

Public Document Pack

Date of meeting **Wednesday, 18th January, 2012**

Time **10.00 am**

Venue **Committee Room 1. Civic Offices, Merrial Street,
Newcastle-under-Lyme, Staffs ST5 2AG**

Contact **Julia Cleary**

Cabinet

AGENDA

PART 1– OPEN AGENDA

- 1 MINUTES** **(Pages 1 - 4)**
To consider the minutes of the previous meeting held on 30 November 2011.
- 2 DECLARATIONS OF INTEREST**
To receive declarations of interest from Members on items included in the agenda.
- 3 Annual Audit Letter 2011/12** **(Pages 5 - 22)**
- 4 Calculation of the Council Tax Base 2012/13** **(Pages 23 - 28)**
- 5 Revenue and Capital Budgets 2012/13** **(Pages 29 - 40)**
- 6 Scale of Fees and Charges** **(Pages 41 - 68)**
- 7 Housing Capital Programme 2012-13** **(Pages 69 - 76)**
- 8 Housing Renewal Assistance Policy 2012/16** **(Pages 77 - 84)**
- 9 Capital Strategy 2012/15** **(Pages 85 - 100)**
- 10 Asset Management Strategy** **(Pages 101 - 134)**
- 11 Provision of Recycling Bring Bank Sites** **(Pages 135 - 144)**
- 12 Future Commissioning for the Voluntary and Community
(Third) Sector** **(Pages 145 - 156)**
- 13 URGENT BUSINESS**
To consider any business which is urgent within the meaning of Section 100B(4) of the Local Government Act 1972.
- 14 DISCLOSURE OF EXEMPT INFORMATION**
To resolve that the public be excluded from the meeting during consideration of the report because it is likely that there will be a disclosure of exempt information as defined in Paragraph 3 in Part 1 of Schedule 12A of the Local Government Act 1972.

15 SCALE OF FEES AND CHARGES

(Pages 157 - 158)

Appendix attached

Members: Councillors S Sweeney (Chairman), Studd (Vice-Chair), J Bannister,
A Howells, N Jones and M Reddish

'Members of the Council: If you identify any personal training / development requirements from the items included in this agenda or through issues raised during the meeting, please bring them to the attention of the Committee Clerk at the close of the meeting'

Officers will be in attendance prior to the meeting for informal discussions on agenda items.

CABINET

Wednesday 30 November 2011

Present:- Councillor S Sweeney – in the Chair
Councillors Howells, Jones, Miss Reddish and Studd

1. **APOLOGIES**

Apologies were received from Councillor Bannister.

2. **MINUTES**

The minutes of the Cabinet meeting held on Wednesday 19 October 2011 were agreed pending the alteration of 'Committee' to 'Cabinet' on page 2 of the agenda.

3. **DECLARATIONS OF INTEREST**

There were no declarations of interest.

4. **KEELE UNIVERSITY PROMOTIONAL SIGNAGE**

The Cabinet welcomed the Vice Chancellor from Keele University, Professor Nick Foskett to the meeting.

Members agreed that it was important to show through the use of signage that Keele was part of the Borough of Newcastle under Lyme thus helping to raise the image of the Borough. Professor Foskett agreed and stated that it would be beneficial for the Council and the University to work more closely together and that he was optimistic regarding the benefits to both organisations. Keele University was one of the largest employers in the Borough with approximately £120 million turnover and it was important that the Council and the University work together to stimulate growth, encourage economic engagement and find ways to offer opportunities for new graduates. It was agreed that Cabinet Members visit the University in the spring.

Resolved: (a) That the request from Keele University to add signage announcing the presence of the University to existing 'Welcome to Newcastle' gateway signs be noted.

(b) That Officers be authorised to take the necessary steps to implement the additional signage.

(c) That Cabinet Members visit the University in the Spring.

5. **FINANCIAL AND PERFORMANCE MANAGEMENT REPORT TO END OF QUARTER TWO (SEPTEMBER) 2011**

A report was submitted to provide Members with the financial and Performance Review for the 2011/12 second quarter.

There had been very few missed targets and some targets were better than had been expected. Where targets had not been achieved reasons had been

documented. Crime reduction figures were thought to be excellent and it was felt that these would improve even further following the move of the Police into the Civic Offices.

The Council continued to deliver the Partnership Scheme for improvements in Newcastle Town Centre Conservation Area which was thought to be a major asset to the Town and included a key project at Mellards Warehouse that was due for Phase 1 completion by November, Stage 2 would commence in December.

A mystery shopper scheme was due to take place in conjunction with Stafford Borough Council, results from this were expected in December 2011. CST2 on Pg 26 of the agenda had not reached the target but this had been due to vacancies, long term sickness and annual leave commitments. A number of these issues had now been addressed and the September figures showed an improvement.

The review of ICT contracts had now been completed which would result in good savings for the Council. The sickness figures for the last six months were excellent at only 3.46 which were below target and on par with levels in the private sector. The % projected variance against the full year Council budget was 0.3 but £200,000 had been included in the budget to cover this and the variance was still deemed an achievement considering the current financial climate.

ER5 and ER6 on pg 30 of the report showed a negative but these were now back on track and inspections of licensed premises were now being prioritised to ensure the target was achieved In the next quarter.

The number of people accessing leisure and recreational facilities had not reached the target but this was due to the closure to facilities at Knutton recreation centre and it was anticipated that these figures would improve following the opening of Jubilee 2 in January 2012. The Museum was praised for the increase in visitor numbers this year, an increase of 1762.

Resolved: That the contents of the report be noted and that the Council continues to monitor and scrutinise performance alongside finances.

6. AMENDMENT TO THE CORPORATE COMPLAINTS, COMMENTS AND COMPLIMENTS POLICY

Cabinet was requested to approve amendments to the Corporate Complaints Procedure contained within the Corporate Complaints, Comments and Compliments Policy from a 3 stage internal process to a 2 stage internal process. The 2 new stages would be as follows:

Stage 1 Review and Process – investigation and response by Officer and Department.

Stage 2 Independent Internal Appeal – investigation by the Customer Relations Officer.

Resolved: That the current internal 3 stage complaints process be reduced to a 2 stage process.

7. **NEWCASTLE-UNDER-LYME INTEGRATED WASTE MANAGEMENT STRATEGY**

A report was submitted regarding the Council's integrated waste management strategy. It was highlighted that the service had won five awards and been recognised nationally for the improvements made to waste collection. As such the report requested that the period of the Council's current Strategy be extended alongside any associated contractual arrangements.

Resolved: (a) That Cabinet note the recent National Waste Review and the current alignment of the Councils Strategy with the outcome of the review.

(b) That the progress of the Strategy to date, including significant increases in the amount of recycling rates and national recognition for the Councils scheme be noted.

(c) That the current Integrated Waste Management Strategy be extended until July 2016.

(d) That the Executive Director of Operational Services be authorised to enter into two year extensions of the existing contracts with the contractors detailed in this report.

(e) That the proposed timescale for a comprehensive review of the Councils Strategy be approved as set out in the report.

(f) That opportunities for further cost savings through existing contracts and joint working be kept under review through the life of the Strategy and review process.

8. **ALLOTMENTS SERVICE - REVIEW OF POLICY**

Members received a report requesting that a review be undertaken of the Allotments Policy including consideration of options to reduce the current level of subsidy and overall cost of the allotment service provided by the Council.

Resolved: (a) That a review of the Councils Allotments Policy be carried out, including the consideration of options to reduce the cost of the service and progress local management of allotment sites.

(b) That a report on the outcome of the review, including consultation work and a proposed revised charging structure, be brought to a future meeting of the Cabinet.

9. **ICT CONTRACT RE-NEGOTIATION**

Cabinet received a report advising it of a decision to enter into a re-negotiated contract and to waive Contract Standing Orders under the urgency procedures set out in the Constitution in order to reduce costs.

Resolved: That the information be received.

10. **UNITED CHARITIES - APPOINTMENT OF COUNCIL REPRESENTATIVES**

Cabinet were requested to appoint a representative to serve on the United Charities for a period of 4 years with effect from 1 December 2011.

Resolved: That Councillor David Clarke be re-appointed.

11. JUBILEE 2 UPDATE

A report was submitted to update the Cabinet regarding progress relating to the Jubilee 2 since the last meeting.

Resolved: (a) That the progress in delivery of the 'Jubilee 2' centre be noted, including the public opening event on 7 January 2012.

(b) That Enger-G be commissioned to undertake the maintenance of the combined heat and power unit installed at the Jubilee 2 centre initially for a 1 year period at a fee of £5,658 without seeking alternative quotations and that the Council's Standing orders and Financial Regulations (as per Section 2a(i) and 2b(vii)) be waived for the reasons identified in section 2.5 of this report.

12. NEWCASTLE TOWN CENTRE CAR PARKS

A report was submitted to inform Cabinet of the results of recent surveys of Borough Council owned public car park usage and to enable consideration of possible alternative uses in the future. It was highlighted that no decisions had yet been made regarding the future of any of the car parks and that the results of a second survey would be awaited.

Resolved: (a) That the report be received.

(b) That officers conduct a further survey in mid 2012 and report back to Cabinet with the findings to enable consideration of any further action.

(c) That the findings be reviewed as part of both the emerging Site Allocations Development Plan Document and the next version of the Asset Management Strategy.

S SWEENEY
Chair

ANNUAL AUDIT LETTER 2010/11

Submitted by: Executive Director – Resources and Support Services

Portfolio: Resources and Efficiency

Ward(s) affected: All

Purpose of the Report

To receive the Annual Audit Letter from the Audit Commission dealing with the Audit of Accounts 2010/11 (Appendix).

This report will also be considered by the Audit and Risk Committee at their meeting on 30 January.

Recommendation

That the Audit Commission's Annual Audit Letter be received.

Reasons

External audit is an essential element in the process of accountability for public money and makes an important contribution to the stewardship of public resources and corporate governance of public services. This report provides an overall summary of the Audit Commission's assessment of the Council.

The Annual Audit Letter from the Audit Commission dealing with the Audit of Accounts 2010/11 is addressed to the Council, but is also available as a public document for stakeholders, including the community served by the Council.

1. **Background**

1.1 The Audit Commission's Annual Audit Letter summarises the conclusions and significant issues arising from the audit and inspection of the Council for the financial year 2010/11.

1.2 The letter summarises the findings from the 2010/11 audit. It includes messages arising from the audit of the financial statements together with the results of the work that the Audit Commission have undertaken to assess the way the Council is managing performance together with the Council's arrangements for securing value for money in its use of resources.

2. **Issues**

2.1 The Audit Commission has issued a very positive report and comments that the Borough Council "continues to manage its finances well". It states "you have demonstrated that the Council, from members, through Cabinet and the management team, to those delivering services, has been proactive in responding to challenges which should leave you relatively robustly positioned for the future".

2.2 In respect of the Commission's value for money conclusion the Council has received an unqualified opinion. The Auditor states in the letter "I am satisfied that in all respects the Council has made proper arrangements for securing value for money".

2.3 The Audit Commission have issued an unqualified opinion on the financial statements for

2010/11. One of the significant challenges that all local authorities were faced with during the year was the introduction of International Financial Reporting Standards (IFRS). With regards to the Borough Council the letter states “because of your extensive preparations, although the introduction of these standards has presented a significant challenge to the Council, the finance team were able to produce a draft set of accounts that was in line with good practice. As a result of this work, the financial statements had few errors and the working papers were comprehensive. This was a better position than many councils nationally who had difficulties with the introduction of IFRS”.

3. **Options Considered**

- 3.1 To do nothing is not an option for the Council which is striving for excellence.
- 3.2 The Annual Audit Letter is based on information and evidence supplied by officers and members and has been through a process of quality control. To challenge the reports and review findings is therefore not a feasible option.
- 3.3 The Annual Audit Letter should be received.

4. **Proposal**

- 4.1 To receive the Audit Commission’s Annual Audit Letter.

5. **Outcomes Linked to Sustainable Community Strategy and Corporate Priorities**

- 5.1 The Audit Commission, external audit function gives assurance on the stewardship of public resources and effectiveness of its services in terms of value for money as well as contributing to the prevention, detection and investigation of potential fraud and corruption incidents. Audit Commission reports and reviews provide external challenge to the Council through which can be demonstrated improvement in relation to the Corporate Priority of ‘Transforming our Council to Achieve Excellence.’

6. **Legal and Statutory Implications**

This report raises no new statutory or legal implications.

7. **Equality Impact Assessment**

There are no differential equality impact issues identified from this proposal.

8. **Financial and Resource Implications**

- 8.1 This report raises no additional financial or resource implications in itself.

9. **Major Risks**

- 9.1 The risk of the Council not learning from the issues raised in the Annual Audit Letter may result in the provision of poorer services and increased inspection.

10. **List of Appendices**

Appendix - Annual Audit Letter - November 2011

Annual Audit Letter

Newcastle Under Lyme Borough Council

Audit 2010/11



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Traffic light explanation

Red ■ Amber ◆ Green ●

Key messages

- This report summarises the findings from my 2010/11 audit. My audit comprises two elements:**
- **the audit of your financial statements; and**
 - **my assessment of your arrangements to achieve value for money in your use of resources.**

Key audit risk

Unqualified audit opinion



Our findings

Proper arrangements to secure value for money



Audit opinion and financial statements

2010/11 was the first year the Council prepared financial statements under the International Financial Reporting Standards (IFRS). I have previously reported to you my assessment that the Council was making good progress to prepare for IFRS. My audit of the 2010/11 accounts has confirmed this.

Your finance team has a good understanding of the requirements of IFRS and your approach was in line with good practice examples. Your financial statements were prepared with few errors and the working papers were comprehensive. I did not identify any material errors in your accounts.

Value for money

I am required to satisfy myself that the Council has made proper arrangements for securing value for money. For 2010/11 the Audit Commission determined two criteria for me to consider:

- securing financial resilience; and
- challenging how it secures economy, efficiency and effectiveness.

I am satisfied that in all respects the Council has made proper arrangements for securing value for money.

With regard to financial resilience, I consider that the Council continues to manage its finances well. For 2010/11 the Council delivered a small deficit.

The Council's budget has set out a clear plan to deliver the necessary savings plans. I have therefore reviewed your medium term financial strategy within the context of the impact of the comprehensive spending review and your decision to have frozen Council Tax in 2011/12.

I found your financial planning assumptions to be reasonable and reported financial data to be used effectively in monitoring financial performance. The ongoing savings programme across all areas of the Council is on-target for 2011/12. In my view, you have demonstrated that the Council, from members, through Cabinet and the management

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team, to those delivering services, has been proactive in responding to challenges which should leave you relatively robustly positioned for the future.

I am also required to look at your arrangements for challenging how you secure economy, efficiency and effectiveness. The Council continues to prioritise resources within tighter budgets and has set out the vision, approach and detailed plans to reduce costs in accordance with the Council's corporate objectives. You have identified efficiencies to be made by undertaking service reviews and the documents and processes are well developed, demonstrating a clear and effective approach to reviewing services in order to produce efficiencies in line with corporate objectives.

You are working closely with a number of other councils to look at areas where you can learn from their approach to change and transformation, in particular, playing an active role in the 'Staffordshire One Place' programme. You are learning from the 'Let's work together' programme in Lichfield, and are playing a leading role in the joint Staffordshire customer relationship management system development.

A key area for improvement in recent years has been your Waste Management Service. Your new collection strategy has delivered over £0.5 million of savings and increased your recycling rates from 27 per cent in 2009 to over 50 per cent in 2010/11. In recognition of this achievement, the Council won a number of awards.

Current and future challenges

Economic downturn and pressure on the public sector

The Coalition Government's Comprehensive Spending Review (CSR) in October 2010 announced savings of, on average, 7.1 per cent per annum for each Council from April 2011 until 2015. In reality the savings required for District Councils are significantly higher at around 15 per cent. Savings plans on existing arrangements alone would not be sufficient to meet this challenge. Councils have to fundamentally review their methods of service delivery in every area to identify savings which will retain or improve customer service for the tax payer.

You made a small deficit for 2010/11 and are on track for a small deficit, related to deteriorations in income streams, for 2011/12. You are well placed to meet the challenging financial constraints, producing options to manage finances that complement initiatives already taken. The aim of the changes made to services is to produce savings without affecting frontline services and keeping reserves intact. You have achieved this for 2010/11. Your medium term financial plan has recently been updated and now covers the period 2012/13 to 2016/17. Your assumptions for this plan take into account the reductions in grant funding that are known and assume further challenging reductions for the following four years. You will update the plan as soon as future government funding is known.

The Council has been quick to respond to the significant downturn in development activity, reviewing contracts with third party suppliers of services and undertaking service reviews. You have merged your ICT and Customer Services structures to make them more responsive, particularly around your ICT support function. Savings are expected to be £0.25 million per annum with eight voluntary redundancies. A recent report confirmed that customer satisfaction surveys were positive, with complaint resolution satisfaction at 84 per cent and administration of the blue badge scheme satisfaction at 95 per cent. The Creditors Department also achieves high satisfaction levels with 90 per cent of customers rating it as excellent or very good with 97 per cent of bills being paid on time. Together these results contributed to the Service receiving a national excellence award for customer service in May 2011.

The new Health and Well-being Centre (Jubilee 2) project is progressing on time and to budget. The Centre should open in January 2012 allowing for the closure of the old Jubilee and Knutton Baths which the new centre is replacing.

The recent joint purchase with the County Council of the Ryecroft site will present significant opportunities for future town centre development.

One method of assessing the economic downturn is the trend of people claiming Job Seekers Allowance (JSA). During the period from April 2008 to April 2009, the proportion of people claiming JSA steadily increased from 1.8 to 4.1 per cent of the working age population. Since April 2009 the number claiming JSA has been declining and by December 2010 had reduced to 2.7 per cent of the working age population. Since December 2010 the trend has been less clear with a sharp rise to a peak of 3.2 per cent by February and is at 3 per cent in September 2011. These figures suggest the local economy has stopped improving.

National initiatives

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In September 2011 the Government published:

- the Code of Recommended Practice for Local Authorities on Data Transparency; and
- Best Value Statutory Guidance.

The Transparency Code sets out central Government's views on the key principles for authorities in creating greater transparency and increasing accountability through the publication of data. It is central Government's view that greater transparency of data is at the heart of enabling the public to hold politicians and public bodies to account. Publication of data should also be used to open new markets for local business, the voluntary and community sectors and social enterprises to run services or manage public assets. You already publish monthly expenditure online.

The streamlined Best Value Statutory Guidance sets out Government's expectations of the way authorities should work with voluntary and community groups and small businesses when facing difficult funding decisions. The guidance, taken with measures such as Community Right to Challenge and the Localism Bill, aims to promote authority leadership in providing a level playing field for all, including local, voluntary and community organisations. Through its performance management arrangements and approach to local consultation the Council is well placed to meet the Government's expectations but will need to ensure its response is proportionate.

Financial statements and annual governance statement

The Council's financial statements and annual governance statement are an important means by which the Council accounts for its stewardship of public funds.

Overall conclusion from the audit

I issued an unqualified opinion on the Council's accounts on 27 September 2011. This was in line with the statutory deadline. I consider aspects of your accounting practices, accounting policies, accounting estimates and financial statement disclosures. In my opinion the accounts give a true and fair view of your financial affairs and of your income and expenditure for the year.

Before giving my opinion I reported to those charged with governance, in this case the Audit and Risk Committee, on the issues arising from the 2010/11 audit. I presented this report on 26 September 2011 and only the most significant issues arising are repeated in this letter.

Significant weaknesses in internal control

I did not identify any significant weaknesses in your internal control arrangements.

Treasury management

In October 2008, several Icelandic banks went into administration. Many councils and other public bodies were directly affected by the collapse of the Icelandic institutions. The Council had an investment of £2.5 million with a United Kingdom regulated subsidiary of an Icelandic Bank at the time of the collapse but was fully compliant with its Treasury Management policy at the time the investments were made.

You have reviewed your Treasury Management policies to ensure this area is kept under close control and to avoid exposure to unacceptable levels of risk. Latest reports confirm that over £1.6 million has been re-paid and indicate that approximately £2.15 million of the investment will be returned over the next few years. You have sufficient reserves to meet any further loss and believe the short and medium term impacts are manageable. Your Medium Term Financial Plan has appropriately reflected this.

International Financial Reporting Standards

The presentation of the accounts changed for 2010/11 with the implementation of new requirements for the accounting for local government bodies in accordance with International Financial Reporting Standards. The introduction of IFRS meant there were significant changes to the content and format of the financial statements. The 2009/10 financial accounts also required restatement.

Because of your extensive preparations, although the introduction of these standards has presented a significant challenge to the Council, the finance team were able to produce a draft set of accounts that was in line with good practice examples. As a result of this work, the financial statements had few errors and the working papers were comprehensive. This was a better position than many councils nationally who had difficulties with the introduction of IFRS.

Whole of Government Accounts

The Whole of Government Accounts (WGA) cover approximately 1,300 bodies. They aim to provide commercial style accounts for the public sector and are prepared by the Treasury. To support these accounts, I am required to submit a consolidation pack that summarises the Council's financial statements in a consistent way with all other local government bodies. I submitted this consolidation pack with a statement confirming that it was consistent with the Council's audited financial statements on 29 September 2011.

Certification of returns

The Council prepares grant claims to receive central funding for some services it provides. The Council has made three grant claims in 2010/11, the largest being for benefit payments made. All claims were submitted for audit before the national deadlines and adequate working papers were provided to support the claims. I have completed the certification of two claims relating to the Council at this time:

- NDR3 Return; and
- Disabled Facilities Grant.

The NDR3 Return was amended to reduce the amount to be paid to the national pool by £0.063 million prior to certification and submission.

The other claim, which I have qualified, is the Housing Benefit and Council Tax Benefits Subsidy claim. Given the complexity of the Housing Benefit scheme and the volume of transactions it is not uncommon for this claim to be qualified. The qualification will not impact on the level of subsidy paid to the Council in 2010/11.

National Fraud Initiative

The Council participates in the National Fraud Initiative (NFI). This is a national exercise that matches electronic data between audited bodies to prevent and detect fraud, including police authorities, local probation boards, fire and rescue authorities as well as local councils.

I reviewed the Council's progress investigating the matches identified and officers believe you should be able to complete your investigations by the end of the year. You have until January 2012 to complete your work on the remaining matches.

Value for money

I considered whether the Council is managing and using its money, time and people to deliver value for money. I assessed your performance against the criteria specified by the Audit Commission and have reported the outcome as the value for money (VFM) conclusion.

I assess your arrangements to secure economy, efficiency and effectiveness in your use of resources against two criteria specified by the Audit Commission. My overall conclusion is that the Council has adequate arrangements to secure, economy, efficiency and effectiveness in its use of resources.

My conclusion on each of the two areas is set out below.

Value for money criteria and key messages

Criterion	Key messages
<p>1. Financial resilience</p> <p>The organisation has proper arrangements in place to secure financial resilience.</p> <p>Focus for 2010/11:</p> <p>The organisation has robust systems and processes to manage effectively financial risks and opportunities, and to secure a stable financial position that enables it to continue to operate for the foreseeable future.</p>	<p>The Council's budget has set out a clear plan to deliver the necessary savings plans. I have therefore reviewed your medium term financial strategy within the context of the impact of the comprehensive spending review and your decision to have frozen Council Tax in 2011/12.</p> <p>I found your financial planning assumptions to be reasonable and reported financial data to be used effectively in monitoring financial performance. The ongoing savings programme across all areas of the Council is on-target for 2011/12.</p> <p>Income sources have held up less well this year. Reports for the six months to September 2011 show:</p> <ul style="list-style-type: none"> ■ commercial rent income £0.195 million below budget; ■ land charges search fees and development control £0.210 million below budget; and ■ car parking income £0.065 million under budget.

Although you had set aside £0.2 million as shortfalls in income were anticipated, the shortfalls so far have been greater than anticipated.

The largest income shortfall, rental income, is largely due to units in Lancaster Buildings that are un-let. The Property Section is actively marketing this space together with a national marketing agent. As a result of efforts, the largest of the three shop units should be occupied shortly. The Property Section will continue to market the remaining two units.

Planning income is variable and new developments could improve the position.

Car park income had held up during the initial parts of the recession, but is now reducing. In response, officers are undertaking a car park review to understand the reasons for the fall and see if action can be taken to either improve the use of car parks or find additional efficiencies.

In my view, you have demonstrated that the Council, from members, through Cabinet and the management team, to those delivering services, has been proactive in responding to challenges which should leave you relatively robustly positioned for the future.

2. Securing economy efficiency and effectiveness

The organisation has proper arrangements for challenging how it secures economy, efficiency and effectiveness.

Focus for 2010/11:

The organisation is prioritising its resources within tighter budgets, for example by achieving cost reductions and by improving efficiency and productivity.

The Council continues to prioritise resources within tighter budgets and has set out the vision, approach and detailed plans to reduce costs in accordance with the Council's corporate objectives. You have identified efficiencies to be made by undertaking service reviews and the documents and processes are well developed, demonstrating a clear and effective approach to reviewing services in order to produce efficiencies in line with corporate objectives.

The Council has revamped and improved its corporate plan for 2011/12. It contains, among other things, a sharper single vision and takes account of current environmental issues as well as political issues such as the Big Society. More importantly, the plan puts more emphasis on accountability for members, with individual portfolio holders being named as being responsible for specific areas of activity and performance. The Corporate Plan will contain a much reduced number of performance indicators and Business Plans require a more focused and simplified approach to setting outcomes and targets.

You have also actively managed your assets as part of your accommodation strategy with plans to use spare capacity in your offices to house other public services. Although you will complete these initiatives in 2011/12, much of the work to secure these partnerships took place during 2010/11 showing arrangements operate effectively.

You are working closely with a number of other councils to look at areas where you can learn from their approach to change and transformation, in particular, playing an active role in the 'Staffordshire One Place' programme. You are learning from the 'Let's work together' programme in Lichfield, and are playing a leading role in the joint Staffordshire customer relationship management system development.

A key area for improvement in recent years has been your Waste Management Service. Your new collection strategy has delivered over £0.5 million of savings and increased your recycling rates from 27 per cent in 2009 to over 50 per cent in 2010/11. In recognition of this achievement, the Council won the Waste Management Award at the Government Business Awards in 2010/11. Subsequently the Council has also won the Local Authority Recycling Advisory Committee National Award 2011, been named national recycling champion at the Government Business Awards and named 'Local Authority of the Year' at the Plant and Waste Recycling Awards.

Closing remarks

I have discussed and agreed this letter with the Chief Executive and the Executive Director (Resources and Support Services). I will present this letter to the Audit and Risk Committee on 30 January 2012 and will provide copies to all members.

Further detailed findings, conclusions and recommendations in the areas covered by our audit are included in the reports issued to the Council during the year.

Report	Date issued
Audit Fee Letter	April 2010
Governance Report	September 2011
Annual Audit Letter	November 2011

The Council has taken a positive and constructive approach to our audit. I wish to thank the Council staff for their support and co-operation during the audit.

Tony Corcoran
District Auditor
November 2011

Appendix 1 - Fees

	Actual	Proposed	Variance
Scale fee	127,080*	127,080	0
Non-audit work	0	0	0
Total	127,080	127,080	0

* The Audit Commission is paying a rebate of £6,697 to you, so you will pay £120,383.

Appendix 2 - Glossary

Annual governance statement

Governance is about how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

It comprises the systems and processes, cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and where appropriate, lead their communities.

The annual governance statement is a public report by the Council on the extent to which it complies with its own local governance code, including how it has monitored the effectiveness of its governance arrangements in the year, and on any planned changes in the coming period.

Audit opinion

On completion of the audit of the financial statements, I must give my opinion on the financial statements, including:

- whether they give a true and fair view of the financial position of the audited body and its spending and income for the year in question; and
- whether they have been prepared properly, following the relevant accounting rules.

Opinion

If I agree that the financial statements give a true and fair view, I issue an unqualified opinion. I issue a qualified opinion if:

- I find the statements do not give a true and fair view; or
- I cannot confirm that the statements give a true and fair view.

Value for money conclusion

The auditor's conclusion on whether the audited body has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources based on criteria specified by the Audit Commission.

If I find that the audited body had adequate arrangements, I issue an unqualified conclusion. If I find that it did not, I issue a qualified conclusion.

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- any director/member or officer in their individual capacity; or
- any third party.



CALCULATION OF THE COUNCIL TAX BASE 2012/13

Submitted by: Head of Revenues and Benefits

Portfolio: Customer Services and Transformation

Ward(s) affected: All

Purpose of the Report

To approve the Council Tax Base to be used to calculate the 2012/13 levies for the Borough Council, the County Council, the Police Authority, the Fire Authority and each Town and Parish Council.

Recommendations

That, in accordance with the Local Authorities (Calculation of Tax Base) Regulations 1992, the amounts calculated as the Council Tax Base for 2012/13 shall be as follows:-

Band D Equivalent Properties

Newcastle Borough Council	39,136
Kidsgrove Town Council	7,219
Audley	2,669
Loggerheads	1,957
Balterley, Betley and Wrinehill	574
Chapel and Hill Chorlton	197
Keele	332
Madeley	1,558
Maer	254
Silverdale	1,446
Whitmore	805

Reasons

To enable the Borough Council, the County Council, the Police Authority, the Fire Authority and each Town and Parish Council to calculate the Council Tax applicable to their approved budgetary requirements.

1. Background

- 1.1 Section 33 of the Local Government Finance Act 1992 requires the Council to calculate the "Council Tax Base" for the Authority and for each of the areas covered by Parish Councils.
- 1.2 The legislation requires that the figure, when determined, be notified to precepting authorities before 31 January.

2. Issues

- 2.1 The "Council Tax Base" represents the number of properties in the area concerned, expressed as if all properties were valued at Band "D" and after adjusting for the various discounts, exemptions, additions and deletions from the valuation list during the ensuing year and after making allowance for non-recovery.

- 2.2 Section 11A of the Local Government Finance Act 1992 enables local authorities to reduce the amount of Council Tax discount given for second homes and to reduce or end the amount of Council Tax discount given for long term empty homes. For 2012/13, the “Council Tax Base” is calculated with a reduced discount rate of 10% in respect of Class A and Class B dwellings (second homes and furnished unoccupied dwellings) and no discount in respect of Class C dwellings (long term empty dwellings), as defined by Statutory Instrument 3011/2003
- 2.3 For 2012/13 the “Council Tax Base” should be calculated by multiplying the total of the “relevant amounts” for each tax band by the estimated collection rate.
- 2.4 Calculations have been made for the Borough Council and for each Town and Parish Council and attached at Appendix A to this report is a schedule which shows the effect of applying the Estimated Collection Rate of 99%.

The Council’s approved budget requirement will be divided by the Council Tax Base to produce a Council Tax Rate for the Borough to which the various proportions (i.e. $\frac{6}{9}$ ths to $\frac{18}{9}$ ths) will be applied to produce the tax applicable for each band. A similar exercise will be carried out in relation to the County Council, Police Authority, the Fire Authority and Town and Parish Council’s precept requirements.

3. **Options Considered**

Not applicable

4. **Proposal**

- 4.1 That the Council Tax Base calculations set out in the attached appendices be approved.

5. **Reasons for Preferred Solution**

- 5.1 Legislation directs the method of calculation of the Council Tax Base.

6. **Outcomes Linked to Sustainable Community Strategy and Corporate Priorities**

- 6.1 The Council’s approved budget covers all corporate priorities. Calculating the Council Tax Base enables the level of Council Tax to be determined to meet this budgetary requirement.

7. **Legal and Statutory Implications**

- 7.1 Section 33 of the Local Government Finance Act 1992 requires the Council to calculate the “Council Tax Base” for the Authority and for each of the areas covered by Parish Councils.

8. **Equality Impact Assessment**

Not applicable

9. **Financial and Resource Implications**

- 9.1 Calculating the Council Tax Base enables the level of Council Tax to be determined to meet the Council’s budgetary requirement.

10. **Major Risks**

- 10.1 Failure to set the Council Tax Base will leave the Council in breach of its statutory duty and unable to determine the appropriate level of Council Tax.

11. **Key Decision Information**

Not applicable

12. **Earlier Cabinet/Committee Resolutions**

Not applicable

13. **List of Appendices**

Appendix - Council Tax Base calculation

15. **Background Papers**

Not applicable

16. **Management Sign-Off**

Each of the designated boxes need to be signed off and dated before going to Executive Director/Corporate Service Manager for sign off.

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Council Tax Base Calculation 2012/13

Council Tax Base = Relevant Amount x Estimated Rate of Collection of 99%

	Relevant Amounts	Council Tax Base
Newcastle Borough Council	39,531	39,136
Kidsgrove	7,292	7,219
Audley	2,696	2,669
Loggerheads	1,977	1,957
Balterley, Betley and Wrinehill	580	574
Chapel and Hill Chorlton	199	197
Keele	335	332
Madeley	1,574	1,558
Maer	257	254
Silverdale	1,461	1,446
Whitmore	813	805

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REVENUE AND CAPITAL BUDGETS 2012/13

Submitted by: Executive Director (Resources and Support Services)

Portfolio: Resources and Efficiency

Wards(s) affected: All

Purpose of the Report

To review progress on the completion of the revenue and capital budgets for 2012/13 following agreement of the 5 year Medium Term Financial Strategy.

Recommendations

- (a) That the assumptions set out in the report be approved.
- (b) That the Cabinet recommend to Council that the revised minimum balances requirement be £1,500,000 with the excess of £350,000 above the current levels being transferred to the Contingency Reserve (£80,000), the Insurance Fund (£120,000) and the Provision for Bad Debts (sundry debtors) (£150,000)
- (c) That the Cabinet put forward their views on the level of Council Tax increase to be set for 2012/13.
- (d) That the Transformation and Resources Overview and Scrutiny Committee be asked to consider what comments it wishes to make on the draft Budget and Council Tax proposals before the final proposals are considered at Cabinet in February 2012.

Reasons

To enable the Cabinet to recommend a robust and affordable budget for 2012/13 to the Council meeting on 15 February 2012.

1. **Background**

- 1.1 The Council is committed to achieving excellence in its service delivery. Integral to this ambition is the need to effectively target its financial resources in line with its stated aims and objectives. The Council has developed a Medium Term Financial Strategy (MTFS) to look at its financial position over the next 5 years. This is aligned to the Corporate Plan and will be the main vehicle in ensuring efficiency in service delivery and targeting resources to its priority areas.
- 1.2 The draft 2012/13 budget is based upon the assumptions made in the MTFS which was approved by the Cabinet at its meeting on 19 October 2011.
- 1.3 The MTFS and the draft 2012/13 Budget have been compiled against a national picture of reduced funding from central government for local authorities, particularly district councils. This topic and the consequences flowing from it are discussed in more detail later in this report.

2. **Revised Budget 2011/12**

- 2.1 Monthly reports monitoring actual spending against budget have shown relatively small adverse variances throughout the first eight months of the year.
- 2.2 A major pressure affecting the current budget is that some sources of income (e.g. land charges fees, planning fees, market stall rents, commercial property rents, car parking fees) are yielding less compared to what would be expected to be received. All of these are areas that we predicted would be affected by the current economic situation when the 2011/12 Budget was set in February 2011 and accordingly an allowance of £200,000 was included in the budget to cover such eventualities. Although this allowance now seems insufficient to cover the likely total income shortfall for the year, there are a number of areas where spending is less than budgeted, which, if the trend continues, should to a large extent offset this.
- 2.3 Operating conditions are similar to those prevailing in 2010/11, when a small deficit of some £87,000 was the final outturn for the year. Taking account of the above factors it appears likely that the outturn for 2011/12 will not differ significantly from the budget.
- 2.4 It is apparent from this that the savings of £2.1m incorporated in the 2011/12 budget have been achieved. This means that altogether over the four years from 2008/09 to 2011/12 some £6.246m of net savings and efficiencies will have been made, as shown in the table below:

	£m
2008/09	0.601
2009/10	1.707
2010/11	1.821
2011/12	2.117

3. **Draft Budget 2012/13**

- 3.1 The MTFS was approved by the Cabinet on 19 October 2011. This illustrated that the Council would have a shortfall of £2.141m in 2012/13 which could be addressed by a combination of actions, such as efficiency measures, reductions in expenditure, increases in income, support from the Budget Support Fund and the Council Tax Freeze Grant.
- 3.2 Local authorities were informed of their allocations of formula grant (comprising Revenue Support Grant and National Non Domestic Rates Grant) for 2012/13 when they received notification of the amount for 2011/12 in January 2011. Formula Grant for 2011/12 was £8.285m, whilst the amount notified for 2012/13 is £7.315m, an 11.7% reduction. However there are no details of the formula grant amounts for the following years, so an assumption needs to be made about further reductions in respect of those years. Accordingly, the MTFS incorporates the known 11.7 per cent reduction in grant for 2012/13 and has assumed that there will be a further 5% reduction in 2013/14 and each of the next three years.
- 3.3 There have been a small number of changes, totalling an additional £480,000, required to the MTFS since its approval in October which means that the "gap" now stands at £2.621m for next year. The "gaps" for the following years remain unchanged. The changes relate to the following items:
- Notification has been received from the Government that the amount of Benefits Administration Subsidy for 2012/13 will be reduced by £60,000
 - There will be costs arising from holding the vacant sites of the former Jubilee Baths

and Knutton Sports Centre. An additional £50,000 has been included for this.

- Rules have changed in relation to business rates chargeable in respect of empty properties, which will mean the Council will incur some additional costs. An amount of £100,000 has been included for this, representing the current additional costs although these will fluctuate according to the number of Council owned empty properties, including commercially let premises, at any one time.
- Owing to the ongoing poor economic climate, uncertainties continue about income receivable from customers across various services. As already highlighted in paragraph 2.2, some sources of income continue to yield less than expected. In recognition of this, it is thought prudent to include a further £270,000 adverse movement in the revised MTFS.

The table below shows the factors which give rise to the “gap” for 2012/13:-

CHANGES TO BASE BUDGET	
<u>ADDITIONAL INCOME</u>	£'000
Fees and Charges	260
TOTAL ADDITIONAL INCOME (A)	260
<u>ADDITIONAL EXPENDITURE & LOSS OF INCOME</u>	
Loss of Revenue Support Grant and NNDR Grant	970
Pay Awards (employees earning below £21k)	61
Incremental Rises	65
Superannuation increase in employers contribution	131
Reduced Vacancy Factor allowance	65
Price Increases e.g. energy, fuel, rates, insurances, supplies & services	221
Loss of Investment Interest due to less capital available to invest	34
New pressures, including Ryecroft holding costs	204
Adjustments re One-Off items included in Base	282
Additional Items since MTFS approved in October 2011 (see 3.3 above)	480
TOTAL ADDITIONAL EXPENDITURE AND LOSS OF INCOME (B)	2,513
<u>USE OF BUDGET SUPPORT FUND IN 2010/11 BUDGET (C)</u>	368
NET INCREASE IN BASE BUDGET (B+C-A)	2,621

3.4 A number of proposals have been identified to bridge the £2.621m “Gap”. These comprise further savings arising from the Budget Service Review carried out last year and from The Way We Work Programme and other reviews of service provision carried out by the Executive Management Team. Some consist of savings in expenditure whilst others involve increasing income. These proposals total £2,098,000 and are set out below:

3.4.1 ***Leisure Services – Net effects of the closure of Jubilee 1 and Knutton and the opening of Jubilee 2 (£350,000)***

The net effect from transferring operations from two facilities into one at Jubilee 2 will result in efficiencies through a combination of cost savings and a significant increase in income.

3.4.2 **Restructurings (£520,000)**

A number of restructurings have recently been undertaken together with a further one that is proposed. These relate to the following sections:

Environmental Health (£80,000). The service has been restructured to enable more efficient working practices.

Operations (£90,000). The Streetscene Neighbourhood Teams have been reorganised into North and South allowing a reduction in management costs and in future more efficient deployment of plant and machinery.

Customer and ICT Services (£250,000). These two sections have been merged to enable more efficient ways of working.

Central Services (£100,000). A restructuring of Land Charges and Members Services Sections is currently being undertaken, enabling savings in staffing costs and related efficiencies.

3.4.3 **Vacant Posts Review (£111,000)**

A review has been carried out of posts which are currently vacant or will shortly become so and it is considered that the following can be frozen but kept under review:

- Payroll/HR Assistant (Post CC156)
- Audit Technician (Post BB15)
- Secretary/Admin Officer (Post BB2)
- Visiting Officer (Post CC208)
- Clerical Assistant (Post CC20)
- Administrative Assistant (Post DD8)

3.4.4 **Housing Advice Contract (£50,000)**

As part of the contract review process relating to the Newcastle Housing Advice Service, that enables the current arrangements to be extended by a further two years, Officers are negotiating with the service provider around matters that will reduce the budgetary requirement by £50,000. These will include both efficiency savings and changes to the delivery of the service.

3.4.5 **Homelessness Prevention Schemes (£20,000)**

Changes are being made to some of the Homelessness Prevention Schemes to ensure that those in greatest need are assisted and to ensure that the schemes are targeted more specifically at preventing homelessness; this has enabled a reduction of £20,000 in the budgeted service cost.

3.4.6 **CCTV Shared Services (£10,000)**

Officers are currently exploring the potential for alternative service delivery arrangements and anticipate being able to achieve an annual cost saving of around £10,000.

3.4.7 **Energy - Retendering of Contracts (£30,000)**

The Council has undergone a rigorous re-tendering process for the purchasing of energy up to the end of the financial year 2014/15 that is expected to deliver significant savings, despite the volatility of energy prices. At this stage officers are confident that this will achieve a saving of at least £30,000.

3.4.8 **Statutory Inspection Services (£20,000)**

Officers have reviewed the services that are procured relating to the various statutory inspection regimes (e.g. Electrical testing, Lift tests, Gas servicing, etc.) and are confident that a saving of £20,000 is achievable.

3.4.9 **Increases in Income (£409,000)**

- Summons and Distress Costs (£100,000). The proposal is to increase our charges in line with the levels charged by other authorities.
- Charges for use of accommodation (£230,000). Additional space will be occupied in the Civic Offices and Kidsgrove Customer Service Centre by partners of the Council. These include Staffordshire County Council and the Police. As a result there will be additional income from rents and service charges payable by them.
- Introduction of an environmental levy for cremations (£79,000). This is intended to cover the cost of providing and replacing mercury emission abatement equipment required to comply with environmental legislation. Elsewhere, several crematoria are already charging an additional charge to their standard cremation fee.

3.4.10 **Additional Homelessness Grant (£50,000)**

The Government has increased the amount of grant payable for homelessness services by £50,000. The Council has sought to maximise the investment in support services, particularly focussed around statutory homelessness, that are delivered through Third Sector Commissioning and Voluntary Sector Grants. Through planned investment in this approach the additional funding can be used to offset the costs of the Council's current service delivery arrangements.

3.4.11 **New Homes Bonus Grant (£394,000)**

This is a new grant, which over the next six years will provide a new source of funding to the Council. Most of this will not be additional income, however, as it replaces some grants already lost, e.g. Planning Delivery Grant, Local Authority Business Growth Incentive (LABGI) Grant and in future will be paid for by reductions in formula grant receivable by the Council. Payments will be made based on new homes built each year over the six years commencing in 2011/12. It is intended to provide local authorities with real incentives to deliver housing growth, to engender a more positive attitude to growth and create an environment in which new housing is more readily accepted and to enable the natural economic benefits of growth to be returned to the local authorities and communities where growth takes place.

The expected New Homes Bonus grant is around £777,000 in respect of the current and next financial year (2011/12 and 2012/13). It is proposed to use £383,000 of this to support the Housing Investment capital programme in 2012/13 (see separate report elsewhere on the agenda), which leaves £394,000 available to support the revenue budget in respect of housing services.

3.4.12 **Recycling (£119,000)**

Operational savings, as follows:

- Waiver of uplift upon extension of recycling contracts. Through waiving contractual inflationary uplifts over the next 2 years the contract price is in effect fixed over that period) (£74,000).
- Street sweeping recycling - extension of trial. A successful method of recycling street sweepings has been established, allowing savings on the cost of landfill and increased recycling credit income. (£15,000)
- Recycling Bring sites - transfer to recycling contractor. The move away from a range of different providers to a consolidated contract will improve the service provided and make cost efficiencies. (£30,000)

3.4.13 **Communications Service (£15,000)**

Savings will be achieved mainly through renegotiation of contracts in design and print services.

- 3.5 In bringing together all the above, this leaves a deficit on the draft budget of £523,000 as follows: -

	£'000	Report Reference
Changes to Base Budget	2,621	3.3
Savings/Increased Income	(2,098)	3.4
BUDGET SHORTFALL ('GAP')	523	

- 3.6 The government stated that they wished to see no increase in Council Tax for 2011/12 and in order to encourage local authorities to adopt this strategy, introduced a non-specific grant payable to those authorities which did not increase their council tax for 2011/12. It was paid at a rate equivalent to a 2.5 per cent increase in the authority's 2010/11 basic amount of council tax multiplied by its council tax base. For Newcastle, this resulted in a grant of around £171,000 being payable because the Council had no tax increase in 2011/12. This grant will continue to be paid for 2012/13 and the following two years.

- 3.7 Therefore, the revised Budget Shortfall ("Gap") is £352,000 (Budget shortfall of £0.523m as shown at paragraph 3.6 less the continuation of the council tax freeze grant of £0.171m).

4. **Council Tax Levels**

- 4.1 The "gap" of £371,000 could be met by a combination of council tax increases and a contribution from the budget support fund. To help the Cabinet to consider the options, the following table sets out a range of council tax increases and the money that would be raised with the balance that would be taken from the budget support fund:

Increase	Amount Raised (from Council Tax)	Budget Support Fund
%	£'000	£'000
0	0	352
0.5	34	318
1.0	69	283
1.5	103	249
2.0	138	214
2.5	173	179
3.0	207	145

4.2 The government again wish to see no increase in Council Tax for 2012/13 and are once more offering to pay a non specific grant to those councils which do not increase their council tax for 2012/13. The basis is the same as for the 2011/12 grant in that it will be paid at a rate equivalent to a 2.5 per cent increase in the authority's 2011/12 basic amount of council tax multiplied by its council tax base. For Newcastle, this would result in a grant of around £173,000 being payable. However, this grant will be a one-off grant payable only in 2012/13 and will not continue to be paid after that year, unlike the grant relating to 2011/12 which is payable for three more years after 2011/12.

4.3 If the Council decides to make no increase to Council Tax, the amount required from the Budget Support Fund would be £179,000 (£352,000 gap figure less the grant of £173,000). The balance that will be available in the Budget Support Fund at 1 April 2012 is estimated to be around £725,000.

5. **Medium Term Financial Strategy - 2012/13 to 2016/17**

5.1 The MTFS is being continually reviewed for 2012/13 to 2016/17. The current anticipated shortfalls need to be addressed by a combination of efficiency measures, better procurement, Council Tax increases and support from the budget support fund. Work is already ongoing by your officers to identify solutions.

5.2 The current shortfalls are estimated as:

- £0.709m in 2013/14
- £0.696m in 2014/15
- £0.673m in 2015/16
- £0.718m in 2016/17

Further to the above, any use of the Budget Support Fund in 2012/13 will also have to be found. In addition, as the council tax freeze grant is only a one-off for 2012/13 a further £173,000 would have to be added to the shortfall for 2013/14.

5.3 There are a number of projects being looked at to ensure the delivery of excellent customer service, to provide greater value for money for citizens and businesses, and to identify the efficiencies required to bridge these financial shortfalls.

5.4 Further reports to address these gaps will be brought to the Cabinet over the next few months as a priority.

6. **Capital Programme 2011/12 - 2012/13**

6.1 Attached as an Appendix is the updated capital programme 2011/12 to 2012/13 based on current commitments and agreed schemes plus a number of new schemes which are vital to

ensure continued service delivery. There is clearly a direct link with the revenue budget as there may be revenue implications arising from new capital projects and the requirement to spend capital funds will lessen the ability to earn interest on the cash that is invested. It is therefore vital that the revenue and capital budgets are integrated.

- 6.2 Continuation of the capital programme beyond 2012/13 is dependent upon the achievement of a programme of receipts from the disposal of surplus assets. It is essential that sufficient capital receipts are generated from these asset sales to enable essential capital investment to take place.
- 6.3 The Council's overall capital strategy was most recently updated in February 2011. A further updated strategy, covering the period 2012 to 2015, together with an updated asset management strategy, is included elsewhere on your agenda.
- 6.4 The Capital Strategy position is set out in section 11 of the Strategy and it is worth highlighting the points set out in paragraphs 11.1 to 11.5:

"11.1 During the period covered by this Strategy, there will be a need for some items of capital investment to be made in order to ensure continued service delivery or to comply with statutory requirements or to ensure health and safety of staff and public. Examples of these include: operational building repairs and maintenance; replacement of vehicles, plant and equipment required to deliver services; disabled facilities grants.

11.2 Funding for additional projects not essential to operational continuity will depend on capital receipts from asset sales.

11.3 Work is ongoing to compile a basic programme containing those projects which it can be foreseen will be necessary to ensure service delivery or to comply with statutory requirements or ensure health and safety. The programme will also contain projects which are fully funded by external parties and which meet corporate priorities. The overall size of the programme will be determined by the resources estimated to be available to fund it.

11.4 It will be essential to apply a robust prioritisation process to determine which projects are included in the capital programme and are subsequently proceeded with. No projects should be considered in isolation. They must be required to be measured against all other competing projects to determine which should go forward. This process should also apply to any projects which are proposed subsequent to the approval of the programme, to ensure that only those projects with a high priority are proceeded with and funds are not diverted to projects of a lesser priority.

11.5 Funding for this basic programme is likely to be available to some extent from the following sources:

- *Further capital receipts from asset sales*
- *Right to Buy capital receipts*
- *Government grants*
- *Other external contributions*
- *Internal lease repayments*

The present assumption is that there will be no borrowing.

All of the above funding sources are likely to be limited so the programme can only include affordable basic projects."

6.5 Consideration has been given to requirements for essential plant and equipment replacements, buildings repairs and maintenance and other work which will be needed over the next few years to enable services to be continued at acceptable levels. A number of these schemes have been included in the proposed capital programme and are set out in the Appendix.

7. **Balances and Reserves**

7.1 The Council's Balances and Reserves Strategy for 2011/12 is that there should be a minimum General Fund balance of £1.75m and a Contingency Reserve of £100,000. The Council currently holds these reserves.

7.2 A review of all the Council's Balances and Reserves together with a risk assessment has been undertaken for inclusion in the final report on the budget to the Cabinet on 8 February 2012 and the full Council on 15 February 2012.

7.3 The review and risk assessment indicate the following:

- Reserves balances have reduced from historically high levels. Most of the reserves are still adequate to meet normal levels of expenditure. However, with the exhaustion of the Change Management Fund and the Organisational Development Fund in 2010/11, there is no longer a specific reserve which is available to meet future costs of restructuring, such as redundancy or pensions actuarial strain payments, if the Contingency Reserve is to retain its minimum balance of £100,000 (it was £114,000 at 31 March 2011). Also, the Insurance Fund balance will be insufficient to meet the cost of premiums and claims from 2012/13 onwards, with the shortfall indicated for 2012/13 being around £120,000.
- It would be prudent to increase the Provision for Bad Debts in respect of sundry debtors in view of the current adverse economic climate. The provision currently has a balance of £506,000.
- The level of minimum balances required after considering the risk assessment has reduced to £1.50m. This is due to a number of factors, but chiefly the expiry of the date for single status appeals to be registered and the reduction in the risk relating to loss of interest arising from rate reductions because the amount of interest included in the budget is now much lower than it was and the use of the revised methodology for assessing risks approved by the Audit and Risk Committee on 28 June 2011.

7.4 It is proposed, therefore, to reduce the amount held as a minimum balance by £350,000 and to use this amount to top up the Insurance Fund by £120,000, the Contingency Reserve by £80,000 and the Bad Debts Provision in relation to sundry debtors by £150,000.

8. **Legal and Statutory Implications**

8.1 The Council is required to set its Council Tax for 2012/13 by 11 March 2012. However, it is planned to approve the final budget and council tax rates on the 15 February 2012.

9. **Risk Statement**

9.1 Section 25 of the Local Government Act 2003 places a duty on the Chief Finance Officer to report on the robustness of the budget. The main risks to the budget include:

- Spending in excess of the budget.

- Income falling short of the budget.
- Unforeseen elements e.g. changes to legislation or reductions in government grants.

9.2 Such risks require regular and careful monitoring and it is essential that the Council has sufficient reserves to call on if required (see Section 7 above), for example the Council has a General Fund balance sufficient to cover foreseen risks.

10. **Budget Timetable**

10.1 The current timetable for the setting of the 2012/13 budget and Council Tax levels is:-

Date	Meetings
18 January 2012	Transformation and Resources Overview and Scrutiny Committee to consider this report.
1 February 2012	Final report to Cabinet taking into consideration the views of the Scrutiny Committee
15 February 2012	Full Council to approve Budget and set Council Tax levels

11. **Earlier Cabinet Resolutions**

Medium Term Financial Strategy 2012/13 to 2016/17 - 19 October 2011.

12. **List of Appendices**

Appendix – Capital Programme 2011/12 - 2012/13.

NEWCASTLE-U-LYME BOROUGH COUNCIL CAPITAL PROGRAMME 2011/12 - 2012/13

Scheme	Corporate Priorities	2011/12 Est Exp	2012/13 Est Exp	Total Exp	External Cont	Council Financing
		£	£	£	£	£
Safer & Stronger Communities						
Parkhouse/Lymedale CCTV	a b d	15,000		15,000		15,000
CCTV Replacement Equipment	a b	25,000		25,000		25,000
Totals	a b c d	40,000	0	40,000	0	40,000

Scheme	Corporate Priorities	2011/12 Est Exp	2012/13 Est Exp	Total Exp	External Cont	Council Financing
		£	£	£	£	£
Environment & Recycling						
Pool Dam Valley Marshes Nature Reserve	a b	0	47,000	47,000	47,000	0
Madeley Pool Embankment Repairs	b d	4,900		4,900		4,900
Cemetery Memorial Safety Programme	a	39,400		39,400		39,400
Waste Transfer Station Drainage Works	a	25,000		25,000		25,000
Low Carbon Works	a	17,000	18,000	35,000	35,000	0
Waste Bins	a		50,000	50,000		50,000
Audley Burial Facilities	a d	31,200	11,000	42,200		42,200
General Projects						
Asset Disposal Programme	b	18,800		18,800		18,800
General Contingency		68,300		68,300		68,300
Final Accounts & Retentions Various		50,500		50,500		50,500
Totals	a b c d	255,100	126,000	381,100	82,000	299,100

Scheme	Corporate Priorities	2011/12 Est Exp	2012/13 Est Exp	Total Exp	External Cont	Council Financing
		£	£	£	£	£
Culture & Active Communities						
Replacement/Repair of Play Equipment	a c	40,400	119,000	159,400		159,400
Jubilee 2	a b c d	6,077,300	144,000	6,221,300	400,000	5,821,300
Replacement Play Area Marsh Way Wolstanton	a c	0	125,000	125,000	125,000	0
Rural Green Space Strategy	a c	10,000		10,000		10,000
Silverdale Community Facilities	a c	257,800	878,000	1,135,800	1,135,800	0
Knutton Footpath Link	a c	33,000		33,000	33,000	0
Footpath Repairs	a c		25,000	25,000		25,000
Railings/Structures Repairs	a c		10,000	10,000		10,000
Neighbourhood Park The Wammy	a c	210,000	103,400	313,400	313,400	0
Totals	a b c d	6,628,500	1,404,400	8,032,900	2,007,200	6,025,700

Scheme	Corporate Priorities			2011/12 Est	2012/13 Est	Total Exp	External Cont	Council Financing	
	a	b	c	Exp	Exp				
				£	£	£	£	£	
Neighbourhoods & Regeneration									
HIP Renewal Grants/Loans	a		c	340,300	134,000	474,300	428,800	45,500	
HIP Disabled Facilities Grants	a		c	760,000	760,000	1,520,000	1,274,000	246,000	
Newcastle Town Centre Partnership	a	b	d	81,000	216,100	297,100	148,600	148,500	
Newcastle Town Centre Works	a	b	d	150,000	404,800	554,800		554,800	
Choice Based Lettings			c	44,600		44,600	44,600	0	
Ecohomes Project		b	c	140,900		140,900	140,900	0	
Future Housing Projects Beasley Place		b	c		300,000	300,000	300,000	0	
Collins and Aikman		b	c		300,000	300,000	300,000	0	
Madeley Extracare Contribution		b	c		115,000	115,000	115,000	0	
New Depot Entrance	a		e	7,700		7,700		7,700	
Land Purchase/Feasibility Studies	a	b	c	d		31,000	31,000	3,800	
Midway MSCP Repair Works	a			697,000	48,300	745,300		745,300	
Acquisition of Sainsburys Site		b		3,828,400		3,828,400	2,891,600	936,800	
Ryecroft Development		b			75,000	75,000	56,300	18,700	
Rose Cottage		b		133,500		133,500		133,500	
S106 Expenses Lowlands Road				500,000		500,000	500,000	0	
Strategic Investment Framework		b		13,700	13,800	27,500		27,500	
Totals	a	b	c	d	6,697,100	2,398,000	9,095,100	6,203,600	2,891,500

Scheme	Corporate Priorities			2011/12 Est	2012/13 Est	Total Exp	External Cont	Council Financing	
	a	b	c	Exp	Exp				
				£	£	£	£	£	
Operational Equipment/ICT Development Fund									
Refuse Vehicle Fleet	a		d			0		0	
ICT PC Replacements	a		d		113,800	113,800		113,800	
ICT Replacement Servers	a		d	73,400		73,400		73,400	
Customer Relationship Management			d	64,200		64,200		64,200	
IEG - GIS Implementation			d	13,500		13,500		13,500	
ICT Projects			d	111,000		111,000		111,000	
New Cremators/Mercury Abatement Equip.	a		d	40,100		40,100		40,100	
Vehicles	a		d		415,000	415,000		415,000	
Streetscene Vehicle Replacement	a		d	100,000		100,000		100,000	
Totals	a	b	c	d	402,200	528,800	931,000	0	931,000

GRAND TOTAL	a	b	c	d	14,022,900	4,457,200	18,480,100	8,292,800	10,187,300
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Notes -

Corporate & Sustainable Communities Priorities - a Cleaner, Safer & Sustainable, b Opportunity, c Healthy & Active, d Transforming to Excellence

Sources of Funding	2011/12 Est	2012/13 Est	Total Exp
	Exp	Exp	
	£	£	£
Special Projects Fund	883,330	0	883,330
Other Revenue Funds	2,553,640	0	2,553,640
Capital Receipts	5,241,730	1,508,600	6,750,330
External Grants/Contributions	5,344,200	2,948,600	8,292,800
Capital Programme	14,022,900	4,457,200	18,480,100

SCALE OF FEES AND CHARGES

Submitted by: Executive Director – Resources and Support Services

Portfolio: Resources and Efficiency

Ward(s) affected: All

Purpose of the Report

To obtain approval for the proposed scale of fees and charges to apply from 1 April 2012.

Recommendation

That the fees and charges proposed to apply from 1 April 2012, as set out in Appendix A be approved and submitted to the Transformation and Resources Overview and Scrutiny Committee for comment.

Reasons

It is necessary to review the fees and charges which the Council makes in order to keep them in line with the cost of service provision and to establish the amounts to be included in the 2012/13 budget.

1. Background

- 1.1 The Cabinet is asked annually to consider proposals for the fees and charges to be applied during the following financial year. It is proposed that the new fees and charges set out at Appendix A should take effect from 1 April 2012 and remain in force until 31 March 2013.
- 1.2 The Council has an approved Charging Policy, which is followed when fees and charges are proposed and agreed. This sets out the criteria that should be taken into consideration when determining the amounts to be charged.

2. Issues

- 2.1 The preparation of the 2012/13 budget assumes an overall 3.5% increase in the level of fees and charges for 2012/13 in line with assumptions about the rate of inflation over the period that these charges will be in force, reflecting the real increases in costs being incurred by services. The proposals have been drawn up taking account of this requirement.
- 2.2 For VAT inclusive fees and charges, the VAT increase has been taken into account in the revised charges, so that the overall income retained by the Council is not reduced by the additional amount payable to H.M. Revenue and Customs. The VAT status of individual fees and charges is shown on the attached schedule, Appendix A.
- 2.3 A detailed exercise has been carried out in relation to those fees and charges which are set by the Council itself (i.e. they are not statutory charges) which result in income in excess of £5,000 per annum, in order to establish the position in relation to the charging criteria as set out in the Charging Policy. This examined the issues set down in the Policy which are to be considered when setting charges, in particular:
 - The income which is being collected at current charging levels and whether this is in line with budget forecasts.

- The cost of service provision compared to the charges being made.
- The use being made of the service, including by classes of user, and whether this shows they are using the service to the extent intended or if any are being deterred from using it.
- Whether concessions are being taken up by the people at whom they are targeted.
- The impact of charges on local people.
- Where the charges are set to either encourage or deter activity, whether this is happening.
- Comparisons with charges being made by neighbouring or similar councils or by other organisations providing similar services.

- 2.4 In the majority of cases it was found that the principles of the Charging Policy were being followed and that the level of the charges requires no further consideration. However, there is one area where the charges currently made and proposed for 2012/13 can usefully be considered by members to determine whether it is acceptable that the service is provided at a charge which clearly does not cover the cost of carrying out the activity.
- 2.5 It is perfectly acceptable for charges to be set at a level where costs are not fully recovered. There may be particular reasons for doing so, such as a desire to encourage take up of a service by specified groups, for example young people or the unemployed, or to encourage particular forms of behaviour by charging less than cost. However, the decision to charge less than cost ought to be a conscious one, taken by members and justified by reference to the reasons for setting charges at less than cost as set out in the charging principles contained in section 5 of the Charging Policy. These are shown in full, for reference, at Appendix B.
- 2.6 The budgeted income for the Newcastle open market more or less covers the cost of providing the markets service (a £2,180 deficit is budgeted for in 2011/12). However, it is not proposed to increase the fees for 2012/13, which will mean that the deficit will increase in 2012/13 owing to costs increasing in line with inflationary pressures. This is one of the services which has been affected by the economic recession, with a decline in the number of traders appearing on the Newcastle market. As a result, income shows an adverse variance to the budgeted amount of some £40,000 as at the end of September 2011. The fees have not been increased because it is felt that to do so could further deter traders from the Newcastle market. There is also likely to be disruption to the market from the public realm works which are due to be carried out in the town centre in 2012/13. The fees currently charged are generally in line with those charged elsewhere in the region. A new category of charge for catering pitches is proposed, which it is believed can be sustained by the caterers who currently trade on the market.
- 2.7 A new environmental levy on adult cremations (£55 per cremation) has been included. Over the last 3 years the Council has invested very significantly in the buildings and equipment at the Crematorium. The main chapel complex, visitor and office facilities, gardens and car parking have been improved, and, in order to comply with environmental legislation, both cremators completely replaced including specialist mercury emission abatement and control equipment at an overall cost of £1.25m. The purpose of introducing the new levy is to provide funding to support the cost of maintaining and replacing this equipment when necessary. This type of levy has been charged by many local authorities for some years now and is in place in the neighbouring authorities of Stoke (£50.00 11/12), Stafford (£33.50 11/12), Crewe (£55.00 11/12) and Macclesfield (£55.00 11/12). This should result in estimated additional income of around £79,000 per annum, which has been included in the proposed budget for 2012/13. There are also new charges for woodland burials which are now available at the new Keele Cemetery.

- 2.8 Legislation requires that Land Charges fees be set at a level intended to achieve a break even position. Accordingly, the position has been reviewed and revised fees have been calculated to achieve this. At current levels of activity it is estimated that around £70,000 in additional income should arise in a full year. This will not, however, be included in the budget because the budget for land charges income is being affected by the economic downturn and is unlikely to outturn on target.
- 2.9 Fees and charges for the new Jubilee 2 centre were approved by Cabinet on 7 September 2011. These will apply from the opening of the facility and throughout 2012/13. Where the same facilities are provided at the Kidsgrove Sports Centre, the fees and charges have been made the same as those applicable to Jubilee 2 in order to standardise charges throughout the Borough.
- 2.10 Cabinet considered a report in relation to the usage of the Newcastle town centre car parks on 30 November 2011, following a survey being carried out. It was agreed that a further survey would be carried out, following which both the number of car parks retained and the charging regime will be reviewed. This data will inform the 2013/14 charges setting exercise. In the meantime, parking charges have been proposed for 2012/13 which are intended to retain custom and, therefore, income to the Council based on the currently available sites.
- 2.11 Due to the commercial sensitivity of the proposed charges for the trade waste service, these are not included on part 1 of the agenda and are exempt from publication by reasons of paragraph 3 of part 1 of schedule 12a of the Local Government Act 1972. The proposed charges can be found in the part 2 of the agenda.

3. **Options Considered**

- 3.1 No price increase, increase in line with inflation or increase above inflation. Also whether charges should be set at cost recovery in relation to the item set out at paragraph 2.6.

4. **Proposal**

- 4.1 To increase income from fees and charges for 2012/13 in line with the assumptions in the Medium Term Financial Strategy. This is subject in relation to some charges to the statutory requirements to advertise and consider objections. Any results arising from the application of the Charging Policy principles to the review of charges should be accommodated within these parameters.

5. **Reason for Preferred Solution**

- 5.1 Increasing fees and charges by at least 3.5% should help to keep them in line with the cost of service provision.

6. **Legal and Statutory Implications**

- 6.1 Statutory charges are included in the scale of fees and charges, and are noted as such. These are set by the government by one means or another, rather than by this Council. Land Charges fees are set in accordance with a statutory requirement to balance income with expenditure. All the other charges may be set by the Council in accordance with its Charging Policy.

7. **Equality Impact Assessment**

- 7.1 Because of the wide variety of activities which are subject to fees and charges and the tailoring of some of them to suit particular types of customer there will be a differential impact, for example between adults/young persons, employed/unemployed, pensioners/others, etc.

8. **Financial and Resource Implications**

- 8.1 The approved levels of fees and charges will be incorporated in the General Fund Budget for 2012/13.
- 8.2 The Medium Term Financial Strategy (MTFS) assumes increased income of £260,000 in total from fees and charges, based on an average increase of 3.5 per cent across the existing range of fees and charges. In addition it includes income arising as a result of the cremations environmental charge, estimated at £79,000, referred to in paragraph 2.7, to bridge the gap between resources and projected net costs in 2012/13.
- 8.3 An assessment has been made of whether the application of the proposed fees and charges will achieve the amount of income assumed in the MTFS for 2012/13. Overall, it appears that this should happen but this depends upon the level of activity not reducing significantly in 2012/13 in relation to the major sources of income. As the last two years have shown, the current economic recession makes it difficult to predict with any degree of confidence what the likely trends in income will be.
- 8.4 It should be noted that the income from fees and charges is included in the revenue budget on the basis of the levels of activity which prevailed prior to the current economic recession, i.e. at the level included in the 2008/09 budget. To recognise that income would be reduced as a result of the recession, a provision of £200,000 for loss of income was included in the 2011/12 budget. An increased provision will be included in the 2012/13 budget. As has been reported in outturn and budget monitoring reports, the actual income received in a number of major income earning areas affected by the slowdown in economic activity, such as planning fees, land charges fees and parking fees (also affected by the Midway repair works), has fallen short in total by more than the amount provided for in 2011/12. Until the recession recedes this situation is likely to continue.

9. **Major Risks**

- 9.1 A major risk is that the current economic recession leads to less demand from users of Council services, resulting in significant loss of income. This is already happening, as outlined in paragraph 8.4 above. The level of charges will in some cases influence this demand.

10. **Key Decision Information**

- 10.1 This is a key decision; it has been included in the Forward Plan.

11. **Earlier Cabinet/Committee Resolutions**

- 11.1 Last reviewed at Cabinet meeting on 26 January 2011.

12. **List of Appendices**

Appendix A - Listing Proposed Charges From 1 April 2012 (Fees and Charges)
Appendix B - Charging Principles Included in Charging Policy.

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
ALLOTMENTS				Cabinet	No VAT
<i>Sites available:- Basford, Blackbank, Dimsdale, Jason Street, Loomer Road, Park Road, The Acre, Thistleberry</i>					
Rent (per annum) full plot	53.10	55.75	2.65		
Rent (per annum) half plot	25.25	26.50	1.25		
Rent (per annum) Lyme Valley Organic Allotment site. (No concessions)	62.00	65.10	3.10		
<i>Note: 50% concession for Junior/60+/Unemployed at other sites</i>					
BLUE BADGES					No VAT
Cost of replacement badge (blue badge reform due 01/01/12)	2.00	0.00	-2.00	Statutory	
BULKY RECYCLING SERVICE				Cabinet	No VAT
Standard Collection					
One to Three Items	26.00	26.00	Freeze		
Four to Six Items	39.00	39.00	Freeze		
Seven to Nine Items	52.00	52.00	Freeze		
Additional Items	8.50	8.50	Freeze		
CAR PARKS				Cabinet	
Charges for Infringements					No VAT
Wheel Clamping Release Fee	50.00	50.00	Freeze		
Civic Parking Enforcement - Higher Charge	70.00	70.00	Freeze	Parking Board	
Civic Parking Enforcement - Lower Charge	50.00	50.00	Freeze	Parking Board	
Bankside					VAT Inclusive
Season Ticket - per quarter	130.00	150.00	20.00		*see footnote
Blackfriars (Zone C)					VAT Inclusive
Up to 1 hour	0.65	0.80	0.15		*see footnote
Up to 2 hours	1.25	1.50	0.25		
Up to 3 hours	1.80	2.00	0.20		
Up to 4 hours	2.45	2.50	0.05		
Up to 6 hours (new charge)	n/a	3.00	n/a		
6 hours to 24 hours	3.00	3.50	0.50		
Season Ticket - per quarter	130.00	150.00	20.00		
Cherry Orchard (Zone B)					VAT Inclusive
Up to 1 hour	0.90	1.00	0.10		*see footnote
Up to 2 hours	1.75	1.90	0.15		
Up to 3 hours	2.65	2.80	0.15		
Up to 4 hours	4.00	4.00	Freeze		
4 hours to 24 hours	5.00	5.20	0.20		
Season Ticket - per quarter	220.00	230.00	10.00		
Civic Offices - Saturdays Only (Zone A)					VAT Inclusive
Up to 1 hour	0.90	1.00	0.10		*see footnote
Up to 2 hours	1.75	1.90	0.15		
Up to 3 hours	2.65	2.80	0.15		
Up to 4 hours	4.00	4.00	Freeze		
Corporation Street/Merrial Street (Zone A)					VAT Inclusive
Up to 1/2 hour	0.75	0.80	0.05		*see footnote
Up to 1 hour	1.50	1.50	Freeze		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Goose Street (Zone B)					VAT Inclusive
Up to 1 hour	0.90	1.00	0.10		*see footnote
Up to 2 hours	1.75	1.90	0.15		
Up to 3 hours	2.65	2.80	0.15		
Up to 4 hours	4.00	4.00	Freeze		
4 hours to 24 hours	5.00	5.20	0.20		
Season Ticket - per quarter	220.00	230.00	10.00		
Hassell Street (Zone B)					VAT Inclusive
Up to 1 hour	0.90	1.00	0.10		*see footnote
Up to 2 hours	1.75	1.90	0.15		
Up to 3 hours	2.65	2.80	0.15		
Up to 4 hours	4.00	4.00	Freeze		
4 hours to 24 hours	5.00	5.20	0.20		
Season Ticket - per quarter	220.00	230.00	10.00		
Resident Permit - per quarter	47.50	50.00	2.50		
High Street (Rear of)					VAT Inclusive
Season Ticket - per quarter	220.00	150.00	-70.00		*see footnote
King Street (Zone C)					VAT Inclusive
Up to 1 hour	0.65	0.80	0.15		*see footnote
Up to 2 hours	1.25	1.50	0.25		
Up to 3 hours	1.80	2.00	0.20		
Up to 6 hours (new charge)	n/a	3.00	n/a		
6 hours to 24 hours	3.00	3.50	0.50		
Season Ticket - per quarter	130.00	150.00	20.00		
Midway (Zone A)					VAT Inclusive
Up to 1/2 hour	0.70	0.70	Freeze		*see footnote
Up to 1 hour	1.10	1.10	Freeze		
Up to 2 hours	2.10	2.10	Freeze		
Up to 3 hours	3.20	3.20	Freeze		
Up to 4 hours	4.25	4.25	Freeze		
Season Ticket - per quarter	230.00	230.00	Freeze		
School Street (Zone B)					VAT Inclusive
Up to 1 hour	0.90	1.00	0.10		*see footnote
Up to 2 hours	1.75	1.90	0.15		
Up to 3 hours	2.65	2.80	0.15		
Up to 4 hours	4.00	4.00	Freeze		
4 hours to 24 hours	5.00	5.20	0.20		
Season Ticket - per quarter	220.00	230.00	10.00		
Silverdale Road (Zone C)					VAT Inclusive
Up to 1 hour	0.65	0.80	0.15		*see footnote
Up to 2 hours	1.25	1.50	0.25		
Up to 3 hours	1.80	2.00	0.20		
Up to 6 hours (new charge)	n/a	3.00	n/a		
6 hours to 24 hours	3.00	3.50	0.50		
Season Ticket - per quarter	130.00	150.00	20.00		
Resident Permit - per quarter	50.00	50.00	Freeze		
Windsor Street (Zone B)					VAT Inclusive
Up to 1 hour	0.90	1.00	0.10		*see footnote
Up to 2 hours	2.00	2.00	Freeze		
Season Ticket - Half hour after school	2.25	3.00	0.75		
CEMETERIES				Cabinet	No VAT
Interment Fees					
Under 16 years of age	Free	Free	Freeze		
16 years and over	665.00	700.00	35.00		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Woodland Burial -Keele Cemetery (allows for 1 full interment only in each grave) (new charge)	n/a	350.00	n/a		
Cremated remains at 2 feet	291.00	306.00	15.00		
Woodland Burial Cremated remains at 2 feet -Keele Cemetery (allows for 4 interment only in each grave) (new charge)	n/a	306.00	n/a		
Cremated remains over 2 feet (additional charge)	105.00	111.00	6.00		
Additional Depth Over 6 Feet					
Per foot	116.00	120.00	4.00		
Purchase of Graves					
(Inclusive of right to erect a memorial for a single grave)					
Lawn graves	897.00	944.00	47.00		
Woodland Grave-Keele Cemetery (allows for 1 full interment only in each grave) (new charge)	n/a	472.00	n/a		
Cremated remain graves	443.00	466.00	23.00		
Woodland Grave Cremated remains at 2 feet -Keele Cemetery (allows for 4 interment only in each grave) (new charge)	n/a	466.00	n/a		
Reservation of lawn graves	897.00	944.00	47.00		
Reservation of Woodland Graves -Keele Cemetery (allows for 1 full interment only in each grave) (new charge)	n/a	472.00	n/a		
Reservation of cremated remains graves	443.00	466.00	23.00		
Erection of Memorials Where no Prior Right Was Given					
Memorial not exceeding 3 feet in height	111.00	117.00	6.00		
Memorial occupying more than one grave width	218.00	224.00	6.00		
Memorial storage fee/per year or part year	195.00	201.00	6.00		
Replacement memorial	38.00	40.00	2.00		
Use of Chapel and Community Room					
Newcastle cemetery chapel	64.00	67.00	3.00		
Keele community room - service	64.00	67.00	3.00		
Keele community room - Full day hire	90.00	100.00	10.00		
Keele community room - Half day hire	40.00	50.00	10.00		
Keele community room - Per Hour hire	10.00	15.00	5.00		
Keele community room-Evening hire per hour	10.00	20.00	10.00		
Private Maintenance of Grave Non-Lawn Types Only					
Turfing	37.00	38.00	1.00		
Spring/summer planting and maintenance	82.00	84.00	2.00		
Grass cutting on wholly turfed enclosed graves	37.00	38.00	1.00		
Duplicate deeds of exclusive right of burial	38.00	39.00	1.00		
Single abstract information from registrar	54.00	55.00	1.00		
Transfer of ownership of exclusive right of burial	79.00	81.00	2.00		
Family history research	17.00	18.00	1.00		
CREMATORIUM				Cabinet	No VAT
Cremation Fees					
Under 16 years of age	Free	Free	Freeze		
16 years and over	500.00	526.00	26.00		
Cremation Environmental Charge (new charge)	n/a	55.00	n/a		
Burial of remains cremated elsewhere	157.00	165.00	8.00		
Urns and Containers					VAT Inclusive
Oak casket	65.00	67.00	2.00		
Postage and package	Cost+100%	Cost+100%	n/a		
Memorialisation					VAT Inclusive
Book of remembrance per line	23.00	24.00	1.00		
Simple floral emblem	70.00	74.00	4.00		
Coat of arms, badges, ornate floral emblem	98.00	103.00	5.00		
Additional Lines of Inscription for Cards/Books	23.00	24.00	1.00		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
Plaques					VAT Inclusive
12" x 4" new plaque and 10 year hire	271.00	285.00	14.00		
Each succeeding 10 year hire	108.00	114.00	6.00		
12" x 8" new plaque and 10 year hire	542.00	570.00	28.00		
Each succeeding 10 year hire	217.00	228.00	11.00		
24" x 8" each succeeding 10 year hire	434.00	447.00	13.00		
Adding to existing plaque per letter or figure	6.00	6.00	Freeze		
Regilding existing letters	4.00	4.00	Freeze		
Additional Memorials					VAT Inclusive
Seats	1029.00	1,030.00	1.00		
Trees	508.00	524.00	16.00		
Each succeeding 10 year hire	259.00	272.00	13.00		
Tubs and planters	595.00	613.00	18.00		
Each succeeding 10 year hire	248.00	255.00	7.00		
Additional plaques for trees/shrubs	64.00	67.00	3.00		
Shrubs	211.00	222.00	11.00		
Each succeeding 5 year hire	118.00	124.00	6.00		
CIRCUSES AND FAIRS				Cabinet	No VAT
Hire rate per day of site presence (now per day, previously per hour)	Negotiated	100.00	n/a		
Returnable deposit - cleaning	500.00	500.00	Freeze		
Returnable deposit - damage	500.00	500.00	Freeze		
COPY CHARGES				Cabinet	VAT Inclusive
A4 - Copies in multiples of 5	2.50	2.50	Freeze		
A3 - Copies in multiples of 5	3.50	3.50	Freeze		
Difficult documents to copy (per copy)	12.50	12.50	Freeze		
COPYRIGHT MAPPING				Cabinet	No VAT
1 X 1:500 OR 1:1250 A4/A3	18.30	18.30	0.00		
2 X 1:500 OR 1:1250 A4/A3	18.80	18.80	0.00		
3 X 1:500 OR 1:1250 A4/A3	20.00	20.00	0.00		
4 X 1:500 OR 1:1250 A4/A3	20.50	20.50	0.00		
1 X 1:500 AND 1:1250 A4/A3	35.60	35.60	0.00		
2 X 1:500 AND 1:1250 A4/A3	36.60	36.60	0.00		
3 X 1:500 AND 1:1250 A4/A3	37.60	37.60	0.00		
4 X 1:500 AND 1:1250 A4/A3	38.65	38.65	0.00		
A4 Colour Aerial Photography Print – 1:1250 / 1:500 Scale	19.30	19.30	0.00		
A4 Colour Aerial Photography Print – 2500 Scale	30.50	30.50	0.00		
A3 Colour Aerial Photography Print – 1:1250 / 1:500 Scale	25.40	25.40	0.00		
A3 Colour Aerial Photography Print – 2500 Scale	40.70	40.70	0.00		
Historical Map – A3	18.30	18.30	0.00		
DATA PROTECTION				Cabinet	No VAT
Subject Access Request	10.00	10.00	Freeze		
DOG WARDEN SERVICE				Cabinet	
Recovery of stray dogs (during normal working hours) - reclaim fee	66.00	66.00	Freeze		No VAT
Recovery of stray dogs - daily kennelling fees	Actual cost	Actual Cost	n/a		No VAT
Microchipping service	10.00	10.00	Freeze		VAT Inclusive

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
ELECTIONS				Statutory	No VAT
Rule 9(1) Parliamentary Election Regulations and Rule/Reg 9 (1) European Parliamentary Election Regulations - Candidates' Deposits					
Parliamentary election candidate	500.00	500.00	Freeze		
European parliamentary election candidate/party	5,000.00	5,000.00	Freeze		
Regulations 48 and 49 Representation of the People Regulations 2001					
Sale of register and lists (printed)	20.00	20.00	Freeze		
Plus per 1,000 names or part 1,000	5.00	5.00	Freeze		
Sale of register and lists (data)	10.00	10.00	Freeze		
Plus per 1,000 names or part 1,000	1.50	1.50	Freeze		
Supply of list of overseas electors (printed)	20.00	20.00	Freeze		
Plus per 100 names or part 100	1.50	1.50	Freeze		
Supply of list of overseas electors (data)	10.00	10.00	Freeze		
Plus per 100 names or part 100	1.50	1.50	Freeze		
Supply of marked registers (printed)	20.00	20.00	Freeze		
Plus per 1,000 entries or part 1,000	1.50	1.50	Freeze		
Supply of marked registers (data)	10.00	10.00	Freeze		
Plus per 1,000 entries or part 1,000	1.50	1.50	Freeze		
Inspection and Copies of Documents					
Regulation 10 representation of the people regulations 2001 - inspection of candidates election expenses	5.00	5.00	Freeze		
Copies (A4)	0.45	0.45	Freeze		
ENVIRONMENTAL HEALTH				Cabinet	No VAT
Environmental Protection Act 1990 - Part 1 Pollution Prevention and Control Act 1999 Register of Permits					
Copy of list of applications received	13.00	14.00	1.00		
Copy of a register entry	60.00	65.00	5.00		
Copy of tape/CD recorded interviews	12.00	13.00	1.00		
Environmental Information Regulations 1992 (requests for information)	83.50	85.00	1.50		
Register of Food Premises (electronic copies available)					
Whole register	228.00	235.00	7.00		
Per entry	1.05	1.10	0.05		
Single classification	60.00	62.50	2.50		
Per entry	1.05	1.10	0.05		
Hard copy per entry	13.00	14.00	1.00		
Environmental Health Licences					
Pet shop - first licence	258.00	267.00	9.00		
Pet shop - renewal	102.00	105.50	3.50		
Dog breeding establishment - first licence	258.00	267.00	9.00		
Dog breeding establishment - renewal	102.00	105.50	3.50		
Animal boarding establishment - first licence	258.00	267.00	9.00		
Animal boarding establishment - renewal	102.00	105.50	3.50		
Riding establishment - first licence	450.00	466.00	16.00		
Riding establishment - renewal	252.00	260.00	8.00		
Dangerous wild animals - first licence	420.00	435.00	15.00		
Dangerous wild animals - renewal	210.00	217.00	7.00		
Acupuncture, tattooing, ear piercing and electrolysis	125.00	130.00	5.00		
Additional Operative	75.00	80.00	5.00		
Additional treatment registration	56.50	65.00	8.50		
Export health certificates	130.00	140.00	10.00		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
Charges for Authorised Process - Local Authority Pollution Prevention Control Act				Statutory	
Application Fees:					
Standard process	1,579.00	not known	n/a		
Additional fee for operating without a permit	1,137.00	not known	n/a		
Reduced fee activities (except VRs)	148.00	not known	n/a		
PVR I & II combined	246.00	not known	n/a		
Vehicle refinishers (VRs)	346.00	not known	n/a		
Reduced fee activities: Additional fee for operating without a permit	68.00	not known	n/a		
Mobile plant (e.g. screening and crushing/ cement batching etc...)	1,579.00	not known	n/a		
for the third to seventh applications	943.00	not known	n/a		
for the eighth and subsequent applications	477.00	not known	n/a		
<i>Where an application for any of the above is for a combined Part B and waste application, add an extra £297 to the above amounts</i>					
Annual Subsistence Charge:					
Standard process Low	739.00	not known	n/a		
Standard process Medium	1,111.00	not known	n/a		
Standard process High	1,672.00	not known	n/a		
Combined Part B and Waste Installation:					
Standard process Low	838.00	not known	n/a		
Standard process Medium	1,260.00	not known	n/a		
Standard process High	1,870.00	not known	n/a		
Reduced fee activities:					
Low	76.00	not known	n/a		
Medium	151.00	not known	n/a		
High	227.00	not known	n/a		
PVR I & II combined:					
Low	108.00	not known	n/a		
Medium	216.00	not known	n/a		
High	326.00	not known	n/a		
Vehicle refinishers:					
Low	218.00	not known	n/a		
Medium	349.00	not known	n/a		
High	524.00	not known	n/a		
Mobile screening and crushing plant, for first and second permits:					
Low	618.00	not known	n/a		
Medium	989.00	not known	n/a		
High	1,484.00	not known	n/a		
for the third to seventh permits:					
Low	368.00	not known	n/a		
Medium	590.00	not known	n/a		
High	884.00	not known	n/a		
eighth and subsequent permits:					
Low	189.00	not known	n/a		
Medium	302.00	not known	n/a		
High	453.00	not known	n/a		
Late payment fee (applies when an invoice remains unpaid 8 weeks from the date the invoice was issued)	50.00	not known	n/a		
Note: Where a Part B installation is subject to reporting under the E-PRTR Regulation, add an extra £99 to the above amounts					
Transfer and Surrender:					
Standard process transfer	162.00	not known	n/a		
Standard process partial transfer	476.00	not known	n/a		
New operator at low risk reduced fee activity	75.00	not known	n/a		
Surrender: all Part B activities	Nil	not known	n/a		
Reduced fee activities: transfer	Nil	not known	n/a		
Reduced fee activities: partial transfer	45.00	not known	n/a		
Temporary Transfer for Mobiles:					
First transfer	51.00	not known	n/a		
Repeat transfer	10.00	not known	n/a		
Repeat following enforcement or warning	51.00	not known			

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
Substantial change:					
Standard process	1,005.00	not known	n/a		
Standard process where the substantial change results in a new PPC activity	1,579.00	not known	n/a		
Reduced fee activities	98.00	not known	n/a		
LAPPC Mobile Plant Charges:					
Application Fee:					
1 to 2 Permits	1,579.00	not known	n/a		
3 to 7 Permits	943.00	not known	n/a		
8 Permits and Over	477.00	not known	n/a		
Subsistence Fee:					
1 to 2 Permits:					
Low	618.00	not known	n/a		
Medium	989.00	not known	n/a		
High	1,484.00	not known	n/a		
3 to 7 Permits					
Low	368.00	not known	n/a		
Medium	590.00	not known	n/a		
High	884.00	not known	n/a		
8 Permits and Over					
Low	189.00	not known	n/a		
Medium	302.00	not known	n/a		
High	453.00	not known	n/a		
LA - IPPC Charges:					
<i>NB - every subsistence charge listed below includes the additional £99 charge to cover Local Authority extra costs in dealing with reporting under the E-PRTR Regulation.</i>					
Application	3,218.00	not known	n/a		
Additional fee for operating without a permit	1,137.00	not known	n/a		
Annual Subsistence:					
Low	1,384.00	not known	n/a		
Medium	1,541.00	not known	n/a		
High	2,233.00	not known	n/a		
Late payment fee (applies when an invoice remains unpaid 8 weeks from the date the invoice was issued)	50.00	not known	n/a		
Substantial Variation	1,309.00	not known	n/a		
Transfer	225.00	not known	n/a		
Partial transfer	668.00	not known	n/a		
Surrender	668.00	not known	n/a		
Notes:					
<i>The fees for 2012/13 have not yet been published by the relevant government department (DEFRA). This usually occurs at the end of March/early April.</i>					
<i>Subsistence charges can be paid in four equal quarterly instalments paid on 1st April, 1st July, 1st October and 1st January. Where paid quarterly the total amount payable to the local authority will be increased by £36.</i>					
<i>Reduced fee activities are; Service Stations, Vehicle Refinishers, Dry Cleaners and Small Waste Oil Burners under 0.4MW</i>					
<i>Newspaper adverts may be required under EPR at the discretion of the Local Authority (LA) as part of the consultation process when considering an application (see Chapter 9 of the General Guidance Manual). This will be undertaken and paid for by the LA and the charging scheme contains a provision for the LA to recoup its costs</i>					
Factual Statements (Food Safety Act, Health and Safety at Work Act, Environmental Protection Act)				Cabinet	

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Charge for factual statements - additional time	111.20	120.00	8.80		
Charge for factual statements - disclosure of documents	56.20	62.50	6.30		
Private Water Supplies				Statutory	
Risk Assessment	£13.22 per hour + Mileage - up to £500.00	£14.50 per hour + Mileage	Statutory cost recover and Maximum figure		
Sampling	100.00	100.00	Freeze		
Investigation	100.00	100.00	Freeze		
Authorisation	100.00	100.00	Freeze		
Analysis - during Regulation 10	25.00	25.00	Freeze		
- during check monitoring	100.00	100.00	Freeze		
- during audit monitoring	500.00	500.00	Freeze		
Swimming Pools					
Sampling of Pool Water - per annum	500.00	500.00	Freeze	Cabinet	
Training Courses				Cabinet	
CIEH Level 2 - Food Safety in Catering (new charge)	0.00	70.00	n/a		
CIEH Level 2 - Health & Safety in the Workplace (new charge)	0.00	70.00	n/a		
CIEH Level 4 Food Safety in Catering (new charge)	0.00	210.00	n/a		
GARDEN WASTE RECYCLING (ADDITIONAL SERVICE)				Cabinet	No VAT
80 litre sacks (roll of 10)	10.00	10.00	Freeze		
240 litre bin - annual charge (with 4/6 week Winter Shut down)	35.00	35.00	Freeze		
HIRE OF ROOMS					No VAT
Hire of Civic Suite Rooms				Cabinet	
Hire of Council Chamber – per day	95.00	95.00	Freeze		
Hire of Council Chamber – per half day	50.00	50.00	Freeze		
Hire of Committee Room 1 – per day	45.00	45.00	Freeze		
Hire of Committee Room 1 – per half day	25.00	25.00	Freeze		
Hire of Committee Room 2 – per day	45.00	45.00	Freeze		
Hire of Committee Room 2 – per half day	25.00	25.00	Freeze		
Hire of Civic Offices Rooms					
Standard Rates:					
Room 1 – per day	15.50	15.50	Freeze		
Room 1 – per half day	8.00	8.00	Freeze		
Room 2 – per day (can no longer be hired out)	15.00	n/a	n/a		
Room 2 – per half day (can no longer be hired out)	8.00	n/a	n/a		
Room 3 – per day	15.50	15.50	Freeze		
Room 3 – per half day	8.00	8.00	Freeze		
Room 4 – per day	25.50	25.50	Freeze		
Room 4 – per half day	13.00	13.00	Freeze		
Room 5 – per day (can no longer be hired out)	15.50	n/a	n/a		
Room 5 – per half day (can no longer be hired out)	8.00	n/a	n/a		
Room 6 – per day	25.50	25.50	Freeze		
Room 6 – per half day	13.00	13.00	Freeze		
Local Statutory Bodies Rates:					
Room 1 – per day	13.50	13.50	Freeze		
Room 1 – per half day	7.00	7.00	Freeze		
Room 2 – per day (can no longer be hired out)	12.50	n/a	n/a		
Room 2 – per half day (can no longer be hired out)	6.50	n/a	n/a		
Room 3 – per day	12.50	12.50	Freeze		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Room 3 – per half day	6.50	6.50	Freeze		
Room 4 – per day	18.50	18.50	Freeze		
Room 4 – per half day	9.50	9.50	Freeze		
Room 5 – per day (can no longer be hired out)	10.50	n/a	n/a		
Room 5 – per half day (can no longer be hired out)	5.50	n/a	n/a		
Room 6 – per day	21.50	21.50	Freeze		
Room 6 – per half day	11.00	11.00	Freeze		
Voluntary and Community Sector Rates:					
Room 1 – per day	7.50	7.50	Freeze		
Room 1 – per half day	5.50	5.50	Freeze		
Room 2 – per day (can no longer be hired out)	6.50	n/a	n/a		
Room 2 – per half day (can no longer be hired out)	5.50	n/a	n/a		
Room 3 – per day	6.50	6.50	Freeze		
Room 3 – per half day	5.50	5.50	Freeze		
Room 4 – per day	9.50	9.50	Freeze		
Room 4 – per half day	5.50	5.50	Freeze		
Room 5 – per day (can no longer be hired out)	5.50	n/a	n/a		
Room 5 – per half day (can no longer be hired out)	5.50	n/a	n/a		
Room 6 – per day	11.50	11.50	Freeze		
Room 6 – per half day	5.50	5.50	Freeze		
Hire of Guildhall Rooms					
Standard Rates:					
Room 10 – per day	15.50	15.50	Freeze		
Room 10 – per half day	8.00	8.00	Freeze		
Room 14 – per day	15.50	15.50	Freeze		
Room 14 – per half day	8.00	8.00	Freeze		
Local Statutory Bodies Rates:					
Room 10 – per day	11.50	11.50	Freeze		
Room 10 – per half day	6.00	6.00	Freeze		
Room 14 – per day	11.50	11.50	Freeze		
Room 14 – per half day	6.00	6.00	Freeze		
Voluntary and Community Sector Rates:					
Room 10 – per day	7.50	7.50	Freeze		
Room 10 – per half day	5.50	5.50	Freeze		
Room 14 – per day	7.50	7.50	Freeze		
Room 14 – per half day	5.50	5.50	Freeze		
Rooms can be booked by the hour at pro rata rates, subject to a minimum booking charge of £5.00					
Hire of Kidsgrove Rooms					
Standard Rates:					
Room 1 per day	15.50	15.50	Freeze		
Room 1 per half day	8.00	8.00	Freeze		
Room 2 per day	25.50	25.50	Freeze		
Room 2 per half day	13.00	13.00	Freeze		
Room 3 per day (can no longer be hired out)	15.50	n/a	n/a		
Room 3 per half day (can no longer be hired out)	8.00	n/a	n/a		
Room 4 per day	15.50	15.50	Freeze		
Room 4 per half day	8.00	8.00	Freeze		
Room 5 per day	15.50	15.50	Freeze		
Room 5 per half day	8.00	8.00	Freeze		
Local Statutory Bodies:					
Room 1 per day	13.50	13.50	Freeze		
Room 1 per half day	7.00	7.00	Freeze		
Room 2 per day	18.50	18.50	Freeze		
Room 2 per half day	9.50	9.50	Freeze		
Room 3 per day (can no longer be hired out)	12.50	n/a	n/a		
Room 3 per half day (can no longer be hired out)	6.50	n/a	n/a		
Room 4 per day	12.50	12.50	Freeze		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Room 4 per half day	6.50	6.50	Freeze		
Room 5 per day	10.50	10.50	Freeze		
Room 5 per half day	5.50	5.50	Freeze		
Voluntary and Community Sector:					
Room 1 per day	7.50	7.50	Freeze		
Room 1 per half day	5.50	5.50	Freeze		
Room 2 per day	9.50	9.50	Freeze		
Room 2 per half day	5.50	5.50	Freeze		
Room 3 per day (can no longer be hired out)	6.50	n/a	n/a		
Room 3 per half day (can no longer be hired out)	5.50	n/a	n/a		
Room 4 per day	6.50	6.50	Freeze		
Room 4 per half day	5.50	5.50	Freeze		
Room 5 per day	5.50	5.50	Freeze		
Room 5 per half day	5.50	5.50	Freeze		
Rooms can be booked by the hour at pro rata rates, subject to a minimum booking charge of £5.00.					
LAND CHARGES				Cabinet	No VAT
Residential * LLC1 – Local Land Charges Register only	25.00	30.00	5.00		
Commercial ** LLC1 – Local Land Charges Register Only	145.00	80.00	-65.00		
Residential * Con 29R (required form)	55.00	60.00	5.00		
Commercial ** Con 29R (required form)	55.00	175.00	120.00		
Residential * full standard search (LLC1 + Con 29R)	80.00	90.00	10.00		
Commercial ** full standard search (LLC1 + Con 29R)	200.00	255.00	55.00		
Con 290 (optional form) each enquiry	16.00	17.00	1.00		
Each additional enquiry (your own question, per hour)	Actual Cost	Actual cost	Freeze		
Additional parcel of land	35.00	36.00	1.00		
LEASE LICENCES				Cabinet	No VAT
Silverdale Angling Club - Boggs Wood Pool, Keele Road (3 years from 12/6/00, reviewed annually on 12 th June)	75.00	79.00	4.00		
Kidsgrove Angling Club - Bathpool Lake, Clough Hall Lake, Target Lake (10 years from 1/9/03, reviewed annually on 1st April)	750.00	790.00	40.00		
Mrs SJ Hancock - Oaklands Park Pool, Bradwell (3 years from 1/3/02, reviewed annually on 1st March)	75.00	79.00	4.00		
Newcastle and Hartshill Cricket Club - Lilleshall (20 years from 1/4/92, reviewed annually on 1st April)	1,780.00	1,820.00	40.00		
Audley and District Football Club - Townsfield, Audley (5 years from 1/4/05, reviewed every 5 years on 1st April)	1,175.00	1,175.00	Freeze		
Redgate Clayton Football Club - Northwood Lane, Clayton (5 years from 1/7/97, reviewed annually on 1st July)	695.00	695.00	Freeze		
Kidsgrove Athletic Football Club - Clough Hall Park (20 years from 1/4/05, reviewed annually on 1st April)	2,200.00	2,314.00	114.00		
Newcastle Rugby Union Football Club - Lyme Valley (25 years from 1/11/06, reviewed every five years on 1st November)	1,855.00	1,872.00	17.00		
Newcastle Track Cycling Association - Lyme Valley (n.b. this fee is paid to Newcastle Town F.C.) (1 year from 1/4/08, reviewed annually on 1st April)	1,615.00	1,680.00	65.00		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
LEISURE CHARGES				Cabinet	
Charges Applicable to All Sites					
Equipment Hire/Sale					
Hire	1.50	1.50	Freeze		VAT Inclusive
Deposit (fully refundable)	5.00	5.00	Freeze		No VAT
Saleable items	Cost + 50%	Cost + 50%	Freeze		VAT Inclusive
Football Development					No VAT
One day coaching	13.50	14.00	0.50		
Two day coaching	27.00	28.00	1.00		
Football fun weeks	50.00	50.00	Freeze		
Player development course	31.20	32.00	0.80		
Mini soccer sessions	2.90	3.00	0.10		
Gym					
Gym Registration/induction					
Adult/Junior/Concession (fee refundable against full membership)	10.00	10.00	Freeze		No VAT
Entry Fees					
Adult -Lyme Card	4.50	4.50	0.00		VAT Inclusive
Junior/Concession -Lyme Card	3.40	3.40	0.00		VAT Inclusive
Pre Payment					
Adult Buy 10 get 1 free-Lyme Card (new charge)	n/a	45.00	n/a		VAT Inclusive
Junior/Concession Buy 10 get 1 free -Lyme Card (new charge)	n/a	34.00	n/a		VAT Inclusive
Lyme Card Concession Scheme (Previously Activ8)					
Lyme Card Concession Scheme membership	3.00	3.00	Freeze		VAT Inclusive
Lyme Card Concession outdoor club (youth)	1.50	1.50	Freeze		VAT Inclusive
Lyme Card Concession Swim	2.20	2.00	-0.20		VAT Inclusive
Badminton court - per person (minimum of 2 people - off peak times only)	1.90	2.00	0.10		VAT Inclusive
Lyme Card Concession Adult Lesson (1/2 Hour) Block swimming multiples of single fee	3.50	4.00	0.50		No VAT
Lyme Card Concession Aqua fit, aerobics and spinning	3.40	3.40	Freeze		No VAT
Lyme Card Concession Gym – pay and play session	3.40	3.40	Freeze		VAT Inclusive
Sports and Events					
Sports development courses	Market Price	Market Price	n/a	Portfolio Holder	No Vat
SPLAT Scheme:					
Swimming	Free	Free	Freeze	Cabinet	
Sports Hall	Free	Free	Freeze		
External Activities	Market Price	Market Price	n/a		VAT Inclusive
Social Services membership registration (maximum of 20)	Free	Free	Freeze		
Swimming				Cabinet	VAT Inclusive
Adult swim entry fee- standard	3.60	4.00	0.40		
Adult swim entry fee - Lyme Card (new charge)	n/a	3.60	n/a		
Junior/concession swim entry fee-standard	2.00	2.20	0.20		
Junior/concession swim entry fee - Lyme Card (new charge)	n/a	2.00	n/a		
Children 3 years and under (new charge)	n/a	Free	n/a		
Spectators-standard	1.20	1.00	-0.20		
Spectators-Lyme Card (new charge)	n/a	Free	n/a		
Adults Prepay (Buy 10 get one free entry) (new charge)	n/a	36.00	n/a		
Junior/concession Prepay (Buy 10 get one free entry) (new charge)	n/a	20.00	n/a		
Family Swimming					
Family Swim 1 Adult & 1 Child	4.60	5.90	1.30	Family swimming	
Family Swim 1 Adult & 1 Child-with Lyme Card (new charge)	n/a	5.60	n/a	charges brought	
Family Swim 1 Adult & 2 Children	6.10	8.00	1.90	in line with the	
Family Swim 1 Adult & 2 Children-with Lyme Card (new charge)	n/a	7.60	n/a	Child Admissions	

	Proposed		Increase/ Decrease £.p	Committee Approval/ Comments	VAT Status
	Fee/Charge	Fee/Charge			
	2011/12 £.p	2012/13 £.p			
Family Swim 1 Adult & 3 Children (new charge)	n/a	10.10	n/a	Policy.	
Family Swim 1 Adult & 3 Children-with Lyme Card (new charge)	n/a	9.60	n/a		
Family Swim 2 Adults & 1 Child (new charge)	n/a	9.90	n/a		
Family Swim 2 Adults & 1 Child-with Lyme Card (new charge)	n/a	9.20	n/a		
Family Swim 2 Adults & 2 Children (new charge)	n/a	11.80	n/a		
Family Swim 2 Adults & 2 Children-with Lyme Card (new charge)	n/a	11.20	n/a		
Family Swim 2 Adults & 3 Children	10.70	13.90	3.20		
Family Swim 2 Adults & 3 Children-with Lyme Card (new charge)	n/a	13.12	n/a		
Family Swim 2 Adults & 4 Children (new charge)	n/a	16.00	n/a		
Family Swim 2 Adults & 4 Children-with Lyme Card (new charge)	n/a	15.20	n/a		
Family Swim 2 Adults & 5 Children (new charge)	n/a	18.10	n/a		
Family Swim 2 Adults & 5 Children-with Lyme Card (new charge)	n/a	17.20	n/a		
Family Swim 2 Adults & 6 Children (new charge)	n/a	20.20	n/a		
Family Swim 2 Adults & 6 Children-with Lyme Card (new charge)	n/a	19.20	n/a		
Swimming Instruction					No VAT
Swimming Lessons					
Adult swimming lesson (per 30 minutes)-standard	5.60	8.00	2.40		
Adult swimming lesson (per 30 minutes)-Lyme Card (new charge)	n/a	8.00	n/a		
Junior/60+ swimming lesson (per 30 minutes)-standard	3.80	5.00	1.20		
Junior/60+ swimming lesson (per 30 minutes)-Lyme Card (new charge)	n/a	5.00	n/a		
Courses					
Rookie Lifeguards (per 2 hour session)-standard	4.70	5.00	0.30		
Rookie Lifeguards (per 2 hour session)-Lyme Card (new charge)	n/a	5.00	n/a		
Other courses-standard	Cost +25%	Cost+25%	n/a		
Other courses-Lyme Card (new charge)	n/a	Cost+25%	n/a		
Classes					
Aquagym-standard	4.50	5.00	0.50		
Aquagym-Lyme Card (new charge)	n/a	4.50	n/a		
Aquagym-concession (new charge)	n/a	3.60	n/a		
Aquafit-standard	4.50	5.00	0.50		
Aquafit-standard-Lyme Card (new charge)	n/a	4.50	n/a		
Aquafit-concession (new charge)	n/a	3.60	n/a		
Private Lessons					
1:1 lesson (per 30 minutes) -standard	16.00	20.00	4.00		
1:1 lesson (per 30 minutes)-Lyme Card (new charge)	n/a	20.00	n/a		
Additional Person-standard (new charge)	n/a	8.00	n/a		
Additional Person-Lyme Card (new charge)	n/a	8.00	n/a		
Swimming Pool Hire					VAT Inclusive
Training Pool Hire	42.30	42.50	0.20		
Additional staff for pool hire (per staff member)	17.50	20.00	2.50		
Large Inflatable	33.30	35.00	1.70		
Small Inflatable	17.00	20.00	3.00		
Kidsgrove Sports Centre					
Astroturf					VAT Inclusive
Astroturf Pitch – adult (per court)	24.50	24.50	Freeze		
Astroturf play area – junior (per court)	17.90	17.90	Freeze		
Classes					
Trampoline class per hour	4.20	4.50	0.30		No VAT
Climbing Wall					
Climbing Wall (per hour)	10.60	10.60	Freeze		VAT Inclusive

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
		£.p	£.p		
Health Suite					VAT Inclusive
Sauna/steam – Adult	6.10	6.10	Freeze		
Membership Charges - Kidsgrove Sports Centre ONLY					VAT Inclusive
Direct debit monthly payments-new single member (Three months notice)	26.50	16.99	-9.51	Charges reviewed due to main pool closure. Effective 01/01/12.	
Direct debit monthly payments-new off peak member (Three months notice)	19.00		-2.01		
Sports Halls					VAT Inclusive
Sports hall hire (peak)	44.00	44.00	Freeze		
Sports hall hire (off peak)	32.95	32.95	Freeze		
Sports hall hire (off peak) - Educational use/socially excluded group use	24.30	24.30	Freeze		
Badminton (per 55 minutes booking) – peak per court	8.80	8.80	Freeze		
Badminton (per 55 minutes booking) - off peak per court	6.60	6.60	Freeze		
Table Tennis (per table, per hour)	5.00	5.00	Freeze		
Spectators	1.20	1.20	Freeze		
Studio Hire					
Studio hire – weekdays (peak)	17.00	17.00	Freeze		VAT Inclusive
Studio hire – weekends (off peak)	13.75	13.75	Freeze		VAT Inclusive
Instructional courses	Cost + 25%	Cost + 25%	n/a		No VAT
Swimming Pool Hire					
Main Pool Hire - (6 lane)	76.10	78.00	1.90		VAT Inclusive
Knutton Recreation Centre					
Astroturf					VAT Inclusive
Astroturf pitch-adult full pitch	40.70	40.70	Freeze		
Astroturf pitch-junior full pitch	25.50	25.50	Freeze		
Astroturf pitch-youth fee full pitch-(under 16s) (Mon-Fri 4-6pm, Sat-Sun 3-5pm)	15.50	15.50	Freeze		
Astroturf pitch-adult (per court)	20.35	20.35	Freeze		
Astroturf pitch-junior (per court)	12.75	12.75	Freeze		
Astroturf pitch-youth fee (per court)-(under 16s) (Mon-Fri 4-6pm, Sat-Sun 3-5pm)	7.75	7.75	Freeze		
Jubilee 2					
Aqua Sauna (includes access to swimming pool)					VAT Inclusive
Adult-standard	n/a	10.00	n/a		
Adult-Lyme Card	n/a	9.00	n/a		
Concession (over 16)-standard	n/a	5.60	n/a		
Concession (over 16)-Lyme Card	n/a	5.00	n/a		
Climbing - (Uninstructed Climbing Fees) (All new charges)					VAT Inclusive
Climbing Registration/Induction					No VAT
Adult-Lyme Card	n/a	10.00	n/a		
Junior/concession-Lyme Card	n/a	6.00	n/a		
Entry Fees					VAT Inclusive
Adult Day Visitor-standard	n/a	10.00	n/a		
Adult-Lyme Card	n/a	4.50	n/a		
Junior/concession Day Visitor-standard	n/a	6.00	n/a		
Junior/concession-Lyme Card	n/a	3.00	n/a		
Adult Belay Only-standard	n/a	5.00	n/a		
Adult Belay Only-Lyme Card	n/a	2.50	n/a		
Group Adult (minimum 4 people) -standard	n/a	8.00	n/a		
Group Adult (minimum 4 people) -Lyme Card	n/a	4.00	n/a		
Group Junior (minimum 4 people) -standard	n/a	5.00	n/a		
Group Junior (minimum 4 people) -Lyme Card	n/a	2.50	n/a		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
	£.p	£.p	£.p		
Prepay Rates					VAT Inclusive
Adult 30 Day Pass-Lyme Card	n/a	35.00	n/a		
Junior 30 Day Pass-Lyme Card	n/a	20.00	n/a		
Adult 12 Session Pass (pay for 10)-Lyme Card	n/a	45.00	n/a		
Junior 12 Session Pass (pay for 10)-Lyme Card	n/a	30.00	n/a		
Equipment Hire					VAT Inclusive
Belay-standard	n/a	1.00	n/a		
Belay-Lyme Card	n/a	1.00	n/a		
Shoes-standard	n/a	3.00	n/a		
Shoes-Lyme Card	n/a	3.00	n/a		
Harness-standard	n/a	2.00	n/a		
Harness-Lyme Card	n/a	2.00	n/a		
Climbing - (Instructed Activities) (All new charges)					No VAT
Have-a-go Auto Belay Session					VAT Inclusive
1 person (15 minutes)-standard	n/a	5.00	n/a		
1 person (15 minutes)-Lyme Card	n/a	5.00	n/a		
2 sharing (15 minutes)-standard	n/a	8.00	n/a		
2 sharing (15 minutes)-Lyme Card	n/a	8.00	n/a		
Have-a-go Abseil Session					VAT Inclusive
Per descent-standard	n/a	1.00	n/a		
Per descent-Lyme Card	n/a	1.00	n/a		
Instructed Sessions					No VAT
Taster Session (1 hour Age 7+)	n/a	8.00	n/a		
Climb Lyme Start (90 minute adult introduction to climbing)	n/a	12.00	n/a		
Climb Lyme Club (2 hours Age 16+)	n/a	16.00	n/a		
Climb Lyme Fit (1 hour work out class) -Lyme Card holders	n/a	4.50	n/a		
Parties					VAT Inclusive
Up to 6	n/a	60.00	n/a		
Up to 12	n/a	120.00	n/a		
Up to 18	n/a	180.00	n/a		
Instructed Groups					No VAT
Up to 8	n/a	76.00	n/a		
Up to 16	n/a	152.00	n/a		
Up to 24	n/a	228.00	n/a		
Junior Clubs					VAT Inclusive
Limestones (Age 4-7) single visit	n/a	9.50	n/a		
Limestones (Age 4-7) Half term session (multiply by no.weeks)	n/a	8.00	n/a		
J2 Climb Team (age 7+) single visit	n/a	9.50	n/a		
J2 Climb Team (age 7+) (multiply by no.weeks)	n/a	8.00	n/a		
R:Rock (Age 14+) single visit	n/a	9.50	n/a		
R:Rock (Age 14+) (multiply by no.weeks)	n/a	8.00	n/a		
Courses					No VAT
Beginners (2 x 2 hours)	n/a	60.00	n/a		
Intermediate (2 x 2 hours)	n/a	60.00	n/a		
Learn to Lead (2 x 2 hours)	n/a	60.00	n/a		
Workshops (1 x 1 hour)	n/a	30.00	n/a		
Site Specific Training and Assessment	n/a	95.00	n/a		
Private Instruction					No VAT
One to One	n/a	20.00	n/a		
Per additional person (maximum 8)	n/a	8.00	n/a		
Club Lyme Membership Charges					VAT Inclusive
(including gym, swim, classes, climbing and aqua sauna)					
Joining fee (includes inductions) (new charge)	n/a	20.00	n/a		
Off Peak (Mon-Fri 6.30am to 5pm and weekends) 6 month minimum contract. Payment monthly by direct debit. (changed from 3 months notice to 6 months contract)	19.00	19.00	Freeze		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Off Peak (Mon-Fri 6.30am to 5pm and weekends) Prepayment (receive 1 month free when pay up front for a year) (new charge)	n/a	209.00	n/a		
Peak (Mon-Fri 6.30am to 11pm, Sat 8am to 8pm, Sun 8am to 10pm) 6 month minimum contract. Payment monthly by direct debit. (changed from 3 months notice to 6 months contract).	26.50	26.50	Freeze		
Peak (Mon-Fri 6.30am to 11pm, Sat 8am to 8pm, Sun 8am to 10pm) Prepayment (receive 1 month free when pay up front for a year) (new charge).	n/a	291.50	n/a		
No contract - Peak (price per month) (new charge)	n/a	32.00	n/a		
No contract - Off Peak (price per month) (new charge)	n/a	24.00	n/a		
Corporate Membership (minimum of 5) Peak (price per month)	Not Stated	25.00	n/a		
Corporate Membership (minimum of 5) Off Peak (price per month)	Not Stated	18.00	n/a		
Studio Hire-(new charges)					
Hire					VAT Inclusive
Activity Zone	n/a	15.00	n/a		
Studio 1	n/a	20.00	n/a		
Studio 2	n/a	20.00	n/a		
Multi Activity Space (both studios)	n/a	40.00	n/a		
Classes					
Adult-standard	n/a	5.00	n/a		No VAT
Adult-Lyme Card	n/a	4.50	n/a		
Junior/Concession-standard	n/a	4.00	n/a		
Junior/Concession-Lyme Card	n/a	3.60	n/a		
Pre Payment					
Adult-Lyme Card (Buy 10 get 1 free)	n/a	45.00	n/a		VAT Inclusive
Junior/Concession-Lyme Card (Buy 10 get 1 free)	n/a	36.00	n/a		
Swimming Pool Hire					
Main Pool Hire - Jubilee 2 (per lane per hour)	n/a	13.00	n/a		VAT Inclusive
Bowls					
Adult	3.45	3.65	0.20	Cabinet	VAT Inclusive
Junior/60+	1.95	2.00	0.05		
Summer season ticket - adult	47.15	50.00	2.85		
Summer season ticket - junior/60+/unemployed	31.00	32.65	1.65		
Joint with Stoke-on-Trent City Council	61.00	64.50	3.50		
Winter season ticket	10.50	11.00	0.50		
Summer and winter season ticket - adult	55.30	58.50	3.20		
Summer and winter season ticket - Junior/60+/Unemployed	39.45	41.50	2.05		
Merit competition per player - per hour	5.55	5.85	0.30		
Greenage fees for prebooking (plus playing fee per person)	7.70	8.00	0.30		
Reissues of season ticket	25% of cost	25% of cost	n/a		
Tennis Class A (Westlands, Wolstanton)					
Family ticket (1/2 adults, 2/3 children)	6.75	7.00	0.25	Cabinet	VAT Inclusive
1 hour ticket (per person) – adult	3.85	4.00	0.15		
1 hour ticket (per person) - junior/60+/unemployed	2.10	2.20	0.10		
1/2 hour ticket (per person) – adult	2.10	2.20	0.10		
1/2 hour ticket (per person) - junior/60+/unemployed	1.15	1.20	0.05		
Annual tickets (per person) – adult	84.15	88.50	4.35		
Annual tickets (per person) - junior/60+/unemployed	57.85	61.00	3.15		
Tennis Class B (Chesterton, Silverdale, Birchenwood, Bradwell, Clough Hall)					
1 hour ticket (per person) - adult	Free	Free	Freeze		
1 hour ticket (per person) - junior/60+/unemployed	Free	Free	Freeze	No charge due to	
1/2 hour ticket (per person) - adult	Free	Free	Freeze	low usage and	
1/2 hour ticket (per person) - junior/60+/unemployed	Free	Free	Freeze	disproportionate	
Annual tickets (per person) - adult	Free	Free	Freeze	cost of collection	
Annual tickets (per person) - junior/60+/unemployed	Free	Free	Freeze		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease/	Comments	
		£.p	£.p		
Football (Alternate weekly use per season)				Cabinet	
Birchenwood	640.00	675.00	35.00		No VAT
Roe Lane	652.20	686.50	34.30		VAT Inclusive
Wye Road/Black Bank/Clough Hall	572.15	602.00	29.85		No VAT
Wolstanton Marsh Pavilion	448.45	472.00	23.55		No VAT
All other pitches	309.30	325.50	16.20		No VAT
Junior pitch	Not Stated	60% of adult rates	n/a		No VAT except Roe Lane which is inclusive of VAT
Mini soccer pitch (unmarked)	180.40	190.00	9.60		No VAT
Mini soccer pitch (marked)	252.60	266.00	13.40		No VAT
Football (Casual use per match)					
Roe Lane/Birchenwood	73.65	77.50	3.85		VAT Inclusive
Rugby (Alternate weekly use per season)					
Bathpool	640.00	657.00	17.00		No VAT
Lyme Valley	340.20	358.00	17.80		No VAT
Rugby (Casual user per match)					
Roe Lane/Bathpool	73.65	77.50	3.85		VAT Inclusive
LICENCES				Statutory	No VAT
General					
Sex establishments - application fee	3,000.00	3,000.00	Freeze		
Sex establishments - annual fee	2,000.00	2,000.00	Freeze		
Motor salvage operator - annual fee	75.00	100.00	25.00		
Gambling Act 2005					
Lotteries - application fee	40.00	40.00	Freeze		
Lotteries - annual fee	20.00	20.00	Freeze		
Bingo - application fee	3,500.00	3,500.00	Freeze		
Bingo - annual fee	1,000.00	1,000.00	Freeze		
Bingo - application to vary	1,750.00	1,750.00	Freeze		
Track betting - application fee	2,500.00	2,500.00	Freeze		
Track betting - annual fee	732.00	1,000.00	268.00		
Track betting - application to vary	1,250.00	1,250.00	Freeze		
Track betting - application to transfer	950.00	950.00	Freeze		
Club machine permit - application fee	200.00	200.00	Freeze		
Club machine permit - renewal fee	200.00	200.00	Freeze		
Club machine permit - annual fee	50.00	50.00	Freeze		
Betting premises - application fee	3,000.00	3,000.00	Freeze		
Betting premises - annual fee	600.00	600.00	Freeze		
Betting premises - application to vary	1,500.00	1,500.00	Freeze		
Betting premises - application to transfer	1,200.00	1,200.00	Freeze		
Family entertainment centre - application fee	2,000.00	2,000.00	Freeze		
Family entertainment centre - annual fee	750.00	750.00	Freeze		
Family entertainment centre - application to vary	1,000.00	1,000.00	Freeze		
Family entertainment centre - application to transfer	950.00	950.00	Freeze		
Adult gaming centre - application fee	2,000.00	2,000.00	Freeze		
Adult gaming centre - annual fee	1,000.00	1,000.00	Freeze		
Adult gaming centre - application to vary	1,000.00	1,000.00	Freeze		
Adult gaming centre - application to transfer	1,200.00	1,200.00	Freeze		
Private Hire/Hackney Carriage				Cabinet	
Private hire operators (per vehicle for 3 years - maximum £3,640)	74.00	80.00	6.00		
Hackney carriage - drivers (3 years)	178.00	180.00	2.00		
Private hire - drivers (3 years)	178.00	180.00	2.00		
Knowledge Test	33.00	35.00	2.00		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Replacement badge	11.00	11.00	Freeze		
Hackney carriage/private hire application - deposit non refundable	53.00	53.00	Freeze		
Hackney carriage - vehicles	220.00	230.00	10.00		
Private hire - vehicles	210.00	220.00	10.00		
Private hire - vehicles 8+ seats	220.00	230.00	10.00		
Transfer of vehicle	30.00	35.00	5.00		
Vehicles tests - hackney carriage and private hire	37.00	40.00	3.00		
Failure to attend for vehicle test	38.00	40.00	2.00		
Replacement plate and carrier - front	22.00	22.00	Freeze		
Replacement plate and carrier - rear	32.00	32.00	Freeze		
Private hire plate refundable deposit	53.00	53.00	Freeze		
Licensing Act 2003 - New Application				Statutory	
Premise Licence, band A (rateable value of up to £4,300)	100.00	100.00	Freeze		
Premise Licence, band B (rateable value of £4,301 to £33,000)	190.00	190.00	Freeze		
Premise Licence, band C (rateable value of £33,001 to £87,000)	315.00	315.00	Freeze		
Premise Licence, band D (rateable value of £87,001 to £125,000)	450.00	450.00	Freeze		
Premise Licence, band E (rateable value of £125,001 and above)	635.00	635.00	Freeze		
Additional fee (number of patrons 5,000 to 9,999)	1,000.00	1,000.00	Freeze		
Additional fee (number of patrons 10,000 to 14,999)	2,000.00	2,000.00	Freeze		
Additional fee (number of patrons 15,000 to 19,999)	4,000.00	4,000.00	Freeze		
Additional fee (number of patrons 20,000 to 29,999)	8,000.00	8,000.00	Freeze		
Additional fee (number of patrons 30,000 to 39,999)	16,000.00	16,000.00	Freeze		
Additional fee (number of patrons 40,000 to 49,999)	24,000.00	24,000.00	Freeze		
Additional fee (number of patrons 50,000 to 59,999)	32,000.00	32,000.00	Freeze		
Additional fee (number of patrons 60,000 to 69,999)	40,000.00	40,000.00	Freeze		
Additional fee (number of patrons 70,000 to 79,999)	48,000.00	48,000.00	Freeze		
Additional fee (number of patrons 80,000 to 89,999)	56,000.00	56,000.00	Freeze		
Additional fee (number of patrons 90,000 and above)	64,000.00	64,000.00	Freeze		
Licensing Act 2003 - Annual Fee				Statutory	
Premise Licence, band A (rateable value of up to £4,300)	70.00	70.00	Freeze		
Premise Licence, band B (rateable value of £4,301 to £33,000)	180.00	180.00	Freeze		
Premise Licence, band C (rateable value of £33,001 to £87,000)	295.00	295.00	Freeze		
Premise Licence, band D (rateable value of £87,001 to £125,000)	320.00	320.00	Freeze		
Premise Licence, band E (rateable value of £125,001 and above)	350.00	350.00	Freeze		
Additional fee (number of patrons 5,000 to 9,999)	500.00	500.00	Freeze		
Additional fee (number of patrons 10,000 to 14,999)	1,000.00	1,000.00	Freeze		
Additional fee (number of patrons 15,000 to 19,999)	2,000.00	2,000.00	Freeze		
Additional fee (number of patrons 20,000 to 29,999)	4,000.00	4,000.00	Freeze		
Additional fee (number of patrons 30,000 to 39,999)	8,000.00	8,000.00	Freeze		
Additional fee (number of patrons 40,000 to 49,999)	12,000.00	12,000.00	Freeze		
Additional fee (number of patrons 50,000 to 59,999)	16,000.00	16,000.00	Freeze		
Additional fee (number of patrons 60,000 to 69,999)	20,000.00	20,000.00	Freeze		
Additional fee (number of patrons 70,000 to 79,999)	24,000.00	24,000.00	Freeze		
Additional fee (number of patrons 80,000 to 89,999)	28,000.00	28,000.00	Freeze		
Additional fee (number of patrons 90,000 and above)	32,000.00	32,000.00	Freeze		
Licensing Act 2003 - Miscellaneous Fees (Application or Notice)				Statutory	
Section 25 (theft, loss, etc. of premises licence or summary)	10.50	10.50	Freeze		
Section 29 (application for a provisional statement where premises being built, etc.)	315.00	315.00	Freeze		
Section 33 (notification of change of name or address)	10.50	10.50	Freeze		
Section 37 (application to vary licence to specify individual as premises supervisor)	23.00	23.00	Freeze		
Section 42 (application for transfer of premises licence)	23.00	23.00	Freeze		
Section 47 (interim authority notice following death etc. of licence holder)	23.00	23.00	Freeze		
Section 79 (theft, loss etc. of certificate or summary)	10.50	10.50	Freeze		
Section 82 (notification of change of name or alteration of rules of club)	10.50	10.50	Freeze		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease/	Comments	
	£.p	£.p	£.p		
Licensing Act 2003 - Miscellaneous Fees (Application or Notice)					
Section 83 (1) or (2) (change of relevant registered address of club)	10.50	10.50	Freeze		
Section 100 (temporary event notice)	21.00	21.00	Freeze		
Section 110 (theft, loss etc. of temporary event notice)	10.50	10.50	Freeze		
Section 117 (application for a grant or renewal of personal licence)	37.00	37.00	Freeze		
Section 126 (theft, loss etc. of personal licence)	10.50	10.50	Freeze		
Section 127 (duty to notify change of name or address)	10.50	10.50	Freeze		
Section 178 (right of freeholder etc. to be notified of licensing matters)	21.00	21.00	Freeze		
MARKETS					
				Cabinet	No VAT
Open market - stall (per day)	17.80	17.80	Freeze		
Open market - extension to stall (per day)	3.45	3.45	Freeze		
Farmers market - stall (per day)	20.00	20.00	Freeze		
Antique market - stall (per day)	Negotiated	10.00	n/a		
Minimum charge (changed from 25 to 20 stalls)	Negotiated	200.00	n/a		
Craft fair (bric-a-brac) - stall (per day)	4.10	4.00	-0.10		
Catering Pitches minimum charge (per day) (new charge)	n/a	25.00	n/a		
M.O.T.					
				Cabinet	No VAT
M.O.T. – car	42.00	42.00	Freeze		
M.O.T. – class 7 (up to 3.5 tonnes)	49.00	49.00	Freeze		
Retest	12.00	12.00	Freeze		
MUSEUM AND ART GALLERY					
				Cabinet	
Reproduction prints of items in collection - 7"x 5"	11.60	12.00	0.40		VAT Inclusive
Reproduction prints of items in collection - 8"x 6"	12.35	13.00	0.65		VAT Inclusive
Reproduction prints of items in collection - 10"x 8"	13.70	15.00	1.30		VAT Inclusive
Reproduction prints of items in collection - 12"x 10"	17.40	19.00	1.60		VAT Inclusive
Other prints	Cost+30%	Cost+30%	n/a		VAT Inclusive
Photocopies (per sheet)	0.35	0.45	0.10		VAT Inclusive
Scanned images A5	2.65	3.00	0.35		VAT Inclusive
Scanned images A4	3.90	4.50	0.60		VAT Inclusive
Community publication	10.00	12.50	2.50		VAT Inclusive
Additional	5.00	5.50	0.50		VAT Inclusive
Commercial publication	30.00	35.00	5.00		VAT Inclusive
Additional	12.00	13.00	1.00		VAT Inclusive
Regional TV, film and video (per item)	55.00	65.00	10.00		VAT Inclusive
UK network TV (per item)	80.00	90.00	10.00		VAT Inclusive
Overseas TV (per item)	160.00	175.00	15.00		VAT Inclusive
Commission of picture sales from exhibitions	25% of Advertised Price	25% of Advertised Price	n/a		Plus VAT
Education Session (per pupil) Half Day - Borough schools (school rates harmonised)	2.40	2.75	0.35		No VAT
Education Session (per pupil) - Half Day Non Borough schools (school rates harmonised)	2.65		0.10		No VAT
Education Session (per pupil) - Full day - Borough schools (school rates harmonised)	4.20	4.75	0.55		No VAT
Education Session (per pupil) - Full day - Non Borough schools (school rates harmonised)	4.50		0.25		No VAT
Education sessions – minimum charge half day (20 pupils or fewer)	47.40	50.00	2.60		No VAT
Education sessions – minimum charge full day (20 pupils or fewer)	84.25	95.00	10.75		No VAT
Holiday activities per child	2.00	2.00	Freeze		No VAT
Mini makes	0.55	0.75	0.20		No VAT

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
Adult history courses (10 weeks)	52.00	70.00	18.00		No VAT
Adult history courses (10 weeks) - Concession	48.00	65.00	17.00		No VAT
Adult object handling/reminiscence sessions (per hour)	21.10	25.00	3.90		VAT Inclusive
Outreach Fee (new)	0.00	25.00	n/a		No VAT
Outreach education – schools (per session) (previously per hour)	21.10	50.00	28.90		No VAT
Hire of meeting room (per half day)	19.50	20.00	0.50		No VAT
Refreshment Charges (tea/coffee & biscuits, per head)	0.80	0.90	0.10		VAT Inclusive
Education Item Loan	0.00	10.00	10.00		No VAT
Saleable items	Market value	Market value	n/a		
Open Art Registration (per item)	3.50	4.00	0.50		VAT Inclusive
Open Art Registration (three items)	9.00	10.50	1.50		VAT Inclusive
Open Art Registration - Concession (per item)	3.00	3.50	0.50		VAT Inclusive
Open Art Registration - Concession (three items)	7.50	9.00	1.50		VAT Inclusive
Event Fees:					
Craft Fairs per Table - One Day (new charge)	n/a	20.00	n/a		VAT Inclusive
Craft Fairs per Table - Two Days (new charge)	n/a	40.00	n/a		VAT Inclusive
PEST CONTROL				Cabinet	
Treatment of rats (domestic properties)	Free	Free	Freeze		
Treatment of mice (domestic properties) – prepayment by card, cheque or cash	20.00	25.00	5.00		VAT Inclusive
Treatment of mice (domestic properties) – payment by invoice	38.00	43.00	5.00		VAT Inclusive
Treatment of pests of public health significance (domestic properties) e.g. bed bugs and cockroaches – prepayment by card, cheque or cash	20.00	25.00	5.00		VAT Inclusive
Treatment of pests of public health significance (domestic properties) e.g. bed bugs and cockroaches – payment by invoice	38.00	43.00	5.00		VAT Inclusive
Insect control treatments (including wasps, ants and fleas) - prepayment by card, cheque or cash	60.00	65.00	5.00		VAT Inclusive
Insect control treatments (including wasps, ants & fleas) - payment by invoice	78.00	83.00	5.00		VAT Inclusive
3 treatment scheme (3 for 2 offer) – prepayment by card, cheque or cash	120.00	130.00	10.00		VAT Inclusive
3 treatment scheme (3 for 2 offer) – payment by invoice	138.00	148.00	10.00		VAT Inclusive
Pest control and commercial (other) - first hour	72.00	75.00	3.00		VAT Inclusive
Pest control and commercial (other) - per 1/4 additional hour (inc. VAT)	charge as per quote	charge as per quote	n/a		VAT Inclusive
Mole control (per treatment visit) - prepayment rate (inc. VAT)	Quotation on request	Quotation on request	n/a		VAT Inclusive
Mole control (per treatment visit) - payment by invoice (inc. VAT)	Quotation on request	Quotation on request	n/a		VAT Inclusive
Fixed term pest control treatment agreements (commercial premises) - actual cost (minimum one hour)	from 216.00	from £275.00	59.00		VAT Inclusive
PLANNING SERVICES				Cabinet	No VAT
Postage and packing	0.60	0.60	Freeze		
<i>Copies up to £1 are free of charge</i>					
Paper copies of Planning decisions and documents - per sheet (A4) (Black and White)	0.10	0.10	Freeze		
Paper copies of Planning decisions and documents - per sheet (A3) (Black and White)	0.20	0.20	Freeze		
Paper copies of Plans - planning files - per sheet (A4) (Black and White)	0.10	0.10	Freeze		
paper copies of Plans - planning files - per sheet (A3) (Black and White)	0.20	0.20	Freeze		
Paper Colour Copies of an A4 sheet of planning decision, planning documents or plan from a planning file	0.50	0.25	-0.25		
Paper Colour Copies of an A3 sheet of planning decision, planning documents or plan from a planning file	0.50	0.50	Freeze		

	Fee/Charge	Proposed		Committee	VAT
	2011/12	Fee/Charge	Increase/	Approval/	Status
	£.p	2012/13	Decrease	Comments	
		£.p	£.p		
Scanned copies of documents - per sheet - charge per hour of scanning (new charge)	n/a	30.00	n/a		
Paper copies of Plans - planning files - each plan (A2)	1.60	1.70	0.10		
Paper copies of Plans - planning files - each plan (A1)	2.60	2.70	0.10		
Paper copies of Plans - planning files - each plan (A0)	3.60	3.75	0.15		
Building Control decisions and documents - per document (change to charging structure)	10.00	Charges as per Planning documents above	n/a		
Building Control decisions and documents - research into archive files (change to charging)	55.00	Actual Cost	n/a		
Weekly lists - posted	93.00	100.00	7.00		
Weekly lists - collected	62.00	75.00	13.00		
Weekly lists - statutory consultees	Free	Free	Freeze		
Requests for information/site history - commercial organisations (per hour)	62.00	65.00	3.00		
Requests for information/site history - private individuals	Actual Cost	Actual Cost	n/a		
Covenant consents (officer approval required)	100.00	105.00	5.00		
Planning application fees	Statutory	Statutory	n/a	Statutory	
Owing to the complexity of the fee structure, it is not shown here. Details of Fees payable may be obtained from the Council's Planning Section. Alternatively the fee calculator available at the Planning Portal website: http://www.planningportal.gov.uk/pins/FeeCalculatorStandalone can be used to determine the fees payable in respect of individual applications.					
Building Control fees (service provided by North Staffs Building Control Partnership)	As per Partnership Board	As per Partnership Board	n/a	Partnership Board	
George Riley walking guides	2.00	2.00	Freeze	Cabinet	
Business directory Newcastle-under-Lyme	Free	Free	Freeze		
Planning and development briefs (as and when prepared)	Free	Free	Freeze		
Core Spatial Strategy	30.00	30.00	Freeze		
Local Development Framework Proposals Map - North or South	5.00	5.00	Freeze		
Local Development Framework Proposals Map - Both North and South	5.00	10.00	5.00		
Strategic Housing Land Availability Assessment (SHLAA) (new charge)	n/a	25.00	n/a		
PRIVATE SECTOR HOUSING					
					No VAT
Houses in multiple occupation licence fee	511.50	537.00	25.50	Cabinet	
Re-submission of returned applications	80.00	84.00	4.00		
Fee to change or vary a house in multiple occupation licence	52.00	55.00	3.00		
Immigration inspections	78.00	82.00	4.00		
PUBLIC CONVENIENCES (RADAR) SCHEME (FULLY ACCESSIBLE FOR DISABLED USE)					
				Cabinet	No VAT
Residents of the Borough	Free	Free	Freeze		
Non residents of the Borough	2.50	2.50	Freeze		
REMOVAL OF DOMESTIC ANIMAL CARCASSES					
				Cabinet	VAT Inclusive
Removal of domestic animal carcasses (including VAT)	0.00	26.00	26.00		

	Fee/Charge	Proposed Fee/Charge	Increase/Decrease	Committee Approval/Comments	VAT Status
	2011/12	2012/13			
	£.p	£.p	£.p		
SALE OF SANDBAGS				Cabinet	VAT Inclusive
5 Sand bags (new charge)	n/a	26.00	n/a		
10 Sand bags (new charge)	n/a	31.00	n/a		
15 Sand bags (new charge)	n/a	36.00	n/a		
20 sand bags	32.00	41.00	9.00		
STREET TRADING (OFFICER APPROVAL REQUIRED)				Cabinet	No VAT
Newcastle Town Centre (daily)	18.20	18.20	Freeze		
Consent trading (daily, electricity)	3.60	3.60	Freeze		
Eastbound layby A500 (per annum)	8,450.00	8,745.00	295.00		
Northbound layby A500 (per annum)	8,450.00	8,745.00	295.00		
Northbound layby A34 (per annum)	8,450.00	8,745.00	295.00		
TOWN CENTRE DISPLAYS (OFFICER APPROVAL REQUIRED)				Cabinet	No VAT
Market traders and local promotions (per metre)	7.00	7.00	Freeze		
Charity and local community groups	Free	Free	Freeze		
National promotions (minimum charge)	60.00	60.00	Freeze		
TREE PRESERVATION ORDERS				Cabinet	No VAT
Single copy of a tree preservation order	28.00	29.00	1.00		
* H.M. Revenue & Customs guidance states that off street car parking provided by local authorities is subject to VAT. This ruling is currently the subject of a legal challenge.					

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5. CHARGING PRINCIPLES

- 5.1 Charges should be made for services whenever the Council has a power or duty to do so.
- 5.2 There will be an initial presumption that charges to be made for the provision of a service will be set at a level intended to recover the cost of providing the service.
- 5.3 However, this presumption may be modified by the application of the charging principles set out at 5.5 below, which may result in no charge being made or a lesser charge being made or in some cases a charge being made which is greater than that required for cost recovery.
- 5.4 No charge will be made in cases where the Council is not permitted to charge by law. Where charges are set by external bodies, those charges will be applied. Where maximum or minimum charges are specified externally, charges will be set in compliance with those requirements.
- 5.5 The following matters will be considered when deciding whether to set a charge, which is not to be based on cost recovery. The headings in bold indicate general areas for consideration and the bullet points below them are particular factors which should be taken into account where relevant.

The cost of providing the service

- All direct costs are to be included.
- All overheads related to the provision of the service, which may be attributed to the cost of the service, are to be included.
- Best estimates may be made of costs where it is not practical to obtain precise data or identify precisely those overheads attributable to the service.
- Unit costs are to be calculated by reference to realistic user numbers based on actual experience, either in relation to this Council or, if appropriate comparable services elsewhere.

How much income is it desired to generate and why?

- Is the service required to make a surplus or break-even?
- Does income from the service make a significant contribution to reducing the net amount of the Council's revenue budget?
- Have any targets been set for the income or class of income of which it is a component?
- Is income needed to fund future investment?

Comparison of charges made by neighbouring or similar councils or other providers of similar services

- In making this comparison it will be necessary to establish whether the services being provided by these other bodies are comparable to those provided by the Council and to make adjustments where this is not so.
- Is there a logical reason for significant differences between this Council's charges and those of others?
- Will customers be lost to other service providers if charges are set too high?

Whose use of services is it desired to subsidise and by how much?

- Can all potential users afford to pay the full cost of the service or the same charges as other users?
- Is it desirable to subsidise all users of the service, for example because there is likely to be a desirable outcome for the community as a result
- Are there particular classes of users that should be subsidised, such as the unemployed, benefits recipients, the elderly, disabled persons or children?
- Should subsidies be given by reducing the charges payable or by offering concessions to offset the charge?

Whose behaviour is it desired to influence and in what ways?

- Is it desirable to influence users to use particular facilities, for example where they are under-used, by charging less for their use than for other similar ones?
- Is it desirable to persuade users to behave in a way which is more acceptable to the community in preference to any other or others less acceptable and can this be promoted by setting charges at a level which might achieve this?
- Is it desired to promote a particular pattern of use, for example short stay parking as opposed to another, such as long stay parking or to discourage peak time use of facilities?
- Should some behaviour or activities be discouraged by setting high charges or penalties?
- Can anti-social behaviour be reduced by charging for services which discourage people from behaving irresponsibly at a level which they will find attractive, for example charges for the collection of bulky waste to discourage fly-tipping?
- Are there desirable outcomes which the Council wishes to see realised, in line with its corporate objectives, which could be assisted through the charging regime, for example maintaining the economic vitality of the town centres through the provision of reasonably priced facilities such as car parking?

How will charges help to improve value for money, equity and access to services?

- What are users' perceptions with regard to what constitutes a fair and reasonable charge?
- Are there any issues relating to social inclusion or equalities?

Will the cost (including staff time) of collecting the income due outweigh the amount of income likely to be collected?

- Is it worth making a charge?
- Should a charge be made anyway as a matter of principle?

Any other relevant factors

It will be a matter for the Council to determine what the charge will be, based on its consideration of the above factors.

- 5.6 Where, without prior agreement by the Council, individuals or organisations engage in activities that result in a cost to the Council, the Council will seek to recover this cost, wherever possible.

HOUSING CAPITAL PROGRAMME 2012/13

Submitted by: Joanne Basnett

Portfolio: Regeneration and Planning

Ward(s) affected: All

Purpose of the Report

To seek approval for the 2012/13 Housing Capital Programme.

Recommendation

That the proposed housing capital programme for 2012/13 be approved.

Reasons

The Council considers the Housing Capital Programme every year to ensure that our housing investment priorities are up to date. With limited funding available from national funding streams it is appropriate for the Council to consider the use of the New Homes Bonus alongside the Council's own capital resources. Due to the New Homes Bonus scheme being launched after last year's budget setting process the report seeks to allocate the 2011 and 2012 New Homes Bonus to next year's Housing Capital Programme.

This report outlines the key options for housing investment in the forthcoming year and seeks support of an appropriate housing programme to deliver our strategic housing priorities and to support our most vulnerable residents.

1. Background

- 1.1 The Council has a housing capital programme to deliver the Council's priorities as set out in the Housing Strategy and associated Housing Renewal Assistance Policy, Energy Efficiency and Climate Change Strategy and Empty Homes Strategy. The current 2011/12 programme is funded by Council funds and central government grant to support Disabled Facilities Grants (DFGs).
- 1.2 At the time of the budget setting for 2011/12 the Council was aware that there was likely to be some payment under the 'then proposed' New Homes Bonus however the details weren't finalised. The New Homes Bonus was finalised in 2011 and is based on match funding the additional council tax raised for new homes and empty properties brought back into use, with an additional amount for affordable homes, for the following six years. The bonus payment calculation allocates 80% to the Borough Council and 20% to the County Council, with the view that the respective Councils work together to meet the needs of the local area. At the time of writing this report the County Council were still deciding how to invest their proportion of the New Homes Bonus, but, as it is not ring-fenced, it may be used to provide general support to the County's budget, which has recently seen considerable additional investment in major economic regeneration schemes in the Borough, including funding towards the redevelopment of a key site in Newcastle Town Centre.
- 1.3 The Council has received the first New Homes Bonus payment and officers are estimating the amount of bonus predicted for next year. This report outlines ways in which both years of funding can be used to support the Council's key priorities. In considering suitable ways to utilise the New Homes Bonus it is appropriate to take into account the Council's overall

financial position. Whilst the New Homes Bonus is intended to support the development of new homes it is not ring fenced for this use and therefore it is appropriate that the Council considers the funding to support the Council's housing priorities.

- 1.4 At the time of writing this report the 2012 allocation has been confirmed at £513,477 and combined with the first years payment this makes the total two year payment of £777,398. It is important that the Council approves the allocation of this funding.

2. **Issues**

2.1 **New Homes Bonus (NHB)**

- 2.1.1 The New Homes Bonus was established by the Government to be a powerful, simple and transparent incentive for housing growth and is a key part of the Government's national strategy for housing growth. It is based on the council tax of additional homes and those brought back into use, with a premium amount for affordable homes, and paid for the following six years. It ensures that those local authorities which promote and welcome growth can share in the economic benefits, and build the communities in which people want to live and work.

- 2.1.2 In April 2011 the Council received its first payment under the New Homes Bonus scheme (NHBS). In summary the NHBS was established:

“to provide local authorities with real incentives to deliver housing growth”.

“to engender a more positive attitude to growth and create an environment in which new housing is more readily accepted”

“natural economic benefits of growth are returned to the local authorities and communities where growth takes place”.

Whilst the Council is able to invest this money as appropriate, there are a number of issues and expectations arising from the Government's funding. The Government has already undertaken a survey of local authorities to ascertain the planned benefits of the funding and it is expected that the Council will be required to complete further returns. It is therefore appropriate that the Council consider utilising the funding to support the Housing Capital Programme.

2.2 **Affordable Housing**

- 2.2.1 Under the New Homes Bonus, from year 2012/13, the Government will pay an enhancement of £350 (£2,100 over 6 years) for each new affordable unit. The Council can consider utilising the funding to develop new affordable housing. This approach is expected by the Homes and Communities Agency (HCA) and Registered Providers (RPs), however developing affordable housing purely to access further grant in future years would not be sufficient justification to promote this approach. The potential to utilise the funding for this approach is outlined in section 4 below.

2.3 **Viability**

- 2.3.1 In the event of a market housing development being unable to fund affordable housing for reasons of viability, the additional funding from the scheme might be important in ensuring that housing delivery might continue and the objective of increasing the numbers of affordable homes in the housing supply might more easily be achieved, at least in the current economic climate.

- 2.3.2 Due to the complexity of the assessing viability and the legal contracts that would be

required to ensure that the public subsidy was being used appropriately it is proposed that funding would be directed to the Registered Provider to secure the affordable housing and the development would be subject to an economic viability assessment by the District Valuer.

2.4 Empty properties

2.4.1 Bringing empty properties back into use may also help to overcome local opposition to new housing. This would also have the additional bonus of generating further NHB the following year. The Council currently commits £80k to empty homes within the Housing Capital Programme. In future years this could be funded by the NHB. The Council could also be more ambitious with our empty property programme and work with say PM Training to bring more empty properties back into use.

2.5 Support for other housing programmes

2.5.1 In order to meet residents' needs the Council invests in a range of housing schemes through the Housing Capital Programme. This includes support for Disabled Facilities Grants, Serious Safety and hazard grants, other housing initiatives including empty properties and affordable housing and previously Home loans programme.

2.5.2 As the NHB is not restricted then the funding could be used to support the Housing Capital Programme including the Serious Safety and hazard grants plus a home loans programme in later years.

3. Options Considered

3.1 It is important that the Council considers the full range of housing schemes that are currently provided to support vulnerable residents and contribute to the sustainability of the Borough. Public funding should be used to ensure schemes offer value for money by maximising any receipts or private sector investment, as well as targeting those in greatest need. Taking into consideration that the majority of the Housing Capital Funding is coming from the New Homes Bonus, it is appropriate that the aims of the New Homes Bonus are prioritised within the proposed programme.

3.2 Should funding not be allocated to the Housing Capital Programme the schemes listed below would not be delivered and many vulnerable residents would be left living in unsafe housing. The Council would have to solely rely on our enforcement role which may force some vulnerable residents to become homeless, leave inhabitable homes boarded up and homes unrepaired contributing to the decline in the area.

4. Proposal and Reasons for Preferred Solution

4.1 The Council has a statutory duty to provide DFGs to eligible applicants and due to the increasing elderly population and national policies to enable people to live independently in their own home; the demand on mandatory DFGs is increasing. This trend is continuing and a bid was made to increase central government funding to £580,000 whilst maintaining council funding of £250,000 to give a DFG programme at £830,000. At the time of writing this report the DFG grant award has not been made and it is anticipated to be known in February 2012. Officers believe that a more realistic grant allocation is £510,000, is combined with the Council funding of £250,000 this makes a total DFG programme of £760,000. It is important to note that the current programme for 2011/12 was for £760,000 and all of this money was allocated by November, therefore all applications since November are waiting for the allocation of further funding before commencing.

4.2 There are a number of important schemes delivered as part of the Housing Strategy and Housing Renewal Assistance Policy which require housing capital finance and officers are recommending that they are supported in 2012/13:

- **Emergency assistance to deal with properties with serious safety or health hazards** in accordance with the Housing Renewal Assistance Policy will require a budget of £44,000.
- **Empty property** officer resources to continue tackling an important issue. Void properties are frequently the subject of complaints from neighbouring residents because they harm the appearance of an area and attract anti-social behaviour including vandalism, arson and substance abuse. A budget of £30,000 is proposed for this scheme to continue the support for a Housing Standards Officer. This officer will take a proactive approach to contacting owners to seek ways to enable them to return their property back to use. Officers are investigate new partnership approaches and are developing schemes to bid for the new national funding. This includes a local officer liaising with home owners to facilitate access to a empty property loan, the details of this are being developed at the time of writing this report and the outcome of the bid to the Homes and Communities Agency won't be known for several months.
- Continue supporting a **Home Improvement Agency** to assist vulnerable residents to maintain their independence and continue living safely in their own homes. The Revival Agency based at Staffordshire Housing Association helps the Council to deliver the disabled facilities grants and home loans service as well as helping with issues such as affordable warmth. The Agency relies on funding made up from grants from local authorities, the parent Housing Association, Staffordshire County Council, client's own funds and Supporting People. Officers recommend a grant of £40,000 to support the work of the Agency, subject to contract negotiations. Additional funding will be provided on a fee basis related to individual property grants.
- The **Accredited Landlords scheme** has been very successful, officers recommend that the Council allocates £5,000 to remain in the North Staffs schemes and that officers work to develop a long term self financing scheme. Due to financial pressures the accredited landlord grants will be suspended.
- **Home Loans** have previously been delivered through the regional Kickstart programme which ceased to take new referrals after 31 March 2011. Whilst public funding is limited and needs to be targeted at the greatest priorities and to those in the greatest need it is appropriate to consider how the Council may support vulnerable residents to maintain their home utilising home loans. In particular equity release loans can be useful for elderly residents who may have assets but no significant income. At the time of writing this report Officers are working with Staffordshire Housing (Revival Home Improvement Agency) to establish local home loans. It is recommended that some funding is allocated to establish and market the preferred scheme for Newcastle.

4.3 The current economic climate continues to bring challenges to households in meeting the financial costs of their current home with some households facing repossession, the Council needs to support the strategic housing enabling role to provide additional **affordable homes** that meet the needs of the community. The Council has previously utilised capital funding in the Housing Capital Programme to kick start development or match fund schemes. Schemes have included Lymebrook at Lower Milehouse and Beasley Place, Chesterton. Due to budget pressures it is recommended that the Council seeks to work in partnership with housing providers and the Homes and Communities Agency to support the delivery of additional affordable housing without any direct investment from the New Homes Bonus.

4.4 The **North Staffordshire Warm Zone** contributes greatly to the wider energy efficiency agenda, helping to deliver key elements of the council's Energy Efficiency and Climate Change Strategy as well as the Housing Strategy. By being part of the North Staffordshire Warm Zone the Council has enabled many residents to access energy efficiency measures

including free cavity wall and loft installation. This is particularly important in improving the energy ratings of dwellings delivering reductions in carbon emissions and fuel bills thus helping to reduce fuel poverty for vulnerable households enabling them to keep warm and healthy during the winter months.

It is anticipated that by October 2012 the national Green Deal will be launched and there may be opportunities for local delivery agents. In considering the allocation of funding for next financial year it is therefore appropriate that the Council continues to be part of the Warm Zone partnership and considers the successes of the Warm Zone and the ability of the scheme to assist residents when the Green Deal is established.

The current funding is anticipated to support requests until May 2012. It is proposed that £5,000 is indicatively allocated to the continuation of the Warm Zone to October 2012, which is less than last year's allocation. This allocation would be on the basis that the current funding had been exhausted. The take up of insulation varies and issues such as the weather creates a difference in the numbers of customers requesting assistance, in particular more people think about insulation in the cold weather. There have been several years of marketing and significant take up of the scheme. It is, therefore, anticipated that take up may decrease in the spring and that the allocation may well meet demand.

- 4.5 An important aspect of the housing capital programme is the future planning for the forthcoming year and indicatively for 2 years. For instance there are many referrals for mandatory DFGs that are currently being assessed by Social Services and officers are designing adaptations that are required on the basis that there will be some DFG programme in operation and the funding will be available. If a substantial scheme such as the DFG programme was to be significantly altered there would need to be a significant lead in time of several months.

5. **Outcomes Linked to Sustainable Community Strategy and Corporate Priorities**

- 5.1 The delivery of these housing schemes contributes to the corporate priorities of Creating Active and Healthier Communities, Creating a Cleaner, Safer and Sustainable Borough. Creating a Healthy and Active Community.

6. **Legal and Statutory Implications**

- 6.1 The housing capital programme will assist the Council in meeting its statutory duties to disabled residents and to households living in unsafe homes.
- 6.2 The housing capital programme will fund the assistance in the Housing Renewal Assistance Policy adopted by the Council in accordance with the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002.

7. **Equality Impact Assessment**

- 7.1 The Equality Impact Assessments on the Housing Renewal Assistance Policy have been completed.

8. **Financial and Resource Implications**

- 8.1 The NHB allocation is £777,398 in respect of the current and next financial year (2011/12 and 2012/13). As part of the revenue budget planning for next year it would be appropriate to allocate £393,398 towards the day to day housing services costs for 2012/13, leaving the balance of about £384,000 to be used to fund housing-related activities.

It is also considered appropriate that the Council's main capital programme supports the mainstream housing programmes, specifically the DFG's.

8.2 The table below shows proposed schemes for 2012/13 utilising the planned £384,000.

Scheme	2011/12 Council funding for the Housing Capital Programme £000s	Proposed 2012/13 NHB funding of £384,000 for the Housing Capital Programme £000s
Affordable housing	0 ¹	0
Viability	0	0
Empty Homes	80	30
Health and Safety	150	44
Home Loans	0	10
DFGs Match funded the Government grant of £510,000 to make a total budget of £760,000.	250	250
Warm Zone	20	5
Home Improvement Agency	34	40
Accredited Landlords Scheme	5	5
Total	539	384

¹ Although no additional money was allocated to affordable housing in 2011/12, there are a number of schemes to which funding was allocated in 2010/11 and are currently being developed. These are completion of the Ecohomes (£140,000), Beasley Place (£300,000), Lymebrook (£300,000) and Madeley (£115,000).

9. **Major Risks**

9.1 Without the proposed modest level of investment in the housing programme it will leave many vulnerable people living in unsatisfactory and importantly, potentially unsafe homes. With no options available to repair homes occupation may need to be restricted, leading to an increase in boarded up empty homes, which will make the area less sustainable and may increase antisocial behaviour.

10. **Key Decision Information**

10.1 The Housing Capital Programme is available to assist in meeting the housing needs of vulnerable residents across the Borough.

11. **Earlier Cabinet/Committee Resolutions**

11.1 The current Housing Capital Programme was approved by Cabinet on 19 January 2011.

12. **List of Appendices**

None.

13. **Background Papers**

None.

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HOUSING RENEWAL ASSISTANCE POLICY 2012-16

Submitted by: Chris Harling

Portfolio: Regeneration and Planning

Ward(s) affected: All

Purpose of the Report

To outline the requirement to review the Housing Renewal Assistance Policy and to seek approval to a revised Policy.

Recommendation

To adopt the Housing Renewal Assistance Policy 2012-2016.

Reasons

The current policy was adopted in 2010 and includes assistance available through regional housing funding which ceased at the end of the last financial year. In line with funding changes Officers are recommending that several aspects of the current policy are reviewed to give greater clarity to customers as to the likely assistance available. The report highlights several areas of change where assistance will be tighter to focus funding to assisting residents in need. The proposed changes also remove the Regional Kick Start Home Loans and the report highlights that officers will work with partner agencies to secure access for home owners to suitable alternative home loans where possible.

1. **Background**

1.1 The Council has a statutory obligation through the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 to produce, publish and act in accordance with a policy on housing renewal assistance which sets out:

- How much assistance is available and in what form.
- Who is eligible for assistance and in what circumstances support is provided.
- The form and process for applying for assistance.
- The circumstances in which repayment of financial assistance will be required.
- The advice that is available to help people access assistance.

2. **Issues**

2.1 The current policy was adopted in February 2010 and includes assistance available through regional housing schemes such as the regional Kick Start home loans scheme. This ceased to accept new customers at the end of last financial year in line with the end of Regional Housing funding. It is therefore reasonable that the Council reviews this element of the policy.

2.2 With the end of regional housing funding the amount of funding available for housing assistance is less and therefore support needs to be targeted to those in the greatest need and taking into account the number of residents eligible for assistance. The current policy therefore needs reviewing to refocus funding where needed and to provide greater clarity to customers over the likelihood of assistance.

3. **Options Considered**

- 3.1 The Council has a statutory obligation to adopt a Housing Renewal Assistance Policy so the only options relate to the content of the policy.
- 3.2 The government guidance on housing renewal assistance policies states that “a blanket ‘no assistance policy’, whether for grants, loans or both, would be unacceptable” because this would not adequately address the housing needs within the borough.

4. **Proposal and Reasons for Preferred Solution**

- 4.1 Officers have been working with partner agencies to review the current schemes included in the current policy. Following these discussions a consultation document highlighting the main proposed changes and a proposed revised policy was issued for consultation. Officers then had further discussions with key agencies, primarily the County Council in relation to the delivery of Disabled Facilities Grants, to agree a recommended approach. The key issues, consultation comments and preferred solution are listed below and included in the recommended revised Housing Assistance Policy 2012-16.

4.2 **Loans**

Given the pressure on local authority resources available for private sector renewal the Council has for several years promoted loans as an option to homeowners to renovate their dwellings

In 2010 the council was a member of the West Midlands Kick Start Partnership that provided loans to people on low income for home repairs, maintenance and improvements. The Government funding for Kick Start has been withdrawn and the scheme is now closed to new applicants.

The council’s Housing Conditions Survey in 2008 estimated equity potential within the owner-occupied sector at a substantial £4.953 billion. 11% of owner-occupiers said they would re-mortgage to carry out repairs; 6% said they would be interested in a Council sponsored scheme for equity release. The evidence of Kick Start was that few people actually turned this apparent intention into a loan application, however for those proceeding with a loan they have benefited from significant home improvements.

- 4.3 Revival Home Improvement Agency have spent several months investigating options to make loans available to residents which as with Kick-Start can be made available in conjunction with all the North Staffordshire Local Authorities. Whilst the Council and Revival cannot advise or recommend to residents that they have a loan, it is appropriate that information on the availability of loans is available. The revised policy therefore highlights that the Council will signpost residents to Revival, who may then provide information on available loans. Throughout the process it will be made clear that the home owner should seek Independent Financial Advice and that officers cannot provide this advice. Revival aim to agree partnerships with suitable loan providers and launch the home loans in February 2012. It is important to note that whilst home loans may assist some vulnerable residents they may not be suitable for all residents and types of assistance. It will be necessary for the Council to make provision to assist, where there is no prospect of alternative funding, in circumstances where housing conditions are so unacceptable that there is a serious risk to the health and safety of occupants. Accordingly there is provision for emergency repair assistance within the policy.

4.4 Disabled Facilities Grants

This is a mandatory grant of up to £30,000 to help a disabled person live at home. Applicants are means tested unless the works are for the benefit of a person under 18 years of age.

One of the issues discussed during the consultation on options to revise the Housing Renewal Policy was to balance the increasing costs of meeting individual complex needs of vulnerable residents using limited finance. Consultee's quite rightly highlighted that 'The implementation of the changes proposed will negatively impact on vulnerable and disabled citizen's independence, choice and well being and their ability to remain in their own home in the community, particularly those with the highest level of need. Clearly these proposed policy changes will impact on Staffordshire County Council's budget creating additional cost pressures, particularly for services supporting disabled children.'

Officers at the Borough Council would not disagree with statement and in an ideal world would support increasing the amount of funding allocated to DFGs. It is important to note that the Government has recognised the need to support vulnerable people with aids and adaptations particularly to enable hospital discharge. The Government has just announced that an additional £150million will be allocated nationally to Social Services and a further £20million will be allocated nationally to District Councils for the provision of DFGs. For the current year however the allocation is already fully committed. The issue is therefore not that the customers are the most vulnerable but that we have to assist them most appropriately within the resources available.

A resident of the borough over the age of 18 who makes an application for a DFG to adapt their home will be subject to the standard statutory means test. This may be carried out by one of the Council's Revenue Assistants or by the Revival Home Improvement Agency on behalf of the Council. If the means test determines that the applicant should make a contribution towards the cost of the adaptation the Council may ask for evidence that the applicant has sufficient means to do so and ensure the adaptation is completed in full before the grant is approved. Applications for people with a disability that are under the age of 18 are most subject to the means test.

4.5 Withdrawal of £5K discretionary DFG top up

The previous policy included provision for a discretionary £5,000 grant where the cost of the works needed for a disabled adaptation exceeded the maximum grant of £30,000 and all other possibilities of funding had been exhausted. The majority of People with a disability that apply for a grant need less than the maximum to fund a minor adaptation such as a change from a bathroom to a level-access shower room or equipment such as a stair-lift can while it is much more common for those requiring an extension to request cost significantly more than £30,000, such that even with an additional £5,000 there may be insufficient to complete the adaptation. Removing the £5,000 discretionary DFG top up in the revised policy the Council will be able to support appropriate DFG's and clarify to customers that extensions may be unsuitable and where appropriate housing advice will be given to enable customers to review their housing options. This may lead to some customers moving house and smaller level adaptations being undertaken in their new home.

In 2010/11 Newcastle Borough Council approved 2 discretionary top up grants totalling a sum of £7,989.10 (one of these was an Aspire tenant and other was an owner occupier who had a mixture of funding including a loan, of these one was for a disabled child and one for an adult).

Consultee's have made the comment that removing the £5k discretionary top up will have

the following impact:

- (1) “Extend the end to end time for possessing a DFG, as other funding streams are pursued which previously demonstrate a significant delay in the process. This will result in a reduction in DFG performance in Newcastle and that of the whole County of Staffordshire.”
- (2) “Any further delay in process may impact on the applicant’s health and well being which could result in further interventions such as increased care package, hospital admission or care in a residential setting or carer breakdown.”
- (3) “If additional sources of funding cannot be identified the DFG may be at risk of not progressing, impacting on the applicant’s ability to remain at home and wasting valuable time and resources to process the grant to this stage.”

Whilst these points are valid and should be considered it is important to highlight that the 5 DFG applications that were over the £30,000 (including 3 that didn’t have a discretionary grant) had these issues. In effect the removal of the £5,000 top up will mean that on average 2 applicants will need additional support to find alternative funding or will be considered for prioritisation for rehousing. As part of the Housing Renewal Assistance Policy the Council is also seeking to support the delivery of home loans through the Home Improvement Agency and these may be utilised in the future to top up DFGs. It is also worth noting that in some circumstances the County Council also provides discretionary means-tested grants/loans where required.

Consultee’s have highlighted that for the costs paid out it is worth keeping this element and have requested that the Council’s keeps the option to have a discretionary grant and adopts criteria for this. Whilst this would be beneficial for the vulnerable customers that would benefit, it is felt that this may create uncertainty and increased processing where additional checks, criteria and appeals can be generated by a discretionary process. Where the applicant owns their home it is also important to note that should the Council offer a discretionary grant with a limited budget this would mean refusing a mandatory grant.

Officers have reviewed other Staffordshire LA’s policies and no other Council offers discretionary top up grants. The proposed policy therefore excludes discretionary top up grants.

4.6 Disabled adaptations estimated at more than the maximum grant

It is now the case that where the quotations for the work will, or are likely to exceed £30,000 the council will recommend that the applicant has a housing options interview with the Newcastle Housing Advice Service before proceeding with their application. This will enable the customer to discuss their housing options to ascertain if moving to a new more suitable home is appropriate for them.

The Council will review whether the proposed scheme of work is necessary, appropriate, practical and reasonable. Section 23(3) of the Housing Grants, Construction and Regeneration Act 1996 states that “If in the opinion of the local housing authority the relevant works are more or less extensive than is necessary to achieve any of the purposes set out in subsection (1), they may, with the consent of the applicant, treat the application as varied so that the relevant works are limited to or, as the case may be, include such works as seem to the authority to be necessary for that purpose.”

The Council will also require evidence that a shortfall in funding can be met by the applicant. If this evidence is not available the council may refuse the grant application as being not “practical or reasonable”. It may still be possible for the grant to proceed if the applicant can fund the shortfall themselves from their own or from charitable funds.

Consultees have understandably highlighted that the Borough Council has a duty to assess what is necessary and appropriate and then practical and reasonable for all applications. Consultees have requested that the whole process for DFGs is amended to ensure that housing options is incorporated as an integral part of the process for all applicants, not just those who will or are likely to exceed £30,000.

It is important to highlight that the Council works in partnership with other agencies to support vulnerable people and that referrals between teams can be made but may prove to be timely and could create delays to the process. Officers have therefore recommended targeting housing advice to those who may not be able to afford the DFG top up and for whom the advice and support for rehousing to a more suitable home is a viable option. It is important to note that most vulnerable people do not wish to leave their current home and it is only where their needs can not be met by a DFG will they be likely to consider moving house.

Consultees have also commented that this proposed change will affect the costs of service delivery and therefore a targeted approach needs to be adopted to ensure that the service is cost effective.

4.7 Funding Equipment for people with a disability

The purposes for which a disabled grant must be approved include:

- "facilitating access by the disabled occupant to, or providing for the disabled occupant, a room in which there is a lavatory, or facilitating the use by the disabled occupant of such a facility;(f)facilitating access by the disabled occupant to, or;
- providing for the disabled occupant, a room in which there is a bath or shower (or both), or facilitating the use by the disabled occupant of such a facility;(g)facilitating access by the disabled occupant to, or providing for the disabled occupant, a room in which there is a wash hand basin, or facilitating the use by the disabled occupant of such a facility

In the past these words have been interpreted to include the provision of specialist (and costly) equipment to be purchased, installed and commissioned:

- Clos-o-mat lavatory (typical cost £5,000)
- Rise and fall hand basin
- Rise-and-fall specialist bath (typical cost £8,000)

Last year the Council funded the installation of 2 rising baths and 3 Clos-O-Mat toilets.

As part of the consultation Officers discussed options to agree a protocol that would provide clarity over where this specialised equipment should be funded from. It is worth noting that the County Council is currently reviewing the DFG process and at the time of writing this report it is unknown if specialised equipment will form part of the review. Officers from both the Borough and County Council have therefore recognised the benefits of not altering the current processes and are recommending that the policy says that 'the Borough Council may fund specialised equipment' enabling both Council's to contribute to the costs of specialised equipment where appropriate.

4.8 Other Issues Raised through the Consultation

Match funding for DFGs; it has been highlighted that a proportion of residents write to the Council to say that they have additional funds in place to support home adaptations when in

fact they don't. This could be seen as simply an error on the behalf of the resident, however it should be noted that the customers are vulnerable and often seeking any support for their housing issues. One consultee has highlighted that the Home Improvement Agency should be checking for evidence of any addition funds to reduce any unnecessary customer expectation. Officers will discuss this further with the Home Improvement Agency and will seek to make any relevant procedural improvements.

One consultee has highlighted that where an extension (which may be due to internal room layout) is required that the Occupational Therapist is clear with the customer that they should be seeking to move house. Borough Council Officers are already trying to give customers a realistic view of the likelihood of a DFG meeting the needs of the customer, it is hoped that through regular liaison with all partner agencies that all support staff are able to appropriately advise customers and where rehousing is an appropriate solution that they receive this advice.

4.9 **Tighter eligibility for Emergency Assistance**

The current policy is based on a proportion of an emergency assistance grant being repaid if the home transfers ownership within 5 years, indeed it is a condition that the applicant declares that it is their intention to remain for five years. In most cases by repairing the home the vulnerable resident is able to remain in their home, however in a very few cases the home transfers ownership, normally through an open market sale. In these circumstances the Council currently requires that a proportion is repaid based on the length of time the works have been completed, so the applicant will be required to repay to the Council one fifth of the grant for each full or part year remaining of the five year term. (For example if the property was sold after 2.5 years, 3/5 of the grant must be repaid).

Through the consultation period officers sought partner agencies views on making the pay back period for Emergency Assistance more stringent with repayment charges made for up to 10 years where assistance had been between £5,000 and £10,000. In light of the limited funding and the establishment of a home loan scheme with Revival, the Emergency Assistance has been reduced to a maximum of £5,000 and only where a home loan can't be accessed.

- 4.10 The proposed policy confirms that customers can appeal any decision under the Housing Renewal Assistance Policy by contacting the Principal Environmental Health Housing Officer. This has been amended from the current policy which lists the Executive Director to reflect current working practices and enables more Senior Officers to consider appeals or complaints.

5. **Outcomes Linked to Sustainable Community Strategy and Corporate Priorities**

- 5.1 The Housing Renewal Assistance Policy reflects the priorities in the Corporate Plan. In particular:
- ***Creating a Cleaner, Safer and Sustainable Borough*** - by encouraging residents to install energy conservation measures at home and assisting home owners to ensure that their homes are safe and decent to live in.
 - ***Creating a Borough of Opportunity-*** *encouraging the improvement of existing private sector homes and increasing the availability of good quality accommodation for the boroughs residents*
 - ***Creating a Healthy and Active Community*** – by helping to improve unhealthy housing conditions and reducing inequality by targeting resources to the most disadvantage communities

- ***Transforming our Council to achieve excellence*** - by working in partnership with other relevant organisations to target and deliver improvements the outcomes of the Housing Renewal Assistance Policy are residents who are assisted to be able to live in a home that meet their needs. The policy is deliberately targeted at those in greatest need and at areas and types of houses where the worst conditions are found.

6. **Legal and Statutory Implications**

- 6.1 The Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 allowed local authorities to make use of loan-based assistance and other types of housing assistance providing that they had adopted a policy setting out how the new powers would be used. The Council is therefore required to adopt a Housing Renewal Assistance Policy and to act in accordance with that policy.

7. **Equality Impact Assessment**

- 7.1 A Service Impact Assessment has been completed and highlights that the investment through the Housing Renewal Assistance Policy positively impacts on the most vulnerable residents of the Borough but that limits on finance also mean that assistance is limited. In particular the Service Impact Assessment recognises that disabled children often have the greatest needs.

8. **Financial and Resource Implications**

- 8.1 The budget for financial assistance is set annually and takes into account the amounts of external funding received. This policy will be used to prioritise the use of housing assistance funding and sets out the conditions of the assistance.

9. **Major Risks**

- 9.1 The key risk relates to insufficient funding to enable the Council to make all of the forms of assistance available. This is mitigated by the policy stating that all forms of assistance are subject to sufficient resources being available.

Reductions in funding will prevent the Council from assisting vulnerable households to improve their living conditions.

If the Council did not adopt a policy it would be unlawful to provide financial assistance in accordance with the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002.

10. **Key Decision Information**

- 10.1 This is a key decision because it involves vulnerable residents in all wards.

11. **Earlier Cabinet/Committee Resolutions**

- 11.1 The current Housing Renewal Assistance Policy was adopted in February 2010.

13. **List of Appendices**

- 13.1 The proposed Housing Renewal Assistance Policy 2012-2016 is available in the Members' Room or electronically on request. Following adoption it will also be published on the Council's website.

14. **Background Papers**

None.

CAPITAL STRATEGY

Submitted by **Head of Finance**

Portfolio **Resources and Efficiency**

Wards Affected **All**

Purpose

To consider the Capital Strategy 2012 to 2015.

Recommendation

That the Capital Strategy be agreed and forwarded to Council for approval.

Reason

The Capital Strategy sets out how the Council proposes to deploy its capital resources in order to assist it to achieve its corporate and service objectives.

1. Background

- 1.1 The previous Capital Strategy was approved by the Cabinet on 9 February 2011 and Full Council on 23 February 2011. It covered the period 2011 to 2014. When Full Council considered revised Financial Regulations on 25 February 2009 it resolved that following discussion by the Cabinet the Capital Strategy be approved by Full Council.
- 1.2 The purpose of the Capital Strategy is to set out how the Council proposes to deploy its capital resources in order to assist it to achieve its corporate and service objectives. It takes into account other relevant Council strategies, policies and plans and the views of partners and stakeholders with whom the Council is involved. It also takes account of the resources which are likely to be available to the Council to fund capital investment and the effect of that investment on the Council's revenue budget. It covers the period 2012 to 2015. It will serve as a useful point of reference when determining or reviewing the Council's Capital Programme.

2. Issues

- 2.1 The 2012 to 2015 Capital Strategy is appended to this report.
- 2.2 Following consideration by Cabinet the Strategy will be submitted to Council on 15 February 2012 for approval, incorporating any amendments which you may wish to make.

3. Financial and Resource Implications

There are none deriving directly from the Strategy.

4. List of Appendices

Appendix - Capital Strategy 2012 to 2015

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CAPITAL STRATEGY 2012 to 2015

Submitted to Cabinet 18 January 2012

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11. FUTURE CAPITAL PROGRAMME

1. INTRODUCTION

- 1.1 The purpose of the Capital Strategy is to set out how the Council proposes to deploy its capital resources in order to assist it to achieve its corporate and service objectives. It takes into account other relevant Council strategies, policies and plans and the views of partners and stakeholders with whom the Council is involved. It also takes account of the resources which are likely to be available to the Council to fund capital investment and the effect of that investment on the Council's revenue budget. It will serve as a useful point of reference when determining or reviewing the Council's Capital Programme.
- 1.2 The Council's current detailed capital investment plan is contained in its Approved Capital Programme. A two year programme was approved by Full Council on 23 February 2011. This programme provides for £21,638,800 of investment over the two-year period in projects across all of the Council's priority areas, of which £10,374,500 was programmed to be spent in 2011/12. Since then, programmed expenditure for 2011/12 has been reviewed and, resulting in a revised 2011/12 outturn figure of £16,783,300 being agreed. This takes account of slippage coming forward from 2010/11 and the addition of the cost of acquiring a town centre development site at Ryecroft. Full Council will consider a capital programme to continue investment beyond 2011/12 on 15 February 2012.
- 1.3 The Strategy has been prepared against a background of unprecedented reductions in funding provided to local authorities by central government and its agencies, arising from the need to restrain public expenditure owing to the ongoing economic recession and to rebalance public finances. At the same time, the Council's own resources available to finance capital projects are diminishing and will need replenishing before any substantial further capital investments can be made. As a result the Council initiated a programme of asset disposals to address this situation. In the interim period, before asset sales can provide these additional resources, the Capital Programme was restricted to cover a two year period, 2010/11 to 2011/12.

2. KEY OBJECTIVES AND PRIORITIES

- 2.1 The Council's Priority Areas contained in its current (2011/12 to 2013/14) Corporate Plan are:

- Promoting a Cleaner, Safer and Sustainable Borough
- Promoting a Borough of Opportunity
- Promoting a Healthy and Active Community
- Transforming our Council to Achieve Excellence

Annex A shows the indicative areas of projects and activities which are set out in the Plan which may require capital investment by the Council or its partners in order to contribute to the delivery of these priorities.

- 2.2 These priorities are compatible with those contained in the Local Area Agreement for Staffordshire to which the Council is a party, that is:

- A vibrant, prosperous and sustainable economy
- Strong, Safe and Cohesive communities
- Improved health and sense of well being
- A protected, enhanced and respected environment

- 2.3 Capital investment projects will be included in the Council's Capital Programme on the basis that they address issues arising from one or more of the Priority Areas

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contained in the Corporate Plan. An indication is shown against each project in the Programme of the area or areas whose issues it addresses.

- 2.4 New proposals for capital investment will be assessed against the corporate priority areas to ensure that they will contribute towards achieving the aims expressed. This assessment will be carried out as part of the appraisal process for new projects.
- 2.5 The Council will also endeavour, through its programme of capital investment, to maintain its assets to a standard such that they remain fit for purpose, enabling continuity of service delivery. In particular, it will carry out regular surveys of its stock of buildings and structures to ascertain their state of repair and any remedial works which may be necessary. Repair or improvement works arising from such surveys will be carried out subject to the availability of resources and consideration of the role the building plays in service delivery and the need to continue the relevant service in order to contribute to meeting corporate priorities. If a building is no longer required for service delivery, it will either be considered for alternative use by the Council or its partners or disposed of and the proceeds made available for future capital investment in priority areas. All property assets are held to either (i) provide Council services, (ii) provide an investment return or (iii) to further regeneration projects.
- 2.6 Regular reviews of the property portfolio will be carried out by the Assets Review Group, chaired by the Executive Director (Regeneration and Development). A complete review of the whole portfolio was undertaken in 2010/11 to identify properties or land which could potentially be disposed of and a capital receipt obtained from the sale. Because of the currently poor market conditions arising from the economic recession, however, it is unlikely that significant sales will take place in the short term, both because of lack of demand and the need to obtain the best sale price.
- 2.7 Where suitable "Invest to Save" projects can be identified the Council will actively pursue such projects as it recognises the benefits, in the form of reduced costs falling on the General Fund Revenue Account, that can result from such investment.
- 2.8 The Council will seek, where practicable and economically justifiable, to develop its investment projects having regard to principles of sustainability, for example in relation to materials used and environmentally friendly modes of operation once in use, following construction or purchase.

3. LINKS WITH OTHER STRATEGIES, POLICIES AND PLANS

- 3.1 As well as the Corporate Plan and the Capital Programme the Capital Strategy has clear links to many of its other strategies, policies and plans, the most significant of which are:
 - Asset Management Strategy
 - Medium Term Financial Strategy
 - Service and Financial Plans
 - Value For Money Strategy
 - Procurement Strategy
 - Economic Development Strategy
 - North Staffs Green Spaces Strategy
 - Leisure Strategy
 - Private Sector Housing Renewal Strategy
 - Housing Strategy
 - Cultural Strategy
 - Customer Access Strategy

- Energy Efficiency and Climate Change Strategy and Carbon Reduction Plan
- Treasury Management Strategy
- Performance Plan

- 3.2 An important link is to the Asset Management Strategy (AMS) in that many capital investment projects are related to the Council's fixed assets, such as its stock of buildings. Needs and priorities identified in the AMS will require consideration for inclusion in the Council's Capital Programme and have wider financial consequences.
- 3.3 The Medium Term Financial Strategy will take account of the revenue effect of capital investment.
- 3.4 Capital investment proposals are contained in the Service and Financial Plans produced as part of the annual budget cycle. Some of these proposals may be included in the Capital Programme.
- 3.5 Appraisal, procurement and management of capital projects needs to be carried out with regard to the objectives and methodologies contained in the Value for Money Strategy and the principles and practices set out in the Procurement Strategy.
- 3.6 The various service based strategies will inform the Council's capital investment process through their identification of areas for action and of priorities within individual service areas.
- 3.7 The Treasury Management Strategy needs to reflect planned capital spend, particularly with regard to setting limits for tying up money over the longer term.
- 3.8 The Performance Plan contains the same data regarding Priority Areas as the Corporate Plan together with similar actions proposed to achieve the aims expressed in relation to the Priority Areas so by linking to the Corporate Plan the same link is made to the Performance Plan.
- 3.9 In addition the Capital Strategy will be influenced by the results of any Service Reviews which have been carried out by the Council, either as part of the budget preparation process or as one-off exercises. Where these reviews identify areas of service which are to be discontinued, this may give rise to surplus assets which will be available for disposal and possibly generate a capital receipt which will be available for funding further capital investment. Alternatively reviews may identify areas for investment, some of which may be capital investment.

4. EXTERNAL INFLUENCES, PARTNERS AND CONSULTATION WITH STAKEHOLDERS

- 4.1 The Council's capital investment plans are influenced by a number of external parties and factors: central government and its agencies, legislation requiring capital works, partner organisations, businesses, developers and by its stakeholders' needs and views, particularly those of Borough residents.
- 4.2 Government sponsored initiatives and programmes will influence the projects which the Council will include in its capital investment plans. In particular, its Housing Investment Programme in which the Council participates with regard to Renewal and Disabled Facilities Grants is a major area of investment where funding is provided by Government to meet a proportion of the costs of some of these activities. This funding largely consists of grant payments to partially meet the cost of disabled facilities grants payable to eligible applicants. The current Capital Programme 2010/11 to 2011/12 provides for £3.9m to be spent in this area over the two year period, of which £1.0m is in 2011/12.

- 4.3 Where it may be required by legislation to carry out works of a capital nature, such as to comply with the Disablement Disability Act or Health and Safety requirements, or anti-pollution regulations, the Council will consider the most effective way to discharge its obligations and appropriate provision will be made in its Capital Programme once it has determined that it shall carry out the necessary work and that this should be capitalised.
- 4.4 The Council works with a wide range of partners from the public, private, voluntary and community sectors, all of which have an influence over its spending priorities. Relationships with partners, including those concerning capital matters, will be governed by the Council's Partnerships Code of Practice. Wherever possible the Council will seek to work in partnership with others to deliver its capital investment programme in order to provide facilities which meet its own and partners needs. When working with the private sector, the objective will be to maximise the benefits to the Council and the community from any projects, both in terms of outputs and in relation to obtaining funding for the project.
- 4.5 The Council is a participant in the Local Strategic Partnership (LSP) and will have regard to the content of its Sustainable Community Strategy together with any other elements of the partnership which relate to capital investment and may be able to use the capital programme as a means of fulfilling some of its obligations to the LSP.
- 4.6 Projects for consideration for inclusion in the Capital Programme may arise from the Council's participation in the new Staffordshire and Stoke on Trent Local Enterprise Partnership (LEP)
- 4.7 The overall level and direction of the Council's capital investment proposals embodied in its capital programme and the individual schemes included in it will be informed by consultation carried out with stakeholders. This may be by means of the "Peoples' Panel", Simalto or similar consultation exercises or any other means which the Council feel are appropriate.
- 4.8 The availability of external funding will also influence the projects which the Council will include in its capital investment plans. This is referred to in the following section of the Strategy.
- 4.9 Regard will be had to the Council's obligations under Disabled Access requirements in putting forward proposals for capital investment and in the design of any facilities which are proposed.
- 4.10 Wherever possible the principles of sustainability will be incorporated into any capital projects.

5. RESOURCES AVAILABLE TO FINANCE CAPITAL INVESTMENT

- 5.1 Capital investment may be financed by any one or a combination of the following:
- Use of Capital Receipts
 - Use of Reserves
 - Government Grants
 - Contributions from External Parties
 - Directly from the General Fund Revenue Account
 - Private Finance Initiative (PFI) or similar schemes
 - Borrowing

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- 5.2 The Council is presently debt free, having no long term loans outstanding. Its current policy, expressed in its Treasury Management Strategy for 2011/12, approved by Council on 23 February 2011, is that it is not intended to utilise borrowing to fund the capital programme in view of the Council currently possessing sufficient reserves and useable capital receipts to finance capital expenditure from those sources. It is stated that borrowing may become an option in future years only if these resources become sufficiently depleted, that they are insufficient to finance proposed capital expenditure and, if the costs of borrowing compare favourably with those of alternatives such as using unapplied capital receipts. It is possible that for a period of time during the span of the Capital Strategy capital resources will be depleted to the extent that they are insufficient to finance further significant capital investment. However, there are no such projects yet identified.
- 5.3 Capital Receipts have been the major source of funding for the Capital Programme in recent years. The amount of useable capital receipts in hand at 1 April 2011 was £6.0m. The majority of capital receipts are committed to finance the currently approved Capital Programme. Additional capital projects may be financed from capital receipts obtained by asset sales or other new capital streams.
- 5.4 In the normal run of events, new sources of capital receipts are somewhat limited. At present the major significant (but much reduced from earlier levels) source is the Council's continuing right to a share of receipts arising from tenants of Aspire Housing under the Right to Buy legislation, which amounted to some £0.3m in 2010/11. Right to Buy sales have diminished both because of the present depressed property market and there being fewer potential purchasers as time goes by. These receipts are fully committed to finance the cost of the Renewal and Disabled Facilities Grants not met from Government Grant. Recent government announcements, however, could increase activity and lead to a small revival in these receipts. In addition there are usually some small receipts from the sale of minor pieces of land or property but these would be unlikely to be significant in amount over the two year period.
- 5.5 The Council has established a number of reserves which are available to finance capital investment. These are as follows:
- Special Projects Fund
 - ICT Development Fund
 - New Initiatives Fund
 - LSVT Capital Fund

The Special Projects Fund balance at 1 April 2011 was £0.9m and is fully committed to funding the current approved Capital Programme and will be exhausted during the period spanned by the Programme.

The ICT Development Fund is specifically earmarked for meeting the costs of ICT development, both capital and revenue. The balance on the Fund at 1 April 2011 was £0.8m.

The New Initiatives Fund's purpose is to finance new initiatives, both capital and revenue, not currently provided for in the Council's budgets. The balance on the Fund at 1 April 2011 was £0.2m, all of which will be required to meet the cost of ongoing revenue account initiatives or earmarked for covering costs which may arise if the Council suffers the loss of its exempt VAT status for a period.

The LSVT Capital Fund was established to receive the principal element of leasing charges made to services under the internal leasing scheme, which has been used to charge financing costs to users of ICT and other equipment where the initial purchase

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of that equipment was financed by using capital receipts arising from the disposal of the housing stock referred to above. This mechanism is intended to ensure that a sum equivalent to the capital receipt used is made available to finance future capital investment. The balance on this Fund at 1 April 2011 was £2.3m. Completion of the currently approved Capital Programme will exhaust the Fund by 31 March 2012, although further contributions from revenue in respect of internal leasing repayments will flow into it from 2011/12 (around £0.15m each year until all leases have expired).

- 5.6 The use of capital receipts and reserves to finance new capital projects has an effect upon investment income receipts and hence the General Fund Revenue Account. At current investment interest rates of around 1.0% (rates available in the market currently pay a premium of up to an additional 0.5% above the base rate of 0.5%), every £100,000 of such capital receipts or reserve balances used will cost £1,000 to the revenue account on an ongoing basis. The use of capital receipts and reserves to finance the Capital Programme 2010/11 to 2011/12 was taken account of in the Medium Term Financial Strategy and in the 2011/12 Revenue Budget. Any receipts generated from the assets disposal programme will be invested until they are required to finance capital expenditure.
- 5.7 Wherever Government grants are available to meet all or part of the cost of capital projects the Council will ensure that these are applied for and used to maximise the amount of investment which can be made and the benefit which will result from that investment. The Council will consider the proportion of the New Homes Bonus grant that will be made available to finance housing capital projects when compiling the housing investment element of the capital programme.
- 5.8 Wherever possible and appropriate, funding will be sought towards the cost of capital projects from external parties. These will include property developers, government agencies, funding from the European Union (normally channelled via a UK Government Department), funding bodies such as the National Lottery or the Football Foundation, and partner organisations that may join with the Council to bring forward particular projects of mutual benefit. In the current climate, however, the Council may find such sources of funding to be limited compared with previous years.
- 5.9 A Community Infrastructure Levy will be introduced in respect of new developments from 2013/14 onwards. This will provide funding for capital investment required as a result of a development taking place, for example new roads or footpaths. It will partially replace "Section 106" contributions payable by developers as a condition of being granted planning permission.
- 5.10 There is no intention to charge any capital investment directly to the General Fund Revenue Account.
- 5.11 The Council does not presently intend to consider the use of Private Finance Initiative type arrangements to meet the cost of capital investment.
- 5.12 The Executive Director (Resources and Support Services) will prepare estimates of the resources which are presently in hand plus those likely to be available in future to finance capital investment. He will keep these estimates up to date and periodically report upon them to Cabinet and Council, particularly when the Capital Programme is being considered. The Council will decide on the appropriate form of financing for projects included in the Capital Programme based on advice from the Executive Director as to availability and the consequences and costs of use of the various options.
- 5.13 The need to have available liquid funds to be used to pay for capital projects will be borne in mind when drawing up the Council's Treasury Management Strategy. An

appropriate limit will be placed on long term investments based on predictions of the capital spending profile over the period covered by the Strategy so that there are likely to be enough readily available easily cashable investments to meet requirements.

6. REVENUE IMPLICATIONS

- 6.1 The impact, if any, upon the General Fund Revenue Account, which will arise from capital investment proposals will be calculated and considered at the time projects are placed before Cabinet or Full Council for inclusion in the Approved Capital Programme or for specific approval. Such impact may be in the form of reduced interest receipts, where projects are to be financed from capital receipts or reserves, borrowing costs, if loan finance is to be employed, or additional running costs arising from the provision of a new or altered facility. Offset against these costs will be any savings which might accrue, for example from “invest to save” projects.
- 6.2 In accordance with the Chartered Institute of Public Finance and Accountancy (CIPFA) Prudential Code for Capital, which the Council has adopted, the incremental impact of the Capital Programme will be calculated and considered when that programme is placed before Full Council for approval, in February each year.
- 6.3 The Council will always have regard to the affordability of its proposed capital investments, in terms of the revenue implications arising.
- 6.4 The revenue implications of the capital programme will be taken account of in the Council’s Medium Term Financial Strategy.

7. APPRAISAL OF INVESTMENT PROPOSALS

- 7.1 In accordance with the Council’s Financial Regulations proposals for new capital investment estimated to cost more than £20,000 will be subject to the Benefits Management Model process, whereby a business case will be made out for the proposal based on whole life costing, its fit with corporate priorities will be demonstrated, outputs detailed, and project milestones set out. The process will consider the availability of resources to fund the project and its effect, if any, upon the revenue budget in future years. All new capital investment proposals must be appraised by the Capital Programme Review Group prior to specific Cabinet approval being requested. Before any project may be commenced Specific Cabinet approval must be obtained and the project must be included in the Approved Capital Programme, after considering its priority relative to other proposed projects and the overall level of resources available to fund the Capital Programme as a whole.
- 7.2 A Risk Assessment, in the approved corporate format, will be completed for all capital projects subject to the Benefits Management Model process.

8. MONITORING ARRANGEMENTS AND PROJECT MANAGEMENT

- 8.1 Progress in relation to individual projects will be monitored through the Council’s arrangements for the monitoring of capital projects, which entail quarterly monitoring reports to be received by the Cabinet. The Capital Programme Review Group will also review project progress and corrective action will be initiated where projects fall behind schedule, appear likely to overspend or otherwise give cause for concern. Individual Project Forms will be maintained in respect of each project by the Executive Director (Resources and Support Services) which will track the progress of projects and be available to officers and members with an interest in reviewing progress of those projects. Monitoring will also take place as part of the Benefits

APPENDIX

Management Model process, whereby reports will be completed for any projects which deviate from planned progress.

- 8.2 All projects will be assigned to a named officer who will be responsible for overseeing the project, including project monitoring and control and implementing exception reports and, where appropriate, corrective action if the project deviates from its planned progress or cost.
- 8.3 Where complex major projects are to be carried out, consideration will be given to employing the Prince2 project management methodology.
- 8.4 All capital projects will be subject to Internal Audit review to ensure correct procedures have been followed and sums have been paid out in accordance with Financial Regulations and Standing Orders as they relate to contracts. Where projects have received funding from government or quasi-governmental sources, the expenditure will also be subject in many cases to external audit by auditors from the Audit Commission. European Union funded projects may also be subject to audit by auditors on behalf of that body. Where monitoring returns or claims for reimbursement of expenditure are required to be sent to funding bodies, these will be completed and forwarded promptly to the relevant body in compliance with any deadlines laid down by them.
- 8.5 All capital investment proposals and project progress and management are subject to the Council's scrutiny arrangements.

9. STATUTORY FRAMEWORK

- 9.1 The Council's capital investment is carried out within the statutory framework laid down by the Local Government Act 2003 and regulations under that Act. Accordingly, only expenditure which fits the definition of capital expenditure contained in the Act or Regulations pursuant to it will be capitalised.
- 9.2 Capital expenditure is defined by the 2003 Act as that which falls to be capitalised in accordance with proper practices, which means in accordance with the Code of Practice on Local Authority Accounting, published by the Chartered Institute of Public Finance and Accountancy (CIPFA), applicable to all local authorities. Annex B sets out a summarised version of the definition provided by the Code. In addition there are a number of other types of expenditure that have been defined by Regulations as being treatable as capital in nature. Generally these do not apply to this Council.
- 9.3 It should be noted that the Act and Regulations are framed in a permissive way, allowing local authorities to capitalise expenditure which fits the definition but not forcing them to capitalise such expenditure. The Council will decide, therefore, whether to include a project meeting the capital definition in its capital programme or to meet its cost from a revenue account.
- 9.4 The Council does not set a minimum amount for the capitalisation of expenditure (de minimis level). Accordingly, any expenditure complying with the above definition may be capitalised.
- 9.5 Capital Finance Regulations stipulate that amounts of less than £10,000 may not be treated as capital receipts. Accordingly, any such sums received, although otherwise capital in nature, will be credited to a revenue account.

10. PROCUREMENT

- 10.1 Regard will be had to the contents of the Council's Procurement Strategy when considering the delivery of capital projects.
- 10.2 Where estimated project contract costs exceed the relevant European Union threshold, the appropriate EU tendering procedures will be followed.
- 10.3 Standing Orders relating to contracts will apply to all contracts proposed to be let in relation to capital projects, together with Financial Regulations and the provisions of the Council's scheme of Delegation.
- 10.4 The achievement of Value for Money will be a guiding principle in the procurement of capital works and services and in managing contracts. Accordingly, the objectives and methodologies contained in the Value for Money Strategy will be observed.

11. FUTURE CAPITAL PROGRAMME

- 11.1 During the period covered by this Strategy, there will be a need for some items of capital investment to be made in order to ensure continued service delivery or to comply with statutory requirements or to ensure health and safety of staff and public. Examples of these include: operational building repairs and maintenance; replacement of vehicles, plant and equipment required to deliver services; disabled facilities grants.
- 11.2 Funding for additional projects not essential to operational continuity will depend on capital receipts from asset sales.
- 11.3 Work is ongoing to compile a basic programme containing those projects which it can be foreseen will be necessary to ensure service delivery or to comply with statutory requirements or ensure health and safety. The programme will also contain projects which are fully funded by external parties and which meet corporate priorities. The overall size of the programme will be determined by the resources estimated to be available to fund it.
- 11.4 It will be essential to apply a robust prioritisation process to determine which projects are included in the capital programme and are subsequently proceeded with. No projects should be considered in isolation. They must be required to be measured against all other competing projects to determine which should go forward. This process should also apply to any projects which are proposed subsequent to the approval of the programme, to ensure that only those projects with a high priority are proceeded with and funds are not diverted to projects of a lesser priority.
- 11.5 Funding for this basic programme is likely to be available to some extent from the following sources:
 - Further capital receipts from asset sales
 - Right to Buy capital receipts
 - Government grants
 - Other external contributions
 - Internal lease repayments

The present assumption is that there will be no borrowing.

All of the above funding sources are likely to be limited so the programme can only include affordable basic projects.

Annex A

INDICATIVE AREAS OF PROJECTS AND ACTIVITIES WHICH ARE SET OUT IN THE CORPORATE PLAN WHICH MAY REQUIRE CAPITAL INVESTMENT BY THE COUNCIL AND ITS PARTNERS IN ORDER TO CONTRIBUTE TO THE DELIVERY OF THE CORPORATE PRIORITIES

Promoting a Cleaner, Safer and Sustainable Borough

- Improve efficiency of recycling and waste
- Implementation of the climate change and carbon reduction Plans

Promoting a Borough of Opportunity

- Seeking funding for redevelopment through the Local Enterprise Partnership
- Implementing the refreshed Economic Development Strategy
- Implementing a Local Investment Strategy
- Implementing a Housing Strategy
- Making the town centre vibrant and attractive

Promoting a Healthy and Active Community

- Implementing the Health and Wellbeing Strategy to reduce health inequalities

Transforming Our Council to Achieve Excellence

- Continuing to improve customer service and relations
- Achieving savings through smarter working and improved use of technology

Annex B

DEFINITION OF CAPITAL EXPENDITURE INCLUDED IN THE CODE OF PRACTICE ON LOCAL AUTHORITY ACCOUNTING IN THE UNITED KINGDOM

All expenditure that can be directly attributed to the acquisition, creation or enhancement of items of property, plant and equipment or the acquisition of rights over certain longer-term intangible benefits is accounted for on an accruals basis and capitalised as a non-current asset. It must be probable that the future economic benefits or service potential associated with the item will flow to the Council - the Council does not have to own the item but it must be more than likely that it has gained the right to use the item in the provision of services or to generate cash from it. In addition it must be possible to measure the cost of the item reliably.

Expenditure that should be capitalised will include expenditure on the:

- Acquisition, reclamation or laying out of land
- Acquisition, construction, preparation, enhancement or replacement of roads, buildings and other structures
- Acquisition, installation or replacement of movable or immovable plant, machinery, apparatus, vehicles and vessels

In this context, the definition of enhancement contained in the previous Code of Practice (SORP) is still applicable and means the carrying out of works which are intended to:

- Lengthen substantially the useful life of the asset, or
- Increase substantially the market value of the asset, or
- Increase substantially the extent to which the asset can or will be used for the purpose or in conjunction with the functions of the local authority concerned.

Under this definition, improvement works and structural repairs should be capitalised, whereas expenditure to ensure that the fixed asset maintains its previously assessed standard of performance should be recognised in the revenue account as it is incurred. Expenditure on existing fixed assets should be capitalised in three circumstances:

- Enhancement - see above
- Where a component of the fixed asset that has been treated separately for depreciation purposes and depreciated over its individual useful life is replaced or restored
- Where the subsequent expenditure relates to a major inspection or overhaul of a fixed asset that restores the benefits of the asset that have been consumed by the authority and have already been reflected in depreciation

Assets acquired on terms meeting the definition of a finance lease should be capitalised and included together with a liability to pay future rentals.

Where an asset is acquired for other than cash consideration or where payment is deferred the asset should be recognised and included in the balance sheet at fair value.

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ASSET MANAGEMENT STRATEGY

Submitted by: Head of Regeneration and Assets

Portfolio: Regeneration and Planning

Ward(s) affected: All wards within the Borough

Purpose of the Report

To seek Cabinet approval, in principle, for the Asset Management Strategy dated 2012–2014.

Recommendations

- (a) That Members approve, in principle, the Asset Management Strategy 2012- 2014.
- (b) That officers report back to the next Cabinet meeting for a final decision following receipt of comments from the Transformation and Resources Overview and Scrutiny Committee.

Reasons

The Strategy is a key document, which along with the Council's Capital Strategy and Medium Term Financial Strategy, forms the basis of the Council's Use of Resources.

1. Background

- 1.1 The Council's Capital Strategy and Asset Management Strategy are key documents evidencing the Council's approach to its Use of Resources. This Strategy provides a clear framework for understanding the value and condition of property owned by the Council so that, in turn, investment decisions can be taken to optimise the use of the said land/property to meet the needs of the Borough's residents, businesses and visitors. This Strategy along with the Council's Capital Strategy seeks to demonstrate alignment with, and delivery of, the Council's ambitions as set out in the Corporate Plan.
- 1.2 The Economic Development and Enterprise Overview and Scrutiny Committee reviewed the strategy at its meeting on 5 January 2012 and made no comments. The Transformation and Resources Overview and Scrutiny Committee will consider this strategy at its meeting on 18 January 2012.

2. Issues

- 2.1 This Asset Management Strategy seeks to provide a robust and formal approach to the management and use of the Council's land and property assets. The Strategy explains the types of property we own and the rationale for so doing. It also summarises the potential ways in which investment can be funded highlighting the manner in which the Council invests in both its operational and commercial portfolios to meet the Corporate Plan's objectives. The Strategy also explains the structures/systems relating to management and decision-making.
- 2.2 Furthermore, it refers to the Council's need to proactively generate its own capital through the identification and disposal of surplus assets. Finally, to the need for strategic acquisitions within the ring road to arrest the decline in the town centre retail offer.

3. **Options Considered**

3.1 **Option 1 – Do nothing**

If the Council did not prepare an Asset Management Strategy and Plan it would not be possible to either manage assets dynamically or demonstrate the rationale for investment; thereby exposing the Council to criticism that it had a weak approach to the management and use of its physical resources.

3.2 **Option 2 – Prepare Asset Management Strategy / Plan**

The preparation of a Strategy enables the Council to establish some key principles about managing assets both strategically and dynamically in the context of Corporate Plan priorities. Having an Asset Management Plan provides a clear programme to optimise property investment in the context of the Strategy.

4. **Proposal**

4.1 Option 2 is proposed.

4.2 (a) That Members approve, in principle, the Asset Management Strategy 2012- 2014.

4.3 (b) That officers report back to the next Cabinet meeting for a final decision following receipt of comments from the Transformation and Resources .Overview and Scrutiny Committee.

5. **Reasons for Preferred Solution**

5.1 This strategy embodies current Government thinking in respect of asset management and enables the Council to demonstrate the prudent use of its physical resources. It is considered appropriate to consult the respective Overview and Scrutiny Committees prior to any final decision being made.

6. **Outcomes Linked to Sustainable Community Strategy and Corporate Priorities**

6.1 The Asset Management Strategy enables achievement of priority outcomes in all four of the Council's corporate priorities.

7. **Legal and Statutory Implications**

7.1 The Council has a duty, both fiduciary and operationally to utilise its Assets for the benefit of the Community.

8. **Equality Impact Assessment**

8.1 Planned investment in the Council's operational portfolio will achieve compliance with the Disability Discrimination Act 2005.

9. **Financial and Resource Implications**

9.1 These are set out in the document in terms of planned investment in the operational portfolio.

10. **Major Risks**

- 10.1 The main risk is that failure to prepare an Asset Management Strategy and Plan will adversely affect the Council's ability to demonstrate optimum use of its physical resources (assets).

11. **Key Decision Information**

- 11.1 The report is referred to in the Forward Plan.

12. **List of Appendices**

Appendix - Asset Management Strategy/Plan – available upon request, the Members' Room and on the Council's website.

13. **Background Papers**

Various reports and guidance documents from Government and the Audit Commission relating to Asset Management.

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**DRAFT
NEWCASTLE-UNDER-LYME
BOROUGH COUNCIL
ASSET MANAGEMENT
STRATEGY
2012-2015**



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1.0 INTRODUCTION

Property is a technically difficult asset to provide and maintain, slow to change and can be expensive to run. If the Authority is to get the best out of its use of land and buildings, it is important that it has a clear vision of what it expects from its properties, and that it resources them appropriately.

The property estate must be regularly reviewed and actively managed to ensure that it supports changing needs and offers continuing value for money. This management process depends on full engagement from Senior Officers, Councillors and from the operational service units that occupy the properties. Additionally it is vitally important that users of Council-owned land or premises, along with other stakeholders (including local residents), are afforded the opportunity to comment upon Council decisions affecting property. This may be particularly important in cases where the Council is seeking to dispose of, or disinvest in, land or property. In such cases consultation will be proportionate to the scale and nature of any such decisions.

In order to demonstrate that the Council is managing its resources effectively, in the context of an overall aim of delivering efficient public services, the Council must produce a suite of key documents on an annual basis; the Asset Management Strategy/Plan is one of these documents (others include the Corporate Plan, the annual budget, the Capital Strategy and the Medium Term Financial Strategy). Up to date Government guidance and acknowledged best practice has informed the structure and context of this Strategy.

2.0 ASSET MANAGEMENT – A STRATEGIC APPROACH

2.1 CONTEXT

The Borough of Newcastle-under-Lyme is part of the conurbation of North Staffordshire. It is the most populated district in Staffordshire with a population of around 125,000 and has an area of 81 square miles. The two main towns within the Borough are Newcastle-under-Lyme and Kidsgrove, but there is an extensive rural area in the west.

The industrial base of the Borough has changed significantly in the last century, with the closure of local coal mines and the development of the distribution sector. Service industries are the largest employers in the area, with the number of people employed in water, energy and construction industries being higher than average. The presence of Keele University with the development of its innovation centres for small businesses, new medical school and the growth in hi-tech, research and medical technology businesses demonstrates the potential for added value growth of the area. Newcastle town centre is recognised as being one of two strategically important centres in the North Staffordshire conurbation, with further growth predicated upon its good connections to major transport routes.

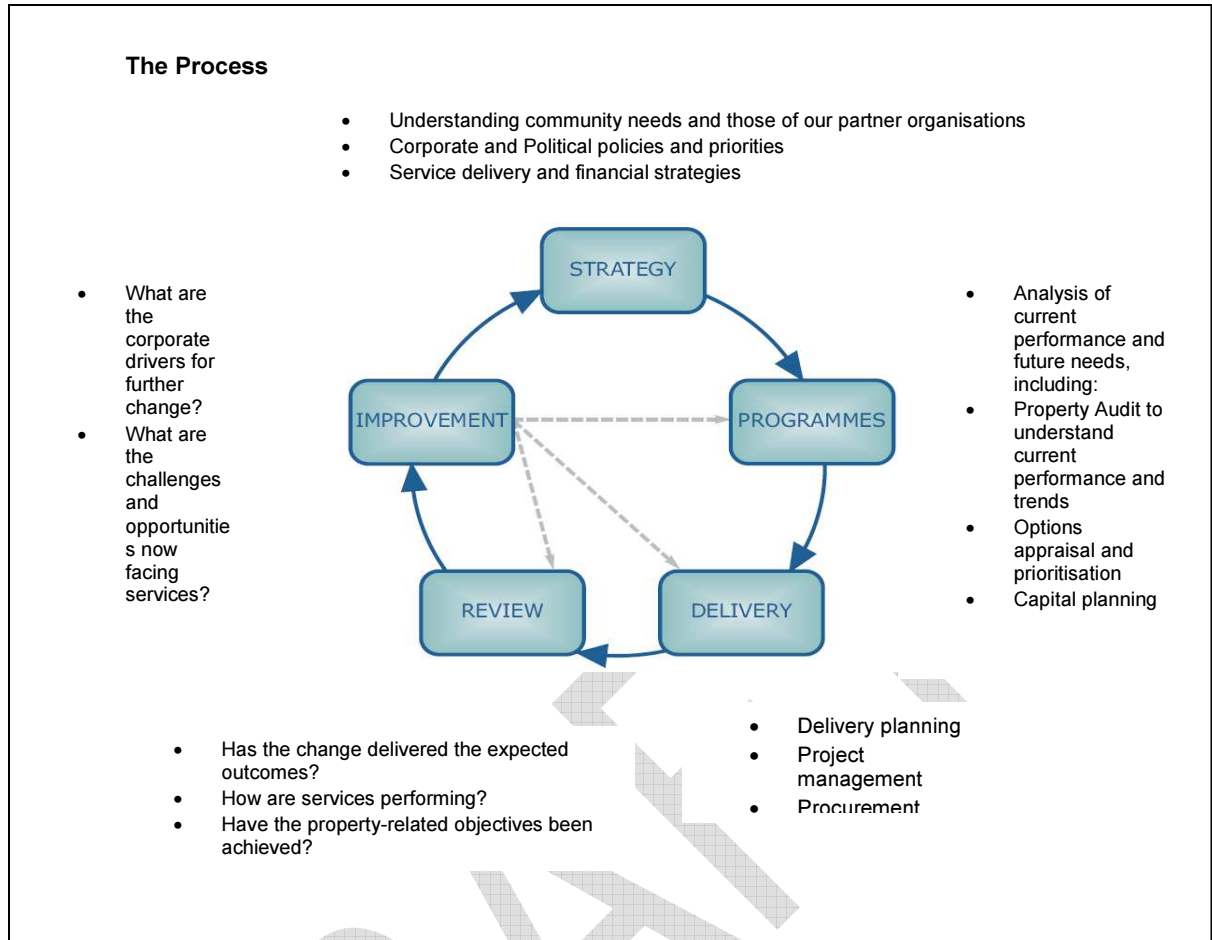
There have been big reductions in funding provided to local authorities, central government and its agencies, arising from the need to restrain public expenditure owing to the ongoing economic recession and to rebalance public finances. At the same time, the Council's own resources available to finance capital projects have diminished and will need replenishing before any substantial further capital investments can be made. Services are therefore under increased pressure to reduce costs and it is particularly important to keep fixed outgoings such as property related costs under review. The Council has initiated an Assets Disposal Programme (details set out in appendix 1). However given the current economic climate and the virtual stagnation of the property market, it will be important to balance the desire to dispose of surplus property assets with recognition of local prevailing market conditions. Each case should therefore be considered on its own merits.

2.2 MAIN ELEMENTS OF GOOD ESTATE MANAGEMENT

The main elements of good asset management for public authorities are listed below:

- Leadership – political, corporate and technical.
- Culture – establishing an environment that sets high standards and measures performance.
- Strong customer focus – consultation and feedback – the recent scrutiny review process of a proposed surplus land disposal programme demonstrated the importance of this element.
- Clarity of Structure, Roles and Responsibilities.
- Resources and Capacity – adequate staff, time and funding.
- Clear Governance – support of senior management and political leadership.
- Data – decisions should be properly informed.
- Sustainability – outcomes are sustainable organisationally, environmentally and financially.

In order to facilitate good asset management it is also necessary to design a process that can be readily understood by all interested parties and, most importantly, be clear to those involved with administering it. It is proposed to adopt a similar five stage process for asset management in this Council as described in the annotated diagram below:



- 1. Strategy**

This document is the strategy at the head of the diagram which seeks to clarify the Council’s approach to asset management, particularly balancing the corporate context with service delivery requirements.
- 2. Programmes**

The programmes of work should be derived from the strategy and these will typically relate to investment in retained stock and disposal of surplus property.
- 3. Delivery**

Delivery of agreed programmes is the vital ingredient that translates the strategy into action and recent experiences of managing capital projects, such as the building of the new Jubilee 2 centre, demonstrate the importance of good project management and effective procurement.
- 4. Review**

Continual review is a key element of the process too in order to ensure that the property estate continues to support efficient service delivery.
- 5. Improvement**

The latter should lead into improvement planning in order to ensure that any change in direction in corporate priorities can be responded to.

2.3 BENEFITS OF GOOD ASSET MANAGEMENT

- Improved services through better buildings and co-location of services
- Improvements in efficiency, which generate financial savings
- Reduced maintenance backlog
- Better utilisation of property
- Release of capital through sale of surplus assets
- Potential to drive regeneration outcomes both economic and housing growth

2.4 ASSET MANAGEMENT IN PRACTICE

Office rationalisation programme

The Council has reviewed the Borough's office accommodation in Newcastle town centre and has, as a result, consolidated the Borough Council staff in a more space efficient manner within the Civic Offices to free up space which is in the process of being let to other public sector partner organisations which include the North Staffordshire PCT, Staffordshire County Council and Staffordshire Police. This will produce:

- A significant revenue income per annum;
- a reduction in running costs to the Borough Council;
- potential for improved partnership working and;
- potential to deliver more seamless public services.

Depot review

The Council reviewed its depot facility two or three years ago and was able to rationalise the overall site in a manner that enabled the Staffordshire Fire and Rescue Service to build a new Community Fire Station on surplus land.

This has generated a significant capital receipt for the Council; facilitated delivery of a fit for purpose facility required by a key partner and; enabled improved service delivery and greater partnership working.

2.5 DEVELOPING A CLEAR PROPERTY STRATEGY FOR NEWCASTLE

Scale of Activities

- Newcastle-under-Lyme Borough Council is a significant property owner within its administrative boundaries with substantial legacies around the two main town centres of Newcastle and Kidsgrove as well as in the urban villages/rural hinterland.

As at March 2011 the Council's property assets were in the Asset Register at £70,722,973. The properties are valued in accordance with RICS Appraisal and Valuation Standards (Red Book). This involves a variety of valuation methods dependant upon the particular asset and its use. This estate comprises a mix of property, some 220 buildings and various land holdings which form two distinct portfolios, the Commercial/Regeneration Portfolio and the Operational Portfolio (see section 4)

(a) Operational Portfolio

This consists of land and buildings from which the Council carries out its own business activities/service delivery. This comprises a mix of 100 buildings that are typical of a local authority estate and result from the history of diverse activities in which local authorities have been involved in the past.

Examples include the newly built Jubilee 2 Health and Wellbeing Centre, the Civic Offices which is a 1960s building providing some 6,500 sq.m of administrative and civic space in the town centre and the works depot, located on the edge of the town, which provides workshops, stores and garaging for the Council's direct works departments.

The Council no longer holds social housing stock but still owns and maintains significant land holdings within these neighbourhoods.

(b) Commercial Portfolio

The Commercial Portfolio comprises land and buildings let to business tenants on the basis of open market rents, as well as the Council's fee paying car parks. Whilst the basic approach to the commercial portfolio lettings is market driven there may be occasions where the Council's economic regeneration objectives influence this position. Any such adjustment to purely market-led criteria has to be approached with caution to avoid distorting the market and creating a spiral of decline in investor confidence. A commonly used approach, particularly in difficult economic conditions (such as those prevailing over the past two years), is to incentivise prospective tenants with rent-free periods as opposed to reducing market rental levels; it is intended that this practice will continue for the foreseeable future..

This Portfolio comprises 120 freehold buildings and 13 leasehold units: offices, town centre retail, a multiplex cinema and premises on industrial estates. There are also street markets and hybrid premises (operational properties which have an element of commercially let space within them), such as the lettings to Staffordshire County Council.

The Portfolio itself has arisen out of various regeneration initiatives that the Council has undertaken from the 1930s onwards when it undertook the development of the Lancaster Building shops and office complex at the time of an economic depression. In response to the current economic difficulties, the Council has invested significantly in this Listed Building through a comprehensive refurbishment to achieve a "very good" BREEAM standard.

In recent years, additions to this portfolio have included the construction of a small block of industrial units for the small business/new enterprise market at Church Lane (Knutton) which are now fully let. Additionally the Council facilitated the BREEAM "outstanding" commercial building at Chatterley Valley, known as Blue Planet.

2.6 ASSET MANAGEMENT POLICIES

Asset Management Policies will be influenced by various factors including current government policy; the needs of the community; the needs of the organisation in delivering services and economic conditions. Taking account of these the Council's key policies for asset management are as follows:

- The Authority will only hold sufficient property to meet a service need or strategic objective;
- Property is a corporate asset and will be managed as such
- Service demands on the estate will be met in the most cost effective manner available to the Authority;

- Properties held for service needs will be suitable for their intended purpose and;
- The condition of the Authority's estate will be maintained at the best level to meet the needs of the operational activities with best endeavours being used to optimise the environmental performance of all properties

2.7 PROPERTY-RELATED ASSET MANAGEMENT OBJECTIVES:

- Support improvements in service delivery
- Achieve optimum utilisation of property assets
- Invest available funding in areas of greatest need or opportunity
- Raise awareness of spending on properties occupied by the Authority
- Formulate an "asset challenge" to Service Directorates
- Minimise the opportunity cost of holding land and property assets
- Minimise the environmental impacts of the portfolio
- Optimise capital receipts from disposal of surplus land/property
- Optimise income from the Commercial Portfolio
- Engagement with local community and third sector organisations
- Property should support the achievement of wider objectives e.g. social inclusion and regeneration

3.0 THE WIDER POLICY CONTEXT

3.1 THE NATIONAL CONTEXT:

Government Policy

Many Government initiatives, policy statements and/or guidance influence the Authority's asset policies, including:

- The Quirk review of ownership of public assets
- The Gershon Review, and the drive to improve efficiency
- The Prudential Code for the management of capital finance
- Leaner and Greener Report – Putting Buildings to work
- Penfold Review
- Laying the foundations of a Housing Strategy for England

Statutory Responsibilities

The Authority as an employer, a landowner, a landlord and a provider of services, has a wide range of responsibilities with an accommodation implication including:

- Disability Discrimination Act 1998
- Management of the risks associated with property assets including regular maintenance and servicing to address matters such as:
 - Legionella – A managed programme of water testing is carried out
 - Asbestos – An on-going programme of surveys provided a register of the presence of asbestos across the portfolio
 - Fire Safety – The Authority undertakes Fire Risk Assessments in respect of its properties and tests fire safety equipment e.g. alarms etc on an annual basis
 - Gas Safety – Inspections and services are carried out on an annual basis
 - Electrics - An ongoing programme of periodic tests is carried out along with Portable Appliance Testing.
 - Lifts, pressure vessels, safety line, chimney maintenance - Checks are carried in accordance with best practice
 - Lightning Conductors – checked in accordance with best practice

NB: The above summary is not an exhaustive list of statutory inspections/maintenance arrangements.

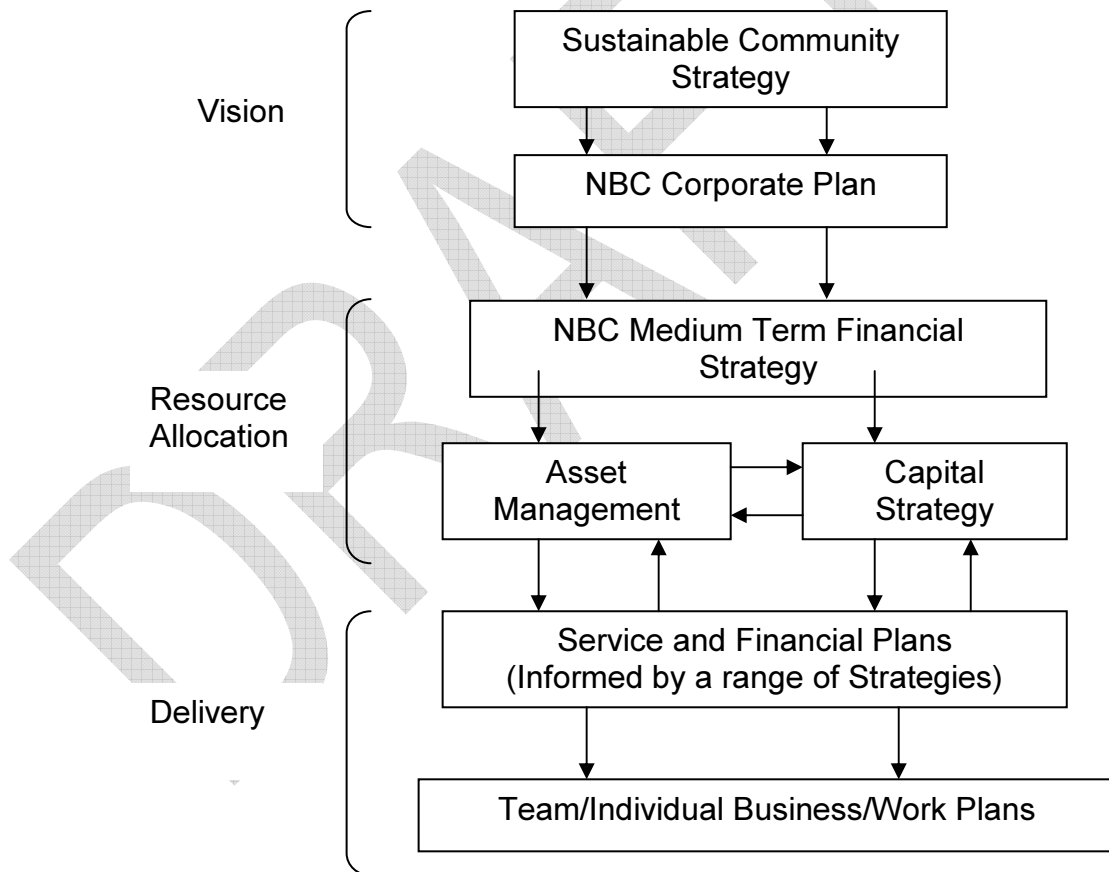
3.2 THE LOCAL CONTEXT

The Asset Management Strategy draws from a number of strategic Council documents including:

A Sustainable Community Strategy 2008-2020

Corporate Plan – 2011/12 to 2013/14
 Newcastle-under-Lyme and Stoke-on-Trent Core Spatial Strategy 2006-2026
 Medium Term Financial Strategy 2012/13-2014/15
 Capital Strategy 2012-2015
 Revenue Budget 2012-2013
 North Staffordshire Green Space Strategy 2007
 Economic Development Strategy 2012-2017
 Housing Strategy 2011-2016
 Strategic Housing Land Availability Assessment 2011
 Carbon Management Plan 2011
 The Staffordshire Compact and Third Sector Commissioning Standards 2009-2012

The diagram below shows the relationship the Asset Management Strategy has with key Council/partner strategies/plans



Links to Corporate Plan

The Council's Corporate Plan (2011/12 to 2013/14) has four main priority areas which are:

- Promoting a Cleaner, Safer and Sustainable Borough
- Promoting a Borough of Opportunity
- Promoting a Healthy and Active Community
- Transforming our Council to Achieve Excellence

It in turn sets out a number of key actions which the Authority will take to ensure that best use is made of its property assets which included:

- Aim for optimal use of the Council's asset portfolio
- Develop the Council's role in the Staffordshire and S-0-T Local Enterprise Partnership (LEP) with the aim of seeking funding for regeneration
- Make the Town Centre vibrant and attractive
- Promote high quality facilities for those who live, work or visit the Borough
- Ensure sustainable initiatives for the community and the environment

Performance Management Context

The performance of the Authority's estate is subject to scrutiny by the Economic Development and Enterprise Overview and Scrutiny Committee with oversight also being provided by the Transformation and Resources Overview and Scrutiny Committee.

Review of assets is an ongoing job for officers. Such reviews will inform the budget setting process as an ongoing matter but recognition of the effects of the property market on timing and amounts of capital receipts have to be allowed for.

The action logs of the Assets Review Group are reported to the Executive Management Team. Significant decisions re potential disposals or acquisitions are reviewed there and if agreed in principle then reported for a Cabinet decision. This may require consideration at the Capital Projects Review Group when capital expenditure over £20,000 may be required on a property or parcel of land.

The main performance indicators pertaining to the Council's operational and commercial property portfolios are listed below:

- Percentage of the investment portfolio which is vacant
- Percentage of investment portfolio in arrears
- Percentage of statutory inspections completed on time

Partner Organisations

Community leadership is often delivered through partnership, and it is probably seen in the best light when it tackles “cross-cutting” issues. The Newcastle Partnership brings together key players from the public, private and voluntary sectors. Our ability to lead and contribute to partnerships is increasingly important to help us secure improvements in service delivery through the physical estate for the residents, investors and visitors to the Borough.

Staffordshire and SOT Local Enterprise Partnership (LEP)

The Local Enterprise Partnership is a public and private sector partnership which will focus on enterprise and innovation initiatives which unlock the potential of the private sector to create employment and wealth to begin growing, restructuring or sustaining the local economy. It is anticipated that the Council will be increasingly expected to adopt an approach to the disposal of surplus land to facilitate economic growth and/or house building (consistent with Government policy).

Disposals to Third Sector

For a number of years, the Council has pursued a policy of disposal of Assets to the ‘Third sector’ through the engagement of active community groups.

The Council’s disposal strategy in respect of these groups recognises the strengths of pro-active community organisations – independence, specialist knowledge of particular activities, community focus and access to third sector funding streams.

The Council seeks to access and support these strengths for the benefit of the community by granting long leases of land and property to third sector organisations at nominal rentals. The grant of such leases, as opposed to outright disposal of the freehold, ensures that where such groups experience problems, (for example through loss of key members), the asset (land/property) returns to the Council (and the greater community) to be utilised again for a similar purpose or some other purpose outlined in the corporate priorities.

Examples of successful leases (typically of 20/25 year duration) previously established by the Council include:

Kidsgrove Ski Club
Newcastle Town Football Club
Newcastle and Hartshill Cricket Club
Newcastle Rugby Club
North Staffs Disability Group Adventure Playground
Kidsgrove Citizens’ Advice Bureau

Sustainability:

The Borough's Sustainable Community Strategy identifies the important issues that need to be addressed in order to enhance the quality of life of local communities.

The Council and its partners in the Newcastle Partnership undertook a rigorous community consultation exercise to establish three broad priorities within the Sustainable Communities Strategy (SCS) linked to the themes of 'People, Places and Prosperity'. Twenty-five priorities were identified in the context of these three priority themes and the Partnership is in the process of developing detailed Action Plans to address the said priorities.

Maintenance

Another key area relates to the maintenance and repair of the significant operational buildings. Whilst key properties remain under review (e.g. Civic Offices) a modest investment programme has been approved as part of the Council's Capital Programme and a longer term programme will be the subject of a refreshed survey in the expectation that capital funds will be available from 2012-14.

Carbon Reduction/Energy Efficiency

The Council monitors energy use in all operational properties. It is seeking to reduce energy usage over the next 3 years and where it carries out repairs/improvements to the properties it seeks to reduce its carbon footprint/energy use further as a direct result of these works, thereby saving costs.

The Council published a Carbon Management Plan in 2011 (accredited by the Carbon Trust). This involves the development of a Carbon Management Strategy - identifying the drivers for carbon management, targets and objectives to be achieved and the strategic themes considered.

In order to deliver the said objectives, the Plan sets out a number of projects; there are existing projects, planned/funded projects, near term projects and medium to long term projects.

In October 2011 the Council received a grant allocation of £35,000 from the West Midlands Low Carbon Fund to reduce the Council's carbon footprint which in turn will save money in respect of energy consumption. A number of energy saving proposals have been approved in principle and these are:

- Automated Meter Readers to be fitted on Gas and Electricity supplies to the 5 highest energy consuming buildings which the Borough Council owns.
- Bathpool Ski/Rugby Clubs - Cavity wall insulation.
- Museum - Low Energy Lighting.
- Knutton Depot offices - Cavity Wall insulation.
- Knutton Depot workshop & external yard - Lighting controls.
- Alexandra Road Changing rooms - Cavity wall insulation.
- Kidsgrove public offices - Cavity Wall insulation.
- Crematorium, House, Toilets, Canteen area - Cavity Wall insulation.
- Merrial Street Toilets - Installation of low energy hot water system.

At the time of completing this Strategy the precise programme of works was being finalised, in consultation with the West Midlands Low Carbon Fund and a Cabinet decision will be required before the end of 2011/12. It is estimated that these schemes will result in a reduction in annual energy costs in excess of £35,000 in 2012-14.

Planned maintenance / improvement

The Council will be moving towards a planned maintenance programme in the next few years. Given competing priorities for expenditure and limited available capital funds the Council has adopted a targeted approach to investment for 2012/13 as follows:

- Former St. Giles and St. George's School – Secure partners and completion of any agreed scheme of works.
- Newcastle Town Centre Street Market - Procure and place new market stalls on site (target for completion January 2013)
- Hassell Street pedestrianisation – complete scheme November 2012
- Ironmarket taxi rank work commences January 2012
- Accommodation Review – secure occupation of partner agencies and undertake further work to establish the medium/long term accommodation needs of both the Borough Council and other public sector partners.

4.0 THE CURRENT ESTATE

The Council owns an eclectic mix of over 180 properties (buildings) ranging from crematoria to sports centres to industrial premises. As previously indicated (section 2.5) the Council's property assets are divided into two portfolios – the operational and commercial portfolio – see below:-

Operational assets

In broad terms this is property that is held, occupied, used or contracted to be used on behalf of the authority in the direct delivery of services for which it has a responsibility, whether statutory or discretionary or for the service of strategic objectives of the authority. For reasons of simplicity we also include 'Community Assets' in this category.

This category includes (not exhaustive list):

- Civic Offices
- Guildhall Customer Contact Centre
- Kidsgrove Town Hall Customer Contact Centre
- Knutton Lane depot
- Jubilee Baths and Knutton Recreation Centre*
- Jubilee 2 Health & Wellbeing Centre
- The Museum/Art Gallery
- Crematorium and Cemeteries
- Off-street car parks
- Land associated with operational property
- Parks and Open Spaces
- Historic Buildings/Monuments
- Allotments
- Sports facilities and pitches
- Community Centres
- CCTV infrastructure
- Bridge and watercourse structures

*These 2 assets are now surplus following completion and hand over of Jubilee 2 in December 2011.

Commercial Assets

These property assets are those held by the Council but not directly occupied, used or concerned in the delivery of services, although they are likely to align with the authority's strategic objectives. Examples in this category include (list not exhaustive):-

Commercial land and property, leased/rented to other parties and generating income which include:

- Town Centre Retail Premises
- Industrial Units
- Offices
- Keele Golf Centre
- Ground Leases including the multiplex cinema
- Market
- Town Centre Car Parks
- Former Sainsbury's supermarket (owned in conjunction with Staffordshire Council for regeneration purposes)

Asset Transfers between Portfolios

There are occasions where assets can be transferred between portfolios as a result of changes to service delivery or corporate priorities; examples include the following:

- The Guildhall which transferred from the commercial portfolio to the operational portfolio.
- Pitfield House (Brampton Park) which was originally within the operational portfolio and is now let on a commercial basis as a Children's Nursery.
- Former Audley Council offices which is now let on a commercial basis to a local business.

5.0 PROGRAMMES

5.1 ASSET REVIEWS

Any aspiring organisation will continuously challenge its use of resources, and the Authority has instituted a programme of reviews of its operational property portfolio, which is used to deliver services.

Property can be expensive drain on both capital and revenue budgets, and is slow to change. It is essential that the organisation has the right type of premises in the right locations, and accommodation must be sufficiently flexible to be able to be adjusted to the changing needs of the service market. It must also be used as efficiently as possible; vacant or under-used space is an expensive waste.

Surplus Assets Disposal Programme and consultation

Each year operational managers are challenged to ensure that any underutilised/surplus space is identified and where appropriate allocated for disposal. Disposals in 2011/12 included the sale of toilets at Butt Lane and the planned disposal of redundant offices at Newcastle Cemetery.

A car parking study was commissioned in Autumn 2011 which identified a number of Town Centre car parks that were under-utilised. In view of the costs associated with managing and maintaining such sites, along with the fact that some of the car parks are situated adjacent to potential redevelopment sites, it is intended to undertake further analysis during 2012/13 in order to establish whether some of these sites are potentially surplus (see appendix 1).

A detailed scrutiny process was undertaken during 2011 in respect of proposals to dispose of surplus land. The Overview and Scrutiny Committee report made a number of recommendations as to the way the disposal programme was dealt with, in particular with respect to public consultation. The Council's Cabinet has taken these recommendations into account and resolved that the Asset Management Strategy will be amended to reflect these recommendations (see Appendix 1 – current and proposed land disposals and Appendix 2 – public consultation arrangements).

There will however be some circumstances in respect of certain disposals, such as the recent disposal of disused public toilets, where the public consultation process will not be necessary or may be scaled back to a more appropriate level. Other examples could include land or property where the future use is consistent with the present use (e.g. a shop premises in a shopping parade) where there is unlikely to be any public interest at stake. The main issue will be to ensure that any public / stakeholder consultation is proportionate to the particular disposal.

Future Disposal of Surplus Land

Any future strategic land sales for housing development will be advised by the emerging Site Allocations and Policies Development Plan Document where full consultation will be undertaken with the general public. This process will determine the acceptability or otherwise of such development prior to any disposal decision.

Review of Public Estate in Staffordshire and Stoke-on-Trent

The Borough Council is participating in a project led by Staffordshire County Council along with all the other District Councils and other public bodies including the NHS and the Police. This will review the public sector estate within Staffordshire.

The project has two main objectives which are as follows:

- Comprehensive identification of the Public Sector Estate across Staffordshire
- Analysis of the information to promote the most effective and efficient use of the combined assets.

A report to identify the findings of this project is in the process of being prepared by external consultants (completion anticipated by the end of March 2012). This will identify the physical, legal and strategic planning links between the particular assets of the various public bodies and hopefully create a list of potential joint development opportunities where these property interests come together (for example, the Ryecroft development site which is subject to a joint venture agreement between Staffordshire County Council and Newcastle Borough Council).

5.2 PARTNERSHIP AND COLLABORATIVE WORKING

Public Sector GIS based database

Staffordshire County Council is working in conjunction with Newcastle Borough Council and the other District Authorities to develop an intranet database which holds the land ownership details of all the Councils and other public bodies such as Police and Fire Authority etc.

Regeneration

The Authority has worked with various public sector partners to bring about the regeneration of various sites throughout the Borough. Examples of this include:

- Redundant industrial site on Lower Milehouse Lane, Newcastle - the regeneration of this site has had a catalytic effect on the wider area.

- Former Sainsbury's premises - the recent purchase of this site in partnership with Staffordshire County Council to form a potential retail led regeneration of the Ryecroft area of the Town Centre.
- NewcastleTown Centre Public Realm – This scheme involves realigning the market to follow the pedestrian flow within the Town Centre

Shared Accommodation

The Authority shares accommodation with its public sector partners and at the time of writing, was seeking to extend this:

- Civic Offices to be shared with Staffordshire County Council, Staffs Police and the Primary Care Trust.
- Kidsgrove Town Hall shared with Staffordshire County Council with potential inclusion of Staffs Police

Facilitating Community Assets

- Disposing of part of the former Knutton Depot to Staffordshire Fire and Rescue Service (SFRS) to enable the construction of a Community Fire Station at Knutton Lane, Newcastle
- Disposing of land at Loggerheads to the SFRS to facilitate the construction of a community fire station

6.0 ARRANGEMENTS FOR ASSET MANAGEMENT PLANNING

6.1 CORPORATE MANAGEMENT STRUCTURE REGARDING ASSET MANAGEMENT

The diagram at Appendix 3 shows the Council's structure in terms of Asset Management. Since January 2008 the Assets Section has been consolidated into the Regeneration and Development Directorate.

Portfolio Holder Responsibility

Asset Management falls within the portfolio of the Cabinet member with responsibility for Regeneration and Planning.

Corporate Property Officer

The Corporate Property Officer (CPO) is the Head of Assets and Regeneration who reports directly to the Director of Regeneration and Development (a member of the Executive Management Team)

Assets Review Group

The Assets Review Group is chaired by the Executive Director of Regeneration and Development with the CPO as Vice Chair, and meets bi-monthly (or more frequently if required). The overall objective of the Group is to review the performance of and provide strategic management for, the Authority's portfolio

Capital Programme Review Group

The Capital Programme Review Group (CPRG) meets monthly and is chaired by the Executive Director (Resources and Support Services), with the CPO as Vice Chair. This group controls capital expenditure.

The ARG and CPRG monitor the use of both Assets and Capital, and approve the release of Assets for specific purposes, having reviewed the business case for the use. Similarly they make recommendations to the Council's Executive Management Team (EMT) about Capital expenditure, having examined the business case, and subsequently monitor the capital expenditure programme.

The recommendations and decisions of these two groups directly inform the Council's Medium Term Financial Strategy and Capital Programme. In terms of broader governance arrangements the decisions of both groups have to be ratified by EMT (as is the case with all Corporate Working Groups).

The membership of the Assets Review Group ensures that the CPO receives direct and pertinent user information about the Council's Operational Portfolio. The ARG effectively provides feedback as to any asset management proposals/plans being considered either corporately or from a service perspective. Any plans or proposals requiring new capital expenditure require endorsement by the CPRG

before proceeding through the formal decision-making processes of Cabinet or Council.

The output from both the ARG and the CPRG will form the basis of the Council's Capital programme (which is reviewed annually along with the Corporate Plan and the Medium Term Financial Strategy).

As well as ensuring the efficient and effective use of the Council's property assets, the role of the CPO, ARG and the CPRG is to ensure a consistency between the Council's asset portfolio and the Council's Corporate Plan, as well as the service-specific Service and Financial Plans.

Day to Day Asset Management Planning

The Head of Assets and Regeneration is responsible for Assets, Facilities Management, Engineering and Car Parks and Economic Development. All the day-to-day work connected with this asset management planning is undertaken within this service area. Significant expenditure is allocated through the capital planning process whilst small scale works and reactive maintenance is funded from a Repairs and Renewals Fund.

6.2 ASSET MANAGEMENT DATA AND INFORMATION SYSTEMS

The Council's land ownership mapping system (terrier), property data, Asset Register and property management and maintenance records are held on one computerised system. Paper filing systems are used for other property management functions.

The Council subscribes to the IDOX Uniform suite of applications which includes the asset register and property management modules, which contains key property information. This system links with other modules throughout the authority, which means that departments such as Planning, Land Charges and Building Control, which use plan-based systems, will be able to access shared information.

The system also allows for each property to be given a unique property reference and will allow this reference to be linked to the National Land and Property Gazetteer.

6.3 HEALTH AND SAFETY

In 2010 the Council purchased a computerised health and safety system (BS Target 100). This system has the ability to manage and monitor all aspects of health and safety across the Council including the inspection and servicing of the building utilities and any other statutory inspections. It is now seeking to roll out this system to supplement the Council's existing statutory inspections database.

7.0 CONCLUSION

In conclusion the fundamental elements of this strategy deal with the need for efficient and effective use of the Council's property assets in order to provide effective and affordable services for the community they serve. In particular, this establishes the need to minimise the use of built space, where possible share that space with partner organisations and maintain and modernise that space where appropriate.

Furthermore, the strategy clarifies the ongoing need to identify surplus land/property assets, to align these with those of partner organisations (SCC) and to gain capital funding to support prioritised activities through disposing of these assets at best value through the Assets Disposal Programme (see appendix 1). This is in line with government policy regarding the efficient use of assets to achieve the aims of the community.

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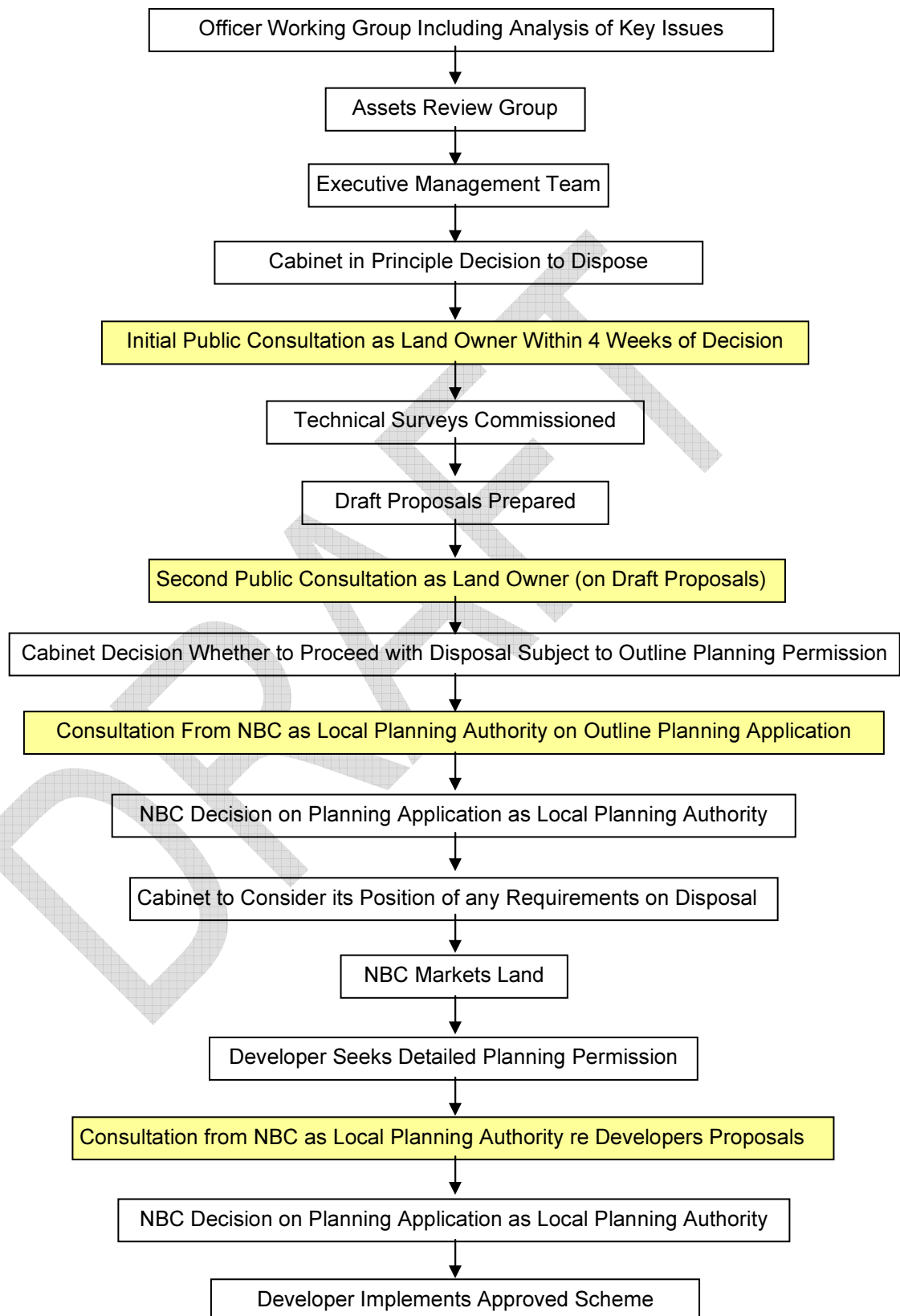
APPENDIX 1

Approved Disposals		
Address	Action	Position Statement
Plot D Apedale Road Chesterton	Land Disposal	Cabinet decision to dispose. Subject to resolution of planning issues potential to complete disposal by Summer 2012.
Cemetery Lodge Lymewood Grove Newcastle	Premises Disposal	Aim to dispose of building at auction either end Jan 2012 or mid March 2012.
Land at Market Drayton Road Loggerheads	Land Disposal	Cabinet decision to dispose and resolution to grant planning permission. Potential to complete disposal by end June 2012.
Jubilee Baths site	Land/Premises disposal	Cabinet decision to dispose. Marketing commenced.
Knutton Recreation Centre	Land Disposal	Cabinet decision to dispose. Potential disposal in late 2012 following developer procurement and public consultation.

Proposed Future Land Disposals		
Address	Action	Position Statement
38 Market Street Kidsgrove	Premises disposal	Premises requires substantial repair. Recommend to provisional negotiations commenced with current tenant if terms not agreed propose to dispose by Auction.
Land at Grove Ave Kidsgrove (0.22 acres)	Land disposal	Land formerly used for storage/plant nursery. Potential building plot with no planning permission propose to submit planning application and, if successful, dispose by auction.
Land Disposals to be explored 2012/13		
Town Centre car parks	Land Disposal	The 2011 car parking study identified a number of Town Centre car parks that were under-utilised. These sites will be monitored/reviewed with a view to possible future disposal.
Land Silverdale Road, Newcastle (0.56 ha)	land disposal	The sites either side of this land have been redeveloped however it forms part of a designated flood plain. This may mean low grade industrial/commercial use.

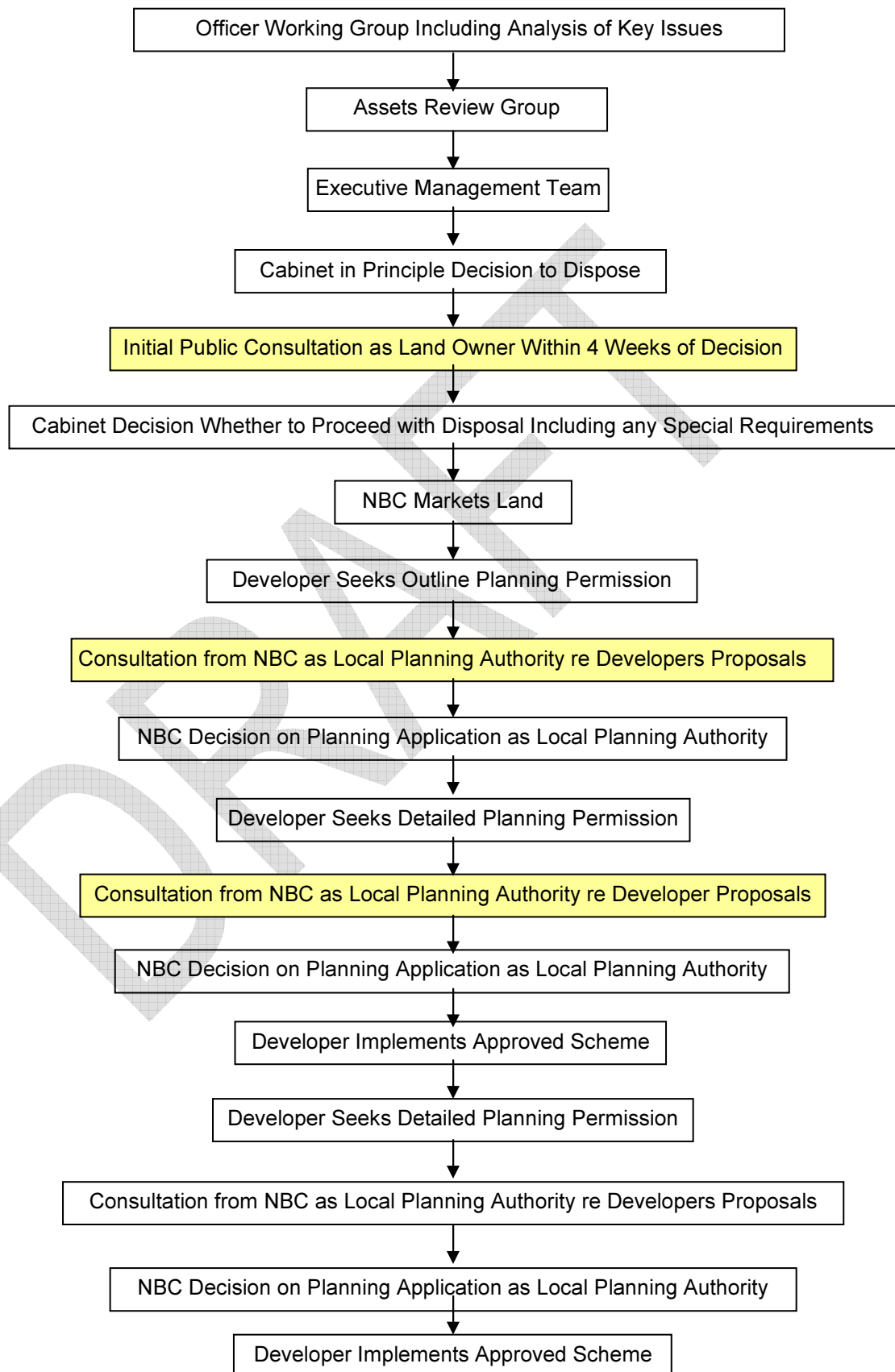
APPENDIX 2

In cases where unclear planning policy and Newcastle Borough Council seek Planning Permission prior to disposal

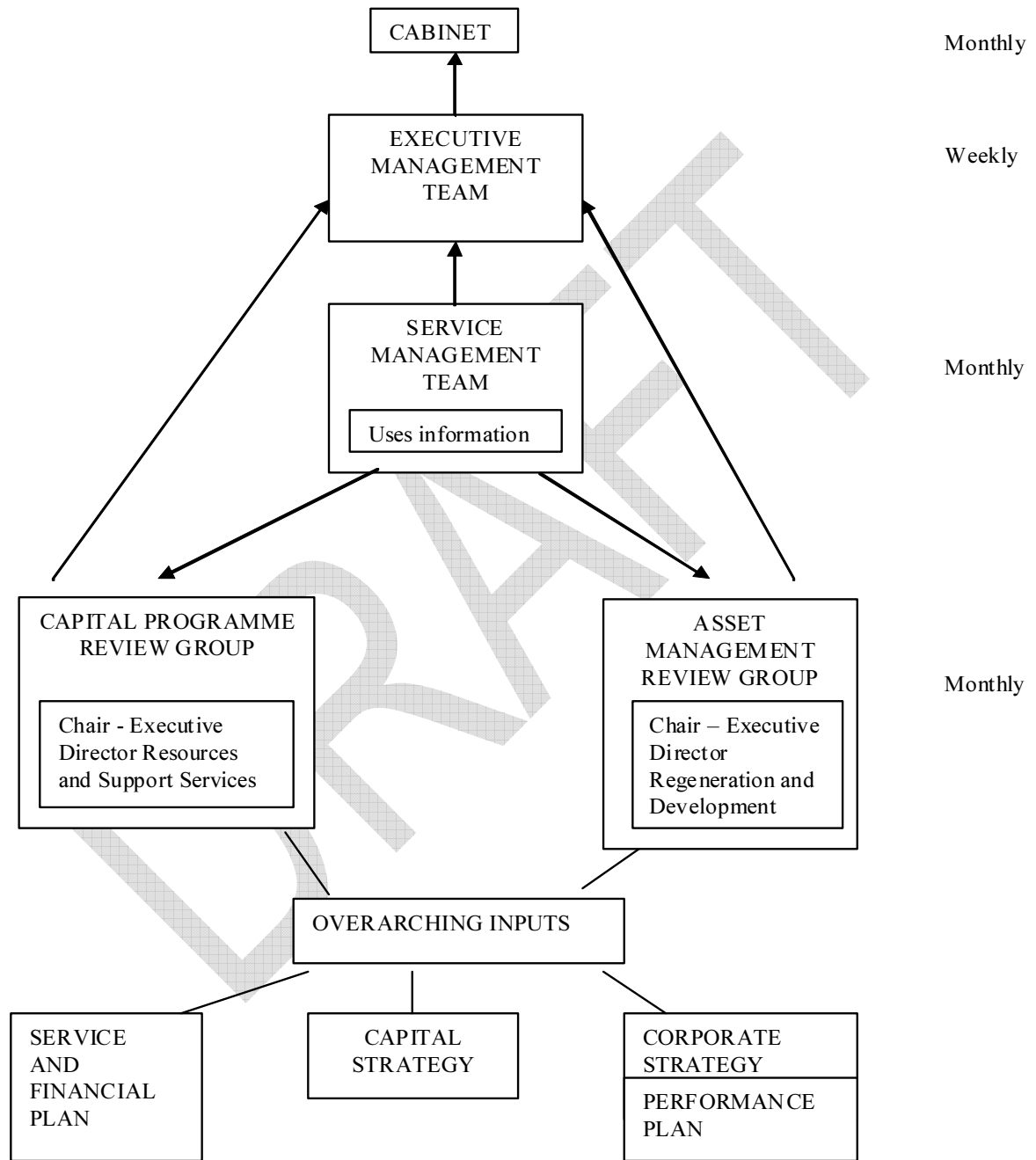


APPENDIX 2

In cases where Newcastle Borough Council NOT seeking Planning Permission prior to disposal of significant asset



**Newcastle-under-Lyme Council's
Asset Management Plan Reporting Structure**



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PROVISION OF RECYCLING BRING BANK SITES

Submitted by: T Nicoll

Portfolio: Environment and Recycling

Ward(s) affected: All

Purpose of the Report

- To provide background to the current Recycling Bring Bank Service.
- To review locations and material collected at Recycling Bring Banks within the Borough, including opportunities to achieve further performance and financial advantages.
- To agree an appropriate level of future service provision.
- Agree the contractor/s involved with the collection of materials.

Recommendations

(a) That Cabinet agree with the redevelopment of Bring Sites as detailed within the report.

(b) That the range of material collected from the Bring Site includes paper, mixed glass, cans, plastic on all site and where possible textiles, WEEE and cartons.

(c) That the Executive Director (Operational Services) be authorised to enter into agreements with the contractors detailed in this report and align with the extension of the Council kerbside recycling and treatment contracts until July 2016.

(d) That a project budget as detailed is agreed to deliver cost savings through new agreements, site improvements and servicing.

Reasons

- To provide a significant financial saving to the Council over the next four years.
- To provide the security of an established and productive contractual arrangement and guarantee the associated level of service and investment.
- To provide a stable platform to enable the Council to maintain and develop the recycling and waste service and to further increase its recycling rates.

1. Background

1.1 The council's current recycling and waste strategy has been prepared following the principles agreed by Cabinet in October 2007 and consultation with stakeholders. It sets out the direction for the Waste Management services up to 2016. The strategy was prepared taking account of national guidance (Waste Strategy for England 2007) and the 'principles and policies' set out in the Integrated Municipal Waste Management Strategy for Staffordshire and Stoke-on-Trent (2020 Vision). Within these Strategies and the new government 'Waste Review 2011' there are requirements to provide residents with recycling facilities away from the home.

1.2 The Council currently provides 18 bring sites across the borough, however the types of materials and the quality of the infrastructure varies across these sites.

2. **Issues**

- 2.1 Currently we have a number of contractors collecting material from these sites on various formal and informal arrangements. The service received varies greatly and there is limited power to enforce an improved service from them. This variable service can include failure to empty the containers in a timely manner, provision of unsuitable containers, lack of management and site information and failure to cleanse the site after collection.
- 2.2 The general appearance of a number of some sites is poor; this includes the provision of old containers, cluttered sites due to multiply containers for the same material; and poor general signage. On this basis within the next year some investment would be required by the Council even if collection arrangements did not change.

Newcastle under Lyme Bring Sites Tonnages by material type 2010/2011

Bring Site	Paper	Mixed Cans	Plastics	Glass
Audley – Nantwich Road	13.26	2.23	N/A	20.73
Clayton - Clayton Road	12.90	1.57	2.27	7.19
Crackley Birch House Road	N/A	N/A	N/A	0.742
Keele Campus – Barns Hall	2.86	N/A	N/A	2.38
Keele Students Union	5.63	0.26	0.56	3.33
Keele Hawthorns – Keele Village	1.80	0.28	0.46	2.87
Kidsgrove Main Tesco Store	46.66	4.54	3.93	50.33
Knutton – High Street	10.51	1.50	1.50	10.55
Loggerheads – Eccleshall Road	15.56	0.72	N/A	14.58
Wolstanton Marsh - Jubilee Road	37.83	1.85	4.96	28.10
Milehouse – Morrison’s	33.69	2.74	N/A	25.44
Newcastle - Sainsbury’s	23.63	1.26	1.83	19.96
Newcastle – King Street	10.39	0.66	1.39	13.03
Newcastle - Morrison’s	44.71	2.26	N/A	43.49
Silverdale – Bath Road	N/A	N/A	N/A	0.33
Bring Site	Paper	Mixed Cans	Plastics	Glass
Silverdale – The Parade Shops	26.13	2.57	4.72	22.92
Talke Pits – Freeport Centre	4.37	0.04	1.10	8.28
Wolstanton – Asda Morris Square	8.65	N/A	N/A	N/A

Wolstanton – Asda off A500.	31.41	1.64	2.73	31.75
Totals	329.99	24.12	25.45	303.13

Materials currently collected from these sites account for in the region of 3% of the Councils overall recycling performance.

3. Proposal

It is proposed to undertake a full programme of container replacement and site design. The table at the end of this section details what material may be collected at each site.

3.1 Review of Site Location

A review of site locations and usage has determined that in most cases the sites are correctly located and are serving residents of the borough well. During the review we have taken in to account reports from residents or site owners that leave us with the following proposal.

- **Morrisons, Milehouse Lane** - bring site to be relocated within the car park away from residential properties.
- **Freeport Centre, Talke Pits** - bring site to be relocated within the car park to a more prominent site, to increase usage and security.
- **Keele** - currently there are three bring site at Keele, (Student Union, Hawthorns Halls of Residence and Barns Hall) we are working with the University to develop one single site which would be easy to access by both residents and students.
- **Crackley, Birch House Road** - currently only glass is collected at this site and the tonnage is extremely low. Due to issues on the site we are looking at other locations in the general area.
- **Silverdale, Bath Road** - currently only glass is collected at this site and the tonnage is extremely low, it is suggested that this site is removed. The next nearest site is in the village centre at The Parade.
- **Madeley** - currently there is no bring site in the northwest region of the borough, we are currently looking for a suitable site in the Madeley area.

This proposal would result in a net reduction of two bring sites across the borough; however there would be improved access for a number of residents once a new location in Madeley can be identified. This is demonstrated by the 'Map of Bring Site Locations' included with this report.

3.2 Review of Materials collected on Site

Over the last few years, material presented at the bring sites has been monitored and reviewed and a number of trials undertaken with the reprocessor for the collection of additional material at some locations have been carried out.

Glass – currently glass collected at our bring sites is separated into three colours, this does not reflect the kerbside service and involves having three different containers for glass at the bring site and specialist vehicles are required to collect the material from our sites. If

collected mixed glass is collected at the bring sites this would align the services and reduce space requirements at each site.

Small WEEE (Waste Electrical and Electronic Equipment) (such as radios, toasters, kettles and hairdryer) – Work is ongoing with Cannock Chase and East Staffordshire Council on a small WEEE trial on three of our bring sites. If this trial is successful and if the contractor is willing to continue to provide the service free of charge, it is proposed to continue to collect this material on a limited number of sites. If this service is not provided much of the material will be presented in the household bin thus increase our waste figures.

Cartons – We are currently half way through a trial with Tetra Pak on five site across the borough. If this trial is successful and if the contractor is willing to continue the provision of the service free of charge we propose that we continue to collect this material on a limited number of sites. The provision of collection points for this material is important as currently the material is not collected at the kerbside.

Textiles – We currently collect textiles across the borough via our kerbside collections however over the last couple of year we have been experiencing a large volume of this material being stolen when it is present at the kerbside, due to its value. In addition there is an ongoing issue with rogue textile operators placing banks on both private and public land across the borough. Most of these banks are operated by illegal companies, and the banks are of a poor and potentially unsafe design. Officers work hard to ensure that these banks are removed as soon as possible however it is sometime not possible, and in many case the banks have already collected significant amounts of valuable of materials

We propose to work with Wilcox Textiles, in Bilston, who are the UK leading textile reprocessor employing over 400 staff and have thousands of banks UK wide. Wilcox will provide the latest design textile banks that are designed with smaller apertures to reduce access and no side opening thus removing opportunities for someone to gain access to the bank. We will also be in full control of the livery of the bank provided to us, so residents will be able to clearly identify official textile banks. Wilcox is also able to provide the council with clear audit routes for all material collected to end markets.

3.3 Linking to Kerbside Service

Following the extension of kerbside recycling to 2016 it is now possible that core bring site materials of paper, mixed glass, plastic and cans can be collected by Acumen Distribution and bulked via their waste transfer station. The service will be managed by a variation to the main contract and this will reduce the risk of poor service that we sometime receive from our current contractors.

The proposal is that the bring sites will be emptied regularly (either weekly or fortnightly) depending on volumes, thus reducing the number of containers required on each Bring Site. At each visit the operative will also be required to undertake a general inspection, cleanse the site were possible or report any large issue back to the Council.

3.4 Communication to Residents

It is proposed that once we have completed the roll out of new containers and signage at all sites, and a borough wide communication programme is carried out highlighting this improved service. To aid communication and uniformity we propose to introduce 'Euro' bins with different coloured lids for paper, glass, plastics and cans; and specially designed containers for textile, cartons and WEEE. This would include a detailed leaflet being sent to all households in the borough. We will also update and enhance details about the bring site on the Council website and partner site Recycle for Staffordshire.

Table of proposed Material streams at each location.

Bring Site	Paper	Mixed Cans	Plastics	Glass	Textiles	Cartons	WEEE
Audley – Nantwich Road	✓	✓	✓	✓	✓	✓	
Crackley	✓	✓	✓	✓	✓		
Clayton - Clayton Road	✓	✓	✓	✓	✓	✓	✓
Keele Campus	✓	✓	✓	✓	✓		
Kidsgrove Main Tesco Store	✓	✓	✓	✓	✓		
Knutton – High Street	✓	✓	✓	✓	✓		
Loggerheads – Eccleshall Road	✓	✓	✓	✓	✓	✓	
Wolstanton Marsh - Jubilee Road	✓	✓	✓	✓	✓		
Milehouse – Morrison’s	✓	✓	✓	✓	✓		
Newcastle - Sainsbury’s	✓	✓	✓	✓	✓	✓	✓
Newcastle – King Street	✓	✓	✓	✓	✓		
Newcastle - Morrison’s	✓	✓	✓	✓	✓		
Silverdale – The Parade Shops	✓	✓	✓	✓			
Talk Pits – Freeport Centre	✓	✓	✓	✓	✓		
Wolstanton – Asda Morris Square	✓	✓	✓	✓			
Wolstanton – Asda off A500.	✓	✓	✓	✓	✓	✓	✓

4. **Outcomes Linked to Sustainable Community Strategy and Corporate Priorities**

4.1 The proposals relate to the effective delivery of the improved collection arrangements for bulky waste items, which would contribute to the following:

- Creating a Cleaner, Greener Safer Borough
 - Action to ensure waste is minimised, recycled and reused.
- Transforming our Council to Achieve Excellence
 - Action to manages the Council's finances so that it has enough resources to deliver its priorities
 - Action to ensure that resources follow priorities

5. **Legal and Statutory Implications**

5.1 The Councils Legal and Procurement teams, have reviewed the proposals and advised that due to the level of spend and nature of the risks there would not be a need to undertake a full procurement process including formal tenders, however there will be a need to ensure that we are achieving 'Value for Money' for the service and the Council, as part of the supplier engagement process and that officers ensure that formal agreements are in place. Agreement with Acumen will be as an amendment to main dry recycling kerbside collection contract.

5.2 The Landfill Directive (99/31/EC) requires a reduction in bio-degradable waste to be landfilled by 75% in 2010, when compared against the 1995 level.

5.3 The waste strategy is designed to increase recycling and therefore meet the legislative requirements without incurring financial penalties. The Government's Waste Strategy requires 40% of domestic waste by weight to be recycled by 2010 and 50% by 2020.

5.4 The Environmental Protection Act 1990 empowers the Council as a Waste Collection Authority to direct householders how to present waste.

6. **Equality Impact Assessment**

6.1 An Equality Impact Assessment was undertaken in 2008 the service has not changed since then. A number of the issues that were identified will be resolved with the change of service. It is proposed that a further assessment should be undertaken once the service is in place.

7. **Financial and Resource Implications**

7.1 Financial implications are based around the cost of providing the service and excluding recycling credits as this income will be retained by the Council, however with a re-launch of the service it is likely that tonnages at the bring site may increase thus increasing further income from recycling credits.

7.2 The cost of providing the current bring site service is budgeted at £45,961 for the current year, which is likely to increase in future years.

Material	Annual Cost
Paper	£0
Plastic	£34,177
Glass	£4,734
Cans	£7,050
Total	£45,961

- 7.3 Initial discussions have taken place with Acumen Distribution, regarding them undertaking the collection of paper, glass, cans and plastics from all bring sites in the borough. Acumen have advised they would be willing to undertake the collection from bring sites for free of charge for the next four year until July 2016 to mirror the kerbside contract. For this Acumen Distribution will retain all income from the sale of these materials; and any risk of changes in volumes or income from this material will fall on them. They would also support the Council with the change over of containers with both staff resources and a one off payment of £15,000 towards the cost of new containers. At the end of the contract period all purchased containers would remain in the Council ownership. As detailed above the council currently pays approximately £45,961 for this service.
- 7.4 Initial discussions have also taken place with Wilcox Textiles who have indicated that they are willing to provide specialist textile containers free of charge and would pay the Council £370 per tonne of textiles. This figure would vary depending on the market rate of the material however it will remain a positive amount.
- 7.5 We are currently in discussion with the collection contractors for WEEE and Cartons, and if these trials are successful it is envisaged that these material will be collected free of charge.
- 7.6 There will be additional one-off infrastructure costs associated with the change of containers, securing containers and signage at the bring sites. It is estimated that this is likely to be approximately a one off cost in the region £40,000, this will be met via the £15,000 payment from Acumen, £10,000 remaining from a LSPG2 grant already secured by the Council and £15,000 from the first year revenue savings for this service.
- 7.7 Undertaking this proposal will provide the council with a revenue saving of £30,000 in 2012/13 and further ongoing annual savings of £45,000 in 2013/14, 2014/15 and 2015/16, a total saving of £165,000 over four years.

8. **Major Risks**

- 8.1 The majority of the major risks associated with the decision to change the Council Recycling Bring Site Service have been transferred to the contractor, however the major risks are considered to be:
- Change in European and National Waste Strategy.
 - Failure to continue to provide value for money from contractors.
 - Failure to obtain a high quality service from contractor.
 - Contractor failure through financial difficulties.
 - Major changes in the recycling markets in terms gate fees and material value, most of this risk would be transferred to contractor.

9. **Key Decision Information**

- The decision is one that would affect all wards and has a significant positive budgetary implication for the Council. It has therefore been included on the Forward Plan.

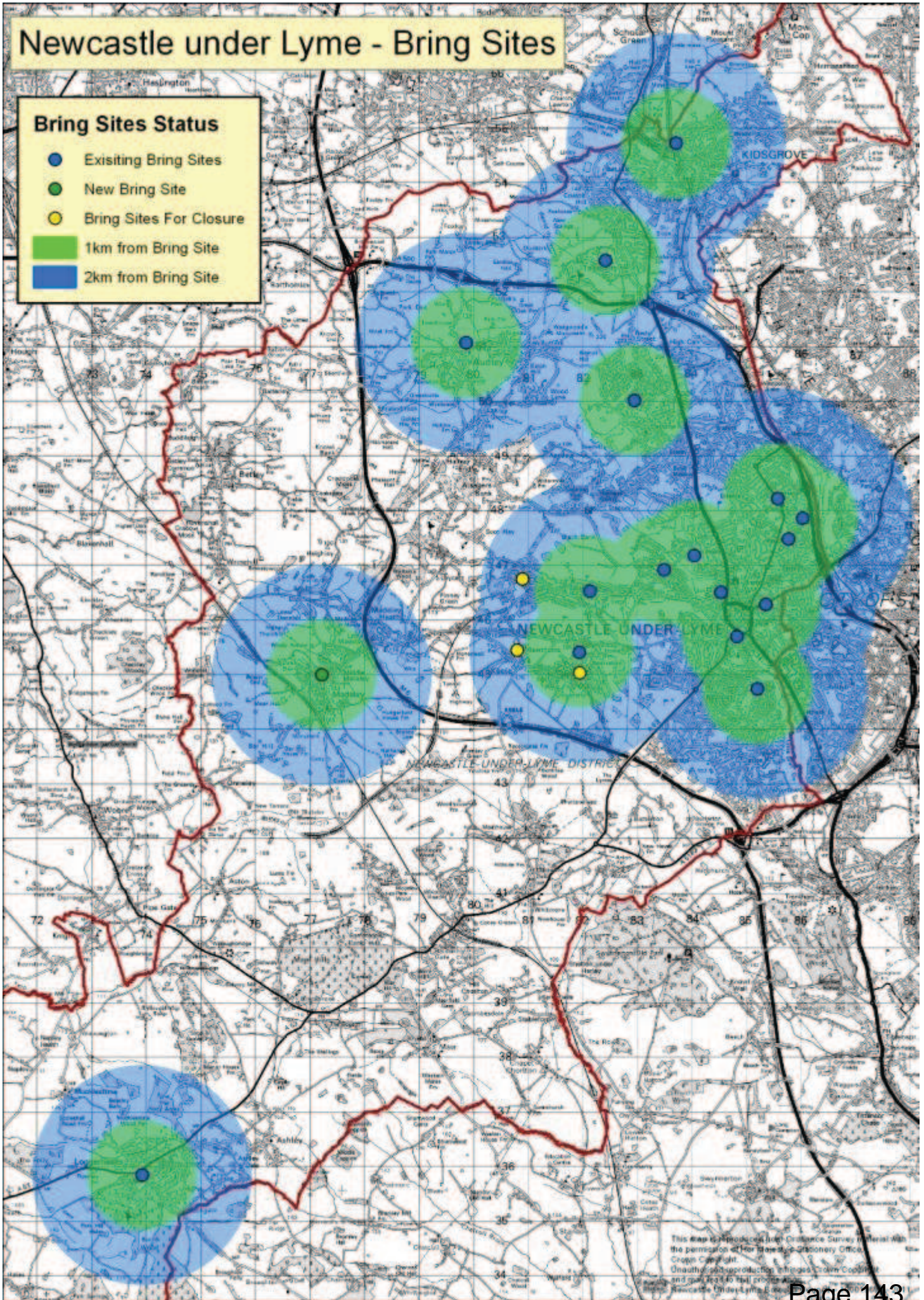
10. **Background Papers**

Textile Bring Bank Specification
Paper, glass, can and plastic Bring Bank Specification
Map detailing Bring Bank Location.

Newcastle under Lyme - Bring Sites

Bring Sites Status

- Existing Bring Sites
- New Bring Site
- Bring Sites For Closure
- 1km from Bring Site
- 2km from Bring Site



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FUTURE COMMISSIONING FOR THE VOLUNTARY AND COMMUNITY (THIRD) SECTOR

Submitted by: Simon Sowerby – Business Improvement Manager

Portfolio: Resources and Efficiency

Ward(s) affected: All

Purpose of the Report

- To ratify the Council's budget for funding commissioned contracts with the Third (Community and Voluntary) Sector.
- To agree and establish the duration of the above funding (previously, funding was made available for a three year period).
- To agree on the Council's preferred route to market for the commissioning of Third Sector services.

Recommendations

(a) That, as part of the Medium Term Financial Strategy (MTFS), Cabinet ratify available funding for commissioning, and agree to the duration for this funding (£248,510 p.a. has already being allocated in the MTFS for this purpose).

(b) That the three-year availability of these funds be made conditional on a budgetary review 3 months prior to the anniversary date to ensure on going funding can be supported.

(c) That collaborative procurement/commissioning be considered (where available) to maximise efficiencies and to jointly commission services with other organisations, ensuring in the process that there is no detrimental effect on the overall service to residents of the Borough in line with service outlines.

Reasons

The Council commissioned a range of contracts with 'Third Sector' (voluntary and community) organisations via the established Third Sector Commissioning Framework (TSCF) in 2008/9. Seven of these contracts were for three years (1st April 2009 until 31st March 2012).

As these existing contracts are coming to an end, Cabinet is requested to clarify the Council's requirements as part of future commissioning with the Third Sector.

Minimum standards established by the Staffordshire Compact - to which Newcastle-under-Lyme Borough Council is a signatory - recommend that a 12 week commissioning process is established to "support the involvement of smaller third sector organisations and/or third sector consortia participating and submitting high quality bids". It is proposed in this report that this aspect of the Compact continues to be adhered to, in order to maintain compliance and to allow for an open process of commissioning under the TSCF.

1. Background

1.1 Newcastle-under-Lyme Borough Council launched its Third Sector Commissioning Framework (TSCF) process in December 2008. At this time, a total of eleven contracts were

commissioned with Third Sector organisations either based or working in the Borough. The contract periods involved ranged from one to three years, with the majority being for three years, commencing on 1 April 2009.

- 1.2 From the original list of eleven contracts, seven remain 'live'. These seven will end on 31 March 2012. Given the proximity of this date, EMT has approved an extension of these existing contracts for a maximum of three months to in order to comply with Staffordshire Compact requirements relating to the commissioning of services with the Third Sector.
- 1.3 As part of an ongoing engagement process and as an output from the Scrutiny Brief presented to the Active and Cohesive Communities Overview and Scrutiny Committee on 31 October 2011, it was decided (by the Committee) to establish a Member Task and Finish Group to examine the Third Sector Commissioning Framework (TSCF).
- 1.4 At the first meeting of the TSCF Working Group on 12 December 2011, members reviewed the process undertaken so far in relation to the TSCF. The group also met with the Director of Strategy and Transformation - Assistant Chief Executive from Staffordshire County Council who presented an overview of the Public Sector Commissioning in Partnership (PSCiP, formerly TSCiP) work to date. In addition, an update was received on the proposed TSCF budget, stakeholder engagement observations, update on service outlines and finally the impacts of the tight timescales being faced as part of the process.
- 1.5 In relation to the PSCiP initiative mentioned above, the initial intentions of this work are outlined in correspondence dated 14 July and 12 August 2011 (attached – see Appendices A and B). These highlight the main areas covered by the PSCiP programme, including the two relevant commissioning areas for the Borough Council covered by the PSCiP work - Debt Benefits and Consumer Advice (currently being delivered by both CAB and Age UK) and Infrastructure Support (currently - in Newcastle-under-Lyme Borough Council's case - being delivered by Newcastle Voluntary & Community Services).
- 1.6 In addition to these developments, the Borough Council continues to receive Freedom of Information (FOI) requests in reference to spend on Third Sector organisations and the Council's future intentions regarding this area, given the budgetary constraints currently being experienced by the authority.
- 1.7 Clearly, there remains considerable focus from both central government and other stakeholders regarding the approach to future funding for services from the Third Sector.
- 1.8 Various stakeholders included in the ongoing TSCF internal engagement process have highlighted the ongoing need for a range of services which include: -
 - The provision of Debt Benefits and Consumer Information & Advice,
 - Rough Sleepers Outreach (to be commissioned jointly with Stoke-on-Trent City Council);
 - Domestic Violence Support;
 - Young Persons Homelessness Advice; and
 - Infrastructure Support services.

It is suggested that funding for two services be discontinued; funding levels permitting, and that two new services be established and monies be found for the return of a previously run service.

Stakeholders as part of this process indicated that due to a range of external factors/changes, this is not a good time to go out to the market place to commission albeit they recognised the need for a continuity of service delivery.

- 1.9 Meetings have also taken place with a number of external stakeholders/providers, each indicating a commitment to deliver services from within the Borough, albeit clearly indicating the issues faced in identifying and obtaining supportive funding for any ongoing services.
- 1.10 The Medium Term Financial Strategy (MTFS) currently includes ongoing funding for services from the voluntary and community sector – a total of £248,510p.a.
- 1.11 The level of funding in the MTFS appears to mirror that made available in 2011/12.

Consideration has been made of ongoing budget shortfalls faced by the authority in reviewing the TSCF and this paper recommends mainly three year contracts, conditional on a budgetary review three months prior to the anniversary date to ensure on going funding can be supported. This paper also recommends that this clause should be written into the contracts agreed with successful providers.

2. Issues

- 2.1 An overview of current contractual issues includes the following: -
 - 2.1.1 **Infrastructure support (NCVS)** – a proposal has been put forward previously to Cabinet to offer a one-year contract only for this area of work. This has been proposed in part as a device designed to allow for further consideration of the PSCiP work and the potential opportunity for the Council to be part of the initiative, and also as a recognition of the ongoing review of the voluntary sector and support provision throughout Staffordshire. Taking into account these initiative, a one-year contract would allow further consideration of the role of the CVS and how this might be shaped in the future including consideration of options such as joining with other CVS organisations in the county or reducing the level of service currently provided.
 - 2.1.2 **Debt Benefits & Consumer Advice – CAB** – a number of issues are currently being reviewed in this area, including the potential for increased use of Kidsgrove Town Hall and the concerns raised by CAB over the request by the local police having a strong presence in the building - the CAB's Chief Officer in the area has indicated a possible reduction in the number of clients using CAB services at this venue due to high profile of police.

Proposals to resolve such concerns have been forwarded to the Council's Property Manager. In addition, CAB has indicated an increased use of the services at Kidsgrove and is currently looking to utilise additional resources and room hire to cope with the increase in need. Faced with the impact of the current continuing economic downturn, there remains an ongoing need for the delivery of a Debt, Benefits and Consumer Advice service and CAB has said that the total level of debt dealt with in the first quarter of the final year of the contract from the Newcastle office being £3,454,177. Welfare benefits advice remains the largest category of all the current service providers' enquiries, £728,480 being raised for clients from the Newcastle office in the first quarter of the final year of the contract.

- 2.1.3 **Older Peoples Information and Advice Service: AGE UK N. Staffs** - this service has not been without its problems, in that Age UK has asked if they could further reduce the service (from an already reduced four days to a two day service per week), due in the main to a reduction in supportive funding. This was challenged by the Borough Council, by asking if this was the only option being considered. A suggestion was made that Age UK should consider alternate proposals (e.g. collaborating with partners that deliver similar services

within the borough such as CAB), rather than presenting the Council with a single option. Whilst this position has been resolved for the 2011/12 financial year it should be noted that although the Council fund the provider £20,000 per annum, the service is reported to be costing Age UK £61,500 to deliver. Supportive funding is being received from various other streams: PCT, County Council, Age UK England Grant & Age UK trading, but the sustainability of this ongoing supportive funding may prove to be an issue in future years, and AgeUK are in the process of developing and delivering a 'shop and clean' service to Newcastle residents (having successfully delivered a similar service within the city). Age UK as part of their quarterly return indicate an annual aggregated sum of £117,392 being secured for clients in previously unclaimed welfare benefits, and a view is ongoing around the requirements for information and advice, with suggestions having been received that the council should not be funding both AgeUK and CAB for an information and advice service (albeit stakeholders did recognise that these organisations address different demographics).

- 2.1.4 **Young Persons Officer & Young Persons Homelessness & Advice Service – Arch North Staffs** - internal stakeholders have identified the need to re-draft the service outline in order to reflect the need for prevention rather than the existing reactive approach to the service. Should sufficient funding be available, stakeholders have identified the need to introduce a 'single persons housing advice service' and examine the potential for the re-introduction of an affordable furniture re-use referral service for low income residents.
- 2.1.5 **Domestic Violence (DV) Support Service & Relationships without Fear (RwF) Service – Arch North Staffs** - internal stakeholders have recognised the need for the continuation of a DV support service, but indicate that funding for RwF should be supported from the County. Enquiries into County Council funding for the continuation of this service are being made with the Children's Commissioner for Newcastle. Internal stakeholders have also identified the need for supportive funding for an 'Independent Domestic Violence Advocate' (IDVA) service previously externally funded in the past year; this again will be dependent on sufficient funding being made available from the commissioning budget.
- 2.1.6 **Commissioning Board** - prior to commencing the commissioning process, a new Commissioning board will need to be established. Following a review of the TSCF it is proposed that the structure of the future board will "have a minimum membership of and include a representative from each political group, inclusive of the Portfolio Holder for Resources and Efficiency and the Chair of the Grants Assessment Panel, two voluntary sector representatives supported by the Commissioning Manager". It is further suggested that Third Sector representatives should be nominated by the Staffordshire Consortium of Infrastructure Organisations (SCIO). Their role will be to represent the service users and to provide an independent perspective.
- 2.1.7 **Public Sector Commissioning in Partnership (PSCiP formally TSCiP)** - the first tranche of commissioning as part of the PSCiP will commence with the Third Sector Infrastructure Support project. Timescales indicate initial engagement with interested parties from 30 April 2012 with contract award/start by 1 January 2013. The second tranche (Debt Benefits & Consumer Advice) indicates a contract award/commencement by 1 April 2013. If the Borough Council is to join the Programme, it will be required to either enter into provisional shorter term contracts or ensure suitable termination and/or assignment as part of the work undertaken by PSCiP. In examining the Programme and its potential for the Borough Council, consideration will be made of Borough Council service outlines; as well as assessing whether maintenance of some form of budgetary control with a preference to pay quarterly on receipt of performance returns can be retained, as well as seeking to regularly review performance directly with service providers and in general protect the interest of both Newcastle residents and the Borough Council.

3. Options Considered

- 3.1 To commit funding for Third Sector Commissioning from 2012/13 onwards as set out in the MTFs and agree to the provision of existing contracts along the lines established in 2008/9 (Option A – Not Recommended, as this will not allow the Council to examine other delivery options and to introduce an annual review of funding into contractual arrangements)
- 3.2 To commit funding for Third Sector Commissioning from 2012/13 onwards, but to agree to variable contractual arrangements including the provision of ongoing funding reviews three months prior to each contract anniversary and different lengths of contract for some areas of commissioning (Option B – Recommended, as this will allow for consideration of other initiatives for Third Sector Commissioning such as PSCiP and will also allow for robust review of funding for these services and potentially hold providers to greater account for delivery than at present)
- 3.3 To not commit funding for Third Sector Commissioning from 2012/13 onwards (Option C – Not Recommended, as this will have a significant negative impact on the Borough Council and lead to the non-delivery of key Third Sector services)

4. Proposals/Next Steps

- 4.1 That Cabinet ratify levels of funding that can be released to commence the re-commissioning of services with the Third Sector from 2012/13 onwards, that support delivery of the Council's corporate priorities
- 4.2 That contracts other than those linked to the PSCiP work be awarded for a three year period (with the caveat outlined above that these will be subject to an annual review of the Council budget).
- 4.3 That the Third Sector Commissioning Board is set up and tasked with undertaking this work on behalf of the Borough Council.
- 4.4 That collaborative procurement/commissioning be considered (where available and as part of the PSCiP) to maximise efficiencies and to jointly commission services with other organisations, where there is no detriment to the overall service to residents of the Borough inclusive of ongoing monitoring and phased payments in line with its service outline.

5. Reasons for this Preferred Solution

- 5.1 To ideally deliver specialist solutions from those providers currently engaged and knowledgeable in those services requirements.
- 5.2 To identify and deliver solutions linked to the Council's Corporate Priorities.
- 5.3 To deliver projects in line with requirements and timescales established within the Staffordshire Compact.

6. Outcomes Linked to Sustainable Community Strategy and Corporate Priorities

- 6.1 This proposal impacts upon all of Council's Corporate Priorities as services are commissioned to deliver against the corporate priorities.
- 6.2 It will particularly contribute towards Transforming our Council to Achieve Excellence as it will ensure that resources follow priorities and that the Council works in partnership with the

Community and Voluntary Sector to provide essential services to improve the quality of life of the Borough's communities

- 6.3 The proposal also supports central Governments political vision as part of 'Big Society' and the sustainability of such, enabling voluntary and community organisations to support and deliver services to the public.

7. **Legal and Statutory Implications**

- 7.1 There are a number of acts that call upon local authorities to support the prevention of homelessness: -

- *Homelessness Act 2002* - includes the requirement for local authorities to formulate reviews/strategies to tackle and prevent homelessness
- *Housing Act 1996* - duty of the local authority to provide advisory services/assistance to voluntary organisations in respect of homelessness
- *Local Government Act 2000* - general power of well-being

8. **Equality Impact Assessment**

- 8.1 An Equality Impact Assessment has been completed on the Commissioning Framework. Equality impact assessments will remain a pre-requisite of any service provision offered by voluntary and community sector organisations, and the Borough Council will continue to offer guidance and support in the submission of equalities information from prospective service providers.

9. **Financial and Resource Implications**

- 9.1 The TSCF provides a more comprehensive long term approach to third sector funding allocations and commits the Council to supporting the Third Sector through the application and delivery stages with longer term (three year) contracts.

- 9.2 This has financial implications as a three year commitment is given, however this is in line with government guidance and there is recourse for the Council if the terms of the contract are not met.

- 9.3 There are resource implications for Council services which will need to develop Service Plans/Outlines when commissioning services and for the Commissioning Manager referred to in the document who acts as the point of contact for applicants and service providers.

10. **Major Risks**

- 10.1 There is a risk of reputational damage to the Council if it does not deliver on its TSCF commitments.

- 10.2 Risks are reviewed as part of the process, prospective service providers offered training as part of the commissioning process and identified risks monitored and controlled throughout the length of the contract period between the Council and successful service provider.

11. **Key Decision Information**

- 11.1 This report can be considered key in the following ways: -

- It results in the Borough Council incurring expenditure of an amount which is significant having regard to the Council's budget for the service or function to which the decision relates and;
- To be significant in terms of its affects on communities living or working in an area comprising two or more electoral wards in the Borough

12. **Earlier Cabinet/Committee Resolutions**

There were no earlier Cabinet/Committee resolutions

13. **List of Appendices**

Appendix A - (TSCiP) Correspondence dated 14 July 2011

Appendix B - (TSCiP) Correspondence dated 12 August 2011

14. **Background Papers**

There are no background papers linked to this report.

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Strategy & Transformation

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Stafford
Staffordshire
ST16 2NF

John Sellgren
Chief Executive
Newcastle-under-Lyme Borough Council

Telephone 01785 276452

Email: denise.smallman@staffordshire.gov.uk
Please ask for: Contact

Our Ref

Your Ref

Date 14 July 2011

Dear John

Third Sector Commissioning in Partnership (TSCiP) programme

The team are currently preparing reports to go to Leaders and Chief Executives on 8th Sept and to Chief Executives on 10th November 2011 for final approval as to how each organisation wishes to proceed regarding the shared commissioning of a Debt, Benefits and Consumer Advice Service and a Third Sector Infrastructure and Volunteering Service and the implementation of a consistent approach.

The mapping carried out earlier in the year identified that Newcastle-under-Lyme Borough Council held 1 contract¹ with Citizen Advice Bureau with an annual value of £131,386 and 1 contract with the Community and Voluntary Service with an annual value of £12,000.

With this in mind I would ask that you start to consider your own future commissioning intentions, for the above mentioned services, both with regard to the resources available to deliver your service requirements in accordance with organisational priorities and the timescales within the process plan for the programme shown below

STAGE 3 - TEST		
L - Confirm future requirements		
Confirm each participating PSO's ² service requirements/ outcomes for 2 services	Thu 10/11/11	Fri 16/12/11
Confirm each participating PSO's 3 year investment for 2 services	Thu 10/11/11	Fri 16/12/11

¹ Contract refers to Contract, Service Level Agreement or Grant

² Public sector Organisations



M - Sign up and Consultation		
Commitment to joint commissioning in place with participating PSO's evidenced by signed SLA's with each	Thu 10/11/11	Fri 16/12/11
Develop service outlines and consult with PSO's	Mon 02/01/12	Fri 24/02/12
N - Training		
Provision of training on new application process for interested parties	Mon 16/01/12	Fri 10/02/12
O - Procurement (Proposed Debt/Benefits/Advice Services and Infrastructure/ Volunteering Services)		
Tender process (staggered)	Mon 02/04/12	Mon 20/08/12
Appraisal process	Mon 09/07/12	Mon 17/09/12
Standstill Period	Mon 30/07/12	Mon 08/10/12
Collaborative agreement on KPI's	Mon 20/08/12	Mon 22/10/12
Contract Award Signed	Mon 03/09/12	Mon 05/11/12
Contract start dates (staggered)	Tue 01/01/13	Mon 01/04/13

Should you require support or further information please contact

Denise Smallman – Head of TSCiP Programme – e-mail denise.smallman@staffordshire.gov.uk tel. 01785 276452

Emma Slater – TSCiP Programme Manager – email emma.slater@staffordshire.gov.uk tel. 01782 277396

Yours sincerely

Denise Smallman
Head of TSCiP Programme

cc Mark Bailey, Simon Sowerby



12 August 2011

Dear Colleague

VCS Consultation

I thought it appropriate as your "Champion" to give you advance notice on the next piece of work relating to the Third Sector Commissioning Partnership (TSCiP).

Over the next 12 weeks or so, my colleagues will be leading a consultation exercise designed to establish the future needs of your organisation from a Voluntary and Community Sector Infrastructure Support & Volunteering Service. As you may be aware, the service is currently provided by Staffordshire & Stoke on Trent Consortia of Infrastructure Organisations (SCIO).

The consultation will give a range of organisations, including other public sector organisations and voluntary and community organisations, the opportunity to identify what their current and future needs are from a VCS Infrastructure Support & Volunteering Service.

The information will be collated and analysed then used in the development of the service specification.

The purpose of the 'heads up' is to enable you to brief your officers and also because I am conscious that your elected members may sit on various boards and committees and consequently may seek further information via yourselves and your teams.

Should you or your colleagues require any further details, I would ask that you contact either:

Denise Smallman tel. 01785 276452
e-mail. Denise.smallman@staffordshire.gov.uk

Or

Emma Salter tel. 01785 277396
e-mail. Emma.slater@staffordshire.gov.uk

Yours sincerely,



Anthony E. Goodwin PhD

**CHIEF EXECUTIVE
Tamworth Borough Council**

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

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