

NEWCASTLE-UNDER-LYME BOROUGH COUNCIL

CORPORATE BOARD'S REPORT TO COUNCIL

28 February 2007

1. STATEMENT OF ACCOUNTS 2005/06

Submitted by Finance Manager

Portfolio Finance, Resources and Efficiency

Ward(s) affected All indirectly

Purpose of the Report

To inform Members of changes to the Statement of Accounts which were submitted to you and approved at your meeting of 28 June 2006.

Recommendation

That the amended Statement of Accounts for 2005/06 be approved.

Reasons

If there have been any amendments to the Statement of Accounts, made as a result of the audit of the accounts, since the previous approval the Council are required to approve these revisions.

1. Background

1.1 The Accounts and Audit Regulations 2003 require that the Council's annual Statement of Accounts must be approved by the Council by 30 June 2006. Accordingly, the 2005/06 Statement was presented to you and approved at your meeting on 28 June. At that point the annual audit of the Council's accounts had not taken place. You were informed that if any changes were made to the Statement, the Regulations require that you are made aware of those changes.

2. Issues

2.1 Following the conclusion of the audit in September, it is pleasing to report that an unqualified audit opinion was received. However a number of amendments were agreed with the District Auditor. These amendments, which are largely of a technical accounting nature, are reflected in a revised Statement of Accounts, which is attached as a separate document. The main amendments which it is considered materially affect the Council's financial position are set out in Appendix 'A' (blue paper).

3. Legal and Statutory Implications

3.1 The Accounts and Audit Regulations 2003 require that the Statement of Accounts is approved by the Council and that if any amendments are made to a previously approved Statement these should be reported to a subsequent Council meeting.

4. **Equality Impact Assessment**

4.1 There are no equality issues arising from this report.

5. **Financial and Resource Implications**

5.1 The amendments to the accounts have no effect upon the General Fund Revenue Account. The out-turn position remains as reported to you previously.

5.2 The other amendments that have been made largely affect the Consolidated Balance Sheet and consist largely of amendments to the balances of fixed assets and associated reserves (not containing useable balances) and to debtors and creditors in order to bring transactions into the correct year of account, and therefore, do not affect the resources available to the Council or have any tangible financial implications for it.

6. **Key Decision Information**

6.1 The decision is not included in the forward plan.

7. **Earlier Cabinet/Committee Resolutions**

7.1 The Council meeting of 28 June 2006 approved the draft 2005/06 Statement of Accounts.

8. **List of Appendices**

Amended Statement of Accounts 2005/06.

Appendix 'A' (blue paper), Summary of main amendments to the Statement of Accounts.

2. **MEMBER/OFFICER PROTOCOL**

Purpose

To agree a revised Member/Officer protocol.

DECISION REQUIRED

What changes, if any, do Members wish to make to the Draft Member/Officer Protocol.

RECOMMENDATION

That the Draft Member/Officer Protocol, as amended, be approved.

1. **Background**

1.1 At its meeting on 5 September 2006 the Members Development and Performance Review Sub-Committee considered a draft Protocol and recommended a number of changes which were agreed by Scrutiny Committee on 22 November 2006.

1.2 The amended draft protocol is attached at Appendix 'B' (yellow paper) for Members to consider what changes, if any, to make and to approve a final draft for adoption. Prior to the meeting Group Leaders have received a copy for consideration and any proposals they wish to make will be circulated as soon as they are available.

3. REVENUE BUDGET AND COUNCIL TAX 2007/08

A report on this matter will be circulated following the meeting of the Cabinet to be held on Wednesday 21 February 2007.

MAIN AMENDMENTS TO THE 2005/06 STATEMENT OF ACCOUNTS

As stated in the agenda report, the following adjustments are largely technical in nature and are described below.

1. A number of small adjustments have been made to the Collection Fund Accounts. The most significant was to amend the contributions to the National NNDR Pool from £25,054,184 to £24,976,671 (a reduction of £77,513) to agree to the final NNDR return to the government and to correct an overstatement of the NNDR Pool debtor brought forward. This has the effect of increasing the balance on the Collection Fund and the debtors balance in the Consolidated Balance Sheet.
2. An additional accrual of £253,000 was required in respect of the repayment of a capital contribution, which had been debited to the 2006/07 accounts. Bringing the expenditure into the 2005/06 accounts increased the balance shown in the Consolidated Balance Sheet in respect of Creditors by £253,000 and reduced the balance in respect of Capital Grants and Contributions Unapplied by the same amount.
3. An additional accrual of £50,000 was required in respect of grant due in relation to the Roe Lane capital improvements scheme. This increased the Debtors and Capital Grants and Contributions Unapplied balances.
4. The balance in relation to sundry debtors has been increased by the amount of debtors accounts which have credit balances, which total £102,300 at 31 March 2006. In the Consolidated Balance Sheet the debtors balance has been increased by this amount as has the creditors balance.
5. Debtors and Creditors balances have been increased by £502,224 in respect of payments in advance which had been netted off the debtors balance.
6. Because a part of the Kidsgrove depot has been taken out of use an amount of £41,653 has been recognised as impairment and a charge made to the General Fund Revenue Account accordingly. This is counterbalanced by an appropriation from the Capital Financing Account so there is no overall impact on the Revenue Account. Fixed Assets in the Consolidated Balance Sheet are reduced by £41,653 and the Fixed Assets Restatement Account balance is increased.
7. Some of the Contingent Liabilities shown in Note 9 to the Consolidated Balance Sheet have been identified as items which should more properly be recognised as provisions. Accordingly, an Insurance Claims Provision has been established by a contribution of £209,000 and a Planning Appeals Provision by a contribution of £70,000, both from the General Fund Revenue Account. The contributions have been off-set by an appropriation from the Insurance Fund and the Contingency Reserve so there is no overall impact on the Revenue Account. As a result in the Consolidated Balance Sheet £279,000 appears as a Provisions balance and the balance on Reserves is reduced by £279,000.
8. An adjustment of £996,799 has been made to the value of Community Assets. This relates to enhancement expenditure which had been written off to the Fixed Assets Restatement Account because it was considered that the underlying asset value had not changed as a result of the expenditure. However, because Community Assets are required to be valued at historic cost, this treatment was incorrect and their value should be increased by the amount of the expenditure. Accordingly, Fixed Assets

have been increased by £996,799 and the Fixed Assets Restatement Account has been reduced by that amount.

9. The analysis of fixed assets in the Consolidated Balance Sheet did not correspond to that shown in Note 1 to the Balance Sheet. This has been corrected.
10. £6,000,000 of investments previously categorised as long term have been re-categorised as short term investments in the Consolidated Balance Sheet.
11. Where any of the above amendments also affect the amounts shown in notes to the Consolidated Revenue Account, Collection Fund Account or the Consolidated Balance Sheet, the notes have been amended to reflect them. Similarly, the Explanatory Foreword, the Statement of Total Movements in Reserves and the Cash Flow Statement will have been amended.
12. Apart from amendments to figures contained in the Statement, there have been a number of changes to the text to clarify some issues and to fully comply with the applicable Statement of Recommended Practice (the CIPFA Code of Practice on Local Authority Accounting in the UK 2005).

***DRAFT* MEMBER/OFFICER PROTOCOL**

INTRODUCTION

Members and officers are both servants of the public, and they compliment one another. But their responsibilities are distinct. Members are responsible to the electorate. Officers are responsible to the Head of Paid Service of the Council and their job is to advise Members and the Council, and to carry out the work of the Council as a whole. What is expected both of Members and of officers are the highest levels of respect, objectivity, impartiality and honesty in undertaking their respective roles and in dealing with each other.

This Protocol aims to give guidance in respect of the complex relationships between Members and officers of the Council. Given the wide range of these relationships, this Guidance cannot be prescriptive. Rather, it seeks to give guidance and offers a framework within which both Members and officers should act.

Parliament has approved ten Principles of Good Conduct in public life. The Borough Council of Newcastle-under-Lyme believes that these are sound values which both officers and Members should adhere to in undertaking their respective roles.

This Protocol has been approved by the Council and applies equally to all Members and all officers of the Council. It should be read in conjunction with all other current protocols.

PROTOCOL

1. Definitions

- 1.1 Unless the context indicates otherwise, references to the term 'Council' include the Executive, Overview and Scrutiny Committees and other committees and sub-committees
- 1.2 For the purposes of this Protocol, the term 'Executive' refers to the Leader and Cabinet
- 1.3 Unless the context indicates otherwise, the terms 'Member' and 'Members' include non-elected (i.e. co-opted) Members as well as elected Councillors
- 1.4 'Officers and staff' means all persons employed by the Council
- 1.5 'Senior officer' means members of the Corporate Management Team, Heads of Service, Monitoring Officer, Designated Finance Officer
- 1.6 'Designated Finance Officer' means the officer exercising the duties prescribed by law for the financial administration of the Council

2. Principles

- 2.1 Members and officers must at all times observe this Protocol
- 2.2 The Protocol has been approved by the Council, who will monitor its operation
- 2.3 The Protocol seeks to maintain and enhance the integrity (real and perceived) of local government which demands the highest standards of personal conduct

- 2.4 Members and officers must always respect the roles and duties of each other. They must show respect in all their dealings by observing reasonable standards of courtesy, and by not seeking to take unfair advantage by virtue of their position
- 2.5 Whilst Members and officers are indispensable to one another, their responsibilities are distinct. Members are accountable to the electorate and serve only as long as their term of office lasts. Officers are accountable to the Council as a whole. Their job is to give advice to Members (individually and collectively) and to carry out the Council's work under the direction of the Council
- 2.6 The Council has adopted Codes of Conduct for both Members and officers. Both represent best practice. The Members' Code of Conduct follows the National Code, and has been approved by the Standards Board for England. The Code of Conduct is based on the general principles governing Members' conduct, which are enshrined in law. These are:
- Selflessness – serving only the public interest
 - Honesty and integrity – not allowing these to be questioned; not behaving improperly
 - Objectivity – taking decisions on merit
 - Accountability – to the public; being open to scrutiny
 - Openness – giving reasons for decisions
 - Personal judgment – reaching one's own conclusions and acting accordingly
 - Respect for others – promoting equality, avoiding discrimination; respecting others (Member/Member as well as Member/officer)
 - Duty to uphold the law – not acting unlawfully
 - Stewardship – ensuring the prudent use of the Council's resources
 - Leadership – acting in a way which has public confidence
- 2.7 The above principles underpin this Protocol
- 2.8 Officers are bound by the Council's Code of Conduct for staff and, in some cases, by the codes of their professional associations
- 2.9 Breaches of this Protocol by a Member may result in a complaint to the Standards Board for England if it appears that the Members' Code of Conduct has also been breached. Breaches by a Member might result in a number of sanctions, which could, in serious cases, include suspension or even disqualification. Breaches by an officer might lead to disciplinary action which could, in serious cases, include dismissal.
- 3. The Role of Members**
- 3.1 Members have a number of roles and need to be alert to the potential for conflicts of interest, which may arise between the roles. Where such conflicts are likely, Members may wish to seek the advice of senior colleagues, the relevant senior officer(s) including the Monitoring Officer
- 3.2 Collectively, Members are the ultimate policy makers determining the core values of the Council and approving the authority's policy framework, strategic plans and budget

- 3.3 Members represent the community, act as community leaders and promote the social, economic and environmental wellbeing of the community, often in partnership with other agencies
- 3.4 Every elected Member represents the interests of, and is an advocate for, his/her Ward and individual constituents. Members represent the Council in their Ward, respond to the concerns of constituents, meet with partner agencies and often serve on local bodies
- 3.5 Some Members have roles relating to their position as members of the Executive, Overview and Scrutiny Committees or other committees or sub-committees of the Council
- 3.6 Members serving on Overview and Scrutiny Committees monitor the effectiveness of the Council's policies and services, scrutinise Cabinet decisions, develop policy proposals and examine community issues. They also monitor local health service provision
- 3.7 Members who serve on other committees and sub-committees collectively have delegated responsibilities e.g. deciding quasi-judicial matters, which by law are excluded from the remit of the Executive
- 3.8 Some Members may be appointed to represent the Council on local, regional or national bodies.
- 3.9 As politicians, Members may express the values and aspirations of the party political groups to which they belong, recognising that in their role as Members they have a duty always to act in the public interest
- 3.10 Members are not authorised to instruct officers other than:
 - Through the normal decision making process
 - To request the provision of consumable resources provided by the Council for Members' use; where staff have been specifically allocated to give support to a Member or group of Members
- 3.11 Members are not authorised to initiate or certify financial transactions, or to enter into a contract on behalf of the Council.
- 3.12 Members must avoid taking actions which are unlawful, financially improper or likely to amount to maladministration. Members have an obligation under their Code of Conduct to have regard, when reaching decisions, to any advice provided by the Monitoring Officer or the designated Finance Officer
- 3.13 Members must respect the impartiality of officers and do nothing to compromise it, e.g. by insisting that an officer change his/her professional advice
- 3.14 Members have a duty under their Code of Conduct:
 - To promote equality by not discriminating unlawfully against any person; and
 - To treat others with respect.
- 3.15 Under the Code, a Member must not when acting as a Member or in any other capacity:

- Bring the Council or his/her position as a Member into disrepute
- Use his/her position as a Member improperly to gain an advantage or disadvantage for him/herself or any other person.

4. The Role of Officers

- 4.1 Officers are responsible for giving advice to Members to enable them to fulfil their roles. In doing so, officers will take into account all available relevant factors
- 4.2 Under the direction and control of the Council (including, as appropriate, the Executive, Committees and Sub-committees), officers manage and provide the Council's services within the framework of responsibilities delegated to them. This includes the effective management of employees and operational issues
- 4.3 Officers have a duty to implement decisions of the Council, the Executive, Committees and Sub-committees which are lawful and which have been properly approved in accordance with the requirements of the law and the Council's Constitution, and duly minuted
- 4.4 Officers have a contractual and legal duty to be impartial. They must always act to the best of their abilities in the best interests of the authority as expressed in the Council's formal decisions.
- 4.5 Officers must assist and advise all parts of the Council. They must always act to the best of their abilities in the best interests of the authority as expressed in the Council's formal decisions.
- 4.6 Officers must be alert to issues which are, or are likely to be, contentious or politically sensitive, and be aware of the implications for Members, the media or other sections of the public
- 4.7 Officers have the right not to support Members in any role other than that of Member, and not to engage in actions incompatible with this protocol. In particular, there is a statutory limitation on officers' involvement in political activities.

5. The Relationship between Members and Officers: General

- 5.1 The conduct of Members and officers should be such as to instil mutual confidence and trust
- 5.2 The key elements are a recognition of and a respect for each other's roles and responsibilities. These should be reflected in the behaviour and attitude of each to the other, both publicly and privately
- 5.3 Informal and collaborative two-way contact between Members and officers is encouraged. But personal familiarity can damage the relationship, as might a family or business connection
- 5.4 Members and officers should inform the Chief Executive, or the Monitoring Officer of any relationship which might be seen as unduly influencing their work in their respective roles

- 5.5 It is not enough to avoid actual impropriety. Members and officers should always be open about their relationships to avoid any reason for suspicion and any appearance of improper conduct
- 5.6 Where a personal relationship has been disclosed, those concerned should avoid a situation where conflict could be perceived. Specifically, a Member should not sit on a body or participate in any decision which directly affects the officer on a personal basis
- 5.7 Officers serve the Council as a whole. They have a duty to implement the properly authorised decisions of the Council
- 5.8 Officers work to the instructions of their senior officers, not individual Members. It follows that whilst such officers will always seek to assist a Member, they must not be asked to exceed the bounds of authority they have been given by their managers
- 5.9 Officers will do their best to give timely responses to Members' enquiries. However, officers should not have unreasonable requests placed on them. Their work priorities are set and managed by senior managers. Members must avoid disrupting officers' work by imposing their own priorities
- 5.10 Members will endeavour to give timely responses to enquiries from officers
- 5.11 An officer shall not discuss with a Member personal matters concerning him/herself or another individual employee. This does not prevent an officer raising on a personal basis, and in his/her own time, a matter with his/her Ward Member
- 5.12 Members and officers should respect each other's free (i.e. non-Council) time

6. The Council as Employer

- 6.1 Officers are employed by the Council as a whole
- 6.2 Members' roles are limited to:
- The appointment of specified senior posts
 - Determining human resources policies and conditions of employment; and
 - Hearing and determining appeals
- 6.3 Members shall not act outside these roles
- 6.4 If participating in the appointment of officers, Members should:
- Remember that the sole criterion is merit
 - Never canvass support for a particular candidate
 - Not take part where one of the candidates is a close friend or relative
 - Not be influenced by personal preferences, and
 - Not favour a candidate by giving him/her information not available to the other candidates
 - Have received appropriate training
- 6.5 A Member should not sit on an appeal hearing if the appellant is a friend, a relative, or an officer with whom the Member has had a working relationship.

7. Executive Members and Officers

- 7.1 Senior officers and Cabinet Members shall agree mutually convenient methods of regular contact. Before taking any formal decisions, the Cabinet will seek appropriate professional advice including that of the Monitoring Officers and designated Finance Officer, and will not direct officers in the framing of recommendations
- 7.2 Before any formal decisions with a financial implication are taken by the Cabinet, the Finance Officer and the senior officer(s) for the service(s) concerned must be consulted. This is to ensure that those officers who are budget holders –
- Are aware of the proposed decision
 - Have the opportunity offer advice, and
 - Are subsequently able properly to authorise the financial transactions needed to implement decisions
- 7.3 An individual Cabinet Member who is minded to commission a report about a matter within his/her portfolio must ensure that those other Members and officers who need to know of the matter are so informed. There is a particular requirement to involve other Members on cross-cutting issues
- 7.4 Cabinet Members when making decisions must state the reasons for those decisions. The written record of the decisions must include the reasons
- 7.5 Officers taking decisions under their delegated powers must consider the advisability of informing the relevant Cabinet Member(s) of their intentions in advance when the matter to which the decision relates is likely to be sensitive or contentious, or has wider policy implications

8. Overview and Scrutiny Members and Officers

- 8.1 An Overview and Scrutiny Committee or its Chair acting on its behalf may require officers to attend Overview and Scrutiny meetings. Members should not normally expect junior officers to give evidence. All requests should be made to senior officers in the first instance
- 8.2 When making requests for officer attendance, Overview and Scrutiny Members shall have regard to the workload of officers
- 8.3 It is recognised that officers required to appear before an Overview and Scrutiny Committee may often be those who have advised the Executive or another part of the Council on the matter under investigation. In these circumstances, an officer may have a conflict of interest. Both Members and officers need to consider the severity of the conflict. If deemed appropriate, research and advice may be sought elsewhere
- 8.4 Officers should be prepared to justify advice given to the Council, the Executive or other Committees and Sub-committees even when the advice was not accepted
- 8.5 Officers must also be prepared to justify decisions they have taken under delegated powers
- 8.6 In giving evidence, officers must not be asked to give political views

- 8.7 Officers should respect Members in the way they respond to Members' questions
- 8.8 Members should not question officers in a way which could be interpreted as harassment. Neither should they ask about matters of a disciplinary nature
- 8.9 Overview and Scrutiny proceedings must not be used to question the capability or competence of officers. Chairs and Members need to make a distinction between reviewing the policies and performance of the Council and its services, and appraising the personal performance of staff. The latter is not an Overview and Scrutiny function
- 8.10 In exercising the right to 'call-in' a decision of the Executive, Members must seek advice from the Monitoring Officer if they consider the decision is contrary to the Council's approved plans, policies or frameworks, or is unlawful

9. Members of other Committees or Sub-Committees and Officers

- 9.1 The appropriate senior officers will offer to arrange informal meetings with Chairs and Vice Chairs of Committees and Sub-Committees before formal Committee meetings
- 9.2 Senior officers (including the Monitoring Officer and the designated Finance Officer) have the right to present reports and give advice to Committees and Sub-Committees
- 9.3 Members of a Committee or Sub-Committee shall take decisions within the remit of that Committee or Sub-Committee, and will not otherwise instruct officers to act
- 9.4 Under the Council's Scheme of Delegations, some decisions are delegated to a Chief Officer in consultation with the appropriate portfolio holder or Committee Chair. In these circumstances it is the officer, not the Chair, who takes the action and is responsible for it. A Chair has no legal power to take decisions on behalf of a Committee or Sub-Committee, neither should he/she apply inappropriate pressure on the officer

10. Party Groups and Officers

- 10.1 Officers should not normally be asked to provide information or support to party groups. In exceptional circumstances a Director or senior manager may be asked to give a briefing to a party group but in this case the same briefing must be offered to every other party group
- 10.2 Officers are employed to advise the whole Council and will normally not attend a meeting of a party group
- 10.3 Officer support will not extend beyond providing factual information or professional advice in relation to matters of Council business. Officers must not be involved in advising on matters of party business, and therefore should not be expected to be present at meetings or parts of meetings when such matters are to be discussed
- 10.4 Party group meetings are not empowered to make decisions on behalf of the Council, and conclusions reached at such meetings do not rank as formal decisions. The presence of an officer confers no formal status on such meetings in terms of Council business and must not be interpreted as doing so

- 10.5 Where officers provide factual information and advice to a party group in relation to a matter of Council business, this is not a substitute for providing all the necessary information and advice when the matter in question is formally considered by the relevant part of the Council
- 10.6 It must not be assumed that an officer is supportive of a particular policy or view considered at a party group meeting simply because he/she has attended or provided information to the meeting
- 10.7 Officers will respect the confidentiality of any party group discussions at which they are present and, unless requested to do so by that party group, will not relay the content of such discussions to another party group or to any other Members. This shall not prevent an officer providing feedback to other senior officers on a need-to-know basis
- 10.8 In their dealings with party groups, officers must treat each group in a fair and even-handed manner
- 10.9 Members must not do anything which compromises or is likely to compromise officers' impartiality
- 10.10 The duration of an officer's attendance at a party group meeting will be at the discretion of the group, but an officer may leave at any time if he/she feels it is no longer appropriate to be there
- 10.11 An officer accepting an invitation to the meeting of one party group shall not decline an invitation to advise another group about the same matter. He/she must give substantially the same advice to each
- 10.12 An officer who is not a senior officer shall not be invited to attend a party group meeting, but a senior officer may nominate another officer to attend on his/her behalf
- 10.13 An officer should be given the opportunity of verifying comments and advice attributed to him/her in any written record of a party group meeting
- 10.14 No Member will refer in public or at meetings of the Council to advice or information given by officers to a party group meeting
- 10.15 At party group meetings where some of those present are not Members of the Council, care must be taken not to divulge confidential information relating to Council business. Persons who are not Members are not bound by the Members' Code of Conduct. They do not have the same rights to Council information as Members
- 10.16 Any particular cases of difficulty or uncertainty in relation to this part of the Protocol should be raised with the Chief Executive or the Monitoring Officer and the relevant party group leader.

11. Local Members and Officers

- 11.1 To enable them to carry out their Ward role effectively, Members need to be fully informed about matters affecting their Ward. Senior officers must ensure that all relevant staff are aware of the need to keep local Members informed, thus allowing Members to contribute to the decision-making process and develop their representative role

- 11.2 This need is particularly important:
- During the formative stages of policy development where practicable;
 - In relation to significant or sensitive operational matters;
 - Whenever any form of public consultation exercise is undertaken; and
 - During an Overview and Scrutiny investigation
- 11.3 Issues may affect a single Ward. Where they have a wider impact, a number of local Members will need to be kept informed
- 11.4 Whenever a public meeting is organised by the Council to consider a local issue, all the Members representing the Wards affected should be invited to attend the meeting as a matter of course
- 11.5 If a local Member intends to arrange a public meeting on a matter concerning some aspect of the Council's work, he/she should inform the relevant officer. Provided the meeting has not been arranged on a party political basis:
- An officer may attend but is not obliged to do so; and
 - The meeting may be held in Council-owned premises
- 11.6 No such meetings should be arranged or held in the immediate run-up to Council elections. The run-up to an election is the period of six weeks ending on the day of the election.
- 11.7 Whilst support for Members' Ward work is legitimate, staff should not normally be asked to accompany Members to Ward surgeries
- 11.8 Officers must never be asked to attend Ward or constituency political party meetings
- 11.9 It is acknowledged that some Council staff (e.g. those providing dedicated support to Members) may receive and handle messages for Members on topics unrelated to the Council. Whilst these will often concern, for example, diary management, in no circumstances should Council resources be used for party or political purposes
- 11.10 In seeking to deal with constituents' queries or concerns, Members should not seek to 'jump the queue' but should respect the Council's procedures. Officers have many pressures on their time. They may not be able to carry out the work required by Members in the requested timescale, and may need to seek instructions from their managers

12. Members' Access to Documents and Information

- 12.1 This part of the Protocol should be read in conjunction with the Access to Information Rules in the Council's Constitution
- 12.2 Members may request such information, explanation and advice as they may reasonably need to assist them to discharge their roles as Members. This may range from general information about some aspect of the Council's services to specific information on behalf of a constituent. Where information is requested on behalf of a third party, it will only be provided if:
- It is in the public domain, and
 - It is not barred by the Data Protection Act from being given.

- 12.3 Every member of the Executive, an Overview and Scrutiny Committee and/or any other Committee or Sub-committee has a right to inspect documents about the business of that Overview and Scrutiny Committee, other Committee or Sub-committee or the Executive
- 12.4 A Member who is not a member of a specific Overview and Scrutiny Committee, other Committee or Sub-committee, or the Executive may have access to any document of that specific part of the Council provided:
- He/she can demonstrate a reasonable need to see the documents in order to carry out his/her roles as a Member (the 'need to know' principle); and
 - The documents do not contain 'confidential' or 'exempt' information as defined by the law
- 12.5 Disputes as to the validity of a Member's request to see a document on a need to know basis will be determined by the Monitoring Officer. Officers should seek his/her advice if in any doubt about the reasonableness of a Member's request
- 12.6 A Member should obtain advice from the Monitoring Officer in circumstances where he/she wishes to have access to documents or information:
- Where to do so is likely to be in breach of the Data Protection Act; or
 - Where the subject matter is one in which he/she has a personal or prejudicial interest as defined in the Member's Code of Conduct
- 12.7 Information given to a Member must only be used for the purpose for which it was requested
- 12.8 It is an accepted convention that a member of one party group will not have a need to know and therefore a right to inspect a document which forms part of the internal workings of another party group
- 12.9 Members and officers must not disclose information given to them in confidence without the consent of a person authorised to give it, or unless required by law to do so
- 12.10 When requested to do so, officers will keep confidential from other Members advice requested by a Member
- 12.11 Members and officers must not prevent another person from gaining access to information to which that person is entitled by law

13. Media Relations

- 13.1 All formal relations with the media must be conducted in accordance with the Council's agreed media protocol and the law on local authority publicity
- 13.2 Press releases or statements made by officers must promote or give information on Council policy or services. They will be factual and consistent with Council policy. They cannot be used to promote a party group
- 13.3 Officers will keep relevant Members informed of media interest in the Council's activities, especially regarding strategic or contentious matters

- 13.4 Before responding to enquiries from the media, officers shall ensure they are authorised to do so, and follow the media protocol
- 13.5 Likewise, officers will inform the Council's Media Section of issues likely to be of media interest, since that unit is the media's first point of contact
- 13.6 If a Member is contacted by or contacts the media on an issue, he/she should:
- Indicate in what capacity he/she is speaking (e.g. as Ward Member, in a personal capacity, as an Executive Member, on behalf of the Council, or on behalf of a party group)
 - Be sure of what he/she wants to say or not to say
 - If necessary, and always when he/she would like a press release to be issued, seek assistance from the Council's press office and/or relevant senior officer, except in relation to a statement which is party political in nature
 - Consider the likely consequences for the Council of his/her statement (e.g. commitment to a particular course of action, image, allegations of jumping to conclusions)
 - Never give a commitment in relation to matters which may be subject to claims from third parties and/or are likely to be an insurance matter
 - Consider whether to consult other relevant Members; and
 - Take particular care in what he/she says in the run-up to local or national elections to avoid giving the impression of electioneering, unless he/she has been contacted as an election candidate or political party activist.

14. Correspondence

- 14.1 Correspondence between an individual Member and an officer should not be copied to another Member unless the author expressly intends and states that this is the case or consents. Where correspondence is copied, this should always be made explicit, and there should be no 'blind' copies. This applies equally to the use of emails
- 14.2 Official letters written on behalf of the Council should normally be in the name of the relevant officer
- 14.3 It may be appropriate in some circumstances (e.g. representations to a Government Minister) for letters to appear in the name of a Chair of Committee
- 14.4 Letters which create legally enforceable obligations or which give instructions on behalf of the Council should never be sent in the name of a Member
- 14.5 When writing in an individual capacity as a Ward Member, a Member must make clear that fact
- 14.6 Members should not covertly record electronically conversations either with members of the public or with other Members of the Council in accordance with the local protocol agreed by the Standards Committee

15. Access to Premises

- 15.1 Officers have the right to enter Council land and premises to carry out their work. Some officers have the legal power to enter property in the ownership of others

15.2 Members have a right of reasonable access to Council land and premises to enable them to fulfil their Council duties

15.3 When making visits as individual Members, Members should:

- Whenever practicable, notify and make advance arrangements with the appropriate manager or officer in charge
- Comply with health and safety, security and other workplace rules
- Not interfere with the services or activities being provided at the time of the visit
- If outside his/her own Ward, notify the Ward Member(s) beforehand; and
- Take special care at schools and establishments serving vulnerable sections of society to avoid giving any impression of improper or inappropriate behaviour.
- If in exceptional circumstances the Member cannot inform the Ward Member beforehand he should do so as soon as practicable afterwards

16. Use of Council Resources

16.1 The Council provides Members with services such as typing, printing and photocopying and goods such as stationery and computer equipment to assist them in discharging their roles as Members of the Council. These goods and services are paid for from the public purse. They should not be used for private purposes or in connection with party political or campaigning activities

16.2 Members should ensure they understand and comply with the Council's own rules about the use of such resources, particularly:

- Where facilities are provided in Members' homes at the Council's expense
- In relation to any locally agreed arrangements, e.g. payment for private photocopying; and
- Regarding ICT security

16.3 Members should not put pressure on staff to provide resources or support which officers are not permitted to give. Examples are:

- Business which is solely to do with a political party
- Work in connection with a Ward or constituency party political meeting
- Electioneering
- Work associated with an event attended by a Member in a capacity other than as a Member of the Council
- Private personal correspondence
- Work in connection with another body or organisation where a Member's involvement is other than as a Member of the Council; and
- Support to a Member in his/her capacity as a councillor of another local authority.

17. Interpretation, Complaints and Allegations of Breaches

17.1 This part of the Protocol should be read in conjunction with the Council's Whistleblowing Policy

- 17.2 Members or officers with questions about the implementation or interpretation of any part of this Protocol should seek the guidance of the Monitoring Officer or the Members' Services Officer
- 17.3 A Member who is unhappy about the actions taken by or conduct of an officer should:
- Avoid personal attacks on or abuse of the officer at all times
 - Ensure that any criticism is well founded and constructive
 - Never make a criticism in public; and
 - Take up the concern with the officer privately
- 17.4 If direct discussion with the officer is inappropriate (e.g. because of the seriousness of the concern) or fails to resolve the matter, the Member should raise the issue with the officer's manager or the relevant senior officer
- 17.5 A serious breach of this Protocol by an officer may lead to an investigation under the Council's disciplinary procedure
- 17.6 An officer who believes that a Member may have acted other than in accordance with this Protocol should raise his/her concern with the Monitoring Officer. He/she will consider how the complaint or allegation should be dealt with. At a minor level, this may be no more than informally referring the matter to the leader of the relevant party group. More serious complaints may involve alleged breaches of the Members' Code of Conduct and may be referred to the Standards Board for England.

**MOTION SUBMITTED BY THE CONSERVATIVE GROUP TO
COUNCIL MEETING – 28 FEBRUARY 2007**

Proposed by Cllr Simon Tagg. Seconded by Cllr Stephen Holland.

“The Conservative Group would like to propose the following motion:

That this Council

1. Supports the Sustainable Communities Bill which will devolve more power from Whitehall to councils and communities by –
 - giving councils more power over money spent by national agencies on local matters in their areas; and
 - giving councils and their communities the power to drive government policy to assist them in promoting sustainable communities and thereby help councils to protect the wellbeing of their communities and citizens;
2. Notes that the Bill is promoted in Parliament by a cross-party group of MPs and is supported by 363 MPs, well over half the House of Commons; and
4. Therefore resolves to write to the Secretary of State for Communities and Local Government, urging her to support the Bill and to inform the leading MPs of this decision.”

NEWCASTLE-UNDER-LYME BOROUGH COUNCIL

CORPORATE BOARD’S REPORT TO COUNCIL

28 February 2007

3. REVENUE BUDGET AND COUNCIL TAX 2007/08

Submitted by: Interim Director of Resources

Portfolio: Finance, Resources and Efficiency

Wards affected: All

Purpose of the Report

This report sets out the recommendations of Cabinet for the Revised Revenue Budget for 2006/07, the Revenue and Capital Budget for 2007/08 and later and sets out the recommendations for setting the 2007/08 Council Tax.

At the time of circulating the report the precept requirements of the Fire Authority is not known. When it is received the full recommendations necessary to enable the Council Tax for 2007/08 to be set will be circulated.

Copies of detailed budgets are available on request.

Recommendations

That the Council approve the recommendations set out in Appendix A.

Background

The Scrutiny Committee and the Cabinet have already considered the content of the 2007/08 Budget together with detailed reports concerning Council Tax options and the consequential overall budget level and the resultant Council Tax which is recommended. At its meeting on 21 February 2007 the Cabinet considered the recommendations of the Scrutiny Committee of 14 February. After considering the various comments made the Cabinet recommend a Council Tax for this Council in 2007/08 of £165.92 which is equivalent to an increase of 2.7%, supporting a net Revenue Budget after use of reserves of £16,676,000.

Capital Budget 2006/07 – 2009/10

The Capital programme 2006/07 – 2009/10 was approved by Cabinet on 29 November, 2006 and is attached at Appendix 'C'.

General Fund Budget 2006/07 (revised)

As Members are aware the budget monitoring reports have been pointing to an underspend of approximately £500K for most of the financial year and the revised budget is in line with these monitoring reports. The revised budget shows an underspend of £480,000 against the original budget.

Revenue Budget 2007/08

At its meeting on 21 February, 2007 the Cabinet approved an increase of 2.7% making this authority's element of Council Tax £165.92.

Excluding levies for Town and Parish Councils the recommended Borough Council Tax for a 'Band D property' is £165.92, an increase of 2.7% over 2006/07. The position in relation to the Borough Council's part of the tax is as set out below:

	Estimated Expenditure £	Rate of Council Tax (Band D) £ p
Borough Council requirements –		
Total Net Expenditure	16,676,000	433.16
Less: External Support	<u>10,269,550</u>	<u>266.75</u>
	6,406,450	166.41

Collection Fund Surplus 2003/04	<u>19,000</u>	<u>0.49</u>
	<u>£6,387,450</u>	<u>£165.92</u>

In addition to the basic Council Tax it will be necessary to levy additional charges in the following parishes. The precepts are shown below:

<u>Parish</u>	<u>Rate of Council Tax (Band D)</u>
	<u>£ p</u>
Audley	16.78
Betley, Balterley and Wrinehill	16.23
Chapel and Hill Chorlton	8.06
Keele	16.76
Kidsgrove	11.03
Loggerheads	8.77
Madeley	27.88
Maer	18.07
Silverdale	9.87
Whitmore	13.83

The above levies are based on the requirements supplied by the parishes.

At the time of writing the precept for the Fire Authority has not yet been received, so it is not possible at this stage to show the full composite Council Tax.

Balances and Reserves

The Council's Balances and Reserves Strategy states that there should be a minimum General Fund balance of £1.5m and a Contingency Reserve of £100,000. The Council currently holds these reserves and the Draft Revenue Budget provides for their maintenance at these levels.

Based on these minimum level of reserves being sustained the Finance Manager is of the opinion that the Revenue Budget is robust and that the Council's Revenue Reserves are adequate to support it.

List of Appendices

- A Recommendations
- B Revenue Budget 2007/08
- C Capital Programme Approved by Cabinet 29 November, 2006
- D Grants to Voluntary Bodies
- E Risk Register

Schedule of detailed recommendations

The following recommendations set out the decisions needed for the Council to set its own budgets and Council Tax for 2007/08. A complete set of recommendations will be issued once the Fire Authority has fixed its precept.

Recommendations

- (a) That the Revenue Budget for 2007/08 be approved in the sum of £16,676,000 as set out in the Appendix B.
- (b) That the Capital Programme to 2009/10 be approved as set out in the Appendix C.
- (c) That £154,000 of the Budget Support Fund be utilised to fund the 2007/08 budget.
- (d) That £20,000 of the Budget Support Fund be utilised to fund the Community Chest for 2007/08.
- (e) That the Community Chest for 2007/08 be increased to £60,000 and funded from (d) above with the balance from the Revenue Budget for 2007/08 and the method for grant approvals be reviewed to give more power back to the communities.
- (f) (i) That grants to voluntary bodies be increased by 4% and the grant for the New Victoria Theatre be set at £90,000 as set out in the Appendix.
- (f) (ii) That the savings resulting from the recent restructuring exercise of £200,000 be reinvested to strengthen capacity.
- (g) That the Council Tax at Band 'D' be £165.92 an increase of 2.7% over 2006/07.
- (h) That it be noted that at its meeting on the 29th November, 2006 the Cabinet calculated the following amounts for the year 2007/08 in accordance with the regulations made under Section 33(5) of the Local Government Finance Act 1992.
- (i) 38,498 being the amount calculated by the Council, in accordance with the regulation 3 of the Local Authorities (Calculation of Council Tax Base) Regulations 1992, as its council tax base for the year.
- (ii) For part of the Council's area:-
- | | |
|---------------------------------|-------|
| Kidsgrove | 7,189 |
| Loggerheads | 1,939 |
| Audley | 2,634 |
| Betley, Balterley and Wrinehill | 573 |
| Chapel and Hill Chorlton | 186 |
| Keele | 340 |
| Madeley | 1,485 |
| Maer | 247 |
| Silverdale | 1,393 |
| Whitmore | 810 |

Being the amounts calculated by the Council in accordance with Regulation 6 of the Regulations, as the amounts of its Council Tax Base for the year for dwellings in those parts of its area to which one or more special items relate.

(i) That the following amounts be now calculated by the Council for the year 2007/08 in accordance with Sections 32 to 36 of the Local Government Finance Act 1992:-

- (i) £58,395,741 being the aggregate of the amounts which the Council estimates for the items set out in Section 32(2)(a) to (e) of the Act.
- (ii) £41,491,960 being the aggregate of the amounts which the Council estimates for the items set out in Section 32(3)(a) to (c) of the Act.
- (iii) £16,903,781 being the amount by which the aggregate at (i)(i) above exceeds the aggregate at (i)(ii) above, calculated by the Council, in accordance with Section 32(4) of the Act, as its budget requirement for the year.
- (iv) £10,288,550 being the aggregate of the sums which the Council estimates will be payable for the year into its general fund in respect of redistributed non-domestic rates, revenue support grant or additional grant increased by the amount of the sums which the Council estimates will be transferred in the year from its collection fund to its general fund in accordance with Section 97(3) of the Local Government Finance Act 1988 (Council Tax Surplus) and increased by the amount of any sum which the Council estimates will be transferred from its collection fund to its general fund pursuant to the directions under Section 98(4) of the Local Government Finance Act 1988 made on 7th February, 1994 (Community Charge Surplus).
- (v) £171.83 being the amount at (i) (iii) above less the amount at (i) (iv) above, all divided by the amount at (h) (i) above, calculated by the Council, in accordance with Section 33(1) of the Act, as the basic amount of its Council Tax for the year.
- (vi) £227,781 being the aggregate amount of all special items referred to in Section 34 (1) of the Act.
- (vii) £165.92 being the amount at (i) (v) above less the result given by dividing the amount at (i) (vi) above by the amount at (h) (i) above, calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year for dwellings in those parts of its area to which no special item relates.

(viii) Part of the Council's Area

Audley Parish Council	£182.70
Betley, Balterley and Wrinehill Parish Council	£182.15
Chapel and Hill Chorlton Parish Council	£173.98
Keele Parish Council	£182.68
Kidsgrove Town Council	£176.95
Loggerheads Parish Council	£174.69
Madeley Parish Council	£193.80
Maer Parish Council	£183.99
Silverdale Parish Council	£175.79
Whitmore Parish Council	£179.75

Being the amounts given by adding to the amount at (i) (vii) above the amounts of the special item or items relating to dwellings in those parts of the Council's area mentioned, above divided in each case by the amount at (h) (ii) above calculated by the Council in accordance with Section 34(3) of the Act, as the basic amount of its Council Tax for the year for dwellings in those parts of its area to which one or more special items relate.

(ix)

Valuation Bands

<u>Part of the Council's Area</u>	A		B		C		D		E		F		G		H	
	£	p	£	p	£	p	£	p	£	p	£	p	£	p	£	p
Kidsgrove Town Council					157.2		176.9							294.9		
Loggerheads Parish Council	117.97		137.62		9		5		216.28		255.59		2		353.90	
Audley Parish Council	116.46		135.86		8		9		213.52		252.32		5		349.38	
Betley, Balterley and Wrinehill Parish Council	121.80		142.09		0		0		223.31		263.89		0		365.40	
Chapel and Hill Chorlton Parish Council	121.43		141.67		1		5		222.63		263.10		8		364.30	
Keele Parish Council	115.99		135.31		5		8		212.65		251.30		7		347.96	
Madeley Parish Council	121.79		142.08		8		8		223.28		263.86		7		365.36	
Maer Parish Council	129.20		150.73		6		0		236.87		279.93		0		387.60	
Whitmore Parish Council	122.66		143.10		4		9		224.88		265.76		5		367.98	
Silverdale Parish Council	119.83		139.80		7		5		219.70		259.63		8		359.50	
Other Parts of Borough Area	117.19		136.72		5		9		214.86		253.91		8		351.58	
	110.61		129.04		8		2		202.80		239.66		3		331.84	

Being the amounts given by multiplying the amounts at (i)(vii) and (i)(viii) above by the number which, in the proportion set out in Section 5(1) of the Act, is applicable to dwellings listed in a particular valuation band divided by the number which in that proportion is applicable to dwellings listed in valuation Band D, calculated by the Council, in accordance with Section 36(1) of the Act, as the amounts to be taken into account for the year in respect of categories of dwellings listed in different valuation bands.

The remainder of the formal recommendations will be circulated when the precept requirement of the Fire Authority is received.

REVENUE ESTIMATES 2007/08

APPENDIX B

STATEMENT OF NET EXPENDITURE

Topic Area	Estimate 2006/07	Revised 2006/07	Estimate 2007/08
Administration Before Recharges to Services	19,018,745	17,763,410	18,939,420
Less Recharges to Services	(18,534,625)	(17,763,410)	(18,939,420)
Total Administration Net of Recharges	484,120	-	-
Central Services	4,306,115	4,695,640	4,887,060
Cultural Services	5,528,820	5,203,850	5,274,750
Environmental Services	6,357,570	6,728,510	7,433,430
Planning	1,607,165	954,230	650,130
Transport	1,430,550	1,196,040	1,242,990
Housing	2,137,340	2,525,800	2,518,330
Net Cost of Services	21,851,680	21,304,070	22,006,690
Asset Management Revenue Account	(1,430,310)	(5,000)	-
Pensions Liabilities Account - Interest Costs	600,000	3,000	3,000
Less Return on Assets			
Interest and Investment Income	(1,366,400)	(1,816,650)	(1,888,770)
Net Operating Expenditure	19,654,970	19,485,420	20,120,920
Contribution to/(from) Reserves	(3,638,470)	(3,468,920)	(3,444,920)
Amount to be met from Government Grant and Local Taxpayers	16,016,500	16,016,500	16,676,000
Revenue Support Grant	(1,592,641)	(1,592,641)	(1,475,777)
Other Non-Specific Grants	-	-	-
NNDR Pool Receipts	(8,250,506)	(8,250,506)	(8,793,773)
Collection Fund Deficit/(Surplus)	5,000	5,000	(19,000)
Borough Council Tax Requirement	6,178,353	6,178,353	6,387,450

See Note 1

Notes:

- Owing to an accounting change, there is no longer a requirement to make a capital financing charge in respect of assets used by services. These charges were reversed out via the Asset Management Revenue Account, resulting in a credit from that account. This accounts for the reduction against this item. The Services most affected by no longer making capital charges are Planning, Highways and Cultural.
- The Council Tax Base used in the above table was fixed by the Cabinet at its meeting on 17th January 2007 at 38,498.

Appendix C

NEWCASTLE-U-LYME BOROUGH COUNCIL CAPITAL PROGRAMME 2006/07 - 2009/10								APPENDIX C		
Scheme	Exp to 31/03/06	2006/07 Actual to Date	2006/07 Est Exp	2007/08 Est Exp	2008/09 Est Exp	2009/10 Est Exp	Total Exp	Exp to be financed	Financed from -	
									External Contribs	Council Financing
	£	£	£	£	£	£	£	£	£	£
GENERAL PROGRAMME- Funding approved										
Finance & Resources & Efficiency										
Civic Suite Additional Refurbishment Works	288,000		31,000				319,000	31,000		31,000
Emergency Generators	89,600	-3,600	50,400				140,000	50,400		50,400
Reception/Civic Suite improvements	119,400	100	130,600				250,000	130,600		130,600
Emergency Planning Control Centre			15,000				15,000	15,000		15,000
Wereton Road Bridge Works				73,500			73,500	73,500	40,500	33,000
Depot Houses Conversion to Offices			65,000				65,000	65,000		65,000
Swimming Provision Feasibility Study			50,000				50,000	50,000		50,000
Stock Condition Survey Repairs	1,049,900	473,000	1,000,000	2,709,900			4,759,800	3,709,900		3,709,900
Customer Access Development	0	0	0	250,000	250,000	250,000	750,000	750,000		750,000
Totals	1,546,900	469,500	1,342,000	3,033,400	250,000	250,000	6,422,300	4,875,400	40,500	4,834,900

Scheme	Exp to 31/03/06	2006/07 Actual to Date	2006/07 Est Exp	2007/08 Est Exp	2008/09 Est Exp	2009/10 Est Exp	Total Exp	Exp to be financed	Financed from -	
									External Contribs	Council Financing
GENERAL PROGRAMME- Funding approved	£	£	£	£	£	£	£	£	£	£
Regeneration & Planning										
Economic Regeneration Projects			395,000	175,000			570,000	570,000		570,000
Apedale Heritage Centre			30,000				30,000	30,000		30,000
HIP Renewal Grants	Not Appl.	210,400	1,021,100	670,000	655,000	655,000	2,346,100	3,001,100	1,708,000	1,293,100
HIP Disabled Facilities Grants	Not Appl.	193,100	518,100	550,000	550,000	550,000	2,168,100	2,168,100	1,200,000	968,100
Housing (HMR and other areas)*	See note	128,500	735,000	3,863,900			4,598,900	4,598,900	See note	4,598,900
Town Centre East Completion Works				50,000			50,000	50,000		50,000
Totals	0	532,000	2,699,200	5,308,900	1,205,000	1,205,000	10,418,100	10,418,100	2,908,000	7,510,100
* Housing (HMR and other areas)										
Note 1										
Individual Projects -										
Loans Scheme	250,000									
Highways Works Group Repair Scheme	20,000									
Voluntary Purchase/Clearance Scheme	203,700									
Chesterton Environmental Improvements	189,000									
Drainage Works/Study Knutton/Cross Heath	67,000									
Unallocated Schemes	3,869,200									
	4,598,900									
Note 2										
Although the Housing (HMR and other areas) projects have no direct external funding entered in this table they represent the Council's contribution to the Housing Market Renewal Pathfinder (RENEW) programme. This demonstrates the Council's commitment to RENEW and helps generate considerable external funding from central government. To date, projects for which this fund has been used have attracted contributions of some £1.4m from the RENEW programme.										

Scheme	Exp to 31/03/06	2006/07 Actual to Date	2006/07 Est Exp	2007/08 Est Exp	2008/09 Est Exp	2009/10 Est Exp	Total Exp	Exp to be financed	Financed from -	
									External Contribs	Council Financing
GENERAL PROGRAMME- Funding approved	£	£	£	£	£	£	£	£	£	£
Community Safety										
Midway MSCP - Secure by Design	179,800	79,300	79,300				259,100	79,300		79,300
Parkhouse/Lymedale CCTV Maintenance			20,000				20,000	20,000		20,000
CCTV improvement	14,900	125,600	250,000	185,100			450,000	435,100		435,100
Totals	194,700	204,900	349,300	185,100	0	0	729,100	534,400	0	534,400

Scheme	Exp to 31/03/06	2006/07 Actual to Date	2006/07 Est Exp	2007/08 Est Exp	2008/09 Est Exp	2009/10 Est Exp	Total Exp	Exp to be financed	Financed from -	
									External Contribs	Council Financing
	£	£	£	£	£	£	£	£	£	£
GENERAL PROGRAMME- Funding approved										
Quality Of Life & Social Inclusion										
Silverdale/Knutton/Holditch Walkway	354,300	1,600	27,500				381,800	27,500	27,500	0
Bamber Place Play Area		50,000	50,000				50,000	50,000	50,000	0
Thistleberry Play Area Imps			44,700				44,700	44,700	40,000	4,700
Cemetery Memorial Safety Programme	9,000	2,500	8,000				17,000	8,000		8,000
Site Investigation Replacement Burial Facility	5,900	3,800	24,100				30,000	24,100		24,100
Parks Pathways	214,900	101,200	400,000	54,100			669,000	454,100		454,100
Knutton Rec. Centre Football Pitches Imps	222,000		36,200				258,200	36,200	36,200	0
Brampton Park Sensory Garden			29,000				29,000	29,000	29,000	0
Moorlands Road Play Area	6,000	44,700	60,000				66,000	60,000		60,000
Replacement of Play Equipment	411,500	-23,500	250,000	195,500			857,000	445,500		445,500
Allotments Regeneration Project	38,500		3,500				42,000	3,500	3,500	0
Chatterley Close Footpath Repairs	23,300		26,700				50,000	26,700		26,700
Bradwell Crematorium Refurbishment (incl inv)	56,300	116,400	233,700				290,000	233,700		233,700
Lyme Valley Parkway Project	610,900	7,100	7,100				618,000	7,100		7,100
Chesterton/Chatterley Valley Greenway	177,700	1,400	162,300				340,000	162,300	162,300	0
Silverdale Greenway				300,000			300,000	300,000	300,000	0
Roe Lane Football Pitches Imps	967,200	500	30,800				998,000	30,800		30,800
Silverdale Park YRF Improvements			5,000				5,000	5,000	5,000	0
YRF Facilities Brampton Rec Ground			65,000				65,000	65,000	65,000	0
Cemetery Memorial Safety Programme			70,000				70,000	70,000		70,000
Chesterton Park Bowls Pavilion				190,000			190,000	190,000	50,000	140,000
Sports Village Pre-Feasibility Project Management			30,000				30,000	30,000		30,000
Bathpool Park Improvements		400	400	564,600			565,000	565,000	465,000	100,000
Civic Offices/Public Buildings Disabled Access	666,400	375,800	500,000	528,800			1,695,200	1,028,800		1,028,800
Purchase of Land	5,300		24,700				30,000	24,700		24,700
Replacement Cemetery				2,100,000			2,100,000	2,100,000		2,100,000
Bateswood Bridle Path Feasibility Study				5,000			5,000	5,000		5,000
Totals	3,769,200	681,900	2,088,700	3,938,000	0	0	9,795,900	6,026,700	1,233,500	4,793,200

Scheme	Exp to 31/03/06	2006/07 Actual to Date	2006/07 Est Exp	2007/08 Est Exp	2008/09 Est Exp	2009/10 Est Exp	Total Exp	Exp to be financed	Financed from -	
									External Contribs	Council Financing
GENERAL PROGRAMME- Funding approved	£	£	£	£	£	£	£	£	£	£
Environment & Recycling										
Market Cross - Repairs/Improvements	6,500	24,600	24,600				31,100	24,600	3,000	21,600
Pool Dam Valley Marshes Nature Reserve	3,000		47,000				50,000	47,000	47,000	0
Silverdale Brook Works		30,000	30,000				30,000	30,000		30,000
Woodland Creation (Invest to Save) Ph. 3	25,100		38,700				63,800	38,700	28,200	10,500
Woodland Creation (Invest to Save) Ph. 4	13,600		31,400				45,000	31,400		31,400
S106 Landscaping Minton St/High St Wolst.			2,200				2,200	2,200	2,200	0
Small Projects Fund	48,000	2,100	2,100				50,100	2,100		2,100
Public Lighting - Footpaths etc	7,300		4,700				12,000	4,700		4,700
Meadow Creation (Invest to Save)				7,000			7,000	7,000		7,000
Waste Transfer Station Repairs		60,200	63,400				63,400	63,400		63,400
Andrew Place Environmental Improvements			100,000				100,000	100,000	85,000	15,000
General Projects										
Final Accounts & Retentions Various		4,200	30,000				30,000	30,000		30,000
Totals	103,500	121,100	374,100	7,000	0	0	484,600	381,100	165,400	215,700

Scheme	Exp to 31/03/06	2006/07 Actual to Date	2006/07 Est Exp	2007/08 Est Exp	2008/09 Est Exp	2009/10 Est Exp	Total Exp	Exp to be financed	Financed from -	
									External Contribs	Council Financing
FUNDED FROM REVENUE - Internal Leasing / Operational Hire	£	£	£	£	£	£	£	£	£	£
Refuse Vehicle Fleet				2,000,000			2,000,000	2,000,000		2,000,000
ICT Equipment (May 06)	1,726,800	198,200	944,000	380,000	715,000		3,765,800	2,039,000		2,039,000
New Cremators/Mercury Abatement Equip.			750,000				750,000	750,000		750,000
Air Quality Monitoring Equipment			20,000				20,000	20,000		20,000
Totals	1,726,800	198,200	1,714,000	2,380,000	715,000	0	6,535,800	4,809,000	0	4,809,000
GRAND TOTAL	7,341,100	2,207,600	8,567,300	14,852,400	2,170,000	1,455,000	34,385,800	27,044,700	4,347,400	22,697,300

Grants to Voluntary Bodies

The following bodies to receive an increase of 4%

North Staffs Playground for the Handicapped

Newcastle Play Council

Newcastle Sports Council

CVS

Mind

Rape Crisis

Relate

Samaritans

Elizabeth House

Elizabeth House – Temporary Drop In

Potteries Housing Association – Outreach

Gingerbread

Potteries Women's Refuge

Domestic Violence Helpline

Furniture Mine

YMCA

Turning Point

Shelter

Salvation Army

Risk Register

Project – Budget Forecast 2007/8

Risk Score (I)

10 - catastrophic >£1m
 5 - critical <£1m
 3 - serious <£250,000
 2 - Marginal <£50,000
 1 - Negligible <£25,000

Likelihood (L)

5 - Frequent
 4 - Probable
 3 - Possible
 2 - Remote chance
 1 - Extremely unlikely

Risk rating

Score 20+ High
 10-19 Medium
 0-9 Low

Item No.	Risk	Potential Consequences	Risk Score	Risk Rating	Specify Existing Control Measures	Final Score	Final Risk Rating	Further Action Required	Owner	Target Date
1	Increase in fees and charges does not result in higher income levels	Shortfall in income leading to overspends	2 x 3	Low	Included in calculation of prudent minimum balances	2 x 3	Low	None	Corp Board	-
2	Income cannot be collected because of non-availability of service (e.g. through closure of facilities for repairs)	Shortfall in income leading to overspends	2 x 3	Low	Included in calculation of prudent minimum balances	2 x 3	Low	None	Corp Board	-
3	Bad debts reduce the Council's income	Shortfall in income leading to overspends	2 x 3	Low	The Council has a bad debts provision. The 2006/07 budget includes £150,000 for contributions to the provision	2 x 3	Low	Increase monitoring of collection performance	Corp Board	Quarterly

Item No.	Risk	Potential Consequences	Risk Score	Risk Rating	Specify Existing Control Measures	Final Score	Final Risk Rating	Further Action Required	Owner	Target Date
4	Job Evaluation – additional unbudgeted costs for successful appeals, market force supplements etc	Potential substantial additional costs	4 x 3	Medium	Balances substantial	4 x 3	Medium	Seek independent legal advice for potential claims	Corp Board	June 07
5	Employee budgets – The budget is discounted on the assumption there will be vacancies. The impact of 1% vacancy is about £100,000	Vacancies do not occur leading to additional costs	3 x 3	Low	The budget assumes vacancy factor of 3%. This is realistic compared with experience from previous years.	3 x 3	Low	None	Corp Board	-
6	Employee Budgets - The 2007/08 employee pay settlement results in an increase higher than the 2.5% included in the budget.	Additional unbudgeted costs	3 x 3	Low	Balances sufficient to deal with any additional costs	3 x 3	Low	None	Corp Board	-
7	Problems with staff recruitment/retention result in significant use of agency/interim staff at extra cost or the payment of market supplements	Additional unbudgeted costs	3 x 3	Low	Situation subject to ongoing review. Service Reviews may identify areas for increased investment or where activities may be reduced requiring less staffing resource.	3 x 3	Low	None	Corp Board	-
8	Council becomes liable to pay compensation or legal fees or similar	Additional unbudgeted costs	3 x 3	Low	Included in calculation of prudent minimum balances	3 x 3	Low	None	Corp Board	-

Item No.	Risk	Potential Consequences	Risk Score	Risk Rating	Specify Existing Control Measures	Final Score	Final Risk Rating	Further Action Required	Owner	Target Date
	unforeseen commitment arises.									
9	Fall in interest rates reduces income to the Council.	Investment income targets not met	3 x 3	Low	The majority of the portfolio is invested at fixed rates for periods extending beyond September 2007. Included in calculation of prudent minimum balances	3 x 3	Low	None	Corp Board	-
10	Overspend on Capital Projects increases unsupported capital financing costs on the General Fund	Uses up capital resources and puts other projects at risk	3 x 3	Low	Capital Budgets have been realistically set.	3 x 3	Low	None	D of R	-
11	Fuel costs increase by more than 10% allowed for in budget.	Additional unbudgeted costs	3 x 3	Low	Realistic increases included in base budget	3 x 3	Low	None	D of A & O S	-
12	Energy costs increase by more than 25% allowed for in budget	Additional unbudgeted costs	3 x 3	Low	Realistic increases included in base budget	3 x 3	Low	None	Corp Board	-
13	Concessionary Fares scheme – costs cannot be contained within budget provision, e.g. owing to fare rises or increased travel.	Additional unbudgeted costs	4 x 3	Medium	Already identified as a significant risk area within the budget and, therefore, monitored on an ongoing basis. Staffs CC who manage the scheme to supply regular updates on	4 x 3	Medium	None	D of R	Quarterly

Item No.	Risk	Potential Consequences	Risk Score	Risk Rating	Specify Existing Control Measures	Final Score	Final Risk Rating	Further Action Required	Owner	Target Date
					cost.					
14	Insurances – savings on premiums and excesses less than anticipated.	Additional unbudgeted costs	3 x 3	Low	Next premium increase is in Feb 2008 and will impact on 2008/09 budget. 2007/08 now known and allowed for in budget. Included in calculation of prudent minimum balances	3 x 3	Low	None	D of R	-
15	Government increase NI rates during 2007/08. An increase of 1% adds about £100,000 to the Council's costs	Additional unbudgeted costs	3 x 3	Low	Included in calculation of prudent minimum balances	3 x 3	Low	None	D of R	-