development coming forward on the EMF Sites, or on strategic allocation sites or other major development sites adjacent to or outside the EMF Sites which will be unlocked by or significantly benefit from the Strategic Infrastructure, contribute towards the Strategic Infrastructure on an equitable and proportionate basis. The evidential work underpinning this SPD, which will be further evolved through an EMF Infrastructure Delivery Plan (“**EMF IDP**”) process, as well as assessments accompanying relevant planning or consenting applications, establishes the “in principle” need for pooled contributions set out in this SPD (which may include works in kind) from SPD Sites in relation to the Strategic Infrastructure. Further highways modelling work is continuing and will inform an EMF IDP in due course.

This SPD envisages a mechanism (a Framework Section 106 agreement approach) for achieving the above purpose through the planning process. A template Framework Section 106 agreement is expected to be developed by the three local planning authorities jointly and used as a base template document for all Section 106 agreements being negotiated by the local planning authorities in relation to relevant development as described above, as and when planning permission is sought for that development.

The EMF IDP will supplement this SPD and provide greater detail on the Strategic Infrastructure, estimated costings, SPD Sites and where possible timescales for delivery and delivery bodies in relation to the Strategic Infrastructure, which will in turn inform the contributions and/or obligations intended to be included in the Framework Section 106 agreement for those SPD Sites.

The local planning authorities will work together co-operatively and collaboratively with a view to ensuring the comprehensive development of the EMF Sites in compliance with Local Plan Policy, this SPD and the EMF IDP, whether those sites are being developed pursuant to planning applications made to one of the local planning authorities or pursuant to a Development Consent Order, Local Development Order or other statutory order (“**Relevant Applications**”).

This SPD will form a material planning consideration for the decision maker when determining Relevant Applications for development to which this SPD applies.

1. BACKGROUND AND CONTEXT

East Midlands Freeport – background information

- 1.1 East Midlands Freeport (“**EMF**”) is the UK’s only inland freeport, strategically located at the heart of the UK. As a freeport, EMF offers special tax, customs and regulatory benefits to encourage economic activity. The aim of EMF is to drive economic regeneration in the area, attracting new investment and creating thousands of jobs. The proposed creation of EMF was announced by the UK Government in March 2021 and EMF became fully operational in March 2023, following formal approval of its business case.
- 1.2 EMF encompasses three strategic sites in three different administrative local planning authority boundaries:
- 1.2.1 the East Midlands Airport and Gateway Industrial Cluster in North West Leicestershire;
 - 1.2.2 the Ratcliffe on Soar Power Station site in Rushcliffe, Nottinghamshire; and
 - 1.2.3 the East Midlands Intermodal Park in South Derbyshire;
- 1.3 Collectively, these three sites are referred to as “**the EMF Sites**” in this SPD.

Strategic transport infrastructure and SPD Sites

- 1.4 Certain strategic transport infrastructure will be needed to support the delivery and operation of the EMF Sites (referred to in this SPD as “**Strategic Infrastructure**”). This Strategic Infrastructure is also expected to significantly benefit or unlock (a) a number of other strategic allocation sites in the three local planning authority areas (“**Other Benefitting Strategic Allocation Sites**”); and (b) other major development sites in the three local planning authority areas, including development sites immediately adjacent to the EMF Sites (“**Other Benefitting Development Sites**”). The EMF Sites, Other Benefitting Strategic Allocation Sites and Other Benefitting Development Sites are collectively referred to in this SPD as “**the SPD Sites**”. The three local planning authority areas are shown on the plan at Appendix 4.
- 1.5 It is recognised that, whilst the SPD Sites are in different local authority areas, there are interconnected issues and the development of the SPD Sites needs to be co-ordinated in order to ensure that the Strategic Infrastructure is funded and delivered when needed, with all the SPD Sites contributing towards it on a fair and proportionate basis. The Local Planning Authorities agree that the best means of ensuring this is through the adoption of this SPD.
- 1.6 This SPD has been prepared on a collaborative basis by the three local planning authorities for the EMF Sites, South Derbyshire District Council, North West Leicestershire District Council and Rushcliffe Borough Council (“**the Local Planning Authorities**”).

EMF Infrastructure Delivery Plan

- 1.7 An EMF Infrastructure Delivery Plan (“**EMF IDP**”) is being prepared which, when completed and endorsed by the Local Planning Authorities, will sit alongside this SPD and will:
- 1.7.1 set out the Strategic Infrastructure required to deliver and operate each of the EMF Sites and the Other Benefitting Strategic Allocation Sites, together with any Other Benefitting Development Sites which can be reasonably identified at that time;
 - 1.7.2 set out the estimated costs of each item of Strategic Infrastructure;

- 1.7.3 identify which SPD Sites, as far as is reasonably practicable at the stage of EMF IDP endorsement by the Local Planning Authorities, are intended to contribute towards which items of Strategic Infrastructure;
 - 1.7.4 where reasonably practicable, identify the timescales and/or triggers by when each item of Strategic Infrastructure should be delivered; and
 - 1.7.5 where reasonably practicable, identify the body which is anticipated to deliver each item of Strategic Infrastructure.
- 1.8 The EMF IDP will be informed by highways modelling work commissioned by EMF which is currently being undertaken across Leicestershire, Nottinghamshire and Derbyshire as well as highways evidence separately being prepared by the respective local planning authorities to inform respective emerging Local Plans to assess the degree of improvement required to accommodate the level of strategic growth planned.
- 1.9 Proposals for development on SPD Sites will be expected to demonstrate that necessary highways capacity is available to serve the development, taking into account cumulative development on the wider network and background growth in traffic and, where appropriate, set within a monitor and manage framework relating to both the Strategic Road Network and Local Highways Network. A monitor and manage approach may be adopted to inform the timing of Strategic Infrastructure requirements, including assessment in relation to the Local and Strategic Road Networks, and specifically M1 Junction 24.
- 1.10 The EMF IDP will be the subject of public consultation prior to it being published and used to help inform the application of this SPD. When the EMF IDP is issued for public consultation it will contain the details referred to in paragraph 0 above and will also be accompanied by an appropriate evidence base, including cost estimates for the Strategic Infrastructure and the anticipated viability effects on the SPD Sites of providing a contribution to the delivery of the Strategic Infrastructure.
- 1.11 Following that public consultation, it is expected that the Local Planning Authorities will ask their respective appropriate committee and/or Cabinet to endorse the final EMF IDP before it is published and used for the purposes set out in this SPD.
- 1.12 Any contributions towards Strategic Infrastructure will be expected to be provided in accordance with this SPD, informed by the EMF IDP. Strategic Infrastructure and associated mitigation will be expected to be delivered in accordance with schemes approved by National Highways and the relevant Local Highway Authority, and frameworks for the Strategic and Local Highway Networks. The EMF IDP shall be reviewed by the Local Planning Authorities no more than annually (unless circumstances indicate an interim review is necessary) with such revisions being consulted on by the Local Planning Authorities as appropriate and then published.

Site-specific infrastructure and other infrastructure

- 1.13 Development within the EMF Sites is also expected to require site specific infrastructure and this is referred to in this SPD as “**EMF Site Specific Infrastructure**”.
- 1.14 Whilst the Strategic Infrastructure and EMF Site Specific Infrastructure which may be needed to ensure the successful delivery and operation of each of the EMF Sites is indicated below, this is indicative only at this stage and will be updated and replaced by the EMF IDP. Other infrastructure (strategic or site specific) may be required to develop the SPD Sites which is not set out in this SPD.

Local planning authority collaboration

- 1.15 The Local Planning Authorities will work together co-operatively and collaboratively with a view to ensuring the comprehensive development of the EMF Sites in compliance with Local Plan Policy, this SPD and the EMF IDP, whether those sites are being developed pursuant to planning

applications made to one of the Local Planning Authorities or pursuant to a Development Consent Order or other statutory order, including the Local Development Order which was adopted in relation to the Ratcliffe on Soar Power Station site in July 2023.

Highways authorities

- 1.16 The highways authorities for the EMF Sites are Derbyshire County Council (for the East Midlands Intermodal Park), Leicestershire County Council (for the East Midlands Airport and Gateway Industrial Cluster) and Nottinghamshire County Council (for the Ratcliffe on Soar Power Station site), with National Highways being responsible for the Strategic Road Network (“**SRN**”) in those areas. In addition, the East Midlands Combined County Authority (“**EMCCA**”) is the new devolved regional authority covering Derbyshire and Nottinghamshire which manages devolved regional transport funding and strategies and has concurrent transport functions working alongside Derbyshire County Council and Nottinghamshire County Council as highway authorities in those areas.

Status and weight of SPD

- 1.17 The SPD is not part of the development plan and is not development plan policy. From the date of its adoption, this SPD is a material planning consideration in planning determinations under the Planning Acts (as defined in the Town and Country Planning Act 1990) and any other relevant planning decision in relation to the SPD Sites. However, at the date of adoption of this SPD the EMF IDP has not yet been issued for public consultation, published or endorsed by the Local Planning Authorities, and therefore the detail of the Strategic Infrastructure required has not been established. Until such time as the EMF IDP has been published and endorsed by the Local Planning Authorities, following public consultation, only limited weight should be given to the SPD as a material planning consideration by the Local Planning Authorities, though the “in principle” need for pooled contributions set out in this SPD (which may include works in kind in accordance with this SPD) in relation to Strategic Infrastructure has been established by this SPD at the date of adoption and carries weight as a material planning consideration in that regard. This is relevant to the local planning authorities’ application of Section 38(6) of the Planning and Compulsory Purchase Act 2004, which provides that in determining planning applications the determination must be made in accordance with the development plan, unless material considerations indicate otherwise. Where reference is made in this SPD to something being ‘required’ or a ‘requirement’, that something ‘will’, ‘must’ or is ‘expected’ to be provided, then that must be understood in the context of this SPD being material planning consideration and not a development plan document.

Framework Section 106 agreement approach

- 1.18 This SPD envisages a mechanism (termed a “Framework Section 106 agreement approach”) for helping achieve equitable and proportionate contributions to Strategic Infrastructure from SPD Sites through the planning process. This entails the development of a template Framework S106 agreement by the local planning authorities, used as a base template document for all Section 106 agreements being negotiated by the local planning authorities in relation to development of the SPD Sites as described above, as and when planning permission is sought for that development.

Public consultation dates

- 1.19 Public consultation was undertaken on a draft of this SPD between 23 March 2026 and 27 April 2026 across South Derbyshire District, North West Leicestershire District and Rushcliffe Borough.

Longevity of SPD

- 1.20 Each of the EMF Sites is subject to adopted local plan policy and emerging local plan policy. This SPD is adopted by the Local Planning Authorities on the basis of adopted local plan policy and on the basis of the local plan policies referred to in the following paragraphs of this SPD. However, all of the EMF Sites will be delivered over a timescale that goes beyond the current adopted local plan periods. The Local Planning Authorities intend that the substance of this SPD (which may be in a

different form – for example, a Supplementary Plan, if feasible, or another form) will continue to apply once the adopted plans cease to have effect and they will work together to achieve that aim, including incorporation of key principles into emerging local plan policies as appropriate.

Background and policy context for each of the EMF Sites:

1.21 The background and policy context for each of the EMF Sites is considered in turn below.

1.21.1 **The East Midlands Airport and Gateway Industrial Cluster (“EMAGIC”)**

(a) Background:

(i) EMAGIC comprises 2 main sites located to the north and south of East Midlands Airport, as well as two distinct plots of land on the Airport’s operational apron designated as part of the tax site, which together cover 160 hectares. The EMAGIC tax site is shown outlined in red on the plan at Appendix 2. This total designation includes East Midlands Gateway Phase 1 (**EMG1**), which lies north of the airport and comprises the rail freight terminal and large logistics/warehousing development which was granted consent (by way of DCO) in 2016 and has been substantially completed by SEGRO. The land south of the Airport within the EMAGIC tax site is the subject of two development proposals:

- (1) East Midlands Gateway Phase 2 (“**EMG2**”), which lies south of the airport and is the subject of a DCO application which was submitted by SEGRO in November 2025 and will comprise further logistics and advanced manufacturing development. This DCO application includes proposed highway mitigation works to M1 J24; and
- (2) The land between the Airport and Hyam’s Lane within the EMAGIC site allocation, which is the subject of a separate outline planning application (ref no. 24/00727/OUTM) submitted by Manchester Airports Group (“**MAG**”) as landowner with the support of their development partner Prologis. This development proposal also comprises logistics and advanced manufacturing development.

(b) Adopted policy:

- (i) North West Leicestershire Local Plan (2021 – adopted 2017 but subject to Partial Review in 2020) includes the following policies:
 - (1) Policy Ec1 (Employment provision: permissions) which references the planning permission for a Strategic Rail Freight Interchange on land north of East Midlands Airport/west of Junction 24 of the M1 (site EC1d on the policies map) and affirms support for its renewal should permission lapse. The Strategic Rail Freight Interchange has since been delivered, although it is noted that a Material Change Order (“MCO”)

was submitted in November 2026 and will be considered concurrently with the EMG2 DCO.

- (2) Policy Ec4 (East Midlands airport) which recognises that:

‘(1) The growth of East Midlands Airport will be supported provided development that gives rise to a material increase in airport capacity or capability:

(a) Is limited to that necessary to support an airport capable of handling up to 10 million passenger and 1.2 million tonnes of cargo per year; and

(b) Incorporates measures that will reduce the number of local residents affected by noise as a result of the airport’s operation, as well as the impact of noise on the wider landscape; and

(c) Incorporates measures to ensure that local air quality satisfies relevant standards; and

(d) Is accompanied by improvements in public transport access to the airport and other measures that will reduce the level of airport-generated road traffic (per passenger); and

(e) Will protect and enhance heritage assets within the vicinity of the airport;’

- (3) Policy Ec5 (East Midlands Airport: Safeguarding) which states as follows:

‘(1) Development which would adversely affect the operation, safety or planned growth of East Midlands Airport will not be permitted.

(2) The outer boundary of the Safeguarded Area is shown on the Policies Map and within this area consultation with East Midlands Airport is required on the following proposals:

(a) All buildings, structures, erections and works that exceed the height specified on the safeguarding map;

(b) Any proposed development in the vicinity of East Midlands Airport which may have the potential to interfere with the operation of its navigational aids, radio aids and telecommunication systems;

(c) The lighting elements of a development which may have the potential to distract or confuse pilots,

particularly in the immediate vicinity of the aerodrome and of the aircraft approach paths;

(d) Any proposal for an aviation use within a 13km circle centred on East Midlands Airport;

(e) Any proposal within a 13km circle centred on East Midlands Airport which has the potential to attract large numbers of birds. Such proposals include:

(i) significant landscaping or tree planting;

(ii) minerals extraction or quarrying;

(iii) waste disposal or management;

(iv) reservoirs or other significant water bodies;

(v) land restoration schemes;

(vi) sewage works;

(vii) nature reserves;

(viii) bird sanctuaries.

(f) Any proposal for a wind turbine development within a 30km circle centred on East Midlands Airport.'

(4) IF1 (Development and Infrastructure), which states that:

'Development will be supported by, and make contributions to as appropriate, the provision of new physical, social and green infrastructure in order to mitigate its impact upon the environment and communities. Contributions may be secured by means of planning obligations and/or a Community Infrastructure Levy charge, in the event that the Council brings a Charging schedule in to effect.

The type of infrastructure required to support new development includes, but is not limited to:

(a) Affordable housing; and

(b) Community Infrastructure including education, health, cultural facilities and other public services; and

(c) Transport including highways, footpaths and cycleways, public transport and associated facilities; and

(d) Green infrastructure including open space, sport and recreation, National Forest planting (either new provision or enhancement of existing sites) and provision of or improvements to sites of nature conservation value; and

(e) The provision of superfast broadband communications; and

(f) Utilities and waste; and

(g) Flood prevention and sustainable drainage.

The infrastructure secured (on or off-site) will be provided either as part of the development or through a financial contribution to the appropriate service provider and may include the long-term management and maintenance of the infrastructure.

In negotiating the provision of infrastructure the Council will have due regard to viability issues and where appropriate will require that the applicant provide viability information to the Council which will then be subject to independent verification. The District Council will work closely with infrastructure providers to ensure inclusion of infrastructure schemes within

their programmes, plans and strategies, and delivery of specific infrastructure requirements in conjunction with individual development schemes and the expected timing of development coming forward. The Council will also work with partners and other stakeholders to secure public funding towards infrastructure, where possible.'

- (5) IF4 (Transport infrastructure and new development), which states:

'(1) The Council, working with the highway authorities, will ensure that development takes account of the impact upon the highway network and the environment, including climate change, and incorporates safe and accessible connections to the transport network to enable travel choice, including by non-car modes, for residents, businesses and employees. In assessing proposals regard will be had to any Transport Assessment/Statement and Travel Plan prepared to support the application.

(2) New development will be expected to maximise accessibility by sustainable modes of transport, having regard to the nature and location of the development site, and contribute towards improvement of the following where there is a demonstrable impact as a result of the proposed development:

(a) The provision of cycle links within and beyond sites so as to create a network of cycleways across the district, including linkages to key Green Infrastructure;

(b) The provision of public footpath links within and beyond sites so as to enhance the network of footpaths across the district, including linkages to key Green Infrastructure;

(c) The provision of new public transport services, or the enhancement of existing services, to serve new developments so that accessibility by non-car modes to essential services and facilities, such as shops, schools and employment, is maximised.

(3) Where new development has a demonstrable impact upon the highway network contributions towards improvements will be sought commensurate with the impact. The following specific highway improvements are identified as priorities:

(a) Strategic road improvements

- J22 of M1*
- J13 of A42*

(b) Local road improvements

- the A511 corridor between J22 of the M1 and J13 of the A42.'*

(c) Emerging policy:

- (i) The draft North West Leicestershire Local Plan (2025) is at Regulation 18 stage. This draft plan does not include employment allocations, which are to be included in the Regulation 19 draft of the new plan, due to be published in summer 2026. In advance of that publication, the local planning authority has consulted upon Additional Proposed Housing and Employment Allocations in March-April 2025. EMAGIC will be included in the Regulation 19 draft of the local plan.

(ii) The Regulation 18 draft of the North West Leicestershire Local Plan includes the following policies:

(1) Policy Ec8 (East Midlands Airport), which states:

'(1) The growth of East Midlands Airport will be supported to enable it to fulfil its role as a regional airport.

(2) Within the airport limit, as defined on the Policies Map, development will be limited to the following uses:

(a) Operational facilities and infrastructure; and

(b) Passenger and terminal facilities; and

(c) Cargo facilities; and

(d) Airport ancillary infrastructure where the proposed development requires and benefits from an airport location and is of a scale that is appropriate to that relationship; and

(e) Landscape works; and

(f) Internal highways and infrastructure; and

(g) Improvements to public transport and airport customer car parking

(3) New development that gives rise to a material increase in airport capacity or capability will be required to:

(a) Incorporate measures to ensure that the impact of noise on local residents satisfies relevant standards; and

(b) Incorporate measures to ensure that local air quality satisfies relevant standards; and

(c) Maximise opportunities to achieve net zero carbon in respect of proposed buildings and non – aircraft operations; and

(d) Be accompanied by improvements in public transport access to the airport and other measures that will reduce the level of airport-generated road traffic (per passenger).'

(2) Policy Ec9 (East Midlands Airport: Safeguarding), which states:

'(1) Development which would adversely affect the operational integrity or safety of East Midlands Airport will not be permitted.

(2) The outer boundary of the Safeguarded Area is shown on the Policies Map and within this area consultation will be undertaken with East Midlands Airport for the following proposals:

(a) All buildings, structures, erections and works that exceed the height specified on the safeguarding map;

(b) Any proposed development in the vicinity of East Midlands Airport which may have the potential to interfere with the operation of its navigational aids, radio aids and telecommunication systems;

(c) The lighting elements of a development which may have the potential to distract or confuse pilots, particularly in the immediate vicinity of the aerodrome and of the aircraft approach paths;

(d) Any proposal for an aviation use within a 13km circle centred on East Midlands Airport;

(e) Any proposal within a 13km circle centred on East Midlands Airport which has the potential to attract large numbers of birds. Such proposals include:

- (i) significant landscaping or tree planting;*
- (ii) minerals extraction or quarrying;*
- (iii) waste disposal or management;*
- (iv) reservoirs or other significant water bodies;*
- (v) land restoration schemes;*
- (vi) sewage works;*
- (vii) nature reserves;*
- (viii) bird sanctuaries.*

(f) Any proposal for a wind turbine development within a 30km circle centred on East Midlands Airport.

(g) Proposals for large-scale solar photovoltaic arrays which have the potential to generate glint and glare, particularly in the immediate vicinity of the airport and of the airport approach and departure paths.'

(d) Strategic Infrastructure needed to deliver EMAGIC:

(i) The EMF IDP will set out the Strategic Infrastructure which is needed to help deliver EMAGIC and which all development proposed within EMAGIC will be expected to contribute towards (or deliver as works in kind, in appropriate cases – see paragraph 2.9.2 below). At this stage the Strategic Infrastructure which has been identified in relation to EMAGIC on an indicative basis is considered to comprise the following:

- (1) M1 J24 Improvement Scheme. This is currently being developed in consultation with National Highways. Final detail is still to emerge, but is likely to include consideration of the following 4 packages of works:
 - (A) Package 1: M1 South to A50 West Slip Road (the construction of a new A50 slip road and underbridge; closure of existing A50 dedicated left-turn at M1 Junction 24; provision of new A453 dedicated left-turn onto A50; and weaving alterations to M1 Junction 24 southbound exit slip road);
 - (B) Package 2: Finger Farm roundabout and northbound M1 Management (at grade signalisation and enlargement of roundabout; installation of M1 northbound “smart” weaving monitoring system; and control of priority between J23a and 24 exits usage);
 - (C) Package 3: M1/A50 north to A453 dedicated left turn (construction of A453 underbridge & Derby link road; diversion of Quarry signalised site exit road; provision of M1/A50 dedicated left-turn onto A453; and provision of Derby Road roundabout for housing access); and
 - (D) Package 4: A4563 East to M1 South dedicated left-turn (construction of Kegworth link road and overbridges; closure of Derby Road and southbound entry slip at M1 J24; provision of A453 dedicated left-turn onto M1; and M1 southbound “smart” merge monitoring or widening to five lanes.)

- (2) Transport improvements to M1 23a and other parts of the Strategic Road Network;
 - (3) Strategic sustainable Transport Measures, Walking and Cycling Improvements and Site Wide Travel Plan; and
 - (4) Strategic landscape and visual mitigation measures including to address heritage.
- (e) Site Specific infrastructure which may be relevant to EMAGIC:
- (i) Site Specific infrastructure is infrastructure that may be required in relation to a particular development proposal in EMAGIC, depending upon the development proposal. It will vary from one development parcel to another within EMAGIC but may include, for example, site-specific transport measures, walking and cycling improvements and a site specific travel plan and may include site-specific landscape and visual mitigation measures.

1.21.2 The Ratcliffe on Soar Power Station site (“Ratcliffe”):

- (a) Background:
- (i) This is a 273 hectare site, largely (but not wholly) designated as an EMF tax site, with a net developable area of around 128 hectares for new employment and related development. The Ratcliffe EMF tax site is shown outlined in red on the plan at Appendix 3. It is the site of a coal-fired power station which closed for operational purposes in September 2024. The aim is to transform this site into an industrial park focused on advanced manufacturing (including technology needed to transition to net-zero), green and low-carbon energy generation and energy storage. A Local Development Order relating to this site was adopted by Rushcliffe Borough Council in July 2023 (reference 22/01339/LDO) (the **LDO**). The LDO allows for the creation of an industrial park focused on – but not limited to – advanced manufacturing (including technology needed to transition to net-zero), green and low-carbon energy generation, and energy storage. The LDO grants planning permission for the site’s development in accordance with the conditions applied to the Order and the other provisions contained within it, including transport (and other) mitigation requirements. This SPD does not restrict the LDO (as the same may be amended or replaced from time to time) but where a landowner/developer submits a planning application and/or a Section 106 agreement relating to development within the area covered by the LDO this SPD will be a material planning consideration in respect of its determination, alongside the LDO.
- (b) Adopted policy:
- (i) The adopted Local Plan for Ratcliffe was adopted in 2014, well before the creation of EMF was announced by the Government. It therefore reflects the situation at the time, when Ratcliffe on Soar Power Station was still operational.

(ii) Rushcliffe Borough Council Local Plan (adopted 2014). Part 1: Rushcliffe Core Strategy, includes the following policies:

(1) Policy 5 (Employment Provision and Economic Development), which includes the following:

'The economy will be strengthened and diversified with new floorspace being provided (across all employment sectors) to meet restructuring modernisation and inward investments needs. This will be achieved by...

(5) Encouraging economic development associated with ...other Centres of Excellence in Rushcliffe such as Ratcliffe on Soar Power Station...'

The supporting text to this policy states (paragraph 3.5.21) that, *'Proposals for new sustainable development, changes of use or redevelopment of existing buildings within these locations will be favourably considered.'*

(2) Policy 18 (Infrastructure), which includes the following:

'1. New development must be supported by the required infrastructure at the appropriate stage. Rushcliffe will work in partnership with other Greater Nottingham local authorities, infrastructure providers, grant funders, the development industry and other delivery agencies in seeking the provision of necessary infrastructure to support new development.

2. Contributions will be sought from development proposals which give rise to the need for new infrastructure.'

This policy references the existing IDP, but this will be superseded for Ratcliffe by the EMF IDP.

(3) Policy 19 (Developer Contributions) states as follows:

'1. All development will be expected to:

a. Meet the reasonable cost of new infrastructure required as a consequence of the proposal;

b. Where appropriate, contribute to the delivery of necessary infrastructure to enable the cumulative impacts of developments to be managed, including identified transport infrastructure requirements; and

c. Provide for the future maintenance of facilities provided as a result of the development.

2. The Council intends to introduce a Community Infrastructure Levy (CIL) to secure infrastructure that has been identified as necessary to support new development and to achieve Core Strategy objectives.

3. Prior to the implementation of a CIL, and following implementation where it remains appropriate, planning conditions and obligations will be sought to secure all new infrastructure necessary to support new development either individually or collectively.'

(c) Emerging policy:

(i) The draft Greater Nottingham Strategic Plan (publication draft, March 2025) has been prepared by Rushcliffe Borough Council with Broxtowe

Borough Council and Nottingham City Council, as a combined Local Plan. It was submitted for examination on 22 December 2025. It includes the following relevant policies:

- (1) Policy 32 (Strategic Allocation Former Ratcliffe on Soar Power Station), which states:

1. The area, as shown on the adopted policies map, is identified as a strategic site for employment development, including strategic distribution, for the purposes of delivering an industrial park focused on advanced manufacturing (including technology needed to transition to net-zero), green and low-carbon energy generation and energy storage. The design and layout of the entire site will be determined through a masterplanning process. The development shall be appropriately phased to take into account provision of necessary infrastructure, including improvements to the strategic and local highway network and public transport network. The indicative distribution of the proposed uses is identified on Figure 32.1.

2. The development will be subject to the following requirements:

A. Employment

1. The provision of new buildings is limited to 810,000 square metres (gross floor area).

2. Uses on the Southern Area (land south of A453) are limited to: Energy Generation and Storage; and Advanced Manufacturing and Industrial (Class E(g)(iii) & B2) producing technology or using technology to deliver the net-zero transition.

3. Uses on the Northern Area (land north of A453) are limited to: Energy Generation and Storage; Advanced Manufacturing and Industrial (Class E(g)(iii) & B2) producing technology or using technology to deliver the net-zero transition; Data Centres; Logistics (Class B8); Research and Development; Offices (Class E(g) (i) and (ii)); and Education (Skills and Training) (Class F.1(a)).

4. The provision of Logistics (Class B8) on the Northern Area is limited to a maximum of 180,000 square metres (gross floor area).

5. The provision of Offices (Class E(g) (i) & (ii)) on the Northern Area is limited to a maximum of 50,000 square metres (gross floor area) and provision should be located in proximity to the East Midlands Parkway Station.

6. Training opportunities should be provided for as part of the development.

B. Neighbourhood centre

7. A neighbourhood centre including community facilities of an appropriate scale should be provided to serve the needs of occupiers on the site and be located in close proximity to the East Midlands Parkway Station.

8. The neighbourhood centre can include the provision of one hotel (Class C1) not exceeding 150 beds.

C. Ground-mounted solar power generation

9. Provision of up to 10 hectares of ground mounted solar power generation and which should be located adjacent to the northern boundary of the Northern Area (land north of the A453).

D. Transportation

10. Improvements to road infrastructure necessary to mitigate adverse traffic impacts and serve the new development, including improvements to the A453 and likely improvements to Junction 24 of the M1 and local roads.

11. Provision of appropriate walking and cycling facilities and public transport links through and beyond the site.

12. Retention and use of the site's existing freight rail line and associated service / loading yards.

13. Provision of direct pedestrian access from the site to East Midlands Parkway Station.

14. Implementation of a Sustainable Transport Strategy, a Site Wide Travel Plan and Plot Specific Travel Plans.

E. Other Requirements

15. Protection of the safe operation of aircraft using East Midlands Airport.

16. Utilisation of any remaining fly ash resource, comprising pulverised fuel ash (PFA) and furnace bottom ash (FBA), where reasonably practicable and commercially viable.

17. Sewage and off-site drainage improvements.

18. An appropriate sustainable drainage system.

19. A high quality built environment, including public spaces, to create a distinctive character that responds positively to the site, relates well to the surroundings, and gives consideration to the most appropriate sustainable methods of construction.

20. The creation and enhancement of green infrastructure which links to the wider green infrastructure network, which has regard to the Greater Nottingham Landscape Character Assessment, and provides for biodiversity enhancements.

21. The retention and creation of significant Green Infrastructure areas and buffers, particularly on the eastern boundary of the Northern Area (north of the A453) and on all boundaries of the Southern Area (south of the A453).

22. Planning permission will not be granted for manufacturing uses which would have an adverse air quality impact upon any European site for nature conservation including the possible potential Special Protection Area, either alone or in combination with other pollution sources such as traffic.

23. Provision of contributions for local infrastructure, including facilities and services that are essential for development to take place or which are needed to mitigate the adverse impact of development will be secured through Planning Obligations in line with Policy 18.

(2) Policy 18 (Development Contributions for Infrastructure), states:

1. New development must be supported by the required infrastructure at the appropriate stage.

2. All development will be expected to:

a) meet the costs of new infrastructure required as a consequence of the proposal;

b) contribute to the delivery of necessary infrastructure to enable any cumulative impacts of the development to be managed, including identified transport infrastructure requirements; and

c) provide for the future maintenance of facilities provided as a result of the development.

3. Developer contributions may be negotiated to take account of situations where development is phased over time, or where there are significant changes in economic conditions over the period up to completion of a development, to ensure development contributes appropriately to necessary infrastructure.

4. There are known infrastructure and capacity constraints, in particular related to transport, education, open space, health and flood risk. Further detailed assessment of these issues will be required, as set out through future plan preparation, Supplementary Plans and / or masterplans.

(d) Strategic Infrastructure needed to deliver Ratcliffe

(i) The EMF IDP will set out the Strategic Infrastructure which is needed to deliver Ratcliffe and which all development proposed within Ratcliffe will be expected to contribute towards (or deliver as works in kind, in appropriate cases – see paragraph 2.9.2 below). At this stage, the Strategic Infrastructure which has been identified in relation to Ratcliffe on an indicative basis is considered to comprise the following:

- (1) Transport improvements to M1 J24 (as set out in EMAGIC section above);
- (2) Transport improvements to M1 23a and other parts of the Strategic Road Network;
- (3) Strategic transport improvement works;
- (4) Strategic sustainable Transport Measures, Walking and Cycling Improvements and Site Wide Travel Plan; and
- (5) Strategic landscape and visual mitigation measures including to address heritage.

(e) Site Specific infrastructure which may be relevant to Ratcliffe

(i) Site Specific infrastructure is infrastructure that may be required in relation to a particular development proposal in Ratcliffe, depending upon the development proposal. It will vary from one development parcel to another within Ratcliffe, but may include, for example, site-specific transport measures, walking and cycling improvements and a site specific travel plan.

(f) Site-wide strategy for remediation and/or ground condition works as part of appropriate phasing of the Ratcliffe development

(i) As part of the appropriate phasing of development, remediation and/or ground works shall be expected to be delivered on the Ratcliffe site as part of an approved site-wide strategy, including appropriate remediation and/or ground condition works cost apportionment between development parcels within Ratcliffe to be on an equitable and proportionate basis regardless of when those development parcels come forward in order to help ensure a comprehensive development of the Ratcliffe site.

1.21.3 East Midlands Intermodal Park (“EMIP”)

(a) Background:

- (i) This 173 hectare site is located approximately 3 miles to the south west of Derby, adjacent to the A50/A38 junction, which connects with the M1 (and East Midlands Airport) to the east and the M6 to the north-west. The EMF tax site proposition at EMIP is the delivery of a sustainable rail-connected business park, helping businesses to operate more cost-effectively and reduce their environmental impact by shifting from road to rail freight. EMIP includes the development of a Strategic Rail Freight Interchange which is designated as a Nationally Significant Infrastructure Project and therefore currently expected to be the subject of a Development Consent Order (**DCO**) or similar, which has not yet been submitted, though other consenting routes are not precluded. The EMIP tax site is shown outlined in red on the plan at Appendix 1.

(b) Adopted policy:

- (i) South Derbyshire Local Plan (Part 1 adopted 2016, Part 2 adopted 2017) includes the following policies:

- (1) Policy INF1 (Infrastructure and Developer Contributions), which states:

‘A New development that is otherwise in conformity with the Local Plan but generates a requirement for infrastructure will normally be permitted if the necessary on and off-site infrastructure required to support and mitigate the impact of that development is either:

- i) Already in place, or*
- ii) There is a reliable mechanism in place to ensure that it will be delivered in the right place, at the right time and to the standard required by the Council and its partners.*

B The Council will revise its Planning Obligations SPD to cover infrastructure and service requirements, including site-specific infrastructure, to be delivered through S106 Planning Obligations. Furthermore, once a Community Infrastructure Levy has been adopted, the Council will also operate a Community Infrastructure Levy Charging Schedule, to secure funding from new development towards infrastructure provision.

C Where appropriate, the Council will permit developers to provide the necessary infrastructure themselves as part of their development proposals, rather than making financial contributions.

D It is expected that development is appropriately supported and its effects mitigated, in the interests of sustainability. The viability of developments will also be considered when determining the extent and priority of developer contributions in line with the Infrastructure Delivery Plan.’

- (2) INF3 (Strategic Rail Freight Interchange), which includes the following text:

‘A Any proposal for the development of a Strategic Rail Freight Interchange shall meet all the following criteria:

- i) an operational connection, to Network Rail track and signalling standards, to main trunk rail routes with sufficient available capacity and gauge capability of at least W8;
- ii) railway wagon reception and inter-modal handling and container storage facilities capable of accommodating 775 metre freight trains carrying modern wagons.

B The elements of the development identified above shall be completed before any business units on the site are occupied.

- i) An acceptable means of access to the trunk road network and parking for all goods vehicles shall be provided and operational arrangements shall minimise the use of local highways by heavy goods vehicles; and
- ii) there shall be no undue amenity or safety impacts including noise, vibration, odours, light pollution and traffic generation; and
- iii) the proposal shall be well designed and shall not cause undue harm to the character of the local landscape; and
- iv) the proposal shall preserve the character or setting of any listed buildings, conservation areas or other heritage assets; and
- v) the proposal shall not cause undue harm to features of ecological or environmental value and, where possible, shall result in biodiversity gain and enhanced environmental value; and
- vi) the proposal shall not increase the surface water run-off rate from the site and shall not increase flood risk elsewhere; and
- vii) an appraisal shall be made of the potential for the utilisation of waste heat from power stations for heating and cooling on the development site; and
- viii) appropriate provision shall be made for convenient access to the site on foot, by cycle and by public transport.

- (3) INF4 (Transport Infrastructure Improvement Schemes) – which specifically references the A50/A38 junction improvement scheme, as follows:

'A The Council will work with partners to deliver the following transport schemes:

- ...
- iii) A50 junction with the A38 improvement scheme
- ...

B Where required to mitigate the transport impacts of the development, the Council will seek to negotiate financial contributions toward these schemes. Proposals that would prejudice their implementation will not be permitted.

C In determining the detailed alignments and designs of these schemes regard shall be had to the following:

- i) Minimising the impact on the environment, heritage assets and natural features;
- ii) Taking full account of recreational routes along, or affected by, the schemes;

- iii) *Providing for the needs of pedestrians, cyclists and people with impaired mobility;*
- iv) *Mitigating any potential flood risk impact.'*

(c) Emerging policy:

(i) Draft South Derbyshire Local Plan Part 1 Review (Reg 19, 2025.) This plan has been subject to Regulation 19 consultation in March-April 2025 and is expected to be submitted for examination in summer 2026. The draft plan includes the following policies:

(1) Policy INF3 (East Midlands Intermodal Park Strategic Rail Freight Interchange/ East Midlands Freeport), which states as follows:

'A Land is allocated for the development of an East Midlands Intermodal Park Strategic Rail Freight Interchange/ East Midlands Freeport at Egginton Common, as shown on the Policies Map. This will represent a Nationally Significant Infrastructure Project.

B The development shall incorporate the following elements, which shall be completed before any business units on the site are occupied:

- i) *an operational connection, to Network Rail track and signalling standards, to main trunk rail routes with sufficient available capacity and gauge capability of at least W8;*
- ii) *railway wagon reception and inter-modal handling and container storage facilities capable of accommodating 775 metre freight trains carrying modern wagon;.*
- iii) *rail connected or rail accessible buildings.*

C The development shall meet the following criteria:

- i) *An acceptable means of access to the trunk road network and parking and associated facilities for all goods vehicles shall be provided and operational arrangements shall minimise the use of local highways by heavy goods vehicles; and*
- ii) *there shall be no undue amenity, safety or highway impacts including noise, vibration, odours, light pollution and traffic generation; and*
- iii) *the proposal shall be well designed and shall not cause undue harm to the character of the local landscape and shall contribute toward landscape scale enhancement in accordance with the Trent Valley Vision; and*
- iv) *the proposal shall preserve the character or setting of any listed buildings, conservation areas or other heritage assets; and*
- v) *the proposal shall not cause undue harm to features of ecological or environmental value and shall contribute toward the delivery of green infrastructure; and*
- vi) *appropriate provision shall be made to meet biodiversity net gain requirements as part of a wider network in the Trent Valley; and*

- vii) *the proposal shall not increase the surface water run-off rate from the site and shall not increase flood risk elsewhere; and*
- viii) *any new built development, other than that required for flood mitigation or recreation purposes, shall be limited to the area to the north of the Derby-Crewe railway line; and*
- ix) *the area to the south of the Derby-Crewe railway line shall be reserved for blue and green infrastructure and shall be made publicly accessible for recreational purposes; and*
- x) *provision shall be made for convenient and safe access to the site on foot, by cycle and by public transport (potentially including passenger rail if feasible), including Key and Local Cycle Network routes connecting to population centres and bus services connecting to Willington railway station and population centres, including Swadlincote.'*

(2) INF4 (Transport Infrastructure Improvement Schemes), includes the following text:

'A The Council will work with partners to deliver the following transport schemes:

- i) *South Derby Integrated Transport Link phase 1 and new A50 junction*
- ii) *A50 junction with the A38 improvement scheme*
- iii) *A50 junction with the A514 improvement scheme*
- iv) *Walton-on-Trent Bypass*
- v) *Swarkestone Causeway Bypass*

B Where required to mitigate the transport impacts of the development, the Council will seek to negotiate financial contributions toward these schemes. Proposals that would prejudice their implementation will not be permitted.

C In determining the detailed alignments and designs of these schemes regard shall be had to the following:

- vi) *Minimising the impact on natural and built environment assets*
- vii) *Taking full account of active travel routes along, or affected by, the schemes;*
- viii) *Providing for the needs of pedestrians, cyclists and people with impaired mobility;*
- ix) *Mitigating any potential flood risk impact.*

D The indicative alignments of:

- I. *the South Derby Integrated Transport Link Phases 1 and 2, and new A50 junction and*
- II. *the Walton-on-Trent Bypass, as shown on the Policies Map, shall be safeguarded against development that could compromise their delivery.*

(d) Strategic Infrastructure needed to deliver EMIP

- (i) The EMF IDP will set out the Strategic Infrastructure that is needed to deliver EMIP and which all development proposed within EMIP will be expected to contribute towards (or deliver as works in kind, in

appropriate cases – see paragraph 2.9.2 below). At this stage the Strategic Infrastructure which has been identified in relation to EMIP on an indicative basis is considered to comprise the following:

- (1) Improvements to the Strategic Road Network;
- (2) Strategic sustainable Transport Measures, Walking and Cycling Improvements and Site Wide Travel Plan; and
- (3) Provision of public access for recreation on land to the south of the Derby-Crewe railway line.

(e) Site Specific infrastructure which may be relevant to EMIP:

- (i) Site Specific infrastructure is infrastructure that may be required in relation to a particular development proposal in EMIP, depending upon the development proposal. It will vary from one development parcel to another within EMIP, but may include site specific public access arrangements to land to the south of the Derby-Crewe railway line.

(f) Site-wide strategy for remediation and/or ground condition works as part of appropriate phasing of the EMIP development

- (i) As part of the appropriate phasing of development on the EMIP site, any remediation and/or ground condition works shall be expected to be delivered on the EMIP site as part of an approved site-wide strategy, including appropriate remediation and/or ground condition works cost apportionment between development parcels within EMIP to be on an equitable and proportionate basis regardless of when those development parcels come forward in order to help ensure an appropriate comprehensive development of the EMIP site.

1.22 Community Infrastructure Levy

1.22.1 There is no Community Infrastructure Levy (“**CIL**”) charging schedule in force in South Derbyshire District or North West Leicestershire District, so neither EMIP nor EMAGIC are subject to CIL.

1.22.2 There is a CIL charging schedule in force in Rushcliffe Borough. Ratcliffe falls within Zone 5 of that schedule for residential development (excluding apartments) where a current CIL rate of £100 per square metre applies. CIL also applies in Ratcliffe in relation to general retail A1-A5 (excluding food supermarket) at a current rate of £50 per square meter and to food supermarket A1 at a current rate of £100 per square metre. All other developments in Rushcliffe Borough are £0 CIL rated.

2. DELIVERY STRATEGY

Framework Section 106 Agreement

- 2.1 A mechanism is needed to ensure that the Strategic Infrastructure (including that which is required by the development of the EMF Sites collectively and that which is required only in relation to one or two of the EMF Sites), is delivered in a coordinated manner and that each development parcel within any of the SPD Sites, contributes towards the Strategic Infrastructure, including as identified in the EMF IDP, on an equitable and proportionate basis regardless of when those development parcels come forward.
- 2.2 The Local Planning Authorities consider that a key mechanism for ensuring this objective is achieved is via “a Framework Section 106 agreement”, as explained below.
- 2.3 The format of the Framework Section 106 agreement is expected to be developed by the Local Planning Authorities jointly and used as a base template document for all Section 106 agreements relating to the development of any land parcel within any of the EMF Sites (save exempt development referred to in paragraph 2.7 below). It is also expected to be used, where appropriate, for Section 106 agreements relating to the development of other SPD Sites.
- 2.4 The format of the Framework Section 106 agreement is expected to be broadly the same across the SPD Sites, but the draft is expected to be refined for each SPD Site, to reflect the different Strategic Infrastructure (and Site Specific Infrastructure) which that SPD Site is expected to contribute towards, as set out in the EMF IDP and explained in paragraph 1 above.
- 2.5 The Framework Section 106 agreement is expected to provide a ‘base’ or template draft Section 106 agreement for all development parcels coming forward within each of the SPD Sites which each of the Local Planning Authorities will be expected to utilise when negotiating Section 106 agreements relating to those development parcels.
- 2.6 Landowners and developers of land within any of the SPD Sites will be expected to enter into a Framework Section 106 agreement in connection with any development proposal (save exempt development referred to in paragraph 2.7 below.) They may also be expected to enter into equalisation agreements in relation to any works in kind for Strategic Infrastructure and in relation to land on which Strategic Infrastructure is being delivered, so that land values across each SPD Site are equalised and the cost of providing land on which Strategic Infrastructure is located (and such land therefore not being available for development as a result) is shared fairly and proportionately amongst all landowners and developers within the SPD Site regardless of where that Strategic Infrastructure is located – see paragraph 2.9.4 below.
- 2.7 Development of any part of the SPD Sites consisting of:
- 2.7.1 less than 1,000 square metres of non-residential development (save where a larger parcel of land has been sub- divided into proposed developments consisting of less than 1,000 square metres of non-residential development); or
 - 2.7.2 (where applicable) less than 10 dwellings (save where a larger parcel of land has been sub-divided into proposed developments consisting of less than 10 dwellings) or development consisting of a replacement dwelling or dwellings
- shall not be expected to enter into a Framework Section 106 agreement.
- 2.8 The Framework Section 106 agreement is anticipated to contain a “Part A” dealing with Strategic Infrastructure (expected to be included consistently for each application for development within the relevant SPD Site, save where minor specific adjustments are allowed) and “Part B” dealing with Site Specific Infrastructure and any required remediation works (which will be bespoke for each proposed

development site, although the approach taken to particular infrastructure should be expected to be consistent across the relevant SPD Site within which the proposed development is located).

2.9 Part A of the Framework Section 106 agreement is expected to include the following provisions:

2.9.1 **Payment of Strategic Infrastructure contributions:**

- (a) Landowner/developers will be expected to make Section 106 contributions (under Section 106 of the Town and Country Planning Act 1990, as the same may be amended or replaced) towards Strategic Infrastructure save where works in kind have been agreed and allowed in lieu of those contributions (see paragraph 2.9.2 below.)
- (b) Insofar as is reasonably practicable, the Strategic Infrastructure costs will be identified in the EMF IDP, which will be consulted upon and adopted to inform this SPD.
- (c) The amount of Section 106 contributions payable towards Strategic Infrastructure shall be informed by an allocation wide assessment of Strategic Infrastructure costs across all of the SPD Sites and viability testing shall be carried out to ensure that that Strategic Infrastructure can be delivered as part of policy-compliant development of the EMF Sites and Other Benefitting Strategic Allocation Sites and Other Benefitting Development Sites. Public sector funding may be sought to part fund some of the Strategic Infrastructure and this will also be considered when determining the amount of Section 106 contributions payable towards Strategic Infrastructure.
- (d) The amount of Section 106 contributions payable towards Strategic Infrastructure shall be determined by the Local Planning Authorities on a consistent and proportionate basis across the SPD Sites and in accordance with regulation 122 of the Community Infrastructure Levy Regulations 2010 (as the same may be amended or replaced). The basis on which these are sought will be considered as part of the IDP preparation.
- (e) The EMF IDP and/or Framework Section 106 agreement will include triggers for payment for each Strategic Infrastructure contribution, reflecting the timescale within which that Strategic Infrastructure needs to be delivered.
- (f) The Strategic Infrastructure contributions set out in each individual Section 106 Agreement will be subject to review when the EMP IDP is updated (except during a 'grace' period when they may not be reviewed to allow landowner/developers to implement – or sell - with cost certainty). They will also be subject to (a) indexation calculated from the date of the relevant Section 106 Agreement and (b) interest in the event of late payment.
- (g) The EMF IDP may be updated by the Local Planning Authorities from time to time – see paragraph 1.121.6 above.
- (h) The Strategic Infrastructure contributions may be paid in instalments to be agreed in the relevant Section 106 agreement and the payment date(s) for payment contributions will also be agreed in the relevant Section 106 agreement.
- (i) The Strategic Infrastructure contributions may be paid into 'pots' which may fund either a single item of Strategic Infrastructure or multiple items of Strategic Infrastructure, at the Local Planning Authority's discretion (or the discretion of the highways authority in relation to highways contributions).

- (j) The Strategic Infrastructure contributions shall be payable, where relevant, where the Strategic Infrastructure has been built or provided as at the date the relevant Section 106 agreement is entered into, in order to ensure a proportionate contribution is made by all non-exempt development within the SPD Sites.
- (k) Early delivery of certain items of Strategic Infrastructure may be beneficial or necessary in order to enable or encourage development. Where a third party (including an early landowner/developer within any of the SPD Sites) has forward funded any such item the Section 106 agreement is expected to acknowledge that the Local Planning Authority may pay any Section 106 contributions collected relating to that item of Strategic Infrastructure to the third party delivering that infrastructure.

2.9.2 Works in kind:

- (a) The Local Planning Authorities may, in relation to some items of Strategic Infrastructure, be open to discussing the possibility of a landowner/developer delivering works in kind and paying a reduced Section 106 contribution towards the relevant Strategic Infrastructure item as a result or making an adjustment to other Section 106 contributions, where appropriate, but it shall be at the discretion of the relevant Local Planning Authority (or highways authority where the relevant infrastructure is highways infrastructure) whether or not to permit any works in kind, bearing in mind all relevant circumstances.
- (b) Any landowner/developer proposing to carry out works in kind is encouraged to discuss their proposals with the Local Planning Authority, highways authority (where the relevant infrastructure is highways infrastructure) and other landowners in the SPD Site (or SPD Sites where the Strategic Infrastructure is relevant to more than one SPD Site) at the earliest possible opportunity - the Local Planning Authority will expect such discussions to have taken place prior to the submission and determination of any planning application.
- (c) Where a landowner/developer proposes to carry out works in kind the landowner/developer shall provide the relevant Local Planning Authority with a Site-wide deliverability appraisal which shall reflect any equalisation agreements entered into by them with other landowners/developers (relating to how the landowner will be compensated by other landowners in respect of the proposed works in kind – see paragraph 2.9.4 below), a proposal of any anticipated equalisation agreements and the proposed delivery arrangements for the relevant Strategic Infrastructure, including the nature, scale and timing of delivery and the estimated costs of delivery.
- (d) Where the Local Planning Authority, or highways authority as the case may be, does permit works in kind the landowner/developer will be expected to obtain the approval of the Local Planning Authority (and highways authority in the case of highways infrastructure) to the detailed design of those works, obtain all necessary consents and enter into all statutory agreements required. The relevant Local Planning Authority (or highways authority where the relevant infrastructure is highways infrastructure) will also require collateral warranties and step in rights and may require additional security and/or remedies (such as bonds), to protect the Local Planning Authority or highways authority as the case may be against the landowner/developer's failure to complete the works in kind, to ensure the delivery of that infrastructure when it is needed. The landowner/developer will be expected to manage and maintain the works in kind for an agreed period and then (generally) be expected to transfer the ownership of such works (including the freehold ownership of the land on which the works are built) to the Local Planning Authority, or highways authority in the case of

highways infrastructure or another relevant body as the Local Planning Authority or highways authority may direct, when required by the Local Planning Authority.

2.9.3 **Strategic Infrastructure land:**

- (a) Strategic Infrastructure contributions will not be reduced where land is provided for strategic infrastructure.
- (b) For the purposes of calculating the relevant Strategic Infrastructure costs, it is expected to be assumed that the land on which Strategic Infrastructure is located will be transferred to the relevant Local Planning Authority (or highway authority, National Highways or other body where appropriate) for nil value.
- (c) Landowners and developers may enter into equalisation agreements between themselves in order to equalise land values (so that a landowner on whose land Strategic Infrastructure is located is compensated by other landowners who benefit from that Strategic Infrastructure).

2.9.4 **Equalisation:**

Where the Local Planning Authority (or highways authority in the case of highways infrastructure) confirms that there is a need for a landowner/developer ('**Developer A**') entering into the Section 106 agreement to enter into an equalisation agreement with another allocation area landowner/developer ('**Developer B**') because Developer B is delivering Works in Kind or providing Strategic Infrastructure land then the Framework Section 106 Agreement may provide that Developer A shall use reasonable endeavours to enter into that equalisation agreement and if it is not entered into within a reasonable period of time (which the Local Planning Authority shall specify) Developer A shall agree on written request from Developer B to submit to dispute resolution (arbitration or expert determination, as the Local Planning Authority shall decide) and the arbitrator or expert shall determine how equalisation may be achieved following which Developer A shall enter into an equalisation agreement with Developer B in accordance with the arbitrator or expert's determination.

2.9.5 **Access:**

The landowner shall be expected to permit (at nil cost) access to such part of its application site as may be needed for the relevant public authority (or a landowner/developer delivering those works) to carry out and complete any Strategic Infrastructure works. Where there will be overlapping contractors on site, access shall be subject to an agreed method statement. The landowner/developer of any development parcel forming part of the SPD Sites shall be expected to design their development to facilitate vehicular and (where relevant) pedestrian, cycleway and bridleway access to adjacent parcels of land to ensure site-wide connectivity and so that development of each SPD Site (or SPD Sites where they lie adjacent to each other) moves forward on a comprehensive basis.

2.9.6 **Repayment of forward funding:**

The Framework Section 106 Agreement shall include an acknowledgement that Strategic Infrastructure contributions may be used to repay relevant bodies or landowner/developers for any infrastructure that has been forwarded funded (including any repayment or recovery and recycling obligations.)

2.9.7 **Reimbursement of contributions:**

To the extent that there is any surplus in the Strategic Infrastructure funds once the relevant Strategic Infrastructure has been built the Local Planning Authorities will act consistently in

deciding whether or not to reimburse such funding and such provisions shall form part of any Framework Section 106 agreement. Any reimbursement will be proportionate and subject to the development to which it relates being policy-compliant and all other infrastructure needs of that development having been met; if not then any reimbursement monies due in respect of that development may first be applied by the relevant Local Planning Authority towards making that development policy-compliant.

2.9.8 Community infrastructure levy:

The Framework Section 106 agreement shall include a provision that if CIL were to be introduced which applied to any of the SPD Sites, the Framework Section 106 agreement would be adjusted so that there would be no increased financial burden on landowners or developers of land within the allocation site as a result.

2.9.9 Future planning law:

The Framework Section 106 agreements will deal with the principle of there being no increased financial burden on landowners or developers if new planning legislation is brought into force which introduces a new levy in full or partial replacement of Section 106 agreements.

2.9.10 Section 106 monitoring fees:

The relevant Local Planning Authority and the relevant highways authority will charge a proportionate and reasonable monitoring fee.

Other considerations relevant to the delivery of the Strategic Infrastructure:

2.10 Conditions:

In appropriate cases the relevant Local Planning Authority may use pre-commencement and/or pre-occupation conditions on planning permissions to prevent development and/or occupation of relevant phases of the development in advance of the necessary Strategic Infrastructure being in place.

2.11 Statutory agreements:

In appropriate cases the relevant Local Planning Authority and highways authority may require conditions to form part of any planning permission or obligations in a Section 106 agreement requiring the landowners/developers to enter into highways agreements to secure adoption of any roads or other public rights of way forming part of the Strategic Infrastructure and/or any other planning or infrastructure agreements that may be required at the relevant time.

2.12 Other Benefitting Development Sites:

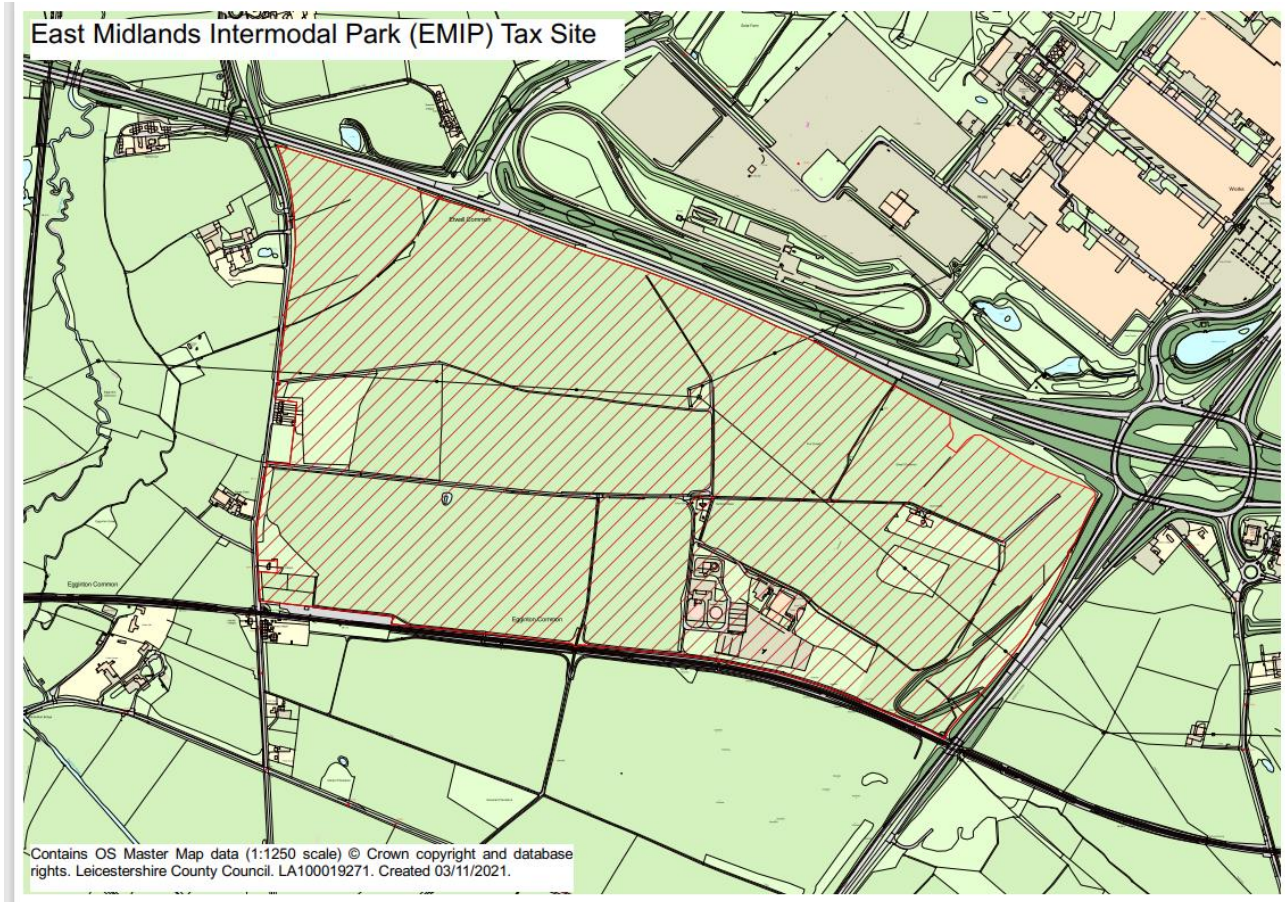
Where planning applications are made for development within the area shown on the plan at Appendix 4 but not lying within one of the EMF Sites or Other Benefitting Strategic Allocation Sites and not being exempt development and such development will be unlocked by or significantly benefit from the Strategic Infrastructure being provided or funded by development within the EMF Sites (and, where applicable Other Benefitting Strategic Allocation Sites), that development may also be required by the relevant Local Planning Authority to contribute towards the costs of such Strategic Infrastructure via a Section 106 Agreement - the relevant Local Planning Authority shall determine on a case by case basis, in line with the statutory tests for planning obligations, whether such contributions or a proportion thereof, should be payable. Development of land immediately adjacent to the EMF Sites which forms part of or is related to development of an EMF Site is expected to comprise such development.

2.13 **Viability:**

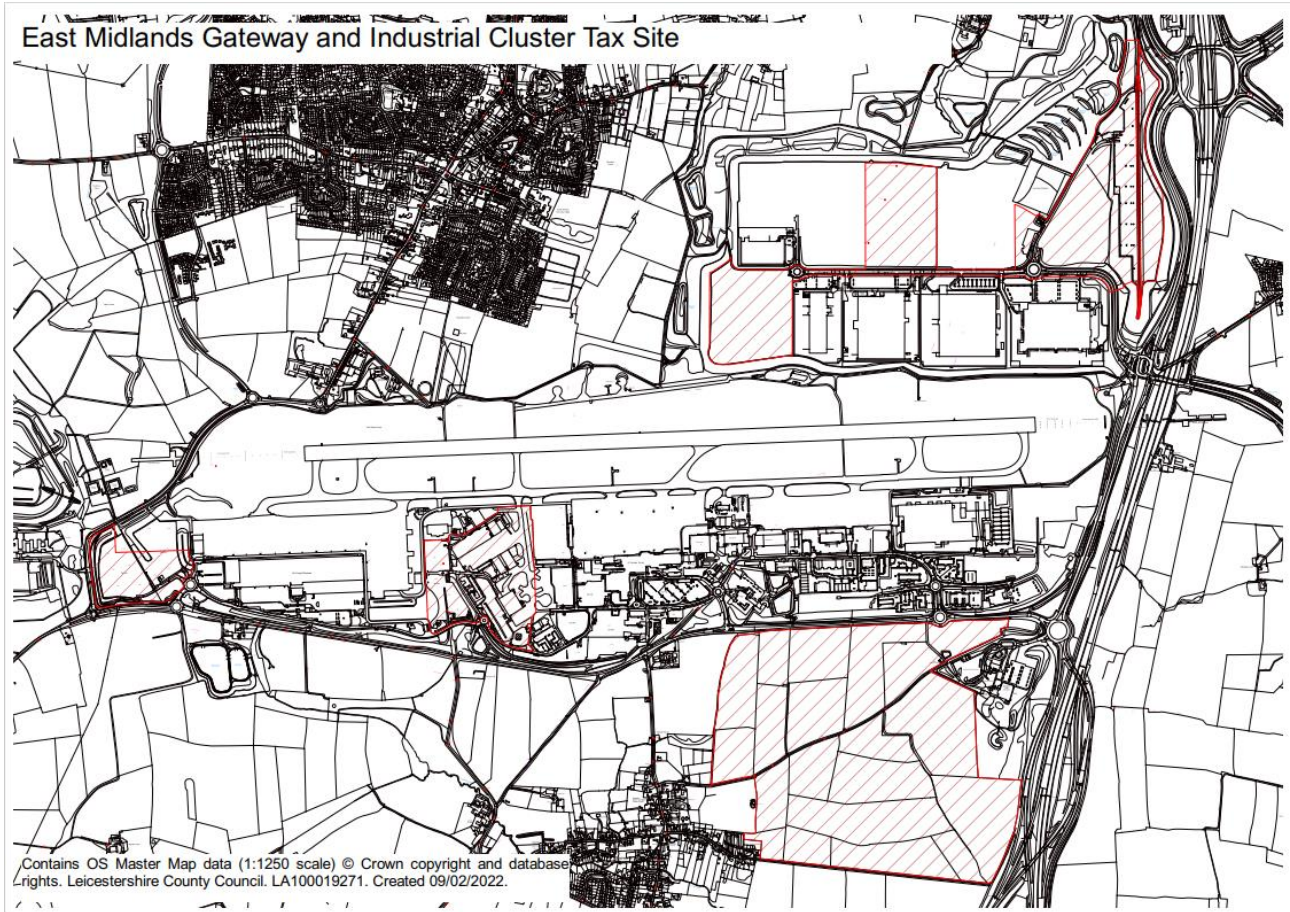
- 2.13.1 Proposals should be designed in a way that accords with Local Plan policies, including the requirement to contribute towards Strategic Infrastructure costs in accordance with this SPD, the EMF IDP and other items that may be secured through Section 106 agreements, including affordable housing.
- 2.13.2 Where, in the opinion of a landowner/developer of land within any of the SPD Sites, their proposed development cannot meet Local Plan policy requirements and the requirements of this SPD and the EMF IDP and the landowner/developer wishes the Local Planning Authority to consider a non-policy and SPD/IDP compliant alternative, the landowner/developer will be required to robustly demonstrate that the development is clearly unviable by submitting a financial viability assessment (“**FVA**”) to the relevant Local Planning Authority.
- 2.13.3 All FVAs submitted by landowners/developers should be undertaken in accordance with current RICS valuation standards contain the following information with supporting evidence:
- (a) a summary of the main assessment assumptions (evidenced from an independent expert or source);
 - (b) site or building acquisition cost (paid or anticipated on contracted to be paid) and existing use value (adopting relevant RICS Valuation Standards);
 - (c) detailed construction costs and programme;
 - (d) fees and other on costs;
 - (e) projected sale (or letting as appropriate) prices of non-residential floorspace with evidence of the same;
 - (f) (in relation to residential development) details of discussions with registered providers of affordable housing to inform the value of affordable housing assumed within the FVA;
 - (g) gross and net margin;
 - (h) other costs and receipts;
 - (i) other relevant information dependent on the nature of the obligation(s) under discussion;
 - (j) a summary clearly setting out the reasons that make a development proposal unviable; and
 - (k) if applicable, any request to vary Section 106 agreements from those set out in the Local Plan and this SPD, and the EMF IDP such a request to state the proposed level of obligations and demonstrate why they are the maximum that can be provided, provided that such a request may only be made if all of the following have already been completed and a justificatory statement in respect of the same has been provided to the relevant Local Planning Authority:
 - (i) a review of all assumptions within the viability model with a view to improving viability, including land value, build and development costs, sales prices, phasing, funding (including borrowing costs) and legal, professional and marketing costs;

- (ii) consideration of a reduction in the minimum anticipated developer profit for the scheme to offset any degree of non-compliance with Local Plan or SPD or EMF IDP requirements;
 - (iii) consideration of how growth assumptions (value increases over time) have been factored into the viability model; and
 - (iv) active exploration of available options for public sector funding which would enable the proposed development to be compliant with Local Plan or SPD or and EMF IDP requirements.
- 2.13.4 The FVA will be scrutinised by the relevant Local Planning Authority with advice from a suitably qualified external consultant and the reasonable cost of this external consultant is to be met by the landowner/developer who has submitted the FVA. If material changes are made to an application after submission that could affect scheme viability, a revised FVA will be required.
- 2.13.5 Where the Local Planning Authority is satisfied that Section 106 contributions or works required or expected by the Local Plan policies and this SPD and the EMF IDP cannot be met in full on a particular development proposal due to financial viability, the Local Planning Authority may choose to:
- (a) reduce the Section 106 contributions towards Strategic Infrastructure payable pursuant to this SPD and the EMF IDP; and/or
 - (b) adjust the timetable for delivery of Strategic Infrastructure to be funded by those Section 106 contributions or provided in kind; and/or
 - (c) reduce or amend other planning obligations for that development proposal, provided that the relevant Local Planning Authority will continue to pay due regard to the objective of ensuring an equitable and proportionate apportionment of the costs of delivering Strategic Infrastructure for the Site(s).
- 2.13.6 The financial viability of development proposals may change over time due to the prevailing economic climate, including changing property values and construction costs. In all cases, therefore, where the relevant Local Planning Authority have agreed to any of the reduction or adjustment items set out in paragraph 2.13.5 such that the resultant planning obligations are below the level needed to fully fund or provide the Strategic Infrastructure and local infrastructure requirements for the allocation area or to comply with Local Plan policy requirements, the relevant Local Planning Authority will require a viability review of the relevant development with an updated FVA to be provided at appropriate intervals to determine whether greater or full compliance with this SPD, the EMF IDP and the Local Plan policy requirements can be achieved throughout the carrying out of the relevant development proposal.

APPENDIX 1 - EMIP TAX SITE PLAN



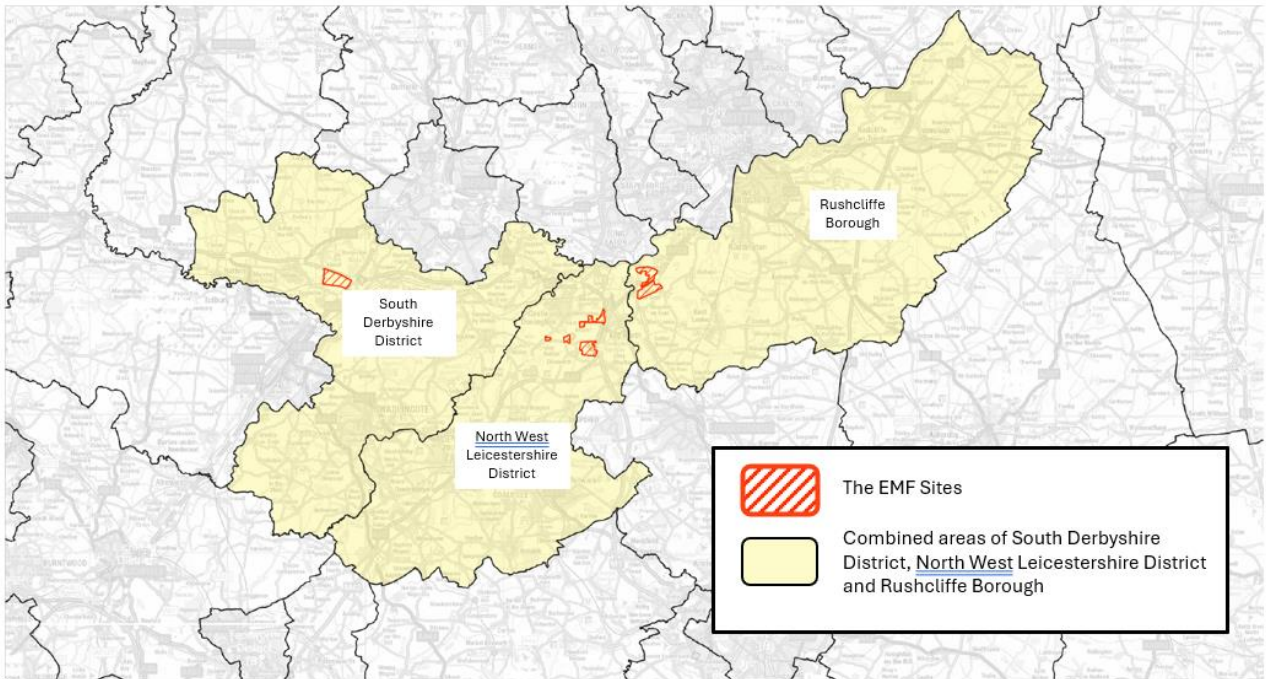
APPENDIX 2 - EMAGIC TAX SITE PLAN



APPENDIX 3 - RATCLIFFE TAX SITE PLAN



APPENDIX 4 – PLAN SHOWING AREA TO WHICH THIS SPD APPLIES



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East Midlands Freeport

**STRATEGIC INFRASTRUCTURE &
CONTRIBUTIONS SUPPLEMENTARY
PLANNING DOCUMENT (SPD)**

Screening Report for Strategic Environmental
Assessment and Habitats Regulations
Assessment

MAY 2026

1. INTRODUCTION

- 1.1 This screening report has assessed the contents of the EMF Strategic Infrastructure & Contributions Supplementary Planning Document (“SPD”) in order to identify potential environmental impacts that would require a Strategic Environmental Assessment in accordance with the European Directive and associated Environmental Assessment of Plans and Programmes Regulations 2004 (“SEA Regulations”).
- 1.2 This report also determines whether or not the contents of the draft SPD would require a Habitats Regulations Appropriate Assessment in accordance with European Directive 92/43/EEC on the conservation of natural habitats and of wild fauna and flora, i.e. the ‘Habitats Directive’ and the associated Conservation of Habitats and Species Regulations 2010 (otherwise known as the ‘Habitats Regulations’).
- 1.3 European Directives have been transposed into national law through UK legislative statutory instruments (further details of which will be provided in section 2 below) to determine whether they would have significant environmental effects (SEA) or have an impact on any internationally designated wildlife sites (HRA). This has resulted in the SPD needing to be screened in relation to whether it needs to be supported by a Strategic Environmental Assessment and/or a Habitats Regulations Assessment (HRA), i.e. an ‘appropriate assessment’.
- 1.4 As explained in the SPD, the principal purpose of the SPD is to help ensure the coordinated and collaborative delivery and funding of strategic transport infrastructure that is needed to support the delivery and operation of the development coming forward on the EMF Sites, or on strategic allocation sites or other major development sites adjacent to or outside the EMF Sites which will be unlocked by or significantly benefit from the strategic transport infrastructure and contribute towards the strategic transport infrastructure on an equitable and proportionate basis.
- 1.5 EMF is formed of three ‘tax sites’, respectively falling within three different local authority administrative boundaries:
- 1.5.1 the East Midlands Airport and Gateway Industrial Cluster in North West Leicestershire District; and
 - 1.5.2 the Ratcliffe on Soar Power Station site in Rushcliffe Borough, Nottinghamshire; and
 - 1.5.3 the East Midlands Intermodal Park in South Derbyshire District;
- collectively, these three sites are referred to as “the EMF Sites”.
- 1.6 Each of the EMF Sites is subject to adopted local plan policy and emerging local plan policy. The adopted local plans of the three local authorities in which the EMF sites are located have all been subject to a full Strategic Environmental Assessment and Sustainability Appraisal in accordance with the legislation, as well as a Habitats Regulations Assessment in accordance with the Habitats Regulations.
- 1.7 The SPD provides additional guidance on strategic transport infrastructure and is an evolution of those transport works that have already been envisaged as necessary to unlock and/or substantially benefit the EMF sites and therefore the previous assessments have been taken into account in providing this screening opinion report where appropriate. The emerging local plans for the EMF Sites, comprising the emerging Greater Strategic Nottingham Plan and the emerging North West Leicestershire Local Plan have also been subject to a Strategic Environment Assessment and Sustainability Appraisal in accordance with the legislation, as well as a Habitats Regulations Assessment in accordance with the Habitats Regulations. Regard has also been had to the assessments undertaken in relation to the emerging local plans where appropriate.
- 1.8 This screening report details whether the draft SPD is likely to require an SEA or HRA. It is concluded that a SEA and HRA are not required to accompany the SPD. The SPD itself does not give rise to any new or materially different likely significant environmental effects that have not already been assessed at adopted local plan stages, and also having regard to emerging local plan stages and

SEA and HRA assessment of the emerging local plan stages to date. Details of the reasoning behind these conclusions are provided within sections 3 and 4 of this report.

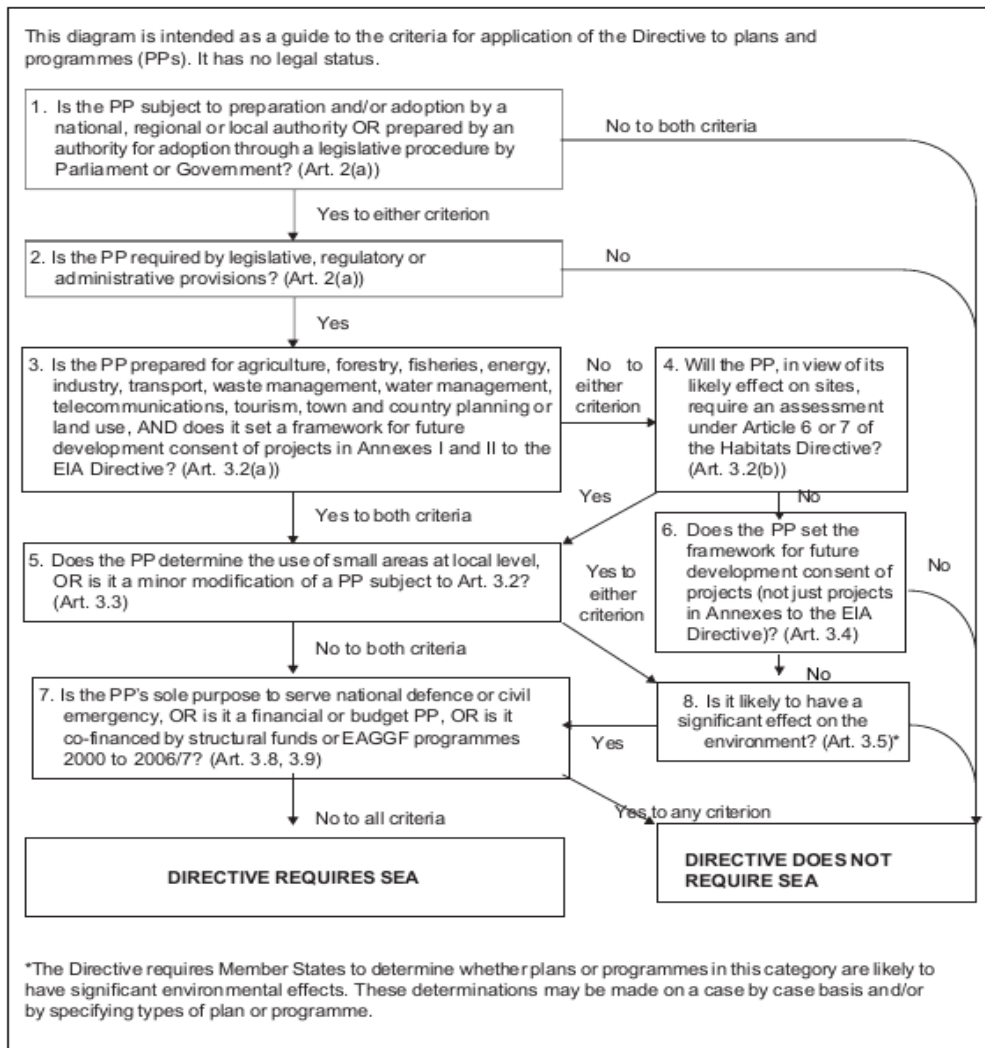
- 1.9 An earlier SEA and HRA document was consulted upon alongside the consultation of the draft SPD. This updated document comprising an SEA and HRA Screening Opinion Report has been sent to the three statutory consultation bodies (Historic England, Natural England, and Environment Agency) to seek their views on its contents.

2. LEGISLATION

STRATEGIC ENVIRONMENTAL ASSESSMENT

- 2.1 The basis for requiring Strategic Environmental Assessment is European Directive 2001/42/EC which was transposed into English Law by the Environmental Assessment of Plans and Programmes Regulations 2004.
- 2.2 Detailed guidance on these SEA Regulations can be found in the Government publication, 'A Practical Guide to the Strategic Environmental Assessment Directive' (ODPM 2005). Further information on SEA is contained within the Government's National Planning Practice Guidance.
- 2.3 The objective of the SEA Directive (2001/42/EC) is set out in Article 1 therein, which states:
- "The objective of this Directive is to provide for a high level of protection of the environment and to contribute to the integration of environmental considerations into the preparation and adoption of plans and programmes with a view to promoting sustainable development, by ensuring that, in accordance with this Directive, an environmental assessment is carried out of certain plans and programmes which are likely to have significant effects on the environment."*
- 2.4 To establish if a 'plan' or 'programme' needs to be accompanied by a full SEA, a "screening" assessment is required against a series of criteria set out in the SEA Directive. These are illustrated in Figure 1 below.
- 2.5 The National Planning Practice Guidance states Supplementary Planning Documents '*may in exceptional circumstances require a strategic environmental assessment if they are likely to have significant environmental effects that have not already been assessed during the preparation of the relevant strategic policies*'.

Figure 1 – SEA screening process



2.6 Assessing the significance of the environmental effects that an SPD will have (required at stage 8 in Figure 1) depends on the contents of the SPD. The criteria for assessing the significance of the effects are referred to in Article 3.5 and set out within Annex II of the SEA Directive. It is also identified within the Planning Practice Guidance that *'before deciding whether significant environmental effects are likely, the local planning authority will need to take into account the criteria specified in schedule 1 to the Environmental Assessment of Plans and Programmes Regulations 2004 and consult the consultation bodies'*.

2.7 These criteria have been set out below in Figure 2.

Figure 2: Criteria for assessing significance

- The characteristics of plans and programmes, having regard, in particular, to
- The degree to which the plan or programme sets a framework for projects and other activities, either with regards to location, nature, size and operating conditions or by allocating resources;
 - The degree to which the plan or programme influences other plans and programmes including those in a hierarchy;
 - The relevance of the plan or programme for the integration of environmental considerations in particular with a view to promoting sustainable development;
 - Environmental problems relevant to the plan or programme;
 - The relevance of the plan or programme for the implementation of Community legislation on

the environment (e.g. Plans and programmes linked to waste- management or water protection).

Characteristics of the effects and of the area likely to be affected, having regard, in particular, to:

- The probability, duration, frequency and reversibility of the effects;
- The cumulative nature of the effects;
- The transboundary nature of the effects;
- The risks to human health or the environment (e.g. due to accidents);
- The magnitude and spatial extent of the effects (geographical area and size of the population likely to be affected);
- The value and vulnerability of the area likely to be affected due to:
 - Special natural characteristics or cultural heritage;
 - Exceeded environmental quality standards or limit values;
 - Intensive land-use;
- The effects on areas or landscapes which have a recognised national, Community or international protection status.

Habitats Regulations Assessment (HRA)

2.8 A HRA is required to assess a plan or projects potential implications on European wildlife sites, i.e. 'European sites' or 'Natura 2000 sites'. It explores whether the implementation of a plan or project would harm the habitats or species for which the European sites are designated. The European sites are:

2.8.1 Special Protection Areas (SPAs) — designated by the Birds Directive (79/409/EEC as amended and 2009/147/EC), and:

2.8.2 Special Areas of Conservation (SACs) — designated by the Habitats Directive (92/43/EEC).

2.9 In addition to SPAs and SACs, Ramsar sites are designated under the Ramsar convention. The Ramsar convention's mission is to conserve and sustainably utilise wetland habitats. Although Ramsar sites are not covered by the Habitats Regulations, as a matter of Government Policy, they should be treated in the same way as European wildlife sites (i.e. SPAs and SACs). European wildlife sites and Ramsar sites are collectively known as internationally designated wildlife sites.

2.10 The basis for requiring a HRA stems from the European Council Directive 92/43/EEC on the conservation of natural habitats and of wild fauna and flora. This has been transposed into UK legislation by the Conservation of Habitats and Species Regulations 2010 ("Habitats Regulations").

3. EMF STRATEGIC INFRASTRUCTURE & CONTRIBUTIONS SUPPLEMENTARY PLANNING DOCUMENT AND SEA SCREENING ASSESSMENT

3.1 A screening exercise against the criteria set out in Figure 1 and Figure 2 has been carried out against the SPD and is provided below in this section 3.

3.2 An SEA was completed as part of the adopted local plans and this has been taken into account in this screening assessment and regard has also been had to the SEA's completed as part of the emerging local plans.

3.3 The relevant assessments reviewed and considered are:

Rushcliffe Borough Council:

- 3.3.1 [Local Plan Part 1: Core Strategy - Rushcliffe Borough Council SA and HRA](#)
- 3.3.2 [Sustainability Appraisal Report March 2025 GN Plan](#)

South Derbyshire Council:

- 3.3.3 [Adopted Local Plan | South Derbyshire District Council SA Main Report;](#)
- 3.3.4 [South Derbyshire Local Plan Part 1 Review 2022-2041 \(Publication Version\) - SA Regulation 19](#)

North West Leicestershire Council:

- 3.3.5 [SA REPORT DEC 2016 FINAL.pdf](#)
- 3.3.6 [SA Report Addendum November 2017;](#)
- 3.3.7 [North West Leicestershire SA and SEA Statement October 2017](#)
- 3.3.8 [North West Leicestershire Local Plan Sustainability Appraisal Sites Assessment Findings Report November 2024](#)
- 3.3.9 [North West Leicestershire Local Plan Sustainability Appraisal of Policies September 2025](#)

3.4 The purpose of the SPD is to ensure the coordinated and collaborative delivery and funding of strategic transport infrastructure that is needed to support the delivery and operation of the development coming forward on the EMF Sites, or on strategic allocation sites or other major development sites adjacent to or outside the EMF Sites which will be unlocked by or significantly benefit from the strategic transport infrastructure and contribute towards the strategic transport infrastructure on an equitable and proportionate basis. Additional transport assessment work has been carried out since adoption of the existing local plans in those three administrative local planning authority areas which has informed the SPD, including:

- 3.4.1 the Strategic Investment Transport Plan, November 2025 (“STIP”) which reviews the transport interventions across the EMF and relevant EMCCA area. It identifies through the National Highways / Derbyshire County Council developed strategic gateway model the junctions likely to be stressed within certain parameters by development of identified strategic sites. The STIP has been carried out by Midlands Connect and EMF who have identified three packages of transport and highway interventions; and
- 3.4.2 the Detailed Transport Investment Plan, 18 December 2025 (“DTIP”) which follows completion of the STIP in August 2025 and builds on the STIP to develop a DTIP for EMF. The DTIP extends the LCC PRTM 23 highway model (M2) to include the three EMF Sites, then looks at primarily package 1 (as identified in the STIP) and models the mitigation impact to support the case for investment.

3.5 Tables 2 and 3 contain the results of the assessment against the criteria set out in Figure 1 and Figure 2. By way of further consideration, the reasons for concluding no likely significant effects in relation to Figure 2 are then expanded on further in the subsequent tables below for each of the EMF Sites.

Table 2: SEA Criteria for determining whether a full SEA is required

Stage	Yes / No	Reason
1. Is the SPD subject to preparation and/or adoption by a national, regional, or local authority OR prepared by an authority for adoption through a legislative procedure by Parliament or Government? (Art. 2(a))	Yes (go to Q.2)	The SPD will be adopted by the three local authorities as a non-development plan document which will form a material consideration when assessing relevant planning applications.
2. Is the SPD required by legislative, regulatory, or administrative provisions? (Art. 2(a))	Yes (go to Q.3)	The preparation and adoption of an SPD is optional. However, once adopted by the local authorities, it will become a material consideration during the determination of relevant planning applications.
3. Is the SPD prepared for agriculture, forestry, fisheries, energy, industry, transport, waste management, water management, telecommunications, tourism, town and country planning or land use AND does it set a framework for future development consent of projects in Annexes I and II to the EIA Directive? (Art 3.2(a))	Yes (go to Q.5)	The SPD is for town and country planning purposes and seeks to enable developers to understand the Council's expectations and priorities relating to strategic transport infrastructure required as a result of the development on the EMF Sites or on strategic allocation sites or other major development sites adjacent to or outside the EMF Sites.
4. Will the SPD, in view of its likely effect on sites, require an assessment under Article 6 or 7 of the Habitats Directive? (Art. 3.2 (b))	No	See conclusions of HRA screening in section 4 below.
5 Does the SPD determine the use of small areas at local level, OR is it a minor modification of a PP subject to Art. 3.2) (Art 3.3)	Yes (go to Q.8)	The SPD is focussed upon co-ordinated delivery of strategic transport infrastructure which is likely to largely result in the provision of highway works (predominantly likely to be off-site and potentially some on-site in relation to the relevant SPD Sites) but in small areas at local level in the context of a relevant local plan area. The SPD also encourages co-ordinated site wide remediation of one EMF Site. In the context of the three local authority plan areas, the provision of the strategic transport infrastructure arising pursuant to the SPD and the encouragement of co-ordinated site wide remediation of one EMF Site would constitute small areas at local level.

<p>8. Is the SPD likely to have a significant effect on the environment? (Art. 3.5)</p> <p>(Annex II of the European Directive 2001/42/EC on the assessment of certain plans and programmes on the environment sets out the criteria for determining the likely significance of effects on the environment.)</p>	<p>No</p>	<p>The SPD is focussed upon helping to improve co-ordinated delivery of strategic transport infrastructure which is likely to largely result in the provision of highway works (predominantly likely to be off-site and potentially some on-site in relation to the relevant SPD Sites) but in small areas at local level in the context of a relevant local plan area. The SPD also encourages co-ordinated site wide remediation of one EMF Site. In the context of the three local authority plan areas, the provision of the strategic transport infrastructure arising pursuant to the SPD and the encouragement of co-ordinated site wide remediation of one EMF Site would constitute small areas at local level.</p> <p>In summary terms, as set out in Table 3 below, in relation to the co-ordinated delivery of strategic transport infrastructure, there are likely to be some small area effects as a result of such works, for example small areas may have a change of land use for highways works with potential small area ecological, visual/landscape, noise, air quality, drainage and other localised effects for works that would improve the highways network capacity. In overall terms, these effects are not considered likely to be significant and represent minor impacts affecting small areas at local level in the context of the relevant plan areas as a whole. It is also not considered that there are any new or materially different likely significant effects in relation to the SPD than have already been assessed in the context of SEA of the adopted local plans as a whole, having regard also to the SEA of the emerging local plans. Table 3 below provides further assessment in this regard.</p> <p>Any development undertaken further to the SPD would also be subject to EIA screening (and, as appropriate scoping).</p>
<p>SEA IS NOT REQUIRED</p>		

3.6 An assessment of whether there are any likely significant effects of the SPD is set out in Table 3.

Table 3: Criteria for assessing significance

Environmental Regulations Paragraph	SEA Requirement	Comments as to whether any likely significant environmental effects arise from the EMF Strategic Infrastructure & Contributions Supplementary Planning Document
<p>1. The characteristics of plans and programmes, having regard, in particular, to—</p> <p>2.</p>		
<p>a.</p>	<p>the degree to which the plan or programme sets a framework for projects and other activities, either with regard to the location, nature, size and operating conditions or by allocating</p>	<p>The SPD would not, if adopted, form part of the statutory Development Plans. However, it does as an SPD form part of the framework for future development consent of projects, as it is a 'material consideration' in the determination of planning applications. The project also sits within the wider framework set by the National Planning Policy Framework and Planning Practice Guidance.</p>

	resources;	
b.	the degree to which the plan or programme influences other plans and programmes including those in a hierarchy;	The SPD must not conflict with the adopted development plan being the adopted Local Plans. It also offers greater delivery detail than is contained in Local Plans to inform planning decision making as a material planning consideration. The SPD is unlikely to influence other Plans or Programmes.
c.	the relevance of the plan or programme for the integration of environmental considerations in particular with a view to promoting sustainable development;	The SPD promotes integration of strategic infrastructure to support sustainable development and offers greater delivery detail than is contained in Local Plans to inform planning decision-making but not materially different likely significant environmental effects.
d.	Environmental problems relevant to the plan or programme;	<p>In relation to helping improve the co-ordinated delivery of strategic transport infrastructure, there are likely to be some small area effects as a result of such works, for example small areas may have a change of land use for highways works with potential small area ecological, visual/landscape, noise, air quality, drainage and other localised effects for works that would improve the highways network capacity, with other effects involving improvements in highways capacity and effects.</p> <p>The effects of the SPD should help, in particular, to create highways capacity and avoid or minimize traffic congestion in relation to the EMF Sites and other benefitting sites in relation to the highways network, plus encourage site-wide remediation of one EMF site, and offers greater delivery detail than is contained in Local Plans to inform planning decision-making but not materially different likely significant environmental effects.</p> <p>In overall terms, these effects represent small areas at local level in the context of the relevant plan areas as a whole. It is not considered that there are any new or materially different likely significant effects in relation to the SPD than have already been assessed in the context of SEA of the adopted local plans as a whole, having regard also to the SEA of the emerging local plans.</p>
e.	The relevance of the plan or programme for the implementation of Community legislation on the environment (for example, plans and programmes linked to waste management or water protection).	The SPD should complement the effect of Local Plans and associated plans and programmes for highways works. In overall terms, these effects represent small areas at local level in the context of the relevant plan areas as a whole. It is not considered that there are any new or materially different likely significant effects in relation to the SPD than have already been assessed in the context of SEA of the adopted local plans as a whole, having regard also to the SEA of the emerging local plans.
2. Characteristics of the effects and of the area likely to be affected, having regard, in particular, to—		
a.	The probability, duration, frequency and reversibility of	In relation to the SPD helping improve the co-ordinated delivery of strategic transport infrastructure, there are likely to be some small area effects as a result of such works, for

	the effects;	example small areas may have a change of land use for highways works with potential small area ecological, visual/landscape, noise, air quality, drainage and other localised effects for works that would improve the highways network capacity, with other effects involving improvements in highways capacity and effects. The effects of the SPD should help to create highways capacity and avoid or minimize traffic congestion in relation to the EMF Sites and other benefitting sites in relation to the highways network, plus encourage site-wide remediation of one EMF site, and offers greater delivery detail than is contained in Local Plans to inform planning decision-making. The works are likely to take place in a number of small area locations over a number of years and the effects would be irreversible. Overall, there are not likely to be any materially different likely significant environmental effects than have already been assessed in the context of SEA of the adopted local plans as a whole, having regard also to the SEA of the emerging local plans.
b.	The cumulative nature of the effects;	In relation to the SPD helping improve the co-ordinated delivery of strategic transport infrastructure, there are likely to be some small area effects as a result of such works, for example small areas may have a change of land use for highways works with potential small area ecological, visual/landscape, noise, air quality, drainage and other localised effects for works that would improve the highways network capacity, with other effects involving improvements in highways capacity and effects. The effects of the SPD should help to create highways capacity and avoid or minimize traffic congestion in relation to the EMF Sites and other benefitting sites in relation to the highways network, plus encourage site-wide remediation of one EMF Site, and offers greater delivery detail than is contained in Local Plans to inform planning decision-making. The works are likely to take place in a number of small area locations over a number of years, with cumulative effects for the highways network in particular. Overall, there are not likely to be any materially different likely significant environmental cumulative effects than have already been assessed in the context of SEA of the adopted local plans as a whole including the SPD having effect as a material planning consideration in conjunction with the adopted local plans as a whole, having regard also to the SEA of the emerging local plans.
c.	The trans-boundary nature of the effects;	The SPD should help alleviate trans-boundary highways and associated traffic flow effects but is not considered to raise any new or materially different likely significant trans-boundary effects than those which were considered and appraised under the relevant Local Plans.
d.	the risks to human health or the environment (for example, due to accidents);	It is not anticipated that there would be any material increase to, or significant risks to human health or the environment as a result of the SPD.
e.	The magnitude and spatial extent of the effects (geographical area and size of the population likely to be affected);	The SPD relates primarily to helping the effective coordination of the delivery of strategic infrastructure within the SPD area, plus encourage site-wide remediation of one EMF Site. In the context of the three local authority plan areas, the areas of provision of the strategic transport infrastructure arising pursuant to the SPD and the encouragement of co-ordinated site wide remediation of one EMF Site would constitute small areas at local level. The

		magnitude and spatial extent of the effects are not likely to be new or materially different to those which were considered and appraised under the relevant Local Plans.
f.	the value and vulnerability of the area likely to be affected due to—(i) special natural characteristics or cultural heritage; (ii) exceeded environmental quality standards or limit values; or (iii) intensive land-use;	The effect of the SPD is not likely to materially affect special natural characteristics or cultural heritage or exceed environmental standards or limit values or result in intensive land use. Any such effects will also be assessed and appropriately dealt with through the application of the statutory Local Plans, national policies/ procedures, assessment of planning applications (including EIA screening and/or scoping) and applications for associated relevant permits.
g.	the effects on areas or landscapes which have a recognised national, Community or international protection status.	The SPD is not likely to affect areas or landscapes which have a recognised national, Community or international protection status. Any such effects will also be assessed and appropriately dealt with through the application of the statutory Local Plans, national policies/ procedures, assessment of planning applications (including EIA screening and/or scoping) and applications for associated relevant permits.

In relation to the above assessment in Table 3, consideration has been had to the SEA undertaken in relation to relevant adopted Local Plan policies. Regard has also been had to the SEA to date of the relevant emerging Local Plan policies.

EAST MIDLANDS INTERMODAL PARK (EMIP)

SEA Topic	<p>Summary of any materially new or different likely significant environmental effects due to EMF Strategic Infrastructure & Contributions Supplementary Planning Document</p> <p>in relation to those assessed in the Adopted Local Plan: Adopted Local Plan South Derbyshire District Council SA Main Report, in particular: Policy INF1 (Infrastructure and Developer Contributions), INF3 (Strategic Rail Freight Interchange) and INF4 (Transport Infrastructure Improvement Schemes).</p> <p>Also having regard to the SEA of relevant Emerging Local Plan policies: South Derbyshire Local Plan Part 1 Review 2022-2041 (Publication Version) - SA Regulation 19 Report March 2025: South Derbyshire Local Plan Part 1 Review 2022-2041 (Publication Version) - SA Regulation 19 in particular Policy INF3 (East Midlands Intermodal Park Strategic Rail Freight Interchange/ East Midlands Freeport) and INF4 (Transport Infrastructure Improvement Schemes).</p>
Biodiversity	No change
Housing	No change
Accessibility and Health	No change
Quality of Life	No change
Inequalities	No change

Economy	No change
Employment	No change
Infrastructure	No change
Sustainable travel	No change
Town and Village Centres	No change
Resources	No change
Pollution	No change
Climate Contributions Change	No change
Climate Change Adaptation	No change
Historic Environment	No change
Landscape	No change

EMAGIC/LAND SOUTH OF EAST MIDLANDS AIRPORT

SEA Topic	<p>Summary of whether there are any materially new or different likely significant environmental effects in the SEA context due to EMF Strategic Infrastructure & Contributions Supplementary Planning Document</p> <p>in relation to those assessed in the SEA of the Adopted Local Plan (SA Report Dec 2016 REPORT DEC 2016 FINAL.pdf, SA Report Addendum November 2017; North West Leicestershire SA and SEA Statement October 2017 - in particular Policy Ec1 (Employment provision: permissions), Policy Ec4 (East Midlands airport), IF1 (Development and Infrastructure), IF4 (Transport infrastructure and new development).</p> <p>Also having regard to the SEA of relevant Emerging Local Plan policies: North West Leicestershire Local Plan Sustainability Appraisal of Policies September 2025: North West Leicestershire Local Plan Sustainability Appraisal of Policies September 2025 – in particular Policy Ec8 (East Midlands Airport) and Policy Ec9 (East Midlands Airport: Safeguarding).</p>
Health & Wellbeing	No change
Inequalities	No change
Community	No change
Housing	No change
Economy	No change
Town/Village Centres	No change
Employment	No change
Sustainable Travel	No change
Air, Light & Noise Pollution	No change
Climate Resilience	No change
Biodiversity & Geodiversity	No change
Landscape	No change
Land-use efficiency	No change
Historic Environment heritage	No change

Water & Soil	No change
Waste	No change

RATCLIFFE ON SOAR

SEA Topic	<p>Summary of whether there are any materially new or different likely significant environmental effects in the SEA context due to EMF Strategic Infrastructure & Contributions Supplementary Planning Document</p> <p>in relation to those assessed in the SEA of the Adopted Local Plan (Local Plan Part 1: Core Strategy - Rushcliffe Borough Council SA and HRA), in particular Policy 5 (Employment Provision and Economic Development), Policy 18 (Infrastructure) and Policy 19 (Developer Contributions).</p> <p>Also having regard to the SEA of relevant Emerging Local Plan policies: Emerging Local Plan: Greater Nottingham Strategic Plan SEA Assessment (March 2025): Sustainability Appraisal Report March 2025 GN Plan – in particular Policy 32 (Strategic Allocation Former Ratcliffe on Soar Power Station), Policy 18 (Development Contributions for Infrastructure).</p>
Housing	No change
Employment & Jobs	No change
Economic Structure & Innovation	No change
Shopping Centres	No change
Health & Wellbeing	No change
Community safety	No change
Social inclusion	No change
Transport	No change
Brownfield Land	No change
Energy & Climate Change	No change
Pollution & Air Quality	No change
Flooding and Water Quality	No change
Natural Environment and BNG	No change
Landscape	No change
Built and Historic Environment	No change
Natural Resources and Waste Management	No change

SEA Screening Conclusion

- 3.7 On the basis of the SEA screening exercise undertaken in relation to the SPD, it is considered that there are no likely significant effects on the environment as a result of the SPD and none that are new or materially different likely significant effects compared to those already assessed by way of the adopted local plans, including the SPD having effect as a material planning consideration in conjunction with the adopted local plans as a whole, and having regard to the emerging local plans.

3.8 On the above basis, the SPD does not require a SEA.

4. **DRAFT EMF STRATEGIC INFRASTRUCTURE & CONTRIBUTIONS SPD HABITATS REGULATIONS ASSESSMENT APPROPRIATE ASSESSMENT SCREENING**

4.1 This is the Habitats Regulations Assessment (HRA) of the EMF Strategic Infrastructure & Contributions SPD. It accompanies the SPD and comprises the screening of likely significant effects on the environment of this SPD (which is a material consideration when determining planning applications) on designated and prospective European or internationally protected nature conservation sites.

4.2 As the SPD itself is subordinate to the adopted local plans (and having regard to the emerging local plans), provided the SPD does not amend the policies within them (which it cannot), the conclusions of their respective HRAs provide a clear indication of the likelihood of significant effects upon an internationally designated site.

HRA Screening Conclusion

4.3 Taking into account the conclusions of the local plan HRAs that those Local Plans were unlikely to have significant environmental effects on any designated and prospective European or internationally protected nature conservation sites, and having regard to the HRA's of the emerging Local Plans to date, plus the conclusions of the SEA Screening Report in relation to the SPD above, it is considered that this subordinate SPD, which accords with the policies within the local plans, would not have a likely significantly environmental effect on any designated and prospective European or internationally protected nature conservation site and trigger the requirement for an appropriate assessment. The SPD does not give rise to any likely significant environmental effects and there are no new or materially different additional likely significant effects compared to those assessed in relation to the adopted Local Plans (having regard to the emerging Local Plans).

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	CUSTOMER SERVICE PERFORMANCE UPDATE 2025/26	
Presented by	Councillor Andrew Woodman Housing, Property and Customer Services Portfolio Holder PH Briefed <input type="checkbox"/> Y	
Background Papers	Customer Experience Strategy 2026 -2028	Public Report: Yes
		Key Decision: No
Financial Implications	There are no financial implications arising from this report	
	Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	None directly arising from this report.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	None bar those addressed in the day-to-day management of the service.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	<p>This report is presented to Cabinet as part of the agreed annual update on Customer Service performance.</p> <p>The report supports the Council's goals outlined in the Corporate Delivery Plan to prioritise customer focus. It recognises that Customer Service enquiries offer a consistent and valuable source of feedback from residents, helping the Council to identify areas of success and opportunities for improvement.</p>	
Reason for Decision	To ensure Cabinet Members are aware of Customer Services activity and transactions during the last financial year given the Service's cross-cutting delivery.	
Recommendations	THAT CABINET: <ol style="list-style-type: none"> 1. NOTES THE COMMENTS MADE BY CORPORATE SCRUTINY COMMITTEE ON 18 JUNE 2026. 2. NOTES THE DETAILS OF THE ANNUAL CUSTOMER SERVICE PERFORMANCE REPORT. 	

1.0 BACKGROUND

- 1.1. This report provides a comprehensive overview of the Council's efforts to enhance customer satisfaction and responsiveness. It summarises key metrics and trends observed over the financial year 2025/26, highlighting areas of success and identifying opportunities for improvement. The report includes detailed analysis of customer feedback, response times, and resolution rates, offering valuable insights into how the Council can continue to improve its services and better meet the needs of its residents.

2.0 POLICY & STRATEGY FRAMEWORK

- 2.1 The adopted Customer Experience Strategy 2026-2028 sets the context for the consideration of Customer Service and its operation in the Council. The Strategy was refreshed in 2025 and approved on 16 December 2025.
- 2.2 In summary, the Strategy aims to transform how the Council interacts with its diverse customer base including residents, businesses, visitors, partners, and suppliers by:
- I. Modernising customer service through digital innovation.
 - II. Empowering staff to deliver excellent service tailored to customer needs.
 - III. Improving accessibility for all, including support for those less confident with digital channels.
 - IV. Ensuring value for money by streamlining services and using data effectively.
 - V. Embedding customer experience into the Council's core values and operations.
- 2.3 The Strategy builds on previous achievements such as website accessibility improvements, telephony upgrades and Customer Service Excellence accreditation, while responding to challenges such as reduced government funding and changing customer expectations.

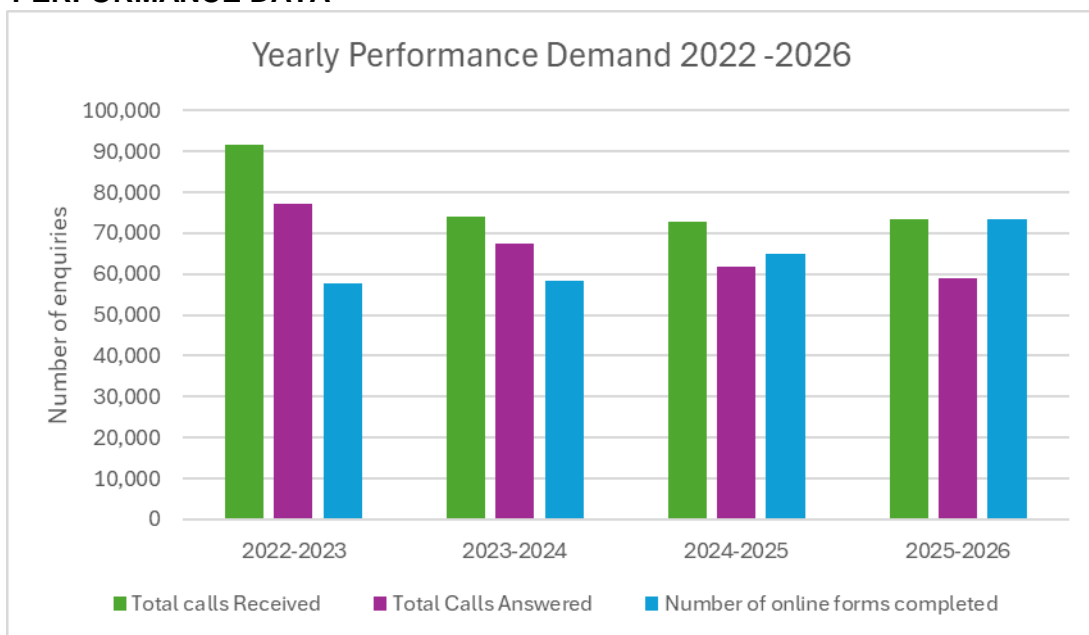
3.0 CUSTOMER SERVICE DELIVERY

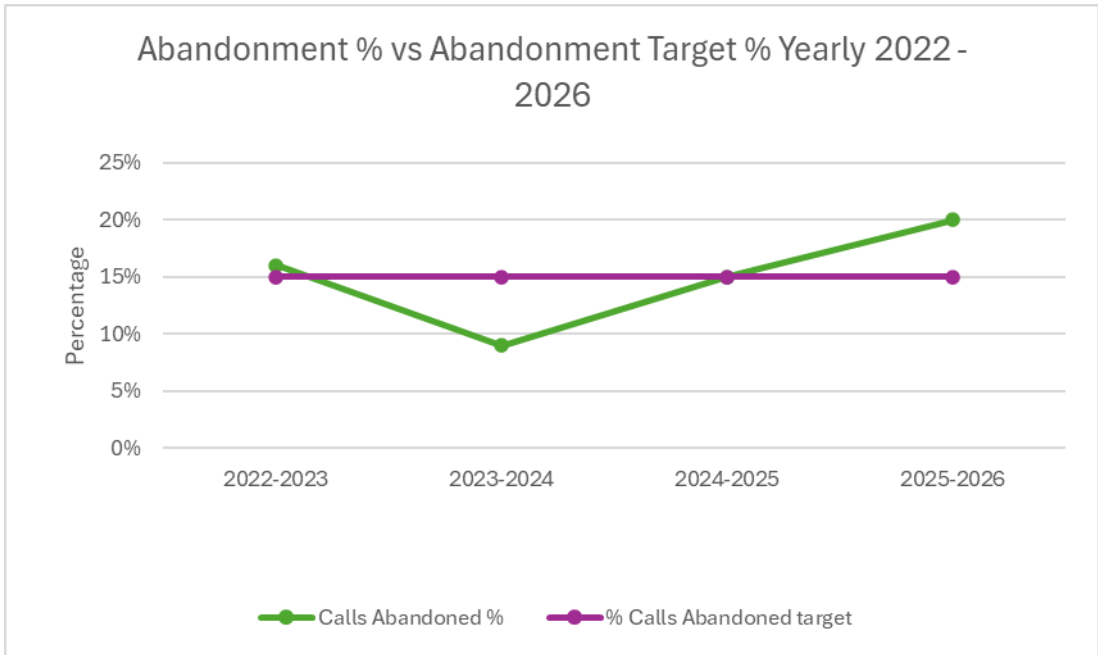
- 3.1 When discussing customer service provision, it is essential to recognise that this involves more than just the Customer Services Team, although they play a crucial role. All Council staff contribute to customer service in various capacities. While this report focuses on the performance of the Customer Services Team, below is a summary of the primary areas with significant customer interaction. It is important to note that every department within the Council engages with customers to some extent:
- Customer Services – this is the main front-line support providing the front-end contact for many Council services with much of the initial customer contact coming through this team either face-to-face or by phone and email.
 - The Customer Experience Team – this team is responsible for capturing, analysing, and acting upon customer feedback, data, and insights at every stage of the customer journey. They share this valuable information with the other services to foster continuous improvement. Collaborating with back-office teams, they work to enhance the customer journey and improve services for both

customers and the Council. This team also includes the Council's Feedback Officer, who administers and manages all corporate feedback, including complaints and member enquiries.

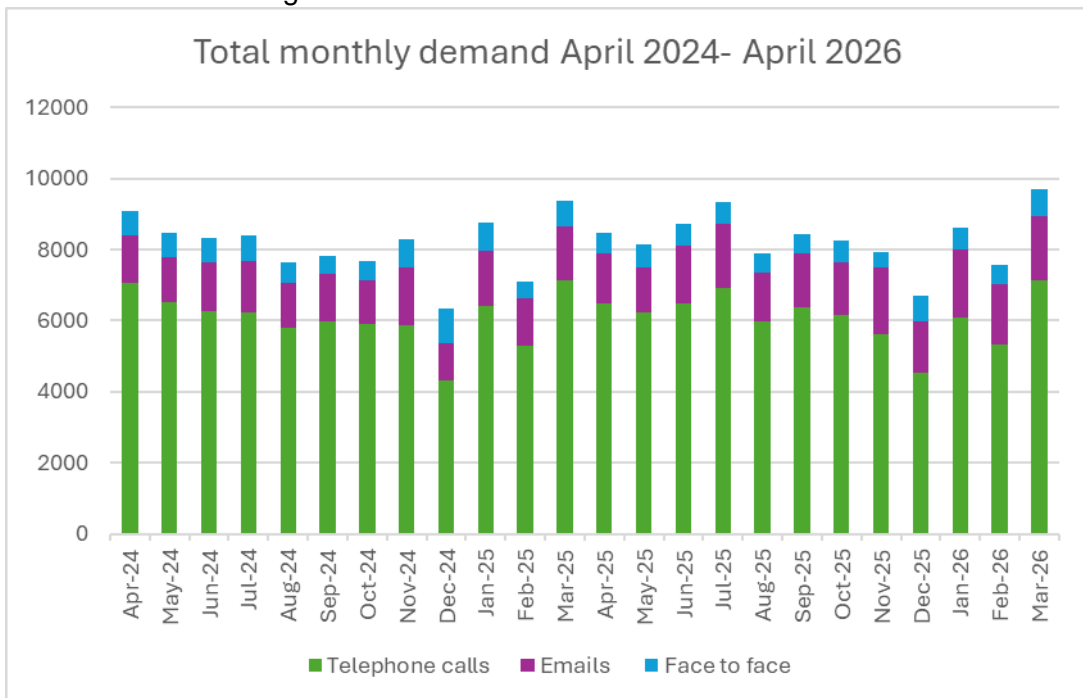
- Housing Repairs Team - This team handles initial calls from tenants reporting or following up on both responsive and planned works.
- Housing Choices – This team manages initial calls from customers seeking social housing, whether due to homelessness or a desire to join the choice-based lettings register.
- Waste services – Calls related to waste services are initially answered by the Customer Services Team, aiming for resolution at the first point of contact. These calls include missed bin reports, requests for new or additional waste containers, bulky waste collections, collection advice, and promotion of waste services and initiatives. Calls may be transferred to the Waste Team if escalation is needed or if the Customer Services Team cannot resolve the enquiry.
- Planning - Calls regarding planning are answered by the Customer Services Team, with the goal of resolving them at the first point of contact or directing callers to appropriate digital forms or resources. Calls requiring specific officers or related to certain applications are transferred to the Planning Support Team.
- Revenues and Benefits - being only the second team that touches every household within the district through Council Tax and therefore forms a considerable proportion of the Councils calls each year. These calls are answered by the Customer Services Team with the aim to resolve them at the first point of contact. Calls maybe transferred to the Revenues or Benefits team if the enquiry needs escalation or customer services is unable to answer the question presented.

4.0 PERFORMANCE DATA



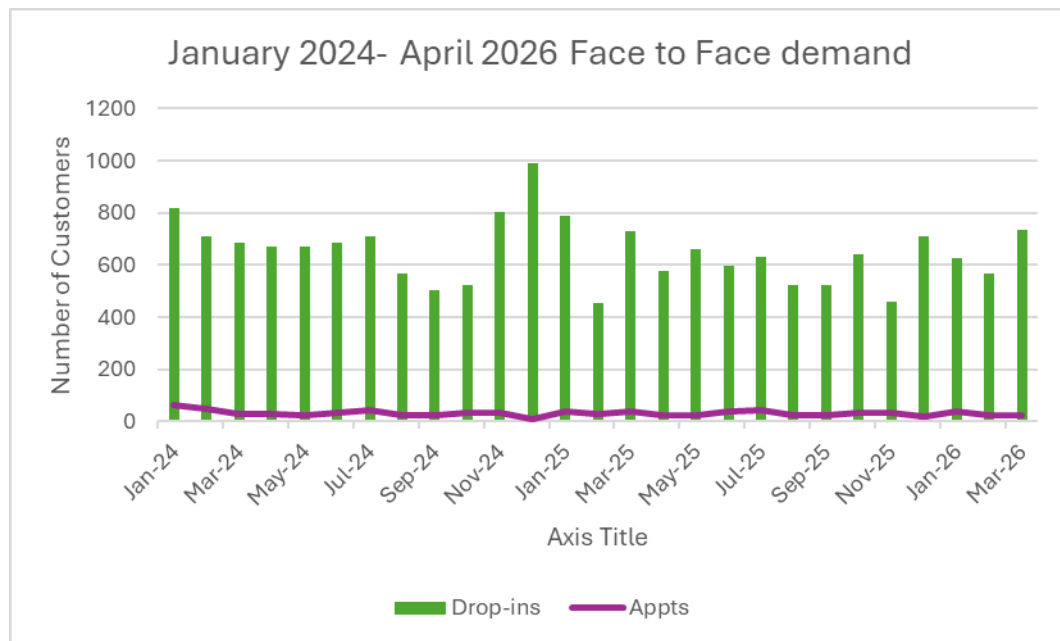


4.1 In 2025/26, call volumes (73,380) received by Customer Services were broadly unchanged from 2024/25 (72,845), suggesting that residents' preferred channels for contacting the Council may have stabilised. When comparing month-on-month demand for customer service interactions over the last two years, aside from the well-understood annual billing peaks in March and April, has remained consistent. During the year, the team resolved a higher proportion of enquiries at the first point of contact, indicating fewer repeat calls and a greater proportion of contact from unique customers. As a result, total call volumes provide a more accurate proxy for overall enquiry demand. The call abandonment rate increased in 2025/26 and, while this is outside the Council's target range, it is likely to reflect longer average talk times and reduced capacity arising from vacancies within the team and ongoing recruitment challenges.



4.2 Since the opening of the Customer Centre in December 2023, the Council observed an initial peak in face-to-face interactions, with a significant increase in the number of residents 'dropping in' compared to the previous year. This surge was anticipated due to the Centre's more accessible location. The number of face-to-face interactions has now stabilised in the last financial year, averaging 632 residents per month. These enquiries tend to be more in-depth and are often from residents with more complex needs.

The Customer Centre also provides an excellent opportunity to inform attendees about digital service options for future use, where applicable.

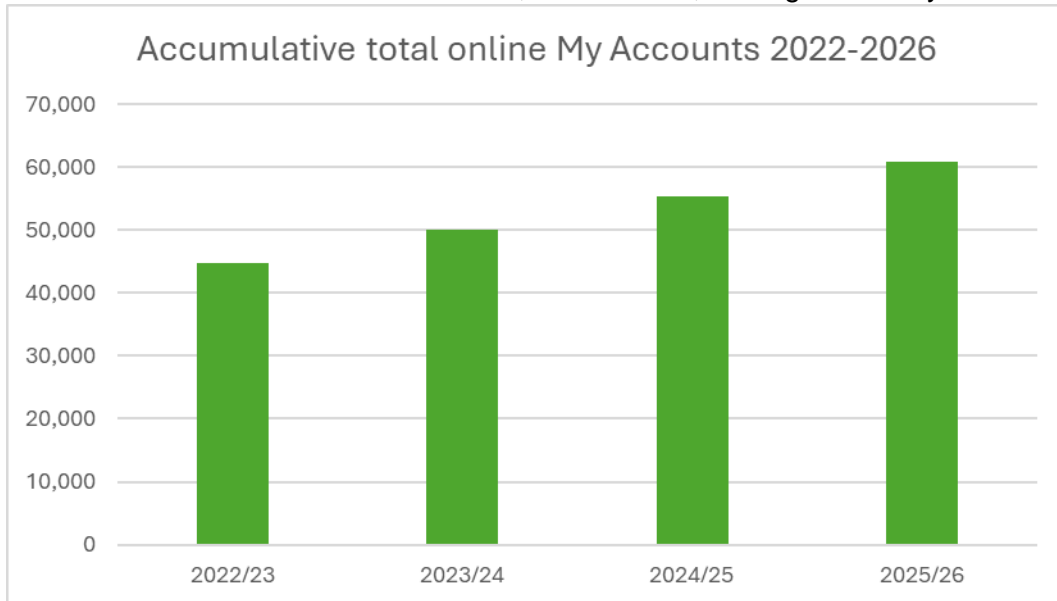


4.3 In 2025/26, average call handling times remained above previous year at six minutes 54 seconds per call (around one minute longer than in 2024/25). This is consistent with a shift towards digital self-service for routine transactions, meaning the contacts that still reach the contact centre are typically more complex, time-consuming and more likely to involve residents who require additional support. Longer handling times increase queueing and waiting times and have contributed to a higher level of call abandonment.

4.4 Over the past seven years, the Council has expanded its digital self-service offer. In 2025/26, 249 online forms were available across a range of service areas for internal use and public access, compared with 55 in 2019/20. While the initial increase was accelerated by the operational requirements arising from Covid-19, services have continued to develop and embed digital solutions to improve accessibility and enable customers to transact online where appropriate. As shown below, customer use of this channel has increased over the same period, broadly in line with the growth in forms available.

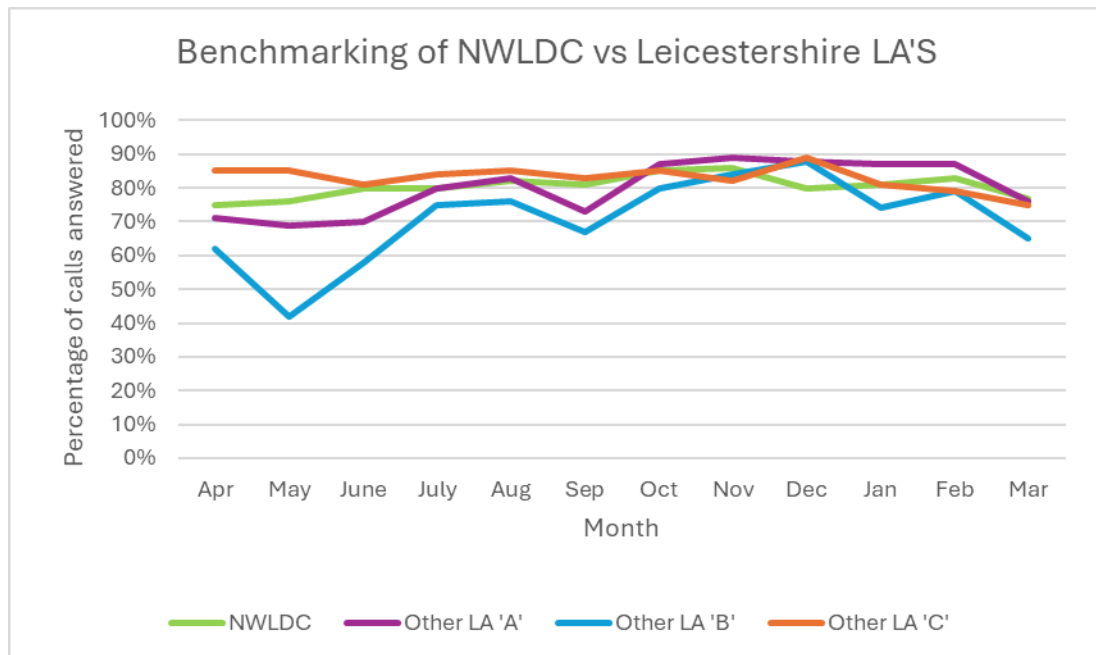


4.5 Over the past four years, the number of residents choosing to create online accounts to view their personal data, such as Council Tax and benefits, has steadily increased. As of the end of March 2026, there are 60,916 registered 'My Accounts'.



4.6 Out of the 249 live online forms, 78 of these are fully integrated end to end processes for example missed bin collection and fly tipping, over the last year it is estimated that there has been an average time saving of 37 hours per week.

4.7 Benchmarking abandonment call rates against other local authorities within Leicestershire, (see below), shows that the Council is performing relatively the same as two comparable local authorities and better than one other.

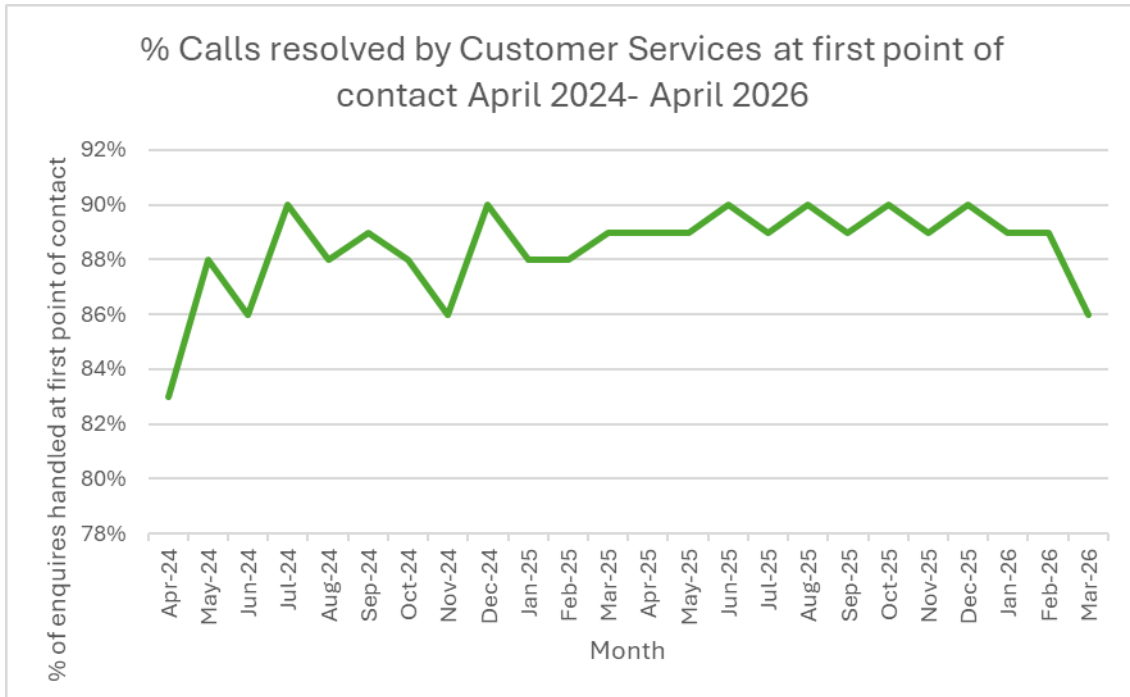


4.8 Benchmarking with comparable local authorities indicates a shift away from traditional telephony measures (for example, calls answered within 60 seconds and a 90% answering rate) towards outcome-focused measures, including 'right first time' resolution and a more holistic approach to managing enquiries. For example, where a customer contacts the Council in relation to a Council Tax reminder, the enquiry may provide an opportunity to consider whether:

- they are receiving the correct benefits and reductions;
- they have other debts or financial pressures; and
- a referral to debt advice or other support services is appropriate.

This is the approach the Council is adopting. Customer Services has been recording 'right first time' resolution for the last two years. Benchmarking also indicates that some comparable authorities apply a lower answering target during peak periods (for example, annual billing), with a target of 75% of calls answered, to support staff wellbeing and manage demand pressures.

4.9 In April 2024, Customer Services introduced a process to record whether enquiries were resolved at first point of contact or required referral to a back-office service for completion. These figures are recorded by Customer Services officers as part of their call-handling processes and reflect the outcome assigned at the time of contact. The Council set a monthly target of 85%, informed by benchmarking with other Leicestershire local authorities. Over the past year, performance has consistently exceeded this target, achieving an average first point of contact resolution rate of 88% per month.



5.0 CUSTOMER SATISFACTION

5.1 Customer satisfaction is a critical aspect of the Council's operations, as it directly impacts the effectiveness and efficiency of service delivery. By capturing customer satisfaction, the Council can gain valuable insights from residents' feedback, which helps identify areas of success and opportunities for improvement. High levels of satisfaction foster trust and confidence in the Council, enhancing its reputation and encouraging community engagement. Below are the overall customer satisfaction results for the last year, out of the 3504 customers who completed the telephone survey.



5.2 Independent mystery shopping surveys were carried out on a monthly basis throughout 2025/26 to provide objective insight into the quality and consistency of

customer interactions. The overall satisfaction score achieved was 86%, reflecting a strong standard of service delivery. Particular strengths were identified in active listening skills and the ability to ask appropriate and relevant questions, both of which achieved an excellent score of 97%. In addition, staff demonstrated consistently high levels of customer-focused soft skills, with enthusiasm, empathy, positivity, helpfulness, friendliness and professionalism collectively scoring 93%. These results indicate a well-embedded customer service culture and provide assurance that residents are being supported in a respectful, attentive and professional manner.

6.0 AVOIDABLE CONTACT

6.1 Avoidable Contact in the context of customer service and the Council operations, refers to interactions between customers (or residents) and the Council that could have been prevented through better information, processes, systems and officer behaviour. These contacts often arise due to issues such as unclear communication, process inefficiencies, or lack of accessible information.

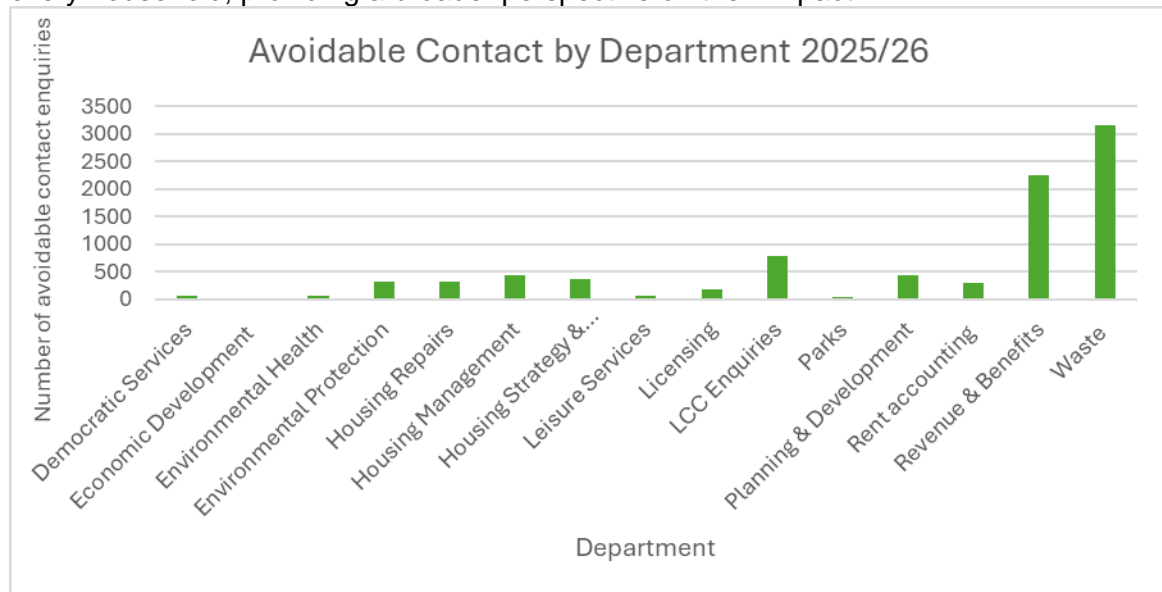
6.2 The data analysed spans from 1 April 2024 to 31 March 2026, covering the first full two years of recording avoidable contact. Contacts are categorised based on their resolution status as documented by the Customer Service team. It is important to note that this data focuses solely on avoidable contact received into the Customer Service team and does not account for avoidable contact occurring elsewhere within the Council.

6.3 The graph below shows the percentage of avoidable contact received by the Customer Service contact centre each month between April 2024 and March 2026. Over the course of 2025/26, the average avoidable contact is 15% of all contact, which translates to approximately 736 calls per month at an average of six minutes 54 seconds per call. This baseline provides the Council with a foundation to understand and work towards reducing avoidable contact.



6.4 The graph below illustrates the number of avoidable contacts across various Council services between April 2025 and March 2026. Notably, Revenues and Benefits and Waste services have the highest number of avoidable contacts, with 2,252

and 3,166 contacts respectively. This is expected, as these two services directly reach every household, providing a broader perspective on their impact.



6.5 As part of a transformation project aimed at improving customer contact, the Council is collaborating with various services to reduce avoidable contact. This has so far involved reviewing the corporate customer contact standards, conducting root cause analysis to understand recurring issues, and assessing the content and quality of the Council's website. Additionally, the Council is examining the letters it sends to ensure they are written in plain English, with the ultimate goal of enhancing customer understanding.

7.0 RECENT CHALLENGES, ACHIEVEMENTS AND IMPROVEMENTS

7.1 Over the past year, Customer Services has experienced a notable increase in abusive and threatening behavior from customers, both in person and via telephone. Additionally, there has been a rise in the number of customers exhibiting mental health challenges, significantly impacting the Customer Services team.

To address these issues, the Council is implementing several strategies:

- **Enhanced No Tolerance Messaging:** The team is reinforcing its stance against abusive behavior through increased communication and signage.
- **Root Cause Analysis:** The team is investigating the underlying reasons for these behaviors to prevent future occurrences.
- **Review of Customer Contact Standards:** The team is ensuring the Council's standards are consistent and aligned across the organisation, setting clear expectations for both staff and customers.
- **Resilience training:** The Council reached out to colleagues in the NHS and GP federation to obtain training for officers around building strategies for their own mental health and wellbeing and improving their resilience.
- **Security guard:** Introduction of a security guard at the Customer Centre initially for a six-month trial period until the end of August 2026.

These pressures have had an impact on the health and wellbeing of the Customer Service team, resulting in higher levels of sickness absence and a temporary reduction in overall capacity. In addition, the team has experienced several retirements, creating vacancies within the service. While recruitment campaigns have been undertaken on multiple occasions, some successful candidates have withdrawn prior to taking up their

roles, and others have decided, following initial training, that the position was not the right fit for them. Due to the specialist nature of the service, new Customer Service Officers typically require between six and nine months of training before they are fully competent to manage all customer contact queues. Consequently, the loss of experienced, fully trained officers has had a short-term impact on performance. However, recruitment efforts continue and the service remains focused on building capacity, supporting staff wellbeing, and maintaining service resilience over the longer term.

7.2 Customer Services successfully retained their customer service accreditation, which rigorously tests areas identified as priorities for customers. These areas include delivery, timeliness, information, professionalism and staff attitude. The accreditation also emphasises developing customer insight, understanding the user experience and robustly measuring service satisfaction. To achieve this accreditation, full compliance in at least 46 out of 57 elements is required, with the opportunity to demonstrate exceptional performance at a "compliance plus" level. Customer Services achieved full compliance in all elements and excelled in six "compliance plus" areas which is an improvement by three on 2024/25.

7.3 In recognition of the importance of consistent, high-quality customer interactions, mandatory customer care training was introduced during the 2025/26 period for all Council Officers. Every officer attended a face-to-face training session delivered by an external specialist provider, incorporating scenario-based learning with professional actors. This approach was designed to reflect real customer experiences and ensure learning was impactful, practical, and directly applicable to day-to-day interactions.

7.4 In addition to the formal training programme, the Customer Services Team Manager has developed and is delivering a face-to-face workshop focused on "walking in the customer's shoes." This session is designed to raise awareness across the Council that every role within the Council contributes to the customer experience, regardless of whether officers have direct contact with residents. The workshop encourages staff to consider the cumulative impact of actions, decisions, and internal processes on customers, reinforcing shared responsibility for service standards and promoting a more joined-up, customer-centred approach across the organisation

8.0 CONCLUSION

8.1 The Customer Services team has made significant strides in enhancing the quality and efficiency of service delivery over the past year, despite facing challenges such as increased abusive behaviour and mental health issues among customers. The Team has implemented effective strategies to address these issues, including enhanced no tolerance messaging and root cause analysis.

8.2 The retention of customer service accreditation, with full compliance in all elements and excellence in several "compliance plus" areas, underscores the team's commitment to high standards. The introduction of the 'secret shopper' survey has provided valuable external feedback.

8.3 Overall, the Customer Services team demonstrates a clear and ongoing commitment to improving customer experience across the Council. Through targeted training, strong leadership, and a focus on shared responsibility, the Customer Services team is fostering a culture where customer needs are better understood and consistently considered. While challenges remain, the steps taken to invest in staff development and

promote a customer-centred approach provide a solid foundation for continued improvement, service resilience, and positive outcomes for residents.

9.0 COMMENTS FROM CORPORATE SCRUTINY COMMITTEE

9.1 This report was presented to Corporate Scrutiny Committee on the 18 June 2026. Comments from this committee can be seen in the additional paper provided by Democratic Services.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	None
Safeguarding:	None directly, but safeguarding is a consideration in some customer interactions.
Equalities/Diversity:	None
Customer Impact:	Detailed in the report.
Economic and Social Impact:	None
Environment, Climate Change and Zero Carbon:	None
Consultation/Community/Tenant Engagement:	None
Risks:	None
Officer Contact	Nichola Oliver Customer Services Team Manager nichola.oliver@nwleicestershire.gov.uk

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	CORPORATE COMPENSATION AND REMEDIES	
Presented by	Councillor Andrew Woodman Housing, Property and Customer Services Portfolio Holder PH Briefed <input type="checkbox" value="Y"/>	
Background Papers	Minutes of Cabinet 23 April 2024	Public Report: Yes
	Compensation Policy (Current Version)	Key Decision: No
Financial Implications	There are no direct financial implications arising from the review of the Policies, however, any indirect financial implications will need to be monitored during 2026/27 and considered as part of the budget setting process for 2027/28	
	Signed off by the Section 151 Officer: Yes	
Legal Implications	Legal Services has reviewed the draft Policy. There are no direct legal implications arising from the report itself. The proposed policy is intended to support compliance with Ombudsman expectations and promote consistency in decision-making. Any individual decisions made under the policy will need to be considered on their own merits, having regard to the Council's legal duties and relevant guidance.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	None directly.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	To seek Cabinet approval of an updated Compensation and Remedies Policy, which replaces the existing Housing Compensation Policy with a single corporate Policy, aligned with the Ombudsman's published best practice	
Reason for Decision	To agree amendments to the Council's compensation Policy as set out above.	
Recommendations	THAT CABINET: <ol style="list-style-type: none"> 1. APPROVES THE COMPENSATION AND REMEDIES POLICY 2. DELEGATES AUTHORITY TO THE DIRECTOR OF RESOURCES TO MAKE MINOR AMENDMENTS TO 	

	THE POLICIES AS REQUIRED TO ADDRESS CHANGES IN NATIONAL POLICY AND LOCAL PRIORITIES.
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1.0 BACKGROUND

- 1.1 The Council is required to maintain an approach to compensation and remedies that is consistent with the expectations and good practice promoted by the relevant Ombudsman. The Council currently operates an approved Housing Compensation Policy; however, as the principles apply more widely than housing services, it is proposed that this is replaced with a single, corporate Compensation and Remedies Policy to provide a consistent framework across all service areas.

2.0 PROPOSAL AND KEY CHANGES

The policy sets out the Council's approach to providing appropriate redress where there is evidence that service standards have not been met and this has resulted in some form of detriment. It brings together the Council's arrangements for apologies, practical remedies and (where appropriate) financial compensation into a single, clear framework for consistent application across all service areas.

- 2.1 The Council currently operates a Housing Compensation Policy. However, the principles of fairness, proportionality and learning from outcomes apply to more service areas than only housing services. The proposed policy replaces the existing housing-only approach with a corporate policy that can be applied consistently across the Council, while recognising that some matters (for example, personal injury and significant property damage) must be progressed through the Council's insurance arrangements.
- 2.2 The policy has been drafted to align with both the Local Government and Social Care Ombudsman and Housing Ombudsman expectations and published best practice, including clarity on when redress may be appropriate, the range of remedies available, and the evidence that may be requested to support decision making. It also strengthens transparency by setting out how decisions will be explained to complainants and how outcomes will be recorded and monitored to support service improvement.
- 2.3 The policy includes an authorisation framework for financial awards, to ensure that decisions are proportionate, consistent, and subject to appropriate managerial oversight. It also confirms the Council's approach to accessibility and equality considerations, including taking account of known vulnerabilities and providing information in alternative formats on request.
- 2.4 Subject to Cabinet approval, the policy will be published and communicated internally to ensure staff understand how to apply it in practice. A central log of decisions will be maintained to support trend analysis and organisational learning, and the policy will be reviewed on a three-year cycle (or sooner where there are relevant changes in legislation, Ombudsman guidance, or local policy).

3.0 FINANCIAL IMPLICATIONS

- 3.1 The proposals are not expected to have a net impact on budgets although service expenditure will be kept under review and any amendments required incorporated into future years' budgets.

Policies and other considerations, as appropriate	
Council Priorities:	Communities and housing A well-run council
Policy Considerations:	This Policy will replace the one currently in operation.
Safeguarding:	None
Equalities/Diversity:	Equality Impact Assessments have been undertaken. No adverse impacts were identified.
Customer Impact:	The Policy is intended to improve the customer experience and ensure certainty and consistency in terms of how customers are dealt with.
Economic and Social Impact:	None
Environment, Climate Change and Zero Carbon:	None
Consultation/Community/Tenant Engagement:	Engagement was undertaken in 2024 as part of the Cabinet report and decision to approve the current Housing Compensation Policy (included in the Background Papers to this report). That earlier engagement informed the Council's approach to how redress is offered where service standards fall below what residents and tenants are entitled to expect. The updated Corporate Compensation and Remedies Policy does not change the fundamental principles agreed in 2024. It primarily consolidates and clarifies the existing approach and extends it to apply consistently across all Council services, while continuing to align with Ombudsman guidance. On that basis, it was not considered necessary to undertake further specific consultation or engagement for this update.
Risks:	No direct risks identified.
Officer Contact	Nichola Oliver Customer Services Team Manager nichola.oliver@nwleicestershire.gov.uk

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Compensation and Remedies Policy

Key policy details

Item	Details
Reference:	Compensation and Remedies 2026
Status:	Draft
Originator:	Nichola Oliver, Customer Services Team Manager
Owner:	Director of Resources
Version No:	1
Date:	June 2026

Approvals

Item	Date of Approval	Version No.
Consulted with Corporate Leadership Team (CLT) and Legal Services	30 April 2026	1
Reviewed by Corporate Scrutiny Committee	18 June 2026	1
Approved by Cabinet	23 June 2026	

Policy Location

This policy can be found on the Council's website.

Equality Impact Assessment (EIA)

Completed by	Completion date
Customer Services Team Manager	7.5.2026

Revision history

Version Control	Revision Date	Summary of Changes
[Insert version no.]	[Insert date of revised version]	[Insert amendments made to previous version]

Policy Review Plans

This policy is subject to a scheduled review once every three years or earlier if there is a change in legislation or local policy that requires it.

Distribution

Title	Date of Issue	Version No.
[Insert e.g. distributed to Cabinet, on Website etc].		

1. Purpose of this Policy

The purpose of this policy is to clearly set out the Council's approach to providing redress where there is evidence that service standards have not been met. The Council recognises that, in some circumstances, its actions, omissions or delays may have contributed to inconvenience, distress, financial loss or other forms of detriment. Where this is identified, the Council will seek to put matters right in a fair, timely and proportionate manner. This may include:

- Rectifying the issue or service failure as a priority
- Issuing an appropriate and meaningful apology
- Implementing measures to prevent recurrence
- Providing financial compensation where appropriate

The Council's aim is to seek, where reasonably practicable, to put matters right in a fair and proportionate way, taking account of the circumstances of each case.

2. Scope of the Policy and Who It Covers

This policy applies to all Council services and to individuals who interact with those services. This includes, but is not limited to:

- Housing Tenants and leaseholders
- Housing applicants
- Residents and service users
- Individuals affected by actions of contractors or third parties operating on behalf of the Council.

Legal Basis:

- All services: the Council may pay compensation where maladministration has, or may have, caused injustice (Local Government Act 2000, section 92).
- All services: Decisions are guided by good practice principles set out by the Local Government and Social Care Ombudsman (LGSCO)
- Housing services: Decisions are guided by the statutory frameworks and good practice principles set out by the Housing Ombudsman.

Exclusions:

This policy does not cover:

- Commercial contract disputes including commercial tenancies
- Internal Human Resources (HR) grievances or employment matters
- Council owned vehicle related incidents or damage, which follow separate processes
- Any other type of complaint not covered by the Council's Complaints Policy

3. Principles

The Council's approach to compensation and remedies is founded on the following principles:

- Fair and proportionate: The Council will look at each case on its facts and make a reasoned decision that fits the impact.
- Put things right: The Council will consider practical fixes first, and compensation where needed.
- Learn and improve: The Council will record cases, spot patterns and improve services to prevent repeat issues.
- Resident-focused and case-by-case: The Council will avoid "one-size-fits-all" amounts; the calculation will be explained and tailored to circumstances.
- Accessible and inclusive: known vulnerabilities are considered and information is provided in accessible formats on request.

4. When the Council Will Consider Redress

The Council will consider providing redress where there has been:

- Service failure or where there is evidence that service standards have not been met and this has resulted in some level of detriment (financial loss, distress, or inconvenience).
- Repairs/amenities issues (Housing): failure to meet repair obligations or reasonable timescales; prolonged loss of essential services (heating, hot water, power); repeated missed appointments.
- Poor complaint handling causing additional impact or delay.
- Damage or loss to belongings where the Council's liability is not in dispute; very large claims may be handled by insurers.

The Council will also consider non- financial remedies such as doing further works, redecoration, or service improvements, either instead of or alongside any payment.

5. When Compensation May Not Be Appropriate

Compensation is unlikely to be appropriate when:

- The matter relates to personal injury (these must be processed via the Council's insurance)
- The issue arose from factors beyond the Council's control, such as severe weather or actions of utility providers
- The resident refused access or failed to take reasonable steps to mitigate loss
- There has been accidental damage. Where the Council has done nothing wrong and the repairs required are not able to have been predicted and are not due to an act or omissions by the Council, e.g. burst pipes.

- The works relate to any alteration to a property or its services carried out by the tenant without written permission or to an adequate standard which were, therefore, unforeseeable.
- There has been loss or damage caused by tenants, visitors or adjacent occupiers
- There has been a loss of water, where a tenant is on a water meter and has not taken adequate steps to mitigate the loss.
- Compensation would duplicate an award or recovery already received elsewhere.

6. Distinction Between Compensation and Insurance Claims

Internal Compensation Claims:

Used for redress related to:

- Service failure
- Distress, inconvenience, time and trouble
- Minor, evidenced expenses

These payments do not constitute an admission of legal liability and are made in line with the Council's discretionary powers.

Insurance and or Legal Claims:

Required where:

- Personal injury has occurred
- Significant property damage exists
- There is potential evidence of negligence

Such cases are referred promptly to the Council's Finance (Insurance) team.

7. Evidence and what is asked of residents

Reasonable evidence of loss should be provided where appropriate (for example, receipts, bank statements, photos, expert reports). If evidence cannot be provided, the Council will assess on the balance of probabilities. Residents are expected to allow reasonable access for inspections/repairs and to mitigate their loss. Personal injury and some damage claims may be handled by insurers.

Evidence Requirements

To ensure robust decision making, the following evidence may be required:

For Compensation:

- Chronology of events
- Evidence of service failure

- Impact assessment
- Receipts or proof of unavoidable expenditure
- Information relating to vulnerability or personal circumstances

For Insurance Claims:

- Incident details
- Photographs
- Witness statements
- Asset and maintenance records

The Council will assess each case on the available information and exercise reasonable judgement in determining what evidence is sufficient.

8. Types of Remedies and compensation

Remedies may include, but are not limited to:

8.1 Practical Actions and Apologies

The Council will put problems right as quickly as possible, apologise, and improve its processes if needed.

8.2 Mandatory/Statutory Payments

Including:

- Home Loss and Disturbance payments: Where the Council wishes to undertake major repairs to a Council property, and the tenant is required to move out temporarily while the work takes place, a disturbance payment may be made. These do not form part of the compensation policy and are covered elsewhere.
- Right to Repair (secure/flexible/introductory tenants): If a qualifying repair is not completed within the required legal timescales and a second appointed contractor also fails to attend or complete the work, the tenant may be eligible for a compensation payment in line with the Right to Repair scheme. Qualifying repairs include, but are not limited to, total loss of power or water, unsafe electrical sockets, leaking roofs, blocked drains, and failures to heating or hot water systems. The applicable timescales for completion depend on the nature of the repair and may range from one to several working days
- Tenant Home Improvement: Tenants may make alterations to their home providing that written permission has been given by the Council's Housing Service prior to works taking place. It is the tenant's responsibility to obtain any other necessary consents (i.e. planning permission), and to ensure that the work is completed to a high standard and in accordance with all necessary regulations (e.g. Building Control, Gas Safe, FENSA etc). The Council reserves the right to refuse the works prior to being undertaken, and to inspect the works during, and afterwards.

When a tenant leaves their home, under "The Secure Tenants of Local Authorities (Compensation for Improvements) Regulations 1994", compensation for improvements they have made can be paid, upon request. The value of the compensation is determined through an assessment process laid down in the regulations.

8.3 Quantifiable Losses

Documented financial losses such as unavoidable expenses or exceptional delays leading to interest payments. The Council reimburses evidenced, reasonable, unavoidable costs that have been incurred because of Council failings (for example, alternative heating costs, temporary accommodation, reasonable redecoration if “make good” was not adequate).

8.4 Unquantifiable Losses

Payments based on professional judgement where exact evidence is unavailable. If loss is likely but the tenant cannot evidence every detail (for example, damaged items without receipts), the Council may make a reasonable estimate on the balance of probabilities. Any such assessment will be reasonable, evidence-informed and proportionate to the circumstances.

8.5 Distress, Inconvenience, Time and Trouble

The Council recognises avoidable impact and effort caused by delays, poor communication, or complaint-handling failures. The Council uses banded ranges (minor → severe), informed by Ombudsman practice, and tailored to individual circumstances,

8.6 Loss of use of rooms or home (Housing)

Where the Council’s maladministration has materially restricted a resident’s ability to use a room or the home for its intended purpose, the Council may consider an award to reflect the loss of use for the relevant period.

The relevant period will usually run from the date the issue was first reported, allowing for a reasonable period to complete the repair or resolve the matter, until the works are completed or the situation is otherwise determined.

In assessing any award, the Council will take account of:

- the nature, function, and importance of the room or facilities affected.
- the extent and duration of the restriction on use.
- the overall impact on the household, including any mitigating measures available; and
- the individual circumstances of the resident.

Any award for loss of use will be fair, reasonable, and proportionate to the circumstances of the case, and will not exceed the equivalent of the full rent for the affected period. Where appropriate, a separate award may also be made to recognise distress and inconvenience arising from the Council’s failure.

8.7 Specific compensation for non-provision of key services (Housing)

Where the Council’s maladministration leads to loss of heating, hot water, or power, or missed appointments, the Council will apply the Housing Ombudsman’s approach to “specific compensation orders.”

9. Complaint Handling Failures

Compensation may be awarded when the Council’s complaints process has not been delivered to an acceptable standard, including:

- Minor delays
- Repeated or avoidable delays

- Significant delay
- Serious procedural failure

Assessments will have regard to Ombudsman guidance and the circumstances of each case.

10. Vulnerability and Equality Considerations

Where the Council is aware of a resident's vulnerability or additional needs, this may be reflected in the level of compensation offered.

All decision making will comply with the Council's equality duties.

11. Disrepair Claims (Prelitigation)

Where a disrepair claim has been initiated but is not yet subject to legal proceedings, the Council will continue its complaint investigation. Compensation assessments must still be undertaken and outcomes shared with Legal Services.

12. Ombudsman Decisions

Where the Housing Ombudsman or Local Government and Social Care Ombudsman issues a compensation or remedy order, the Council will seek to comply with Ombudsman determinations within the required timescales.

13. Decision Making, Authorisation and Payments

Decision quality: Every decision will set out what went wrong, the evidence used, the impact on the resident, options the Council considered, how the Council calculated any compensation, and what the Council learned.

Up to £200	Team Leader
£201–£500	Team Manager
£501–£1,000	Head of Service
£1,001+	Strategic Director

Offsetting and payment: Where lawful and appropriate, the Council may offset awards against verified Council debts or any other compensation payments outside of this Policy such as disrepair unless exceptional circumstances apply. The Council usually pay by BACS within 14 days of acceptance.

No request needed: If the Council identifies a failure and resulting detriment, the Council may offer compensation proactively, so that the resident does not have to ask first.

14. Complaints, appeals and decants

Complaints: These can be made by following the Council's complaints process. For Housing complaints, the Council follows the Housing Ombudsman's Complaint Handling Code and

remedies approach; for all other Council services, the Local Government and Social Care Ombudsman (LGSCO) is the final stage if a complainant remains dissatisfied after the Council's process is exhausted.

Decants and disturbance: If a tenant must move temporarily or permanently for major works or regeneration, the Council will follow its Decant Policy and Home Loss/Disturbance rules under national legislation.

15. Record Keeping, Monitoring and Learning

The Council will maintain a centralised log of compensation decisions, undertake regular trend analysis and monitor compliance to drive service improvements.

16 Publication and Review

This policy will be published on the Council's website and made available in accessible formats on request.

It will be reviewed every three years or sooner if required due to changes in legislation or Ombudsman guidance.

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026

Title of Report	ANNUAL CORPORATE COMPLAINTS 2025/26	
Presented by	Councillor Andrew Woodman Housing, Property and Customer Services Portfolio Holder PH Briefed <input type="checkbox" value="Y"/>	
Background Papers	<u>Microsoft Word - Corporate Complaints and Feedback Policy 2025 V5</u>	Public Report: Yes
		Key Decision: No
Financial Implications	There are no financial implications in respect of this report.	
	Signed off by the Deputy Section 151 Officer: Yes	
Legal Implications	There are no legal implications arising from this report.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	There are no direct staffing or corporate implications arising from this report.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	<p>This is the Council's annual complaints report for the period 1 April 2025 to 31 March 2026. It includes information in respect of complaints across all directorates. It also provides information for decisions issued by the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman (HO) in the same period.</p> <p>The report contributes to the Council's aspirations in the Corporate Delivery Plan of being customer focused by acknowledging that complaints and formal enquiries provide a regular and rich source of feedback from residents that inform the Council when things have gone wrong. Learning from this provides the opportunity to improve services to support residents.</p>	
Reason for Decision	The Housing Ombudsman's Complaints Code requires the Council to report on complaints annually to the governing body.	

Recommendations	<p>THAT CABINET:</p> <ol style="list-style-type: none"> 1. NOTES THE COMMENTS MADE BY CORPORATE SCRUTINY COMMITTEE ON 18 JUNE 2026 2. NOTES THE DETAILS OF THE ANNUAL REPORT 2025/26. 3. REVIEWS THE SELF-ASSESSMENT AT APPENDIX 1 AND CONFIRMS IT IS IN AGREEMENT THAT THE COUNCIL IS COMPLIANT.
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1.0 BACKGROUND

- 1.1 Each year, the Council is required to prepare an annual summary of complaints dealt with under the corporate Complaints Policy (the year runs from 1 April 2025 to 31 March 2026).
- 1.2 A complaint is defined within the Council as: *‘an expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by the organisation, its own staff, or those acting on its behalf affecting an individual/resident or a group of individuals/residents’*.
- 1.3 The Council provides a wide range of services to its residents and receives relatively few complaints; the Council seeks to learn from them and look for patterns of service failure. The Council continues to use the feedback it receives from its complaints to generate ideas for service improvements both in the short and long term.
- 1.4 The Council works hard to view the complaints it receives as a positive opportunity, whilst remaining focused on trying to resolve them to the satisfaction of residents as quickly as it can.
- 1.5 This is a report on all Council services’ formal enquiries which are:
 - Complaints
 - Member Enquiries
 - MP Enquiries
- 1.6 Many service requests and enquiries are resolved informally by officers and managers as part of day-to-day service delivery, without recourse to the Council’s formal complaints process. Staff are expected to address concerns promptly and, where appropriate, take corrective action at the earliest opportunity. While such informal contacts are not always formally recorded, services are encouraged to capture them in a proportionate way to support ongoing service improvement. Early, informal resolution reflects recognised good practice.
- 1.7 Where a request for service has been sent via the complaints process but is not deemed as a corporate complaint these are logged as a ‘Request for service’ and are recorded and reported on quarterly basis.

- 1.8 The Council’s complaints procedure is designed to address those issues that necessitate a formal reply and, as such, could not be resolved during the earlier stages of the process. The Complaints Policy and procedure can be found linked in the background papers at the top of this report.
- 1.9 To strengthen oversight and governance, stage 1 complaints responses are signed off by the relevant Strategic Director. Stage 2 complaints are signed off by the Chief Executive, providing additional assurance that the concerns raised have been fully considered and that appropriate action has been taken before a complainant seeks independent review by the relevant Ombudsman.
- 1.10 This report focuses not only on volumes and timeliness of responses but also aims, when it is possible, to identify themes and lessons learnt that result in service improvements.
- 1.11 The Council has a commitment to learning and improvement. Complaints and other formal enquiries are important information, providing an opportunity to understand where and why things sometimes go wrong and provide a basis for the Council to make positive changes, informed by data and the resident voice.

2.0 COMPLAINTS’ OVERVIEW

2.1 Number of Complaints and Enquiries - all stages

Level	2024/2025	2025/2026
Stage 1	346	325
Stage 2	107	94
Housing Ombudsman and Local Government and Social Care Ombudsman (that have reached formal investigation stage)	23	17
MP enquiries	175	263
Member enquiries	705	531
Compliments	273	253

- 2.2 There was a total of 325 stage 1 complaints, which is a 6% (19) decrease on the previous year. There was also a decrease of 14% (13) compared to the previous year in respect of stage 2 complaints with a total of 94.
- 2.3 The Council provides a wide variety of services for over 104,700 residents. In this context, 419 complaints (stage 1 and 2 combined) are only a fraction of the number of customer interactions occurring each year. For example, the Council’s Customer Service team received 99,781 customer interactions alone in 2025/26.
- 2.4 The number of compliments recorded by the Council reduced from 273 in 2024/25 to 253 in 2025/26 (a decrease of 20, or 8%). Work is ongoing across services to improve the consistent capture and sharing of positive resident feedback. In addition, the Customer Services Team Manager publishes quarterly staff blogs highlighting compliments to help promote and embed a positive customer-focused culture.

2.5 The number of stage 1 complaints received can be broken down by service as follows:

Service	Number of Complaints	As a % overall
Customer Services	8	2.46%
Environmental Health	4	1.23%
Environmental Protection	4	1.23%
Finance	1	0.31%
Housing Assets	20	6.15%
Housing Repairs	132	40.61%
Housing Management	31	9.54%
Housing Choices	8	2.46%
Leisure Services	2	0.63%
Licensing	4	1.23%
Parks	3	0.92%
Planning and Development	14	4.31%
Planning Policy	4	1.23%
Property Services	1	0.31%
Revenues and Benefits	30	9.23%
Community Safety	3	0.92%
Waste Services	56	17.23%

2.6 The number of complaints for each service does not necessarily provide a direct correlation with the standard of customer service provided, and these overall results cannot be treated in isolation. Each of these service results are heavily influenced by the type of business transacted by that service, for example, the number of customer facing transactions carried out, the public profile of the actions carried out by that service, and whether the customer has alternative formal routes for redress or appeal.

2.7 Housing Repairs received the highest number of complaints, with a 132 (40% of the overall stage 1 complaints) however this is an 18% (24) decrease compared to 2024/25 (156).

2.8 Considering the volume of interactions Housing Repairs has with residents, for example, 27,519 contacts in 2025/26, the number of complaints received is relatively low. The complaints represent approximately 0.48% of the total transactions completed.

2.9 Waste Services received the second-highest number of complaints. However, these complaints are minimal when considering the number of interactions with residents. In 2025/26, Waste Services provided waste and recycling collections to around 50,000 properties within the district each week, totaling approximately 3,720,960 collections a year. The number of complaints received as a proportion of total collections is

just 0.001%.

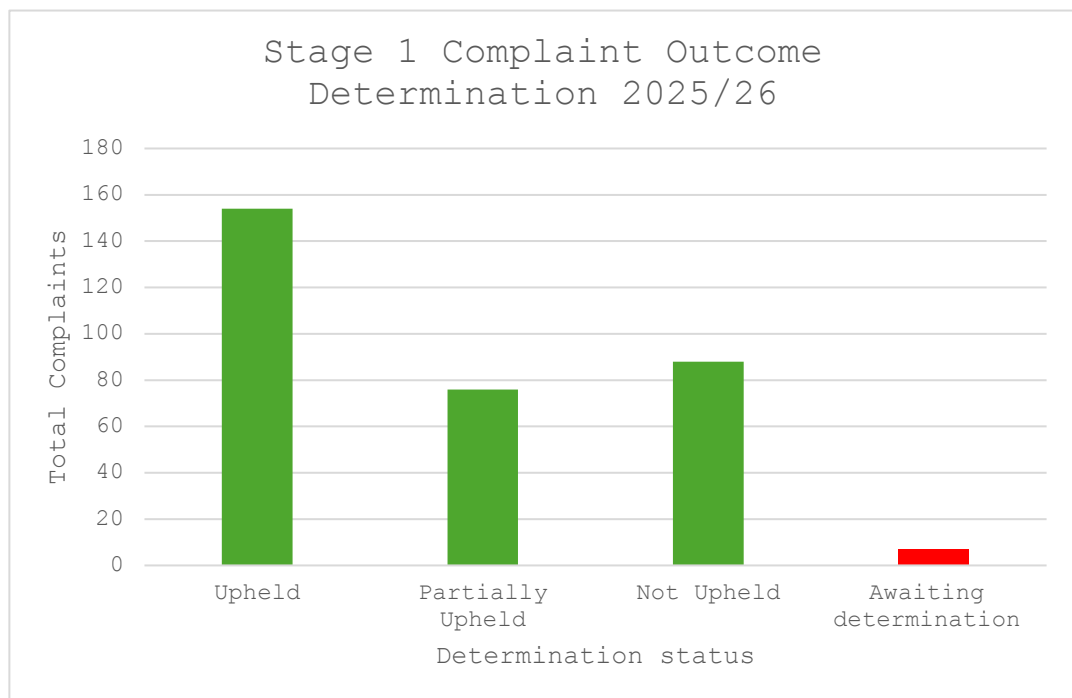
3.0 COMPLAINT OUTCOMES

3.1 Complaint outcomes are determined with one of the following statuses:

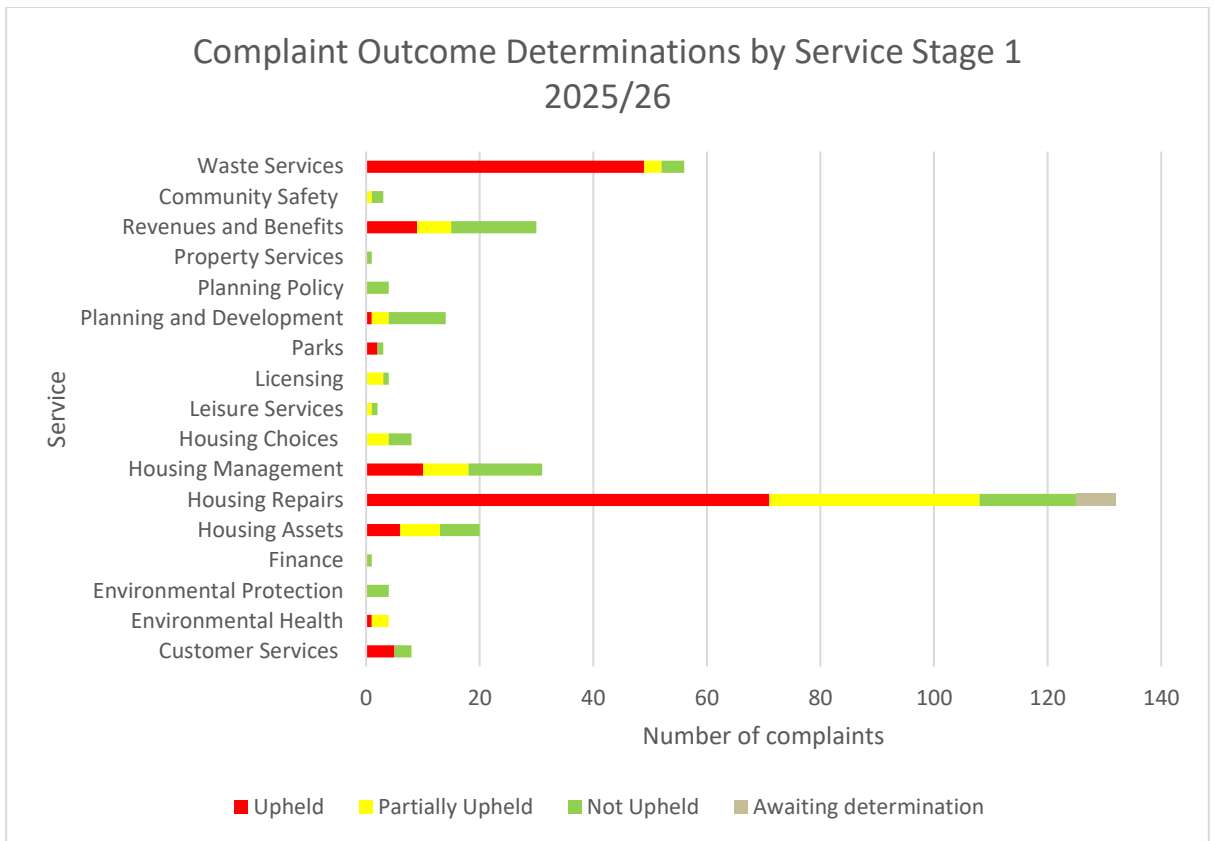
- Upheld- following investigation the Council has found in favour of the complainant.
- Not upheld- following investigation the Council has not found in favour of the complainant.

3.2 Sometimes complaints have more than one issue to be investigated. On occasion, these can have a mixture of the two above determinations and have a status partially upheld.

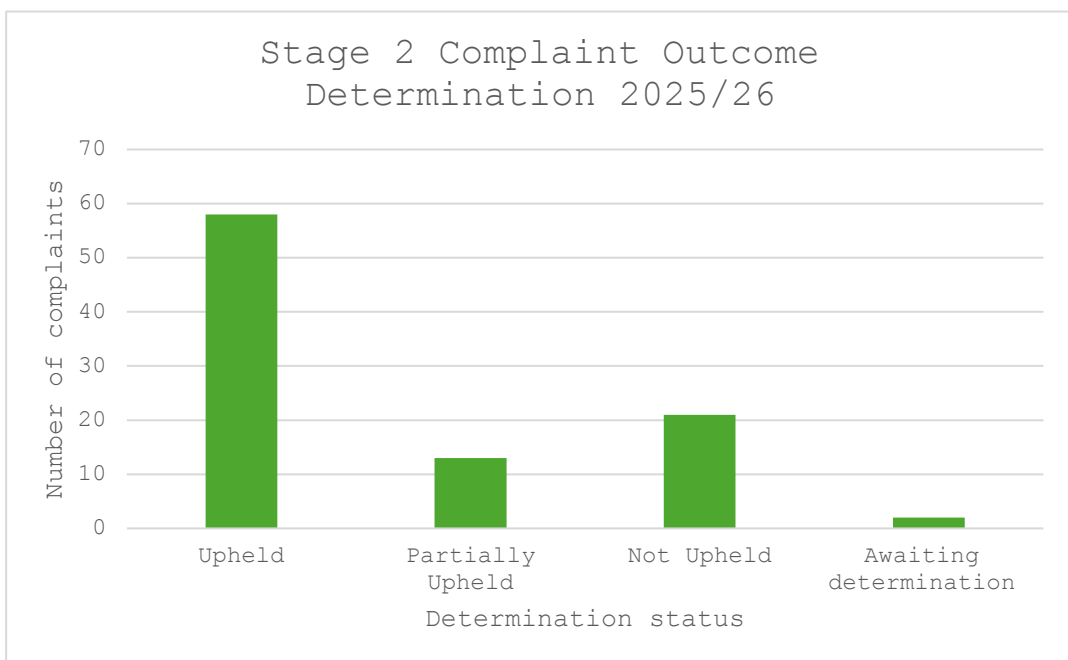
3.3 Stage 1 complaint outcome determination across the Council can be seen in the graph below. A total of 47% (154) of complaints were fully upheld when investigated at stage 1 of the complaints' process.



3.4 The graph below shows stage 1 determinations by service. Housing Repairs recorded the highest number of upheld complaints, with 71 upheld and 37 partially upheld. Waste Services recorded the highest upheld rate, with 87% (49) of its complaints upheld.

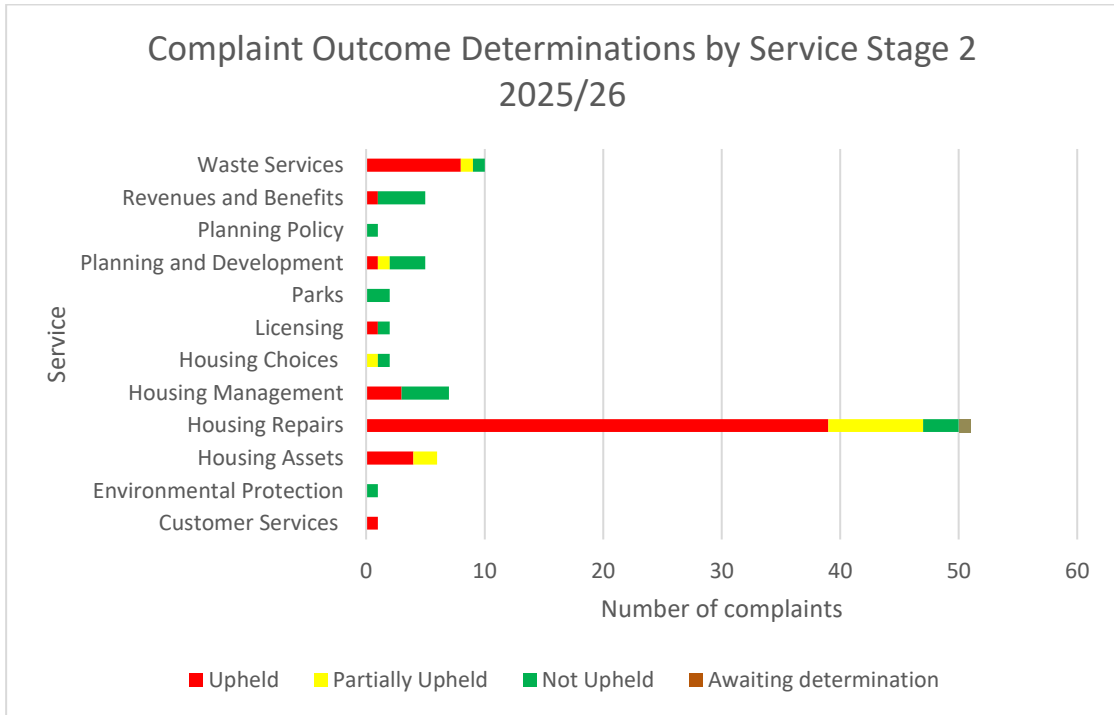


3.5 Stage 2 complaint outcome determination across the Council can be shown in the graph below. A total of 62% (58) of complaints were fully upheld when investigated at stage 2 of the complaints process.



3.6 The graph below illustrates the stage 2 determinations by service. Housing repairs has the highest upheld rate, with 39 complaints upheld and eight

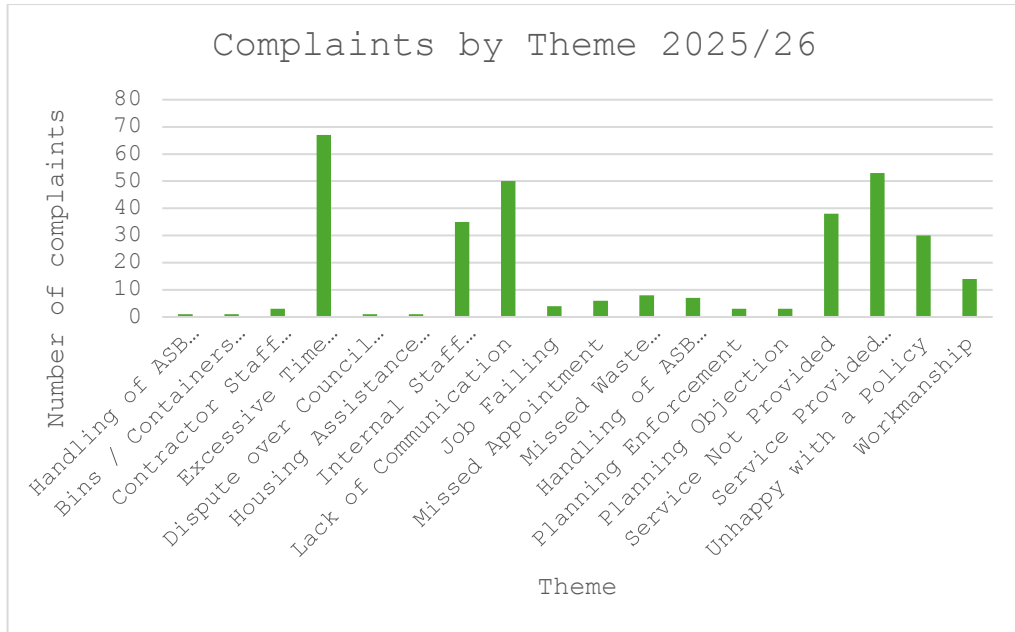
partially upheld out of complaints for the service. Given the volume of complaints within the housing service, quarterly reports are prepared for the Strategic Director of Communities, Head of Housing and the Housing improvement board. These reports provide an overview of the complaints, including themes and outcomes.



4.0 COMPLAINT THEMES

4.1 As part of the process of monitoring and handling customer feedback, the Complaints Team is responsible for categorising complaints based on the subject matter. The following diagram outlines the categories of complaints received in 2025/26.

4.2 Stage 1 – Themes of Complaint – 2025/26 Whole Council



4.3 67 (21%) of all complaints were categorised as excessive time taken to carry out a service. Complaints within this category have decreased from 92 in 2024/25 (a decrease of 27%).

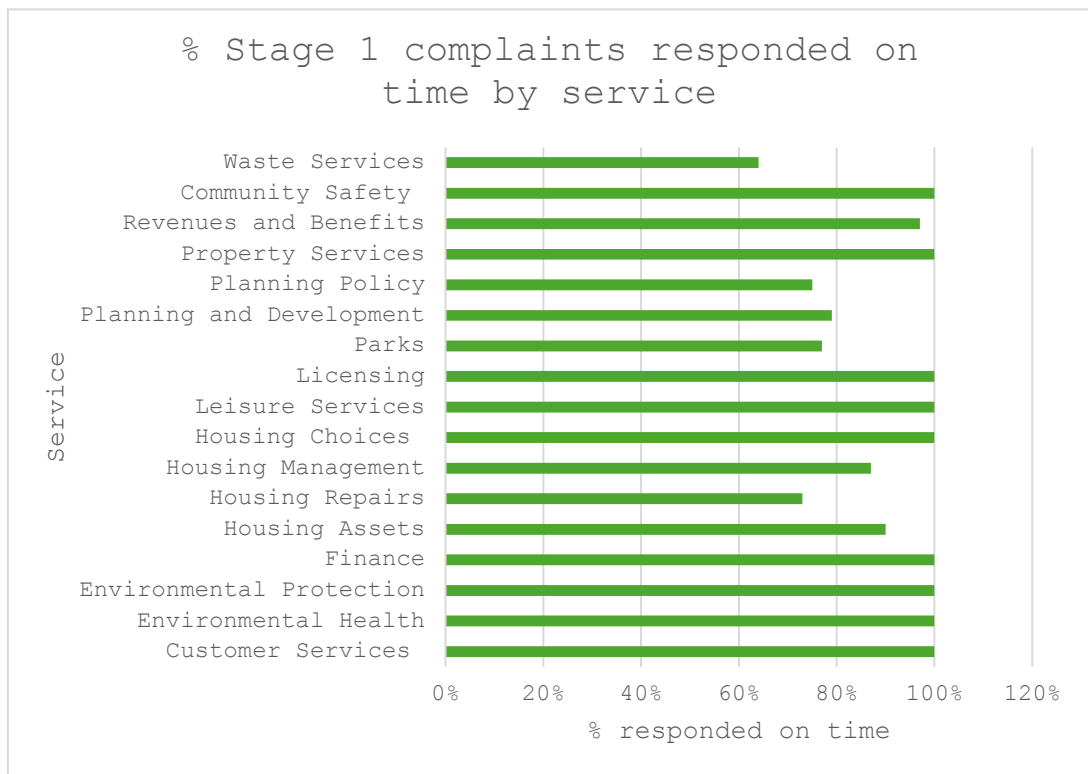
4.4 “Service provided incorrectly” was the second most frequently recorded complaint theme, accounting for 53 complaints (16%). This category captures cases where residents consider that the Council has not delivered a service in the expected manner, resulting in a failure to meet agreed service standards and customer expectations.

4.5 The three most prevalent complaint themes in 2025/26 were “Excessive time taken”, “Service provided incorrectly” and “Service not provided”. These themes were recorded across a range of Council services. Housing Repairs accounted for the highest volumes within these categories (50, 23 and eight respectively), with Waste Services also featuring prominently (five, one and 22 respectively).

5.0 COMPLAINTS PERFORMANCE

5.1 The Council’s service standard is to provide a full response to a complaint within ten working days of receipt. Where this is not achievable (for example due to the complexity of the issues raised, the number of parties involved, or where further information is required), a holding response is issued to the complainant. In 2025/26, the Council met this standard for 79% of stage 1 complaints (257 cases), representing a 9% improvement on the previous year. While performance remains below the Council Delivery Plan target and the Housing Ombudsman expectation of 100%, the direction of travel is positive.

5.2 When a complaint is escalated to stage 2, the investigating head of service has ten working days to respond. This standard was met in 68% of escalated complaints (64 complaints) which is consistent with performance in 2024/25.



5.3 All services endeavour to focus on providing a high-quality response that resolves all the issues raised and finds a suitable outcome in a timely way, whilst keeping the complainant informed and up to date with progress. Responding to complaints within the timeframe is a key performance indicator within the Council Delivery Plan and something that is being highlighted as an area for improvement in 2026/27 particularly for Housing, Community Services and Planning/Development who failed to hit the targets set for 2025/26.

6.0 FINANCIAL REMEDIES

6.1 In awarding compensation, the Council must consider for 2025/26:

- The Housing Compensation Policy sets out the circumstances in which compensation may be awarded, and the basis on which payments are calculated, for Council tenants. The policy has recently been reviewed and updated to align with the latest Ombudsman guidance and has been developed into a corporate Compensation and Remedies Policy. The revised policy will be presented to Cabinet on 23 June 2026 for approval.
- Corporate compensation payments are in accordance with the Councils Financial Procedure Rules provided that the Monitoring Officer, in consultation with the relevant Strategic Director has advised on the appropriateness of compensation as per the constitution.
- Whether any statutory payments are due

- If any quantifiable losses have been incurred
- The time and trouble a customer has experienced
- Any distress and inconvenience caused
- The remedies guidance issued by the relevant Ombudsman

6.2 Suggested ranges of compensation are set out by the Ombudsman and the Housing Ombudsman also gives additional guidance in determining the adverse effect and impact on customers in particular circumstances.

6.3 Neither this guidance nor the suggested ranges are intended to be prescriptive, and discretion is required on a case-by-case basis to decide what is fair and reasonable in the circumstances of each situation.

6.4 For the annual year 2025/26, the Council has paid in total £35,857.20 as a financial remedy to complaints including compensation ordered by the Ombudsman compared to £27,372.26 for the year 2024/25.

7.0 EXTERNAL BODIES

- Local Government and Social Care Ombudsman (LGSCO)

- Housing Ombudsman (HOS)

7.1 If complainants are not satisfied with the outcome of their complaint as investigated through the Council's complaints' procedures, they can escalate their complaint to the Ombudsman. This section of the report provides information on cases that the Ombudsman has made decisions on in the 2025/26 period.

7.2 The Housing Ombudsman (HOS) manages enquiries and complaints that are related to services provided by the Council as a social landlord e.g., repairs to properties.

7.3 The Local Government and Social Care Ombudsman (LGSCO) handles enquiries and complaints that are related to all other Council services. This includes non- landlord housing issues such as housing allocation, homelessness and temporary accommodation which is categorised in LGSCO reports as "Housing".

7.4 The HOS and LGSCO produce annual review reports and the data, feedback and recommendations and remedies made in these are reviewed by the feedback team who ensure the relevant service areas act on them in a timely manner.

Local Government and Social Care Ombudsman

7.5 In February 2024, the LGSCO introduced a complaint code as "advice and guidance" for all local councils in England under section 23(12A) of the Local Government Act 1974. This means that councils should consider the Code when developing complaint handling policies and procedures and when responding to a complaint. The complaint code can be found at: [LGSCO Complaint code](#)

7.6 The LGSCO produces an annual report on the complaints they have received and the outcomes of each case, the annual complaint overview

report can be found at [North West Leicestershire District Council - Local Government and Social Care Ombudsman](#)

- 7.7 In 2025/26, 16 complaints were referred to the Local Government and Social Care Ombudsman (LGSCO). Of these, seven were determined to be outside the Ombudsman's jurisdiction, and a further six were assessed and closed without investigation. The remaining three complaints were investigated. Of those, two were upheld, with the Council found to be at fault, and one was not upheld, with no fault found on the part of the Council.
- 7.8 The determinations of the Council being found at fault as follows:
- One fault causing injustice
 - One service failure for handling of the complaint

Housing Ombudsman

- 7.9 The Housing Ombudsman Service (HOS) is set up by law to look at complaints about the housing organisations that are registered with them. It resolves disputes involving the tenants and leaseholders of social landlords (housing associations and local authorities) and voluntary members (private landlords and letting agents who are committed to good service for their tenants).
- 7.10 On the 1 April 2024, the HOS published its revised Complaint Handling Code which was first introduced in June 2020. This sets out requirements for member landlords that will allow them to respond to complaints effectively and fairly.
- 7.11 The Code ensures complaint handling data is being used consistently across landlord members, promotes engagement at different levels within a landlord and sets out expectations for boards or equivalent governance, senior executives and frontline staff.
- 7.12 Compliance with the Code forms part of the membership obligations. Members are obliged to complete a self-assessment to measure the level of compliance. The Council's latest self-assessment based upon the latest code can be found in Appendix one of this report.
- 7.13 When carrying out a complaint investigation the Ombudsman will consider whether the landlord addressed the complaint in accordance with the Code. Any failure identified could result in a finding of:
- Severe maladministration
 - Maladministration
 - Service failure
 - Mediation
 - Redress
- 7.14 Following an investigation where some level of maladministration has been found the HOS could put an order and or recommendations in place to correct matters. The HOS can also make recommendations on any case that has been investigated and determined by them to help improve service delivery and promote learnings from outcomes

and ensure compliance with the Code.

7.15 The HOS carried out a review of the Council's Complaints Policy in April 2026 to assess compliance with the Complaint Handling Code. Following this review, 17 recommendations were made, primarily relating to minor wording amendments and clarification of existing practice. These recommendations have been addressed, and a revised version of the Policy was issued on 1 May 2026. The HOS confirmed, on 18 May 2026, that the Council's Policy is compliant with the code.

7.16 The HOS has not yet published its Landlord Reports for 2025/2026 so all data presented below is from the Council's systems. The Landlord Performance report is normally received in October. Appendix two of this report shows the Housing Ombudsman's Landlord performance report for 2024/25.

7.17 The HOS classifies complaints by the date of determination rather than the date of receipt. During 2025/26, eight complaints relating to the Council were determined by the HOS. Of these, six cases proceeded to formal investigation, one case was not investigated, and one complaint was withdrawn by the complainant. The Ombudsman may issue more than one determination in relation to a single complaint where multiple complaint issues have been considered. The determinations arising from the six formally investigated cases are set out below:

7.18

- Three Maladministration in handling repairs of windows, doors and ventilation issues.
- One Maladministration in handling of ASB reports
- One Maladministration in handling of report of damp and mould
- One Maladministration in handling of replacement boiler
- One Maladministration in handling of complaint
- One Maladministration in handling repairs and response to damp and mould
- Three Reasonable redress for handling of complaint

7.19 As a result of the HO determinations a number of recommendations and orders were put in place by the HO some of which were:

- The landlord should consider re-training of housing staff on handling of ASB cases.
- As a landlord the Council was ordered to apologise on four occasions.
- As a landlord the Council was ordered to complete a senior management review of two cases.

8.0 TENANT SATISFACTION SURVEY

8.1 North West Leicestershire District Council (NWLDC) commissioned NWA Social Research Ltd to undertake a Tenant Satisfaction Survey to collect the 12 Tenant Perception Measures as prescribed by the government's Regulator of Social Housing. Beginning in the reporting year April 2023 to March 2024, all Social Housing providers were

required by the Regulator to carry out such a survey annually – the current survey covers the 2025-26 reporting period and tracks the baseline 2023-24 survey and the 2024-25 survey, both of which were also conducted by NWA.

- 8.2 The survey questionnaire was designed and appropriately worded and ordered to comply with the Regulator’s guidelines, one of the Tenant Perception measures was complaint handling. The questions asked where:
- Q9a:** *Have you made a complaint to housing services at NWLDC in the last 12 months?*
- Q9b:** *(If ‘Yes’) How satisfied or dissatisfied are you with NWLDC’s approach to complaints handling?*
- 8.3 Just under a quarter (23%) of all respondents (142 people) said that they have made a complaint to the Council’s Housing Services in the last 12 months, whilst the remaining 77% of respondents have not made a complaint in the last 12 months – this represents a significantly lower proportion of respondents having complained in comparison to 2024/25 (37% ‘yes’/ 63% ‘no’) and 2023/24 (33% ‘yes’/ 67% ‘no’).
- 8.4 Just 3% (to nearest whole per cent) of those respondents that have made a complaint to the Council’s Housing Service in the last 12 months, (five out of 140 respondents), were satisfied with its ‘approach to complaints handling’, whilst the remaining 97% were dissatisfied, (no respondents were ‘neither satisfied nor dissatisfied’). Satisfaction in this regard has decreased significantly compared to 2024/25 (16% ‘satisfied’/ 72% ‘dissatisfied’) and 2023/24 (26% ‘satisfied’/ 59% ‘dissatisfied’).
- 8.5 It is important to note that the wording of the Tenant Satisfaction Measure complaint question may have been interpreted differently from its intended purpose. The question is designed to measure satisfaction with the Council’s approach to handling a complaint, rather than satisfaction with the underlying issue that gave rise to the complaint itself. Given that the reported satisfaction level is significantly lower than all other measures and represents a clear outlier, a further review has been undertaken. The comments provided by respondents who chose to explain their dissatisfaction appear, in many cases, to relate primarily to the original service issue rather than the way in which the complaint was managed. This may indicate that some respondents did not distinguish between dissatisfaction with the initial problem and dissatisfaction with the complaint handling process. In contrast, the Council’s own internal feedback, gathered independently by the Feedback Officer who is separate from service delivery, presents a more positive picture of resident satisfaction with the complaint handling process. Those residents who agreed to complete the survey with the Feedback Officer all reported that they found it easy to make a complaint and were satisfied that they had been kept informed throughout the process.

9.0 LEARNING POINTS

- 9.1 The Council treats every complaint as an opportunity to identify learning outcomes and improve service provision. Complaints are valuable not only in identifying service improvements, but in improving public perception and satisfaction with the Council as a whole. Each complaint can be an opportunity to make changes or service improvements on a small or greater scale. Analysis of the Council's complaints and the lessons recorded from those complaints shows a clear and consistent pattern in the areas where services need to improve. Across the complaints reviewed, the most common learning points relate to communication with residents, timely follow-up of outstanding issues, record keeping and case management, oversight of contractors, and the need for clearer internal processes and stronger service standards. While the complaints cover a range of council services, a significant proportion relate to housing and repairs, meaning that issues such as damp and mould, outstanding repairs, missed appointments and poor coordination of works feature strongly in the overall findings.
- 9.2 The analysis also shows that dissatisfaction is often caused not only by the initial service failure, but by the way the matter is then handled. Recorded learning points repeatedly highlight situations where residents had to chase for updates, were given inconsistent information, experienced avoidable delays, or were left unclear about what action would happen next. This demonstrates that, alongside resolving the underlying issue, there is a need for services to be more consistent, better coordinated and more resident-focused in the way they communicate and manage cases. The complaints process has therefore provided valuable insight into recurring operational weaknesses and where service improvements should be prioritised.
- 9.3 The actions taken because of these complaints for 2025/26 broadly fall into the following area:
- **Improving communication with residents**
Services have identified the need to provide clearer explanations, more regular updates and better expectation management, so that residents understand what is happening and when.
 - **Strengthening follow-up and case tracking**
Action has been taken to improve the monitoring of outstanding issues, follow-on works and unresolved cases, so that matters are progressed more promptly and are less likely to be overlooked.
 - **Improving contractor oversight and coordination**
Complaints have highlighted the need for stronger management of contractors, including clearer accountability, closer monitoring of performance and better coordination between services and external providers.
 - **Providing staff reminders, guidance and training**
Several complaints have led to reminders to staff about expected standards, alongside additional learning to improve professionalism, communication, complaint handling and consistency of response.
 - **Reviewing and strengthening internal processes**

Services have used complaint outcomes to review procedures, improve internal controls and make changes to working practices aimed at preventing similar issues from recurring.

➤ **Improving quality assurance and inspections**

In some areas, learning has also pointed to the need for better checking of completed work, earlier identification of problems and stronger assurance that issues are resolved correctly first time.

9.4 Internally, work has been undertaken to strengthen how lessons learned from complaints are identified, shared and embedded across services, with the aim of improving both organisational culture and the overall customer experience. The Customer Services Team Manager and the Feedback Team have led this activity, focusing on practical actions to ensure that insight from complaints is consistently used to drive improvement. These actions include:

- Introducing a monthly internal communication to share statistical updates, key themes and lessons learned from complaints, alongside guidance on conducting effective investigations and drafting high-quality responses.
- Delivering briefing sessions to the Extended Leadership Team to highlight emerging issues and promote examples of good practice.
- Developing and issuing targeted guidance to support service improvement, including an Investigating Complaints Guide and a Compensation and Remedies Guide.
- Providing root Cause Analysis training to managers across the Council to support more effective identification and resolution of underlying issues.
- Developing and delivering additional mandatory training by the Customer Services Team Manager to support complaint investigations, with a focus on strengthening empathy and ownership. This has been rolled out to all North West Leicestershire leaders and officers involved in handling complaints.
- Delivering customer care training to all frontline officers during 2025/26, using an external provider and actor-led scenarios to enhance engagement and learning outcomes.
- Designing and delivering a “Walking in the Customer’s Shoes” workshop by the Customer Services Team Manager to over 100 officers to date, aimed at increasing understanding of the customer journey and reinforcing a customer-focused culture across the organisation.
- Reviewing the customer contact standards to make them corporate and achievable.

9.5 Improvements for the forthcoming year of 2026/27 are:

- Focusing on the timeliness in responding to complaints to accord with the Council’s Delivery Plan targets of 100% within timeline.
- Continuing development plan on the importance of complaints across the council.
- Working with the housing improvement board to provide a greater

- understanding of the service.
- Reviewing the customer contact standards to make them corporate and achievable.
- Improving culture to one of a more customer centric one.

10.0 MEMBER AND MP ENQUIRIES

- 10.1 Member and MP Enquiry data is included in the annual formal enquiries report as it is acknowledged that there is great similarity between the types of complaints submitted and the types of Member/MP enquiries received. It is not uncommon for a resident to make a complaint and then contact their elected Member about the same issue.
- 10.2 For the period 1 April 2025 to 31 March 2026, a total of 530 Member Enquiries were received, compared with 705 in the previous year, representing a 25% decrease. However, it was identified in Quarter 3 of 2025/26 that some enquiries were not being submitted through the correct logging process. A reminder was subsequently issued to both Members and officers. An increase in enquiries recorded in Quarter 4 suggests that the Quarter 3 data may have been understated; accordingly, the overall reduction reported may not fully reflect actual enquiry volumes.
- 10.3 For the period 1 April 2025 to 31 March 2026, the total number of MP Enquiries received was 263, compared with 175 in the previous period. This is a 50% increase in the number of MP Enquiries compared with the previous year's figures.

Member and MP enquiries by service.

Service	Number of Member enquires	Number of MP enquires
Community Services	207	62
Customer Services	13	2
Economic Regeneration	2	2
Finance	1	0
Housing services	160	118
Legal and Commercial Services	15	6
Planning and Infrastructure	106	43
Revenues and Benefits	10	19
Not NWLDC function	16	11
Totals	530	263

11.0 CORPORATE OBJECTIVES AND PRIORITIES

- 11.1 The reporting of complaints is embedded in the Council's performance management process, giving further opportunity for issues to be raised throughout the year, and for wider corporate trends to be identified should they arise.
- 11.2 A robust and effective complaints process ensures the Council is able to meet its vision, working collaboratively to deliver high quality services that support all communities in the District.
- 11.3 Reviewing and learning from complaints ensures the Council is committed to delivering its values. Delivering high standards in everything the Council does which shapes behaviours and builds trust with its residents.

12.0 CONCLUSION

- 12.1 Complaints at service level remain low, particularly when compared to the overall volume of interactions the Council has had with the public in the same period, this does not negate the fact that the Council takes each complaint seriously when investigating and act upon any learning that has been identified. The Council is not complacent about the matters raised.
- 12.2 More work is required with services on the culture around complaints to ensure consistency on timeliness of responses and the importance of complaints.
- 12.3 The consistency of complaints reporting suggests that the complaints process continues to work effectively, and that the public can make a complaint with ease. Where necessary, trends are identified by the feedback team and managed by individual services. The Customer Services Team Manager and Customer Experience Team Leader will continue to work closely with Services to identify ways to effectively manage and resolve complaints.
- 12.4 NB Democratic Services will bring an additional paper to Cabinet with any comments from Corporate Scrutiny Committee held on the 18 June 2026.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	Corporate Complaints Policy
Safeguarding:	None.
Equalities/Diversity:	None
Customer Impact:	The report provides an overview in to how residents experience Council services. Over the reporting period, the feedback has highlighted both areas of strength and opportunities for improvement. Where complaints have been upheld, the Council has taken steps to address root causes, whether that is through staff training, process reviews or improved communication.
Economic and Social Impact:	None.
Environment, Climate Change and zero carbon:	None.
Consultation/Community Engagement:	None.
Risks:	<p>A recurring pattern of complaints in specific areas may indicate deeper systemic issues. If left unaddressed, these could erode public confidence and lead to reputational damage.</p> <p>Delays in responding to or resolving complaints brings a risk to the Council's commitment to customer care. Timeliness is a critical factor in maintaining trust with our residents.</p> <p>Failure to act on complaint trends or to implement learning from upheld cases could leave the Council exposed to legal or regulatory scrutiny, particularly where vulnerable individuals are affected.</p> <p>If staff training, communication or policy clarity is not addressed, it may lead to service failures. These risks can compound over time, leading to increased volumes of complaints and greater strain on resources.</p>
Officer Contact	Nichola Oliver Customer Services Team Manager nichola.oliver@nwleicestershire.gov.uk

Appendix 1: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Corporate complaints policy	Page 3
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	Corporate complaints policy	Page 3 plus Feedback officer and Customer Services are independent of any service.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Corporate complaints policy	Page 4

	recorded, monitored and reviewed regularly.			
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Corporate complaints policy	Page 4 Acknowledgement letter for a 'request for service' has time frames for monitoring of response and any escalation details to corporate complaint if required.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Corporate complaints policy	Page 4 Housing feedback has a QR code to complaints form. Customer Service satisfaction survey advises how to make a complaint if not satisfied.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Corporate complaints policy	Page 4.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. 	Yes	Corporate complaints policy	Page 4.

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Corporate complaints policy	Page 4
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Corporate complaints policy	Page 4
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Corporate complaints policy	Page 6

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Corporate complaints policy	Page 6, 10
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Corporate complaints policy	Page 6 Mandatory complaints training. Internal communications about everyone's responsibility.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes		History of encouraging and welcoming complaints. Numbers of complaints will be published in quarterly and annual complaints reports.

3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Corporate complaints policy	Page 6
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Corporate complaints policy	Page 8
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Corporate complaints policy	Page 6
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	<ul style="list-style-type: none"> • Corporate complaints policy <ul style="list-style-type: none"> • Website • Acknowledgement letter • Stage response letters 	Page 8

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes		<ul style="list-style-type: none"> • Feedback Officer administers all complaints. • Customer Experience Team leader is Ombudsman liaison. • Customer Service Team Manager CLT/ Member liaison
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	<p>Feedback officer doesn't have authority or autonomy. Clarified with HOS, Response as follows:</p> <p><i>'a complaints officer should have the authority to act to resolve disputes. However, we acknowledge that landlords will have differing internal processes for offering a complaint resolution such as delegation schemes or individual compensation limits. In these scenarios, the landlord should instead ensure the process for obtaining the necessary authorisation is swift and does not delay complaint responses being provided within the timescales set out in the Code.'</i></p>	

			Our policy accounts for director and CEO signoff of complaints within the relevant time frames.	
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	Skillsgate mandatory training	

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Corporate complaints policy	
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Corporate complaints policy	Clear that there are two stages. All officers have been instructed that they must not deal with complaints informally as part of the internal training on the new codes / policy
5.3	A process with more than two stages is not acceptable under any	Yes	Corporate complaints policy	

	circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.			
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Corporate complaints policy	Page 9
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Corporate complaints policy	Page 9
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Corporate complaints policy	Page 7
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and	Yes	Corporate complaints policy	Page 7

	clarify any areas where this is not clear.			
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> deal with complaints on their merits, act independently, and have an open mind; give the resident a fair chance to set out their position; take measures to address any actual or perceived conflict of interest; and consider all relevant information and evidence carefully. 	Yes	Corporate complaints policy	<p>Page 7 Corporate Director sign off of Stage 1 complaints Chief Executive sign off of stage 2 complaints ensures compliance.</p>
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Corporate complaints policy	Page 7,8
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Corporate complaints policy	Page 10

5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Corporate complaints policy	Page 5
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes		Corporate complaints system House on the Hill is a full case management system.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Corporate complaints policy	Page 9
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and	Yes	Corporate complaints policy	Page 10

	must keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Corporate complaints policy	<ul style="list-style-type: none"> • Unreasonable communications policy • EIA on policy

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes		This is our standard practice
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Corporate complaints policy	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	No	Corporate complaints policy	Our Corporate Complaints policy complies with the complaint code. However, in the past year, we achieved a 79% response rate within the specified timeframe, (an improvement of 9% on 2024/25) falling short of the

				100% target. This shortfall is due to various factors, including capacity issues and vacant positions. Ensuring timely responses remains a priority for the Council, with adherence to complaint deadlines being a key performance indicator in our corporate plan for 2026/27. These key performance indicators are monitored quarterly and presented to both the Cabinet and Scrutiny Committee.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Corporate complaints policy	Page 7
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Corporate complaints policy	Page 7
6.6	A complaint response must be provided to the resident when the answer to the	Yes	Corporate complaints policy	Page 7

	complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.			
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Corporate complaints policy	Page 7
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	Corporate complaints policy	Page 8
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; 	Yes		Letter templates available if required

	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>			
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Corporate complaints policy	Page 8
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Corporate complaints policy	Page 8
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Corporate complaints policy	
6.13	The person considering the complaint at stage 2 must not be the same person	Yes	Corporate complaints policy	Page 8

	that considered the complaint at stage 1.			
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	No	Corporate complaints policy	Our Corporate Complaints policy complies with the complaint code. However, in the past year, we achieved a 70% response rate within the specified timeframe, falling short of the 100% target. This shortfall is due to various factors, including capacity issues and vacant positions. Ensuring timely responses remains a priority for the Council, with adherence to complaint deadlines being a key performance indicator in our corporate plan for 2025/26. These key performance indicators are monitored quarterly and presented to both the Cabinet and Scrutiny Committee
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason,	Yes	Corporate complaints policy	Page 8

	and the reason(s) must be clearly explained to the resident.			
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes		Holding letter template can be provided if required.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Corporate complaints policy	Page 8
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Corporate complaints policy	Page 8
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and 	Yes		Letter templates available if required.

	g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Corporate complaints policy	Page 8

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; 	Yes		Normal practice but letter templates are available on request.

	<ul style="list-style-type: none"> Changing policies, procedures or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Corporate complaints policy	Page 9
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Compensation Policy Final.pdf	Response templates are clear as to how remedies should be set out. Feedback officer follows through to completion.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Compensation Policy Final.pdf Internal officer compensation guidance	

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord’s complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord’s performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>2023/24 NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL</p>	

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	<u>NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL</u>	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		Not evidenced in policy, but officers are aware of the requirement
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		Not evidenced in policy, but officers are aware of the requirement
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes		Policy states we will abide by Ombudsman code if there were exceptional circumstances that prevent us complying. We also have a corporate incident response policy and business continuity plan.

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Lessons learnt and service reviews	Root Cause with services
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Corporate complaints policy	Page 3
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes		Scrutiny Portfolio holder updates Tenant panels Tenant InTouch newsletter
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes		Customer Experience Team leader Customer service team manager.

9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes		Portfolio holder for housing, property and Customer services
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes		Portfolio holder for housing, property and Customer services
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and	Yes		Quarterly complaints report is sent to portfolio holder for housing, property and customer services. Complaints performance is also part of the Council Delivery plan key performance indicators which are presented and discussed at both corporate scrutiny committee and Cabinet each quarter.

	d. annual complaints performance and service improvement report.			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes		This is our normal practice / culture

Housing
Ombudsman Service

LANDLORD PERFORMANCE REPORT

2024/2025

North West Leicestershire District Council

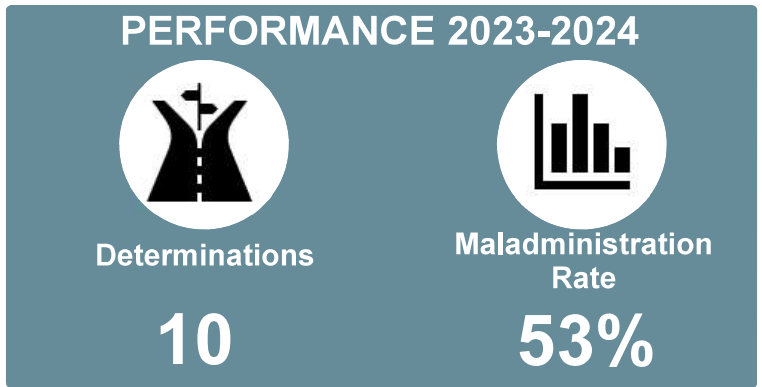
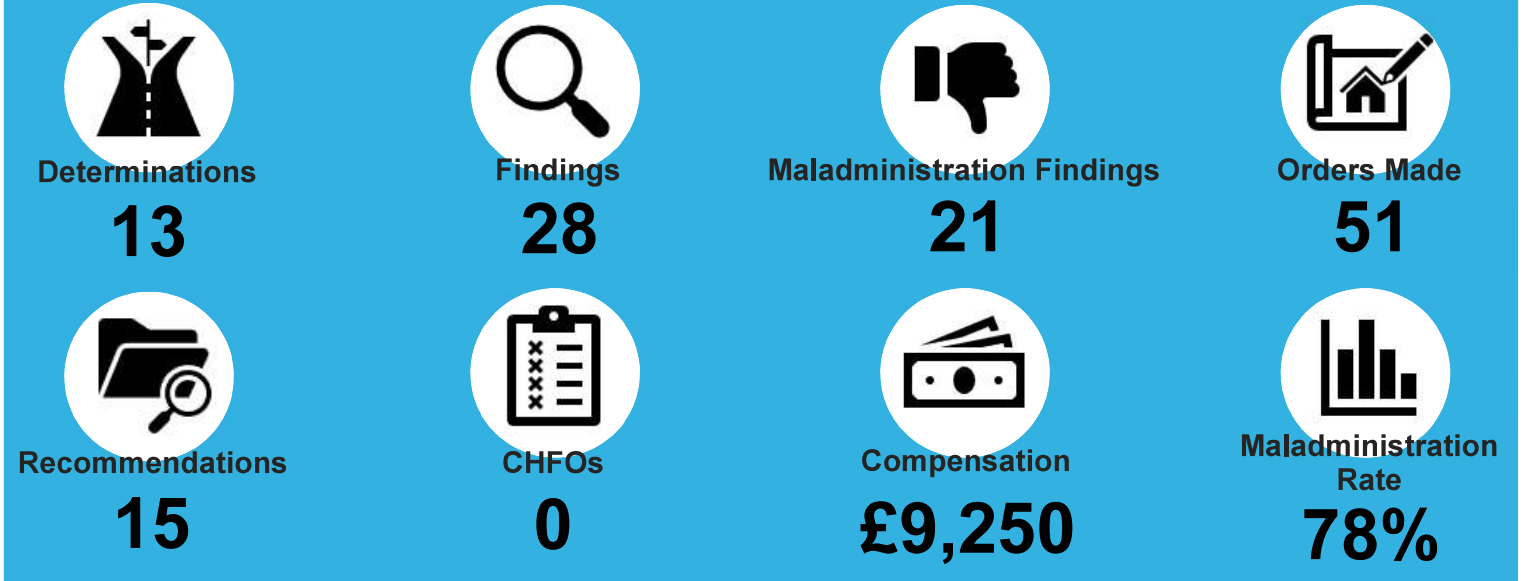
North West Leicestershire District Council

Landlord: North West Leicestershire District Council

Landlord Homes: 4,185

Landlord Type: Local Authority / ALMO or TMO

PERFORMANCE AT A GLANCE

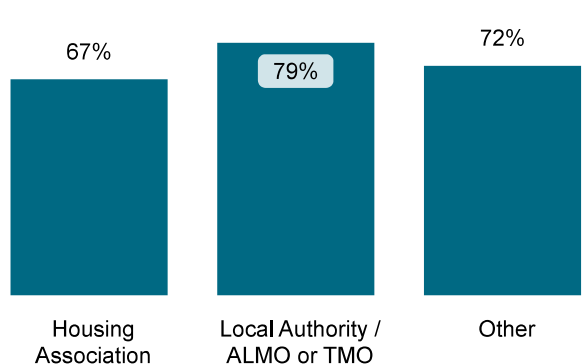
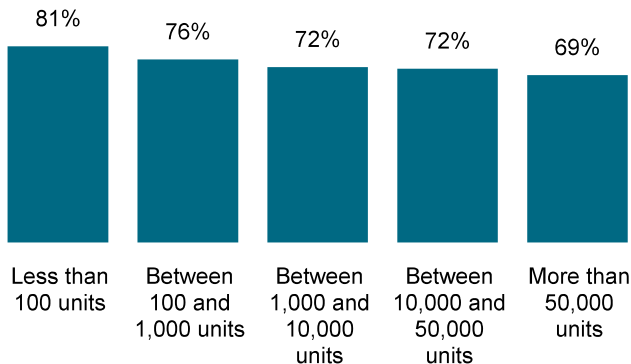


Maladministration Rate Comparison | Cases determined between April 2024 - March 2025

NATIONAL MALADMINISTRATION RATE: 71%	National Maladministration rate for Landlords of a similar size <u>and</u> type: 77%
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National Mal Rate by Landlord Size: Table 1.1

by Landlord Type: Table 1.2



Findings Outcome Comparison | Cases determined between April 2024 - March 2025

National Performance by Landlord Size: Table 2.1

Outcome	Less than 100 units	Between 100 and 1,000 units	Between 1,000 and 10,000 units	Between 10,000 and 50,000 units	More than 50,000 units	National	Landlord Findings
Severe Maladministration	5%	10%	5%	5%	4%	5%	4%
Maladministration	38%	36%	41%	41%	41%	41%	46%
Service failure	32%	24%	22%	22%	20%	21%	25%
Mediation	0%	0%	1%	2%	2%	2%	0%
Redress	3%	6%	10%	12%	17%	13%	11%
No maladministration	14%	17%	15%	13%	10%	13%	11%
Outside Jurisdiction	8%	7%	6%	6%	6%	6%	4%
Withdrawn	0%	0%	0%	0%	0%	0%	0%

National Performance by Landlord Type: Table 2.2

Outcome	Housing Association	Local Authority / ALMO or TMO	Other	National	Landlord Findings
Severe Maladministration	4%	6%	3%	5%	4%
Maladministration	39%	45%	35%	41%	46%
Service failure	21%	22%	27%	21%	25%
Mediation	2%	1%	1%	2%	0%
Redress	16%	7%	10%	13%	11%
No maladministration	13%	11%	15%	13%	11%
Outside Jurisdiction	5%	7%	8%	6%	4%
Withdrawn	0%	0%	0%	0%	0%

Landlord Findings by Category | Cases determined between April 2024 - March 2025 Table 2.3

Category	Severe Maladministration	Maladministration	Service failure	Mediation	Redress	No maladministration	Outside Jurisdiction	Withdrawn	Total
Property Condition	1	7	3	0	3	1	1	0	16
Complaints Handling	0	5	3	0	0	0	0	0	8
Health and Safety (inc. building safety)	0	0	0	0	0	2	0	0	2
Anti-Social Behaviour	0	1	0	0	0	0	0	0	1
Staff	0	0	1	0	0	0	0	0	1
Total	1	13	7	0	3	3	1	0	28

Findings by Category Comparison | Cases determined between April 2024 - March 2025

Top Categories for North West Leicestershire District Council

Table 3.1

Category	# Landlord Findings	% Landlord Maladministration	% National Maladministration
Property Condition	15	73%	73%
Complaints Handling	8	100%	77%
Health and Safety (inc. building safety)	2	0%	62%

National Maladministration Rate by Landlord Size: Table 3.2

Category	Less than 100 units	Between 100 and 1,000 units	Between 1,000 and 10,000 units	Between 10,000 and 50,000 units	More than 50,000 units	% Landlord Maladministration
Complaints Handling	100%	86%	84%	81%	70%	100%
Health and Safety (inc. building safety)	0%	67%	55%	65%	65%	0%
Property Condition	65%	79%	73%	74%	72%	73%

National Maladministration Rate by Landlord Type: Table 3.3

Category	Housing Association	Local Authority / ALMO or TMO	Other	% Landlord Maladministration
Complaints Handling	72%	87%	86%	100%
Health and Safety (inc. building safety)	61%	66%	0%	0%
Property Condition	70%	79%	68%	73%

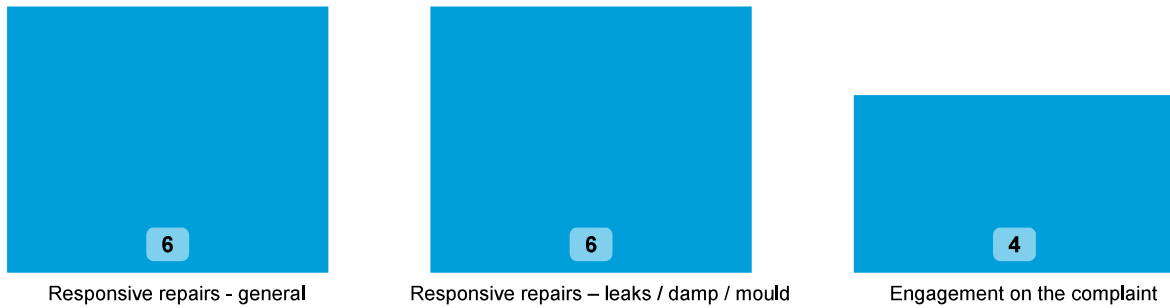
Findings by Sub-Category | Cases Determined between April 2024 - March 2025 Table 3.4

Highlighted Service Delivery Sub-Categories only:

Sub-Category	Severe Maladministration	Maladministration	Service failure	Mediation	Redress	No maladministration	Outside Jurisdiction	Withdrawn	Total
Responsive repairs - general	0	4	0	0	1	1	1	0	7
Responsive repairs – leaks / damp / mould	1	3	2	0	0	0	0	0	6
Electrical safety	0	0	0	0	0	2	0	0	2
Staff conduct	0	0	1	0	0	0	0	0	1
Total	1	7	3	0	1	3	1	0	16

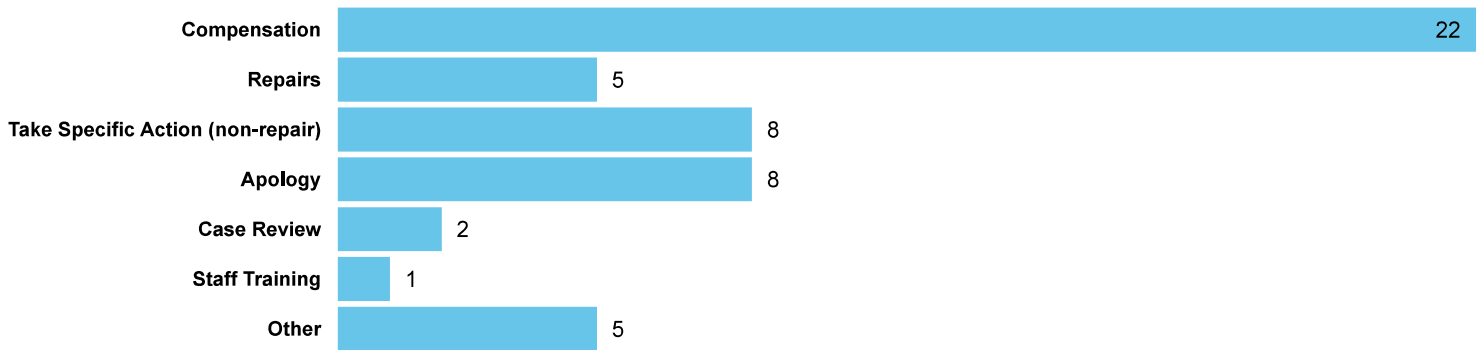
Top Sub-Categories | Cases determined between April 2024 - March 2025

Table 3.5



Orders Made by Type | Orders on cases determined between April 2024 - March 2025

Table 4.1



Order Compliance | Order target dates between April 2024 - March 2025

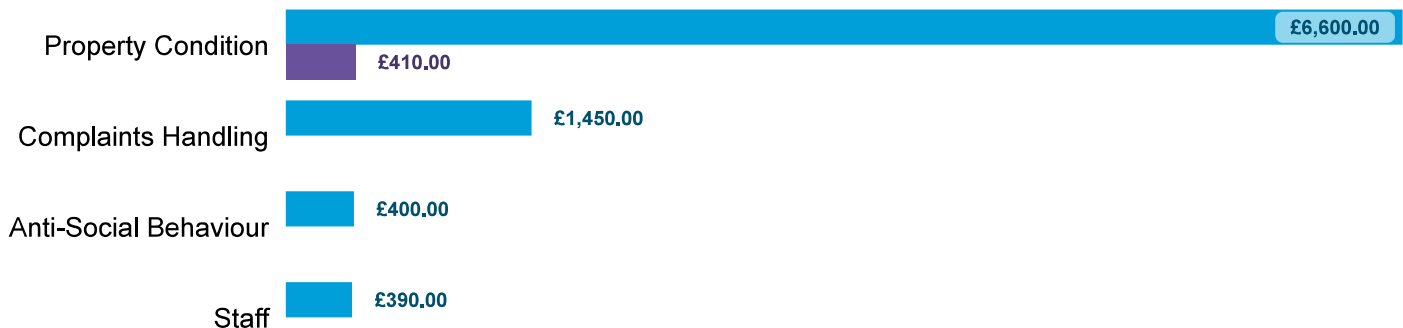
Table 4.2

Order Complete?	Within 3 Months		Within 6 Months	
	Count	%	Count	%
Complied	48	96%	2	4%
Total	48	96%	2	4%

Compensation Ordered | Cases Determined between April 2024 - March 2025

Table 5.1

● Ordered ● Recommended



Introduction | *Notes on your figures in this report*

The Housing Ombudsman's 2024-25 landlord reports are for landlords with 5 or more findings made in cases determined between 1 April 2024 and 31 March 2025.

The data comes from our casework management system. The reports include statistics on cases determined in the period. If we published a performance report for the landlord last year, then its individual report will also include limited statistics about cases determined between 1 April 2022 and 31 March 2024 for year-on-year comparison. Where a landlord has merged, we have merged the 2022-24 data and it may therefore be different to the published figures last year.

Determinations | *Cases Determined*

The number of cases determined (decided upon) for this landlord by the Ombudsman. 13 determinations were recorded for North West Leicestershire District Council, this includes OSJ and Withdrawn determinations. 13 determinations were made excluding OSJ and Withdrawn.

In this report we are only counting the determinations excluding OSJ and Withdrawn overall - this is a change from previous years to where we counted all Determinations. We have also adjusted the determined figures for 22/23 and 23/24 referenced on the first page of this report to exclude OSJ and Withdrawn so that it is comparable. This means these figures may not match the published reports for those years.

Findings | *Category Findings*

The number of findings on cases determined. Each category on a determined case has one finding. When we count findings, we exclude any cases where the entire case was declared outside our jurisdiction (OSJ) or all elements of the complaint were entirely Withdrawn, usually prior to the case being allocated for investigation.

On this basis, we are only counting the findings made in the 13 determinations. 28 findings were recorded for North West Leicestershire District Council in these 13 determinations.

Maladministration Rate | *Calculated from Category Findings*

Under our Scheme, maladministration includes findings of severe maladministration, maladministration and service failure. The number of findings of maladministration are expressed as a percentage of the total number of findings (excluding findings of 'outside jurisdiction' and 'withdrawn'). This is referred to as 'mal rate'.

The number of findings recorded for North West Leicestershire District Council to calculate the Maladministration rate is 27. This excludes the 1 findings of Outside Jurisdiction or where elements of the case were Withdrawn during our investigation, but we made other findings on the case.

The number of 'Mal' findings recorded for North West Leicestershire District Council is 21, which gives the Maladministration rate of 77.8% (21 / 27). The national Mal rate is calculated on the same basis and is comparable to previous reports.

Orders | *Calculated from Orders issued on Cases Determined*

We issue Orders when the case investigation has resulted in a category finding of some level of maladministration or mediation. They are intended to put things right for the resident. We can issue multiple orders for each category of a case, so if we issue compensation of £50 for one category, and £50 for another category - we will count this as two orders even though the Landlord may just see it as one order of £100 compensation for the case.

The number of orders recorded for North West Leicestershire District Council is 51, these orders are across 21 category findings.

Unit Numbers | *Homes owned by the Landlord*

The number of homes (or 'units') owned or managed by the member landlord under the Housing Ombudsman Service's jurisdiction as of 31 March 2024. This is based on information available from the Regulator of Social Housing and provided by landlords.

Reviews | *Determination reviews*

The Landlords and residents may request a review of our determinations in circumstances set out in the Housing Ombudsman Scheme. This report includes data on cases originally determined between 1 April 2024 and 31 March 2025. If a determination is changed at review and the revised determination is issued on or before 31 March, the revised decision is included in the data. If the revised determination is issued on or after 1 April, only the original determination is included in the data.

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 23 JUNE 2026



Title of Report	HOUSING SERVICE PERMISSION TO CONSULT – COMPLIANCE POLICIES	
Presented by	Councillor Andrew Woodman Housing and Property Portfolio Holder PH Briefed <input type="checkbox"/>	
Background Papers	Draft policies for Lift Safety, Gas Safety and Electrical Safety	Public Report: Yes
		Key Decision: No
Financial Implications	The review of policies, strategies and service documents is good practice and will enhance financial management within the Council. There are no financial implementations as direct result of this report.	
	Signed off by the Acting Section 151 Officer: Yes	
Legal Implications	The policies, strategies and service documents are reviewed to ensure any updates in law or Regulatory requirements are noted so that the Council acts in accorded with them.	
	Signed off by the Interim Monitoring Officer: Yes	
Staffing and Corporate Implications	The review of Housing Policies, Strategies and service documents is regularly reviewed to ensure the Council operates effectively, in line with the appropriate standards.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	To seek Cabinet's approval on the consultation with stakeholders, including tenants as part of the review/development of policies, strategies and documents.	
Reason for Decision	Approval of the scope and content of public consultations where deemed necessary by the Head of Paid Service is reserved to Cabinet.	
Recommendations	THAT CABINET APPROVES PUBLIC CONSULTATIONS ON THE POLICIES LISTED IN PARAGRAPH 2.1	

1.0 BACKGROUND

- 1.1 The Council is responsible for ensuring that its policies and strategies are regularly reviewed to ensure any updates in law are noted so that the Council acts in accordance with them.
- 1.2 The Regulator of Social Housing, via the Consumer Standards, promotes housing providers undertake, genuine tenant involvement in key decisions that affect their homes. Consulting tenants on policies, strategies and other documents is how the Housing Service will demonstrate transparency, influence and accountability to its tenants.
- 1.3 The Housing Service has developed three new policies relating to Compliance for review. Cabinet is asked to approve the policies as drafts for wider tenant and stakeholder engagement. The draft policies included with this report. Additional details of the specific policies are set out below in paragraph 2.1 of the report.

2.0 CONSULTATION

2.1 The table below details the areas for consultation during 2026/27:

Ref	Area for Consultation	Consultation Detail
Appendix 1	Electrical Safety Policy	The Electrical Safety Policy is due for review in 2026. To inform the content beyond the legal requirements, tenants will be consulted to ensure the policy is practical, understandable to real concerns particularly around communication and access requirements.
Appendix 2	Gas Safety Policy	The Electrical Safety Policy is due for review in 2026. To inform the content beyond the legal requirements, tenants will be consulted to ensure the policy is practical, understandable to real concerns particularly around communication and access requirements.
Appendix 3	Lift Safety Policy	The Lift Safety Policy is due for review in 2026. To inform the content beyond the legal requirements, tenants will be consulted to ensure the policy is practical, understandable to real concerns particularly around communication and access requirements.

- 2.2 Early informal engagement with Members and key stakeholders is anticipated during the summer period to help shape the direction and priorities of the policies. This will be followed by the presentation of the draft policies to Scrutiny, enabling detailed review, challenge and further refinement. Subject to Scrutiny feedback, the finalised policies would then be brought forward for formal consideration and sign-off by Cabinet later in the autumn. This phased approach ensures that early input is embedded in the development process, supports transparency, and provides Members with meaningful opportunities for input prior to formal decision-making.

2.3 Involved tenants will have the opportunity to participate in a working group meeting to discuss the three draft policies and go through the consultation survey.

2.4 Consultation with tenants and stakeholders will be undertaken during July 2026. Once the consultation period has ended, the responses will be reviewed, and the policies will be finalised. Cabinet approval will be sought to approve the policies following the consultation and review.

3.0 FINANCIAL IMPLICATIONS

3.1 The review of policies, strategies and service documents is good practice. There are no financial implications as a direct result of this report.

Policies and other considerations, as appropriate	
Council Priorities:	Communities and housing A well-run council
Policy Considerations:	As detailed within the report
Safeguarding:	N/A
Equalities/Diversity:	A variety of consultation methods will be used to maximise engagement opportunities
Customer Impact:	Consulting tenants and other stakeholders ensure their voice is considered as part of the review.
Economic and Social Impact:	N/A
Environment, Climate Change and Zero Carbon:	N/A
Consultation/Community/Tenant Engagement:	Tenants and other stakeholders will be consulted following Cabinet approval
Risks:	The purpose of this report is to set out the consultation planned for 2026/7, with particular focus on policies and strategies to ensure the service act in accordance with legislation and Regulatory requirements.
Officer Contact	Rob Desbrow Compliance & Assets Team Manager rob.desbrow@nwleicestershire.gov.uk

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HOUSING AND PROPERTY SERVICE POLICY	
Area	: Housing
Department	: Housing Asset Management
Subject	: Electrical Safety Policy 2026 V1.1

Procedure Ref:		Owner:	Rob Desbrow
Date approved:		Effective date:	

Please state what policies and strategies (if any) this policy is linked to (a list of policies and procedures can be found at [policies and strategies](#))

Linked to

Asset Management Strategy
Allocations Policy

Version	Date	Details of amendment	Creator/ amender	Approved by	Next review due
1	02/03/2026		R Desbrow		
2					
3					
4					

Copies of this document are available upon request and can be obtained in large print or translated into other languages, if required.

HOUSING/PROPERTY SERVICES AIDS AND ADAPTATIONS POLICY

Contents	
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8. Data, Record Keeping and Documentation	5
9. Emergencies and Incident Response	5
10. Quality Assurance, Audit and Continuous Improvement.....	6
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1. Introduction

1.1 North West Leicestershire District Council (NWLDC) is committed to ensuring the safety and wellbeing of tenants, residents, visitors, staff and contractors in relation to fixed electrical installations and associated equipment across its housing stock and communal areas. This policy sets out the Council's approach to preventing, controlling and mitigating electrical risks by maintaining safe installations, ensuring competent inspection and testing, and acting promptly on any hazards identified. It reflects the **Electricity at Work Regulations 1989 (EAWR)** and their guidance (HSR25), the **18th Edition Wiring Regulations – BS 7671:2018+A2:2022**, and the **Electrical Safety Standards in the Private and Social Rented Sectors** regime, alongside the **Regulator of Social Housing's (RSH) Safety & Quality Standard**.

2. Purpose

2.1 The purpose of this policy is to provide a clear, auditable framework for electrical safety management across all relevant NWLDC homes. Specifically, it aims to:

- Ensure installations meet the safety requirements of **BS 7671** and are **inspected and tested at intervals of at least every five years** (or sooner if an EICR recommends), with reports issued to tenants within statutory timeframes.
- Demonstrate compliance with **EAWR** by ensuring work on or near electrical systems is undertaken safely and by competent persons.
- Evidence delivery against the **RSH Safety & Quality Standard**: identifying legal duties, keeping accurate property-level data, and completing required actions within appropriate timescales.

3. Scope

3.1 This policy applies to:

- **All domestic dwellings** owned or managed by NWLDC, including general needs, supported/sheltered, and temporary accommodation;
- **Internal and external communal areas**, landlord supplies and communal plant; and
- **Electrical installations and Council-provided equipment** supplied with a tenancy, where NWLDC is the duty-holder.

It covers the full lifecycle: new builds and major refurbishments, voids and re-lets, mutual exchanges, cyclical inspection/testing, responsive repairs, and emergency response. Requirements for inspection/testing and remedial action reflect the **Electrical Safety Standards** regime now applying to the social rented sector.

4. Legal and Regulatory Framework

4.1 NWLDC will comply with the following (non-exhaustive) framework:

- **Electricity at Work Regulations 1989** (EAWR) and Health and Safety Executive (HSE) guidance **HSR25**, including duties on competence, safe systems of work, isolation and precautions when working on or near live equipment.
- **BS 7671:2018+A2:2022** – Requirements for Electrical Installations (IET Wiring Regulations): design, installation, inspection, testing and coding conventions for EICR outcomes.
- **Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 as extended to social housing** (Government guidance, 1 Nov 2025): **five-yearly EICR**, provision of reports to tenants and the Council upon request, and completion of remedials within specified timescales.
- **RSH Safety & Quality Standard (Apr 2024)**: identify and meet legal health and safety requirements; maintain accurate asset data; complete required actions within appropriate timescales.
- **RIDDOR 2013** – reporting of certain accidents/incidents, including those arising from electrical systems in workplaces/communal areas, with updated HSE guidance (2024).

5. Operational Commitments

5.1 Inspection and Testing (EICR)

NWLDC will maintain a rolling programme to ensure every relevant property has a **current Electrical Installation Condition Report (EICR) at intervals of no more than five years**, or a shorter interval where the last EICR specifies. For new tenancies, a valid EICR (or appropriate certification for new installations) will be available **before occupation** and provided to tenants within statutory timeframes thereafter.

5.2 Standards and Coding

All inspection, testing, repairs and upgrades will follow **BS 7671**. Where an EICR records **C1 (danger present)**, **C2 (potentially dangerous)** or **FI (further investigation)**, NWLDC will ensure make-safe actions (including isolation where needed) and complete remedial work within the specified or statutory timescales, then issue written confirmation and updated reports to tenants.

5.3 Competence and Safe Systems of Work

Only qualified and competent persons will carry out electrical work. Contractors and staff will follow **EAWR** principles and **HSE HSG85** safe working practices (safe isolation, proving dead, use of suitable test instruments, calibrated equipment).

5.4 Communal and Ancillary Systems

NWLDC will maintain communal landlord supplies and relevant systems (e.g., emergency lighting where present) in accordance with applicable standards and manufacturers' instructions, recording testing and remedial actions in the compliance system. (Where other specific British Standards apply to such systems, these will be observed alongside BS 7671.)

5.5 Integration with Repairs and Capital Investment

Electrical defects identified via EICRs, responsive repairs, complaints or planned works will be assessed and programmed for timely resolution. Upgrades (e.g., RCD/AFDD provision where appropriate) will be considered in line with **BS 7671** and risk.

6. Roles and Responsibilities

6.1 NWLDC as Landlord

NWLDC will keep an accurate **asset-level record** of electrical installations, inspection due dates, outcomes and remedial status, and will monitor delivery against programme and risk. This evidences compliance with the **RSH Safety & Quality Standard**.

6.2 Contractors and Qualified Persons

Contractors must be appropriately accredited, maintain calibrated instruments, and operate safe systems of work. They must produce complete, legible EICRs, classify observations in line with **BS 7671**, and submit documentary evidence of remedials and re-test outcomes.

6.3 Tenants and Residents

Tenants must provide access for inspections and remedial works, and promptly report electrical issues or damage. NWLDC will provide clear information on appointments, access duties and emergency contacts, and will make reasonable adjustments where required.

7. Access and No-Access Management

7.1 NWLDC will implement a structured approach to secure access for EICRs and remedials, including appointment letters and reminders, home visits, welfare checks where needed, and **legal remedies** (injunctions/warrants) as a last resort. All steps, contact attempts and adjustments offered will be recorded. This approach supports the duty to **complete legally required health and safety actions within appropriate timescales** under the **RSH Safety & Quality Standard** and the Electrical Safety Standards regime.

8. Data, Record Keeping and Documentation

8.2 NWLDC will retain EICRs, certificates and related records in its compliance system, including: asset data (UPRN), dates, engineer details, test results, outcomes (Satisfactory/Unsatisfactory), coding (C1/C2/C3/FI), remedial orders, completion evidence, re-test results, and tenant notifications. Data will be used to forecast renewals, target risk, and demonstrate compliance required by the **RSH Safety & Quality Standard**.

9. Emergencies and Incident Response

9.1 Electrical Emergencies (Shock, Fire, Arcing)

In any life-threatening situation: call **999**. NWLDC will instruct residents not to touch a casualty who may still be in contact with live equipment, and—if safe and competent—to switch off the supply. An emergency order will be raised for a qualified person to **safely isolate** and make safe. EAWR principles and safe isolation per **HSE HSG85** will apply.

9.2 Power Cuts (Network Supply Issue)

For area-wide power interruptions, residents will be advised to call **105** to reach their local **electricity network operator** (free, 24/7). NWLDC will undertake welfare checks for vulnerable tenants where appropriate and coordinate with the DNO.

9.3 RIDDOR

Electrical incidents in work/communal areas that meet RIDDOR thresholds will be reported by the **responsible person**, following HSE's updated guidance (2024). Incident investigations, root cause analyses and corrective actions will be documented and reviewed.

10. Quality Assurance, Audit and Continuous Improvement

10.1 NWLDC will operate a proportionate **field audit** and **data validation** regime for EICRs and remedials; verify contractor competence and calibration records; and track non-conformances to closure. Lessons learned from incidents, audits and customer feedback will inform procedural updates and training. This supports compliance with **EAWR**, **BS 7671** and the **RSH Safety & Quality Standard**.

11. Resident Communication, Access and Vulnerability

10.1 NWLDC will provide clear, accessible information on electrical safety responsibilities, appointment processes, emergency contacts, and what to expect during inspections and remedials. Communication will reflect tenants' needs (language/BSL support, easy-read formats) and the requirement to enable repairs to be reported easily and delivered in a timely manner under the **RSH Safety & Quality Standard**.

12. Monitoring, KPIs and Reporting

12.1 NWLDC will report regularly through internal governance on:

- % homes with a **current EICR** (target: 100%);
- % **C1/C2/FI** remedials completed within required timescales;
- First-time access rate;
- Audit pass rate and time to close non-conformances;
- Electrical incident/RIDDOR events and actions; and
- Data quality for compliance records.

This monitoring evidences compliance with the **Electrical Safety Standards** regime and **RSH** expectations.

13. Equality, Diversity and Inclusion

13.1 This policy will be implemented in accordance with NWLDC's Equality, Diversity and Inclusion Policy. The Council recognises that many residents reliant on lifts are

older or disabled; reasonable adjustments will be made and individual needs considered in service planning and communications.

13.2 An Equality Impact Assessment will be maintained for this policy.

14. Review and Document Control

This policy will be reviewed every three years, or sooner if there are significant legislative or best-practice changes, following incidents, audits or resident feedback. The Housing Assets Team Manager is the document owner.

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HOUSING AND PROPERTY SERVICE POLICY	
Area	: Housing
Department	: Housing Asset Management
Subject	: Gas Safety Policy 2026 V1.1

Procedure Ref:		Owner:	Rob Desbrow
Date approved:		Effective date:	

Please state what policies and strategies (if any) this policy is linked to (a list of policies and procedures can be found at [policies and strategies](#))

Linked to

Asset Management Strategy
Allocations Policy

Version	Date	Details of amendment	Creator/ amender	Approved by	Next review due
1	02/03/2026		R Desbrow		
2					
3					
4					

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HOUSING/PROPERTY SERVICES AIDS AND ADAPTATIONS POLICY

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1. Introduction

1.1 North West Leicestershire District Council (NWLDC) is committed to ensuring the safety and wellbeing of all tenants, residents, visitors, staff and contractors in relation to gas installations, appliances and associated systems within its housing stock. Gas safety is a critical element of the Council's responsibility as a landlord, and this policy sets out the framework through which NWLDC will prevent, control and mitigate any risks arising from the use of gas in its properties.

1.2 This policy establishes a clear, robust and auditable approach to managing gas installations and outlines how the Council meets its statutory duties, ensures consistent service delivery and safeguards life, property and the environment. The principles described here align with recognised statutory requirements and established best-practice models for gas safety compliance.

2. Purpose of the Policy

2.1 The purpose of this policy is to provide a comprehensive statement of how NWLDC manages gas safety across all relevant properties. It sets out a systematic approach that ensures all gas appliances and systems are installed, maintained and serviced safely, and demonstrates how the Council will ensure compliance with legal requirements, minimise risks to occupants, and maintain high standards of service delivery.

2.2 The policy also explains how NWLDC monitors and maintains 100% compliance with statutory annual servicing intervals and ensures every dwelling with a gas appliance holds a valid Landlord Gas Safety Record (LGSR), issued at the start of a tenancy and following each annual safety check.

3. Scope

3.1 This policy applies to all domestic dwellings owned or managed by NWLDC, including general needs housing, supported and sheltered housing, temporary accommodation, and any property containing communal gas installations or flues. It also applies to commercial or plant room gas systems where the Council retains responsibility as landlord.

3.2 The policy covers all relevant stages of property management including re-lets, voids, mutual exchanges, new tenancies, refurbishments, capital improvements and new developments. It ensures that gas systems are inspected and made safe before occupation, and that servicing and safety inspections continue throughout the lifetime of the tenancy.

3.3 The policy also applies to other heating types such as oil, solid fuel or LPG, ensuring that equivalent safety checks and standards are applied using appropriate regulatory frameworks, even where legislation differs.

4. Legal and Regulatory Framework

NWLDC recognises and complies with all statutory duties relating to gas safety. This includes, but is not limited to:

- The **Gas Safety (Installation and Use) Regulations 1998 (as amended)**, which require annual safety checks on gas appliances, flues and installation pipework; safe installation and maintenance; and provision of a current LGSR to tenants.
- The **Health and Safety at Work etc. Act 1974**, which requires employers and landlords to ensure the health, safety and welfare of employees, residents and the public.
- The **Management of Health and Safety at Work Regulations 1999**, which require the systematic assessment and management of risks.
- The **Housing Act 1985, Housing Act 2004** and **Building Regulations**, which provide a regulatory framework for safe homes and safe construction.
- Relevant statutory requirements regarding social housing safety standards, ensuring that all homes meet mandatory health and safety obligations.
- The Health and Safety Executive's **Approved Code of Practice (ACOP) L56**, which provides authoritative guidance on compliance with gas safety legislation.

5. Operational Commitments

5.1 NWLDC will ensure that all gas appliances, flues and installation pipework for which it is responsible are serviced and inspected at intervals not exceeding 12 months. Each inspection will result in the issue of an LGSR, which will be retained by the Council and provided to the tenant at the start of their tenancy and following annual checks.

5.2 All gas-related repairs or maintenance will be completed by Gas Safe registered engineers. Faulty appliances will be made safe immediately, which may include disconnection or capping where risk is identified. Safety inspections will also occur at key tenancy stages such as mutual exchanges, void periods and prior to reoccupation, ensuring that installations are safe before a new tenant moves in.

5.3 Emergency procedures will be followed in the event of a gas escape or unsafe situation, prioritising swift isolation of the supply and immediate steps to ensure resident safety, following recognised emergency protocols.

5.4 All new appliances, refurbished systems or installations delivered through capital works or new build projects will comply with current regulations and manufacturer guidance.

6. Roles and Responsibilities

6.1 NWLDC, as landlord, retains overall responsibility for ensuring gas safety across its housing stock. This includes maintaining accurate asset registers, ensuring timely servicing and inspections, managing contractors, and keeping detailed compliance records.

6.2 Gas engineers commissioned by the Council must be Gas Safe registered and demonstrate full competence to perform gas work. They must follow all regulatory requirements, deliver high-quality workmanship, comply with Council procedures, and maintain appropriate certification.

6.3 Tenants are required to provide access to Council contractors to enable servicing, repairs and inspections to take place. They must not interfere with or install gas appliances without Council approval and must report any concerns regarding gas appliances or supply immediately.

6.4 The Council's Asset Management and Compliance Teams will monitor compliance performance, manage data quality, oversee escalations where access is not provided, and monitor contractor performance through audits and service reviews. KPI monitoring is central to ensuring ongoing compliance and service improvement.

7. Access, Appointments and Management of No-Access Cases

7.2 NWLDC will ensure tenants receive clear communication regarding upcoming gas safety inspections, including appointment letters and reminders. Where access cannot be gained, the Council will escalate matters through follow-up visits, welfare checks and written notices, ensuring tenants understand the importance of granting access for their safety.

7.3 Where persistent non-access continues and a safety risk exists, the Council may use legal powers to gain entry or cap the gas supply to protect the household and neighbouring residents. Structured access and escalation arrangements are essential to ensuring full statutory compliance.

8. Data, Record Keeping and Documentation

8.1 Accurate and secure record keeping is essential. The Council will retain LGSRs and all associated documentation for at least two years, maintaining full audit trails of inspections, servicing, repairs, disconnections and appointment attempts, in accordance with statutory requirements and best-practice documentation frameworks.

9. Emergency Procedures

9.1 In the event of a reported or suspected gas escape or unsafe situation, NWLDC will ensure immediate response from qualified engineers. Emergency protocols include isolating the gas supply, conducting urgent safety checks and providing residents with the necessary guidance. The Council will ensure residents know how to report emergencies and will make information clearly accessible.

10. Quality Assurance and Continuous Improvement

10.1 NWLDC will regularly audit its gas safety service to ensure compliance, high standards of work and accurate record keeping. Where incidents or near-misses occur, investigations

will be undertaken and findings used to strengthen policy, improve processes and enhance staff or contractor training. Strong assurance procedures underpin the Council's commitment to safe and compliant housing.

11. Resident Engagement and Communication

11.1 The Council will ensure residents are fully informed about gas safety, their responsibilities and how to report concerns. Clear, accessible communication helps promote safety and encourages resident cooperation. Engagement activities may include safety campaigns, information leaflets, website updates and targeted support for residents who may require additional assistance.

12. Equality, Diversity and Inclusion

12.1 This policy will be implemented in accordance with NWLDC's Equality, Diversity and Inclusion Policy. The Council recognises that many residents reliant on lifts are older or disabled; reasonable adjustments will be made and individual needs considered in service planning and communications.

12.2 An Equality Impact Assessment will be maintained for this policy.

13. Review and Document Control

13.1 Performance monitoring will focus on key compliance indicators including the percentage of properties with a valid LGSR, first-time access rates, contractor performance and emergency repair response times. Results will be reported through internal governance processes and used to shape service improvements.

13.2 This policy will be reviewed every two years, or earlier if required due to legislative changes, significant incidents or changes in operational delivery.



HOUSING AND PROPERTY SERVICE POLICY	
Area	: Housing
Department	: Housing Asset Management
Subject	: Lift Safety Policy 2026 V1.1

Procedure Ref:		Owner:	Rob Desbrow
Date approved:		Effective date:	

Please state what policies and strategies (if any) this policy is linked to (a list of policies and procedures can be found at [policies and strategies](#))

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Allocations Policy

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HOUSING/PROPERTY SERVICES AIDS AND ADAPTATIONS POLICY

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1. Reasons for Policy

1.1 This policy sets out North West Leicestershire District Council's (NWLDC) approach to managing lift safety across its housing stock and any related communal or operational buildings. It establishes governance, standards and processes to ensure lifts and lifting equipment are safe, well-maintained and compliant; that resident risks are minimised; and that statutory and regulatory duties are met.

2. Legislative and Regulatory Context

2.1 The Council will comply with relevant legislation and guidance including, but not limited to:

- Health and Safety at Work etc. Act 1974 (HSWA)
- Management of Health and Safety at Work Regulations 1999
- Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) and ACoP L113
- Provision and Use of Work Equipment Regulations 1998 (PUWER)
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)
- The Lifts Regulations 2016 (design, installation and placing on the market of new lifts and safety components)
- BS 7255:2023 Safe working on lifts – Code of practice
- Relevant BS EN 81 series (e.g. BS EN 81-20/21/22/80) for lift design, installation and improvement
- Regulator of Social Housing Consumer Standards (Safety and Quality)

3. Scope

3.1 This policy applies to all passenger lifts and lifting equipment provided or controlled by NWLDC in connection with its landlord functions, including (where owned/maintained by NWLDC): passenger lifts, platform lifts, stairlifts, through-floor lifts, hoists and similar equipment in communal areas and in dwellings.

3.2 Where equipment is the resident's own (privately owned), NWLDC will signpost duties and support but is not the duty holder; responsibilities will be set out within tenancy/lease or management agreements.

4. Definitions

- Lift (Passenger/Platform): Fixed installation serving defined levels and equipped with a carrier that moves along guides or path, transporting persons and/or goods.

- **Thorough Examination:** A systematic and detailed examination by a competent person at specified intervals, resulting in a written report and next due date.
- **Competent Person:** An individual or body with appropriate practical and theoretical knowledge and experience of the lifting equipment to detect defects and assess their significance; sufficiently independent and impartial for LOLER examinations.
- **Maintenance (PPM):** Preventive servicing and adjustments to keep equipment in a safe condition between examinations.

5. Roles and Responsibilities

- **Chief Executive:** Overall accountability for ensuring adherence to health and safety policies.
- **Strategic Director of Communities:** Ensures sufficient resources and governance to implement this policy.
- **Housing Assets Team Manager:** Responsible for implementation, budgeting and oversight of lift safety.
- **Compliance Manager:** Day-to-day management of compliance, contractor performance, programme delivery and data accuracy.
- **Contractor(s)/Engineer Surveyor(s):** Delivery of maintenance and 24/7 callout; independent competent person thorough examinations; timely reporting of defects with clear target dates.
- **All Staff and Contractors:** Work in accordance with this policy, procedures and safe systems of work; report hazards and incidents promptly.

6. Competence and Training

6.1 NWLDC will appoint only competent organisations and persons. Maintenance providers should be (for passenger lifts) LEIA members or equivalent and demonstrate suitable qualifications; engineer surveyors must be independent from maintenance and meet competence expectations set out in ACoP L113/BS 7255.

6.2 Internal staff overseeing lifts will receive appropriate CPD and awareness training, including resident communication and vulnerability protocols.

7. Lift Asset Register, Risk Assessment and Data

7.2 We will maintain a definitive asset register of all lifts and lifting equipment in scope, including location, type, capacity, manufacturer, serial number, maintenance provider, last and next service dates, last and next thorough examination dates, and outstanding actions.

7.3 Each asset will have a Lift Risk Assessment (LRA) with risk-based priorities for remedial works.

7.4 Certification and records will be retained for at least two previous examinations, with a clear audit trail for defect close-out.

8. Testing, Thorough Examination and Maintenance

8.1 Thorough examination frequencies: six-monthly for passenger-carrying lifts and lifting accessories; twelve-monthly for goods-only lifts (or per agreed written examination scheme), and after significant modification or repair.

8.2 Preventive maintenance: at intervals recommended by manufacturer/maintainer (typically monthly or quarterly depending on use and risk) to ensure safe operation between examinations.

8.3 Out-of-service criteria: any lift presenting a serious defect must be removed from service until rectified and re-inspected; display clear signage and communicate with residents.

8.4 Post-works: return to service only when verified safe; update records and notify stakeholders.

9. Entrapment Response and Out-of-Hours

9.1 All passenger lifts must have a functional two-way communication to an alarm receiving centre. 24/7 emergency rescue will be provided with target response/attendance times set in the contract. Only trained, competent personnel may release passengers.

9.2 Vulnerable residents will receive priority support and welfare checks after incidents.

9.3 OOH escalation and communications will be managed via the Council's central control team and contractor procedures.

10. Resident Communication, Access and Vulnerability

10.1 We will provide clear information on lift outages, timescales and alternatives; maintain up-to-date vulnerability information; and make reasonable adjustments.

10.2 Where extended outages occur, a bespoke support plan will be considered (e.g. temporary relocation, welfare checks).

10.3 Access to plant rooms and lift cars for compliance will be managed as per arrangements through the contract administrator and tenancy/lease provisions.

11. Procurement and Contractor Management

11.1 Contracts will specify: scope, response times, PPM frequencies, entrapment rescue, competence, parts availability, reporting formats, red/amber/green defect categorisation, safeguarding protocols, social value, and data requirements (digital certifications).

11.2 Performance will be reviewed monthly via compliance meetings and KPIs; persistent under-performance will trigger escalation and potential contractual remedies.

12. Performance Monitoring, KPIs and Assurance

- 100% of passenger lifts in scope with a valid (in-date) thorough examination
- ≥ 98% PPM completed to schedule each month
- Entrapment: alarm connection uptime ≥ 99.5%; average engineer attendance within contract target (e.g. ≤ 60 minutes)
- All defects and associated works to be completed within 24 hours; Where it becomes clear that this will take longer than 24 hours to complete must be communicated with the Council with an anticipated forecast of the downtime.
- Zero RIDDOR incidents attributable to lift failures
- ≥ 95% resident satisfaction following lift repairs/outages
- Monthly data assurance spot-checks; annual internal audit of lift compliance

13. Incident Reporting, RIDDOR and Non-Compliance Escalation

13.1 Incidents, dangerous occurrences and injuries will be reported, investigated and, where applicable, notified under RIDDOR.

13.2 Significant defects identified at thorough examination will be acted upon immediately; where a competent person issues a notification to the enforcing authority, NWLDC will isolate, rectify and verify before return to service.

13.3 Material non-compliance will be escalated to the Housing Senior Management Team (SMT), Members and the Regulator as required.

14. Equality, Diversity and Inclusion

14.1 This policy will be implemented in accordance with NWLDC's Equality, Diversity and Inclusion Policy. The Council recognises that many residents reliant on lifts are older or disabled; reasonable adjustments will be made and individual needs considered in service planning and communications.

14.2 An Equality Impact Assessment will be maintained for this policy.

15. Review and Document Control

This policy will be reviewed every three years, or sooner if there are significant legislative or best-practice changes, following incidents, audits or resident feedback. The Housing Assets Team Manager is the document owner.

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Appendix A: Minimum Planned Regimes & Frequencies

- Thorough examination: Passenger lifts – every 6 months; goods-only lifts – every 12 months; after substantial modification; or in line with a written examination scheme by a competent person.
- PPM service visits: risk-based but typically monthly/bi-monthly in high-use schemes; quarterly in low-use locations; always aligned to manufacturer guidance.
- Alarm testing: monthly test of two-way communication; quarterly resilience test of call routing and response.
- Safety device tests (e.g. overspeed governor, buffers): in line with manufacturer/competent person requirements.

Appendix B: Definitions and Abbreviations

- ACoP – Approved Code of Practice
- BS – British Standard
- LEIA – Lift and Escalator Industry Association
- LRA – Lift Risk Assessment
- LOLER – Lifting Operations and Lifting Equipment Regulations 1998
- PPM – Planned Preventive Maintenance
- PUWER – Provision and Use of Work Equipment Regulations 1998

Appendix C: References (indicative)

- HSE: Lifting Operations and Lifting Equipment Regulations (LOLER) – overview and guidance
- HSE: Thorough examination and testing of lifts – simple guidance for lift owners (INDG339)
- HSE: Thorough examinations and inspections of lifting equipment (LOLER Reg 9–11)
- HSE: Passenger lifts and escalators guidance
- GOV.UK: Lifts Regulations 2016 – Statutory guidance (OPSS)
- BS 7255:2023 Safe working on lifts – Code of practice
- BS EN 81 series (selected parts)

Likely to contain exempt information under paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Agenda Item 15.

Document is Restricted

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