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|---------------------------------------|---|--|-----------------------|---|------------|
| Project Name | Section 106 Schemes | Project /Programme Manager | Andy Flynn / Sam Lacy | Head of Service | Phil Scott |
| Programme Name (if applicable) | | Service Area Senior Manager | Colin MacDonald | Investment Plan Ref No (if applicable) | |
| Service Area | Environment, Housing and Leisure | Finance Officer (Engie Officer) | Neil Urwin | Author | Andy Flynn |
| Ward (s) | All Wards | Project Location | Various | | |
| Date of Gateway 0 Approval | N/A | Date of Gateway 1 Approval | N/A | | |
| Council Plan & Theme | Our places will... have effective transport and physical infrastructure | UPRN number (if applicable) | | | |

Gateway 2 (Project Approval and Delivery)

- Purpose of Document:** Spending approval at Gateway 2 must be secured before any capital expenditure is incurred on a programme / project. This template brings together all the information needed for an appraisal and approval to be given. If the request varies from the budget either in terms of expenditure, funding or both you must explain this variance in Section A7. Part A is normally completed by the Programme / Project Manager in consultation with the Engie Finance Officer. Part B should be completed by the Programme / Project Manager
- Complex Projects:** Project Officers need to take particular attention of the more complex (eg Civils) projects that are likely to be in excess of £1m. As such early emphasis should be focused around feasibility, early testing and ground issues, appropriate market expertise and understanding the commercial delivery arrangements for the project.
- Role of Gateway 2 Investment Programme Board:** Officers in both the Strategic Investment & Property Team and the Client Finance Team will complete final checks to confirm that relevant information has been submitted correctly.

| PART A | |
|---|--|
| Guidance | A.1 Project Description |
| <p><i>Please provide a brief description of the project / programme to clarify the nature of the proposed expenditure (i.e. what are we spending money on and why?). In most cases, the narrative supplied in the Gateway 1 submission will suffice. Provide grant funding source information in Section A8</i></p> | <p>The S106 programme is a programme of schemes that are associated with planning applications that include improvements to the highway in order to successfully deliver the development and mitigate its impact on the highway network. The associated funds are obtained from the developer and held within an NTC GL account to be delivered at an appropriate time. A delivery programme of highway mitigation works associated with several historical planning applications has been developed, and it is proposed to commence / deliver these over an 18 month period in financial years 2020/21 and 21/22. The programme includes the following works:</p> |

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| | <ol style="list-style-type: none"> 1) £3,000 - Emperor Hadrian, Bristol Drive, Wallsend, ref 07/00780/FUL, 07/03648/S106. Install traffic calming/speed cushion on Bristol Drive. 2) £120,000 - Former REME Depot, Killingworth Village, Killingworth, ref 14/00730/FUL, 15/00100/S106. Upgrade to traffic signals at the junction of the B1505 (Great Lime Road) & Killingworth Road, and installation of traffic calming on the local highway network in the vicinity of the site. 3) £10,000 - Site south of Quorum 9, Quorum Business Park, Benton Lane, Longbenton, ref 10/03104/FUL, 11/00390/S106. Upgrade of the existing footpath/ cycle route to the north of the site connecting to West Moor. 4) £8,000 - Former Parkside Special School, Mullen Road, Wallsend, ref 14/00897/FUL. Installation of traffic calming along Mullen Road in the vicinity of the development. 5) £30,000 - Land and buildings south of Burdon Main Row, North Shields, ref 00/00247/OUT, 06/00247/S106. Junction improvement at Borough Road/Clive Street/New Quay. 6) £10,000 - Cinema, Osprey Drive, Wallsend, planning ref 12/00380/FUL, 13/00572/S106. Vegetation cutback and reformatting bird's mouth fencing. 7) £24,700 – Cinema, Osprey Drive, Wallsend planning ref 12/00565/FUL, 12/01514/S106. New bridleway, footpath connection, dropped kerbs and improved signage. |
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A2. Anticipated Start and Completion Dates

| | | |
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| | Is there full capital budget provision for whole of project/ programme? | Yes |
| | Is the expenditure profile in each year equal to or less than the Capital Budget profile? | Yes |
| | Have Government/ other funding approvals been secured with proof attached? | Yes |
| | Have the effects of revenue consequences been included in revenue budgets? | Yes |
| | Has a Business Case been completed and signed off? | N/A |

A3: Capital Costs

| | | | | | | | |
|---|---|-----------------------|-----------------------|-------------------|------------------|------------------|-------|
| <i>Please review the figures submitted at Gateway 1 and revise them as necessary.</i> | NOTE: Please enter appropriate financial years in the brackets | Year One (2020/21) | Year Two (2021/22) | Year Three () | Year Four () | Year Five () | Total |
|---|---|-----------------------|-----------------------|-------------------|------------------|------------------|-------|

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|---|---|----------------|---------|--|--|-----------------|----------|
| <p><i>A breakdown of indicative cost is required to ensure that an estimate of the revenue cost of any borrowing can be calculated and fee levels are reasonable. ICT costs must be separately. Advice should be sought from the Corporate Finance team on the requirement to split works costs over component items.</i></p> | Acquisitions (lands and buildings) | | | | | | |
| | Works (split into component parts) | £115,700 | £90,000 | | | | £205,700 |
| | Furniture | | | | | | |
| | Vehicles / Plant | | | | | | |
| | ICT | | | | | | |
| | Fees | | | | | | |
| | Other Information <i>If this request is part of a larger budget please supply additional information</i> | | | | | | |
| Total | £115,700 | £90,000 | | | | £205,700 | |

A4. Funding Profile

| <p><i>Programme / project managers must ensure that reprogramming (slippage) does not create loss of external funding. Proof of application and approval are required in respect of any grants or external funding and should be attached to this submission.</i></p> <p><i>This should include any Section 106 or Section 278 planning and developer reference numbers where these are going to be delivered direct via North Tyneside Council.</i></p> | <p>NOTE: Please enter appropriate financial years in the brackets Add rows if required</p> | Year One (2020/21) | Year Two (2021/22) | Year Three () | Year Four () | Year Five () | Total |
|--|--|-----------------------|-----------------------|-------------------|------------------|------------------|-----------------|
| | | £000 | £000 | £000 | £000 | £000 | £000 |
| | Council capital resources | | | | | | |
| | - Borrowing | | | | | | |
| | - Capital receipts | | | | | | |
| | Government specific grant secured | | | | | | |
| | European specific grant secured <i>(please specify funder and source)</i> | | | | | | |
| | Other capital resources – s106 monies | £115,700 | £90,000 | | | | £205,700 |
| | Revenue funding | | | | | | |
| | Current capital expenditure request (Total) | £115,700 | £90,000 | | | | £205,700 |

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|---|--|----------|----------|----------|----------|----------|---------------|------------------|------------------|----------------|---------------|---------------|---------------|
| | If Government / other funding has been secured please provide information. See above | | | | | | | | | | | | |
| A5. Spend Profile | | | | | | | | | | | | | |
| Please provide the monthly spend profile for the first financial year of the project (split between any component parts of the project) | Project | Month 1 | Month 2 | Month 3 | Month 4 | Month 5 | Month 6 (Sep) | Month 7 (Oct) | Month 8 (Nov) | Month 9 (Dec) | Month 10(Jan) | Month 11(Feb) | Month 12(Mar) |
| | S106 | £0 | £0 | £20,000 | £5,000 | £8,000 | £10,000 | £3,000 | £25,000 | £20,000 | £14,700 | £5,000 | £5,000 |
| | Project | Month 13 | Month 14 | Month 15 | Month 16 | Month 17 | Month 18 | | | | | | |
| | S106 | £10,000 | £30,000 | £50,000 | | | | | | | | | |
| A6. Revenue Consequences | | | | | | | | | | | | | |
| Please review the figures submitted at Gateway 1 and revise them as necessary. The intention is to confirm consequential changes to the revenue budget arising from the capital spending proposal. Revenue consequences include longer term costs such as renewal of licences and replacement of equipment. | NOTE: Please enter appropriate financial years in the brackets | | | | | | | Year One (20/21) | Year Two (21/22) | Year Three () | Year Four () | Year Five () | Total |
| | | | | | | | | £000 | £000 | £000 | £000 | £000 | £000 |
| | Employees | | | | | | | | | | | | |
| | Running costs | | | | | | | | | | | | |
| | Cost of borrowing | | | | | | | | | | | | |
| | Total gross expenditure | | | | | | | £115,700 | £90,000 | | | | £205,700 |
| | Gross income | | | | | | | £115,700 | £90,000 | | | | £205,700 |
| | Net expenditure | | | | | | | | | | | | |
| | Existing revenue budget provision | | | | | | | | | | | | |
| | Net revenue budget increase (+) decrease (-) | | | | | | | 0 | 0 | | | | 0 |
| Please identify link to the revenue business case, if applicable | | | | | | | | | | | | | |
| A7. Explanation of Funding / Revenue Consequences (to be aligned with the relevant business case, if applicable) | | | | | | | | | | | | | |
| Use this section to offer further explanation on funding and expenditure profiles. For example, will funding be provided under Invest to Save? Include a statement to | The funding for the proposed programme has already been received and is in the S106 GL account. The works will be completed by our technical partner Capita with the costs sitting with Capita for the duration of the works. At the end of the programme, the full amount will be invoiced. | | | | | | | | | | | | |

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| <p>confirm whether adequate revenue budget provision or savings will be sufficient to meet revenue consequences and, if not, how the revenue budget will be brought into balance. If the request varies from the budget either in terms of expenditure, funding or both, you must explain the variance in this section.</p> | |
| <p><i>This section should highlight any risks associated with this bid. A risk analysis or risk log should be kept and updated regularly. Please detail any mitigating actions that will be put in place in order to manage the risk.</i></p> <p><i>It should also pick up on any information provided at Gateway 0 & 1 with the necessary updates and will prompt us to actively manage risk in advance. Eg commissioning early work on site to improve ground conditions, deal with utilities or tackle party walls etc. This may require a review of currently feasibility funding to make this happen.</i></p> | <p>A8. Known key risks and mitigating actions (please refer to information detailed in Gateway 0 & 1)</p> <p>Objections to the proposals during the formal legal advertising process (Traffic Regulation Orders). Formal processes in place to deal with objections namely: -</p> <ul style="list-style-type: none"> • Ability to make minor scheme alterations to address concerns (if possible) • Formal Cabinet Member delegation process to consider and set aside objections |
| <p><i>Project Officers are requested to outline within this section the proposals around how the individual project will conclude and the implications, if any, would be required. Particularly if any potential overspend requires additional funding and/or ensuring the conditions of any grants are met.</i></p> | <p>A9. Exit Strategy</p> <p>The proposed mitigation measures will be installed by the Council's Technical Partner and maintained by the Council.</p> |

PART B Please provide any relevant changes since submission approval in Gateway 1

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| B1. Technical Appraisal | | | |
| <p><i>This section is presented as a checklist to assist appraisal by the Investment Programme Board (IPB).</i></p> | <p>Technical checklist.</p> | <p>Y / N or N/A</p> | <p>Officer / Member contacted for advice</p> |

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| <p><i>It is important to note that at this stage, the PID should be signed off by the Service Area Senior Manager but not sent with this document unless requested by the IPB).</i></p> <p><i>Much of the information may already be contained on the Gateway 1 form and you may simply need to update the information</i></p> <p><i>Please provide any relevant changes since submission approval in Gateway 1.</i></p> <p><i>Facilities management (FM) normally becomes operational following handover. Activities might include any or all of the following: statutory and good practice maintenance (usually mechanical and engineering work), building fabric and finishes maintenance (to maximise lifespan and performance), lifecycle replacement for each component (costed over 25 years), reactive maintenance (breakages and repairs), cleaning to agreed standards and grounds maintenance.</i></p> | a) Has a feasibility study / option appraisal been undertaken? | N | |
| | b) Has procurement advice been sought? | N/A – delivered by Technical Partner | |
| | c) Has legal advice on contracts, liability and insurance been sought? | N/A | |
| | d) Has advice been sought on access design under the Equality Act 2010 and Designing for Access (DfA2)? | N | |
| | e) Does the project lead to an asset disposal? Has this been discussed with the Strategic Property Manager? | N | |
| | f) Are there any known planning and building control restrictions or issues? | N | |
| | g) Have the Highways Section been consulted regarding highways and transport implications? | Y | |
| | h) Have ICT been consulted re ICT Strategy and data security aspects? | N | |
| | i) Have key stakeholders / delivery partners confirmed their agreement in principle? | Y | |
| | j) Have the Environmental Sustainable Development Team been consulted? | N | |
| | k) Has a high-level risk assessment or risk workshop been undertaken? | N | |
| | l) Has an exit strategy been developed? Complete Section A9 | Y | |
| | m) Has an Equality Impact Assessment been completed? | Yes | |
| | n) Are there any likely carbon impacts of the project? | Likely to be neutral / positive | |
| | o) Are there appropriate Communications and engagement proposals in place? | Y | |
| | p) Where relevant details of stakeholder approvals sighted <i>Please provide information.</i> | n/a | |
| | q) Has assessment of any VAT implications been undertaken with the Engie Officer? | N | |
| r) Have the facilities management arrangements been established? (if no state reasons why) | N | | |

| Submission Sign Off for Parts A and B. | | | |
|--|------------------------------------|-------------------------------|-------------|
| <p><i>Insert the relevant name and the date of their sign off.</i></p> <p>Please note:</p> <p><i>A signed off hard copy of this submission must also be provided to the Client Finance Manager for sign off by the Head of Finance.</i></p> <p><i>If there are any changes to this electronic submission a revised submission with a new version number must be provided. The hard copy must be the same as the latest version of the electronic copy</i></p> | Client Finance Manager | Cathy Davison / David Dunford | Insert Date |
| | Engie Finance Officer | Neil Urwin | Insert Date |
| | Service Area Senior Manager | Colin MacDonald / Dave Foster | Insert Date |
| | Head of Service | Phil Scott | Insert Date |
| | Head of Finance | Janice Gillespie | Insert Date |

| To be completed by Strategic Investment and Property Team only | |
|---|--|
| Outcomes | Investment Programme Board Scrutiny |
| Decision | <i>Approved, deferred or rejected</i> |
| Date of Decision | |
| Observations | |
| Decision communicated to: | |
| Further information and advice | |

Please return completed form to the Strategic Investment & Property Team