

AGENDA

Community Overview and Scrutiny Panel

Thursday, 22 November 2012 AT 10:00
In the Flensburg Room, Civic Centre, Carlisle, CA3 8QG

****Briefing meeting for Members will be at 9.15 am in the
Flensburg Room****

Apologies for Absence

To receive apologies for absence and notification of substitutions.

Declarations of Interest

Members are invited to declare any disclosable pecuniary interests, other registrable interests and any interests, relating to any item on the agenda at this stage.

Public and Press

To agree that the items of business within Part A of the agenda should be dealt with in public and that the items of business within Part B of the agenda should be dealt with in private.

Minutes of Previous Meetings

To approve the minutes of the meetings held on 6 September 2012 and 11 October 2012.
[Copy Minutes in Minute Book 39(3)]

PART A

To be considered when the Public and Press are present

A.1 CALL-IN OF DECISIONS

To consider any matter which has been the subject of call-in.

A.2 TULLIE HOUSE MUSEUM AND ART GALLERY TRUST 7 - 48 **BUSINESS PLAN 2013/14 - 2015/16**

(Culture, Health, Leisure and Young People Portfolio)

To Director of Community Engagement to submit a report on the Tullie House Museum and Art Gallery Trust Business Plan 2013/14 - 2015/16.

(Copy Report CD.57/12 herewith)

Members of the Resources Overview and Scrutiny Panel have been invited to attend the meeting to take part in the scrutiny of the Tullie House item.

A.3(a) OVERVIEW REPORT AND WORK PROGRAMME 49 - 70

To consider a report providing an overview of matters related to the work of the Community Overview and Scrutiny Panel, together with the latest version of the Work Programme and details of the Key Decisions items relevant to this Panel as set out in the Notice of Executive Key Decisions.

(Copy Report OS.31/12 herewith)

A.3(b) COMMUNITY CENTRE TASK AND FINISH GROUP 71 - 82

(Communities and Housing Portfolio)

To consider the report from the Executive to the recommendations of the Community Centre Task and Finish Group.

(Copy Report CD.54/12 and Minute Excerpt herewith)

A.4 BUDGET 2013/14 - 2017/18 83 - 110

(Culture, Health, Leisure and Young People Portfolio,
Finance, Governance and Resources Portfolio,
Communities and Housing Portfolio)

Members are reminded that the Budget reports were circulated to all Overview and Scrutiny Members of 9 November 2012, Members are asked to bring the relevant budget reports to the meeting. The Executive Decisions from 19 November 2012 will be tabled at the meeting.

A.4(a) Revenue Budget Reports: Summary of New Revenue 111 - 118
Spending Pressures - Pages 97-104 of the budget book

To consider the Director of Resources report RD.44/12 and comment on the following new revenue spending pressures and reduced income projections which fall within the area of responsibility of this Panel:

| | |
|--------------------------------------|----------------|
| Localisation of Council Tax Support | Page 99 |
| New Homes Bonus - 2011/12 Allocation | Pages 99 & 101 |
| Homelessness | Pages 99 & 101 |

A.4(b) Revenue Budget Reports: Summary of New Savings 119 - 126
Proposals and Additional Income - Pages 105 - 112 of

The Director of Resources report RD.45/12 to be submitted as background information.

| | |
|------------------------------|-----------------|
| Council Tax Discounts Review | Page 107 |
| Housing Benefit Admin Grant | Pages 107 & 108 |
| New Homes Bonus | Page 109 |
| Homelessness Grant | Page 109 |
| LSCT Relief Grant | Pages 109 & 110 |

**A.4(c) Revenue Budget Reports: Summary of Charges Review -
Pages 13-96 of the Budget Book**

To consider and comment on the Review of Charges in respect of the following areas which fall within the area of responsibility of this Panel:

**A.4(c)(i) Revenue Budget Reports: Local Environment LE.34/12 -
Pages 13-42 of the Budget Book 127 -
156**

| | |
|-------------------------------|-------------|
| City Centre | Page 15 |
| Allotments | Page 18 |
| Use of Parks and Green Spaces | Pages 19-20 |
| Sports Pitches | Page 21 |
| Talkin Tarn | Pages 21-23 |
| Bereavement Services | Page 23 |
| Environmental Health | Pages 23-27 |
| Summary on Income | Page 28 |

**A.4(c)(ii) Revenue Budget Reports: Community Engagement
CD.53/12 - Pages 43-52 of the Budget Book 157 -
166**

| | |
|-----------------|-------------|
| Hostel Services | Pages 44-46 |
| DFG Fees | Pages 46-47 |

**A.4(d) Capital Budget Reports: Revised Capital Programme
2012/13 and Provisional Capital Programme 2013/14 167 -
178**

To consider the Director of Resources report RD.46/12 and in particular, comment on the capital spending which falls within the area of responsibility of this Panel:

| | |
|-------------------------------------|-----------------|
| Disabled Facilities Grants | Page 117 |
| Methodist Arts Centre | Pages 117 & 118 |
| Harraby School and Community Campus | Pages 117 & 118 |
| Leisure Facilities | Pages 117 & 118 |
| Revised Capital Programme 2012/13 | Page 123 |

| | | |
|------------|--|----------------------|
| A.5 | <u>CUMBRIA CHOICE ALLOCATIONS POLICY - PROPOSED REVISIONS</u> | 179 - 252 |
|------------|--|----------------------|

(Communities and Housing Portfolio)
 The Director of Community Engagement to submit a report on the revised Cumbria Choice Allocation Policy.
 (Copy Report CD.56/12 herewith)

| | | |
|------------|--|----------------------|
| A.6 | <u>PROPOSALS FOR IMPLEMENTATION OF COUNCIL TAX TECHINCAL REFORMS TO DISCOUNTS AND EXEMPTION</u> | 253 - 264 |
|------------|--|----------------------|

(Finance, Governance and Resources Portfolio)
 The Director of Resources to submit a report on the proposals for the implementation of Council Tax Technical Reforms to discounts and exemption. The matter was considered by the Executive on 19 November 2012).
 (Copy Report RD.84/12 herewith/Minute Excerpt to be tabled)

| | | |
|------------|--------------------------------------|----------------------|
| A.7 | <u>PERFORMANCE MONITORING</u> | 265 - 272 |
|------------|--------------------------------------|----------------------|

(Communities and Housing Portfolio)
 The Policy and Communications Manager to submit performance monitoring reports relevant to the remit of the Community Overview and Scrutiny Panel.
 (Copy Report PPP.13/12 herewith)

PART B

To be considered when the Public and Press are excluded from the meeting

Enquiries, requests for reports, background papers, etc to Committee Clerk:
 Rachel Rooney – 817039

Notes to Members: Briefing meeting will be held at **9.15am** in the Flensburg room



COMMUNITY OVERVIEW AND SCRUTINY PANEL

Panel Report

Public

Date of Meeting: 22nd November 2012

Title: TULLIE HOUSE TRUST

Report of: The Director of Community Engagement

Report reference: CD 57/12

Summary:

This report introduces the Tullie House Museum and Art Gallery Trust 2012- 2015 Business Plan.

Purpose of the Report

The purpose of this report is to allow consideration of the Business Plan in order that the Council may in due course agree core funding for the Trust. This is in line with Section 5 of the Partnership Agreement signed at the establishment of the Trust that the Business Plan submitted by the Trust to the City Council should be used as the basis agreeing funding (Section 5).

Questions for / input required from Scrutiny:

To consider the Business Plan and evaluate it as a basis for authorising core funding grant payment, in the context of the Partnership Agreement between the City Council and Tullie House Trust

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

Recommendations:

It is recommended that Community Overview and Scrutiny Panel consider on the Business Plan and as appropriate make its views known to the Executive.

Contact Officer: Keith Gerrard

Ext: 7350



REPORT TO EXECUTIVE

PORTFOLIO AREA: CULTURE, HEALTH, LEISURE & YOUNG PEOPLE

Date of Meeting: 19th November 2012

Public

Key Decision: Yes

Recorded in Forward Plan:

Yes

Inside Policy Framework

Title: TULLIE HOUSE MUSEUM & ART GALLERY TRUST BUSINESS PLAN 2013/14 - 2015/16

Report of: The Director of Community Engagement

Report reference: CD45/12

Summary:

This report introduces the Tullie House Museum and Art Gallery Trust 2012- 2015 Business Plan.

Purpose of the Report

The purpose of this report is to allow consideration of the Business Plan in order that the Council may in due course agree core funding for the Trust.

This is in line with Section 5 of the Partnership Agreement signed at the establishment of the Trust that the Business Plan submitted by the Trust to the City Council should be used as the basis agreeing funding (Section 5).

Recommendations:

The Executive is asked:

- (i) to consider the report and the proposed Business Plan and
- (ii) make the report available for consideration by Community Overview and Scrutiny Panel and Resources Overview and Scrutiny Panel

Contact Officer: Keith Gerrard

Ext: 7350

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

1. BACKGROUND INFORMATION AND OPTIONS

The Council on 14th December 2010 approved the principle of establishing a new Charitable Trust to run the Tullie House Museum and Art Gallery. Tullie House Museum and Art Gallery transferred from Carlisle City Council to an independent company on 5th May 2011. In December 2011 (CD30/11) the Executive considered the Trust first Business Plan (2011-2014) and approved provision of core funding for 2012/13 and the commitment to funding for 2013/14, for recommendation to Council

The City Council's 12-month core funding grant to Tullie House Museum and Art Gallery Trust in 2013/14 is £1,198,420. In line with the Partnership Agreement between Tullie House Trust and Carlisle City Council core funding for future years, and specifically in this context 2014/15 and 2015/16, will be agreed by submission of the Trust Business Plan each year. To provide a secure and stable basis for medium-term planning, consideration will be made annually on core funding on a three year rolling cycle.

To this end the original Partnership Agreement (section 5.6) sets the framework for agreeing ongoing funding arrangements and reads

'Core Funding for 2013/14 and 2014/15 will be agreed through a Business Plan submitted by MT⁺ to Carlisle^{*} not later than 31 October 2011 and Core Funding for 2015/16 will be agreed through a Business Plan which covers the period 2013/14 to 2015/16 submitted by MT to Carlisle not later than 31 October 2012'.

(⁺Museum Trust ^{*}Carlisle City Council)

CONSULTATION

The Business Plan should be made available for consideration by Community Overview and Scrutiny Panel on 22 November 2012 and by Resources Overview and Scrutiny Panel on 4 December 2012 and any comments they make be provided to the Executive.

2. RECOMMENDATIONS

The Executive is asked:

- (i) to consider the report and the proposed Business Plan and,
- (ii) make the report a available for consideration by overview and scrutiny.

3. REASONS FOR RECOMMENDATIONS

The recommendations allow this report, the associated Business Plan and core funding to be approved in line with the Partnership agreement.

4. IMPLICATIONS

- Staffing/Resources – None

- Financial – The MTFP currently assumes provision for the core funding of the Tullie House Trust in accordance with the Partnership and Funding agreement. The proposed Business Plan summarises the financial position for the next three years, and although levels of core funding are broadly in line with expectations, further work is required to address issues such as any inflationary increases for 2013/14, levels of external funding, central recharges and should also have regard to the Trust's 2011/12 outturn position and level of reserves. In line with the Council's saving strategy, a review of discretionary expenditure will be undertaken in 2013/14 which will include funding for external organisations. Members should also note that the negotiations are still ongoing with regard to the lease agreement for Herbert Atkinson House. A meeting is to be held with Tullie House Trust to clarify some of the financial issues raised in the Business Plan for 2013/14.

- Legal – The Council is party to a legal agreement with the Tullie House Museum and Art Gallery Trust. The agreement includes the mechanism for submission, consideration and approval of the Trust's proposed Business Plan.

- Corporate –

- Risk Management –

- Environmental –

- Crime and Disorder –

- Impact on Customers –

- Equality and Diversity –

Tullie House Museum & Art Gallery Trust

Business Plan 2013/14 - 2015/16



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1. Introduction

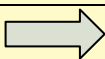
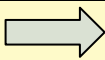
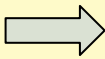
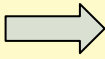
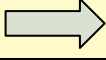
Tullie House Museum and Art Gallery transferred from Carlisle City Council to an independent company on 5th May 2011. A subsidiary trading company was formed in July 2011 and charitable status for the parent trust company was achieved in August 2011. In its early years as a new body, Tullie House Museum and Art Gallery Trust (the Trust hereafter) aims to establish itself as a thriving, innovative and sustainable independent organisation. The Trust's vision is that:

Tullie House will be one of the leading and most influential arts and cultural institutions in Cumbria, providing a vibrant and proactive centre for heritage and the arts in Carlisle. It will directly serve the people of the city and their visitors; play a leading part in the cultural, social and economic life of the north of England and become recognised as a leading institution nationally with a growing reputation within its specialist fields.

Over the period of the last business plan, Tullie House welcomed over 252,543 visitors. During 2011-12 the Trust opened two new galleries -The Reivers Gallery opened in April 2011 and the Roman Frontier Gallery was opened in June 2011 by Neil McGregor, Director of the British Museum. There were a number of major exhibitions in the Art Gallery, including *Little Black Dress* and *Secret Egypt*. In February 2012 the Arts Council announced that the Trust, as part of the Cumbria Museums Consortium, would benefit from the Major Grant Fund in 2012-15. In October 2012 Tullie House was awarded the Cumberland News Group Business Award for Tourism and Hospitality.

The Trust implemented a reorganisation and staffing restructure in 2011- 2012 to become more robust and entrepreneurial.

This business plan ('the plan' hereafter) outlines the Trust's strategic priorities for collections, audiences and resources for the next three financial years – 2013/14-2015/16. These strategic themes and priorities have evolved over the last year and the Trust has taken this opportunity to streamline them. In essence, however, last year's strategic priorities are embedded in the second Business Plan:

| 2012/13-2014/15 Strategic Themes | maps onto | 2013/14-2015/16 Strategic Themes |
|----------------------------------|---|----------------------------------|
| Access development |  | Collections |
| Business development |  | Resources |
| Organisational transformation |  | Resources |
| Community involvement |  | Audiences |
| Partnership working |  | Collections |

This is the second business plan that the Trust has prepared since the transfer of Tullie House Museum and Art Gallery from Carlisle City Council's management to the Tullie House charitable trust. The Partnership & Funding Agreement (PFA) between the Council and Trust requires the Trust to submit plans to the Council on an annual rolling basis for the following three financial years by 31st October of each year. Appendix A reproduces relevant paragraphs of the Partnership Funding Agreement relating to the business planning process.

This second business plan, to be submitted 31st October 2012 for the 2013/14-2015/16 financial years, reflects new initiatives including the Cumbria Museums Consortium programme, the need to invest resources in fundraising, exhibitions and social media as well as the development plan.

Our plan will interlink with our departmental plans which will focus on measurable annual actions. Each member of staff will have a personal development review which will link to both sets of plans.

In May and October 2012, the Trust's staff were involved in workshop sessions on the development of the Trust. In July the Trust's Senior Management Team, together with the Finance Director and Finance Officer, had a workshop on budgetary priorities. At the Trust board meeting on 14th September Trustees discussed the key issues. Regular meetings have been held with Carlisle City Council's Director of Community Engagement, and with its Finance and Human Resources departments. In August, an ICT workshop was held with staff from Tullie House and the ICT Connect team.

At the Council's Executive on 19th November 2012 and the Overview and Scrutiny (Community) on 22nd November 2012, members will be consulted on the plan and related matters.

2. Market context

2.1 Cumbria market context

According to figures from VisitEngland, there were 40.1 million visitors to Cumbria in 2011 (35 million day trippers and 5.1 million overnight visitors) - 18% (7.4 million) of whom visited Carlisle. Whilst VisitEngland's survey noted minimal change in the visitor pattern from the previous year 2010, it did show a reduction in visitor numbers for 2012 when compared with the same period in 2011. Cumbria Tourism attributed the overall decline in 2012 to a combination of poor weather and the impact of the difficult economic climate on trading. Cumbrian businesses reported an overall reduction in visitor numbers of 30%, with the tourism and leisure sector reporting a decrease rather than an increase in visitor numbers, leading to a weakening in business confidence.

With more businesses reporting decreasing profits than decreasing visitor numbers, it seems that those people visiting are spending less, taking shorter breaks, and taking advantage of promotions, special offers and/or price reductions.

2.2 Tullie House market context

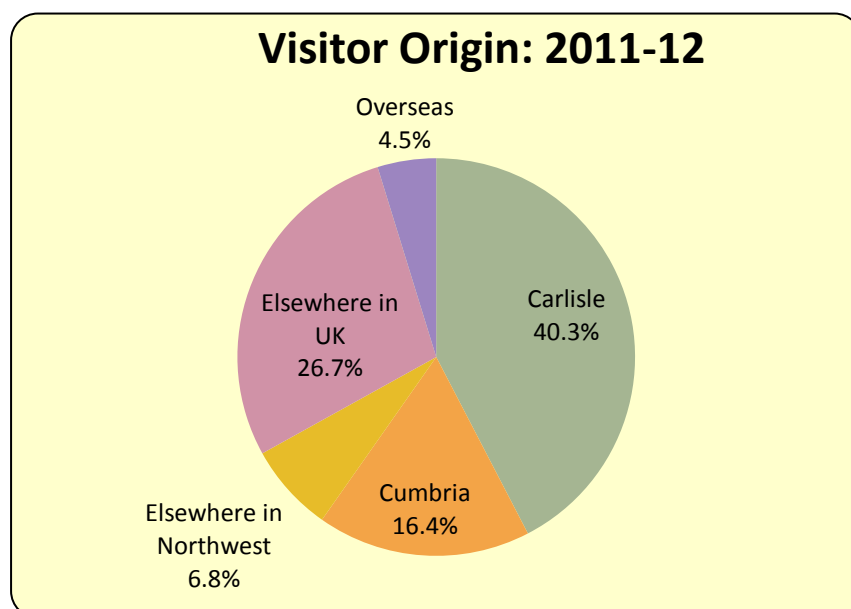


Fig 1

Tullie House received 252,543 visitors in 2011/12. This figure relates to the total number of visitors to the Tullie House premises, whether or not they paid admission to the museum and art gallery and was a reduction of 3.7% compared with 2010/11. Factors contributing to this decline could include the closure of the Guildhall for maintenance, the closure of the Millennium Gallery for development during the first quarter, higher fuel prices, the downward trend in day visitors and the generally depressed state of the economy. The Trust has a target of attracting 300,000 visitors - this is unlikely to happen, until there has been a major investment in the museum.

Tourists are important for Tullie House. ACE funding will support the Trust working with organisations such as Cumbria Tourism and Hadrian's Wall Heritage Limited (HWWHL) on initiatives to develop the tourism offer.

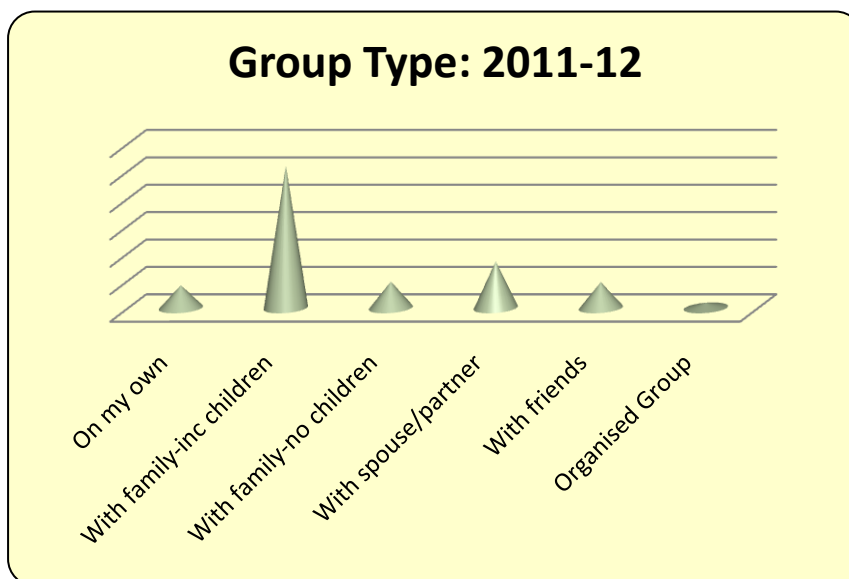


Fig 2

Figure 2 underlines how important its family-friendly provision is for Tullie House - last year, 52% of all visits to Tullie House were made by families with children. The Roman Frontier Gallery which opened in June 2011 was a major visitor attraction for families and ACE funding will similarly help the Trust to develop its future offering for families.

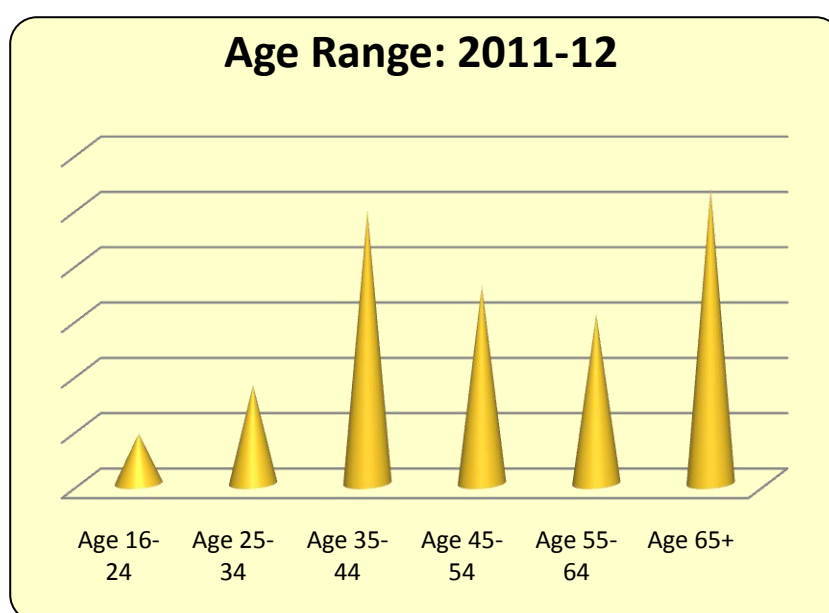


Fig 3

Figure 3 shows two main age bands visiting Tullie House are 35-44 (24.7%) and 65+ (26.7%) - it should be noted that the surveys do not include children.

Market research indicates that Tullie House's key audiences are:

- Families with children who require activities, value for money, a safe environment, assistance with planning their visit, affordable food and easy access.

- Local people who are usually also Tullie Card holders. This group requires a changing and varied programme of exhibitions and events and free exhibitions.
- Over 60s who want informative events and activities in the galleries, good facilities in the restaurant and galleries as well as easy access and friendly reception.

In addition to these three groups there are also the Virtual Visitors and Schools.

- The Virtual Visitors need easy access to data through easily navigable websites. This group require information for planning a visit or undertaking personal research or carrying out formal research.
- Schools and education establishments are also an important group. They require excellent educational resources in terms of staff and teaching/learning materials, good communications and appropriate facilities.

3. Strategic themes and priorities

Three strategic themes have been identified by the Trust, which will provide the broad framework for our activities and actions for the next three years. These three strategic themes set out our main areas of delivery for the planned period. They provide the broad framework for our strategic priorities and actions. They are:

- **Collections** - developing and making the collections more accessible and relevant to audiences
- **Audiences** - using collections to extend our reach by developing existing and new audiences
- **Resources** - staff development, business development and generating income

3.1 Strategic priorities

We have identified the following strategic priorities which will guide our efforts and resources over the three year plan period:

Strategic priorities for the period 2013/14 - 2015/16

Collections - *developing and making the collections more accessible and relevant to audiences*

- Enhance and develop accessibility to the collections
- Develop the interpretation strategy
- Identify new accessible storage for the reserve collections
- Establish high profile collaborations and partnerships that promote and enhance the reputation of our museum and its collections

Audiences - *using collections to extend our reach by developing existing and new audiences*

- Use the temporary exhibition programme as a tool to engage and develop audiences
- Maintain and further develop our high quality of learning provision
- Extend the reach of the museum by using our collections to enhance audience engagement within and beyond Cumbria
- Increase access to collections through digital technology and development of the website
- Strengthen our community engagement

Resources - *staff development, business development and generating income*

- Invest in generating sustainable income
- Increase generated income through legacies, grants, donations
- Embed sustainability in everything we do
- Lead and develop staff through a continuous staff development programme
- Support the management of the estate/property
- Create a lean, entrepreneurial organisation

3.2 Key Performance Indicators

Sitting alongside the strategic themes and priorities are our Key Performance Indicators. These KPIs are aligned with the requirements of the Trust, Carlisle City Council and the Arts Council - (see Appendices B and C).

4. Collections: developing and making the collections more accessible and relevant to audiences

4.1 The development plan

The development plan will be used to deliver three of the strategic priorities for collections. Over the next three years the development of accessibility to the collections and the interpretation of the collections will be central to the work of the Trust. An initial appraisal was completed in 2012 with Hub funding to identify options for making the collections more accessible by transferring collections from storage to public view, improving the sustainability of the Trust and investigating opportunities for developing the Trust by acquiring new accommodation. This work included:

- An interpretation strategy for Tullie House
- The open display and/or use of collections currently held in store
- A proposal for new permanent galleries
- A review of the Trust's present properties including Shaddon Mill and the Guildhall
- The feasibility of acquiring neighbouring properties such as Paternoster Row, Castle Street (Dye Works) and Herbert Atkinson House, which might help to meet the physical capacity requirements of the Trust.

The work on the development plan over the next three years will include:

- Developing a coherent interpretation strategy which reflects the strengths of the collection
- Creating a plan for enhancing and developing care and access to the collections
- Preparing a plan for upgrading visitor and learning facilities
- Devising a clear funding strategy.

To make the Trust sustainable in the long term, a development plan that addresses these issues will form the basis of future capital development improvements. Our intention is to prepare an application for Heritage Lottery Funding and identify other sources of funding. We will work closely with our partners, in particular Carlisle City Council, in order to achieve our vision and ambitions for the Trust.

4.2 Establish high profile collaborations and partnerships that promote and enhance the reputation of our museum and its collections

Tullie House has established a number of successful partnerships over the past year. June 2011 saw the new Roman Frontier gallery open. The £1.4 million gallery is the result of a valuable partnership between Tullie House and the British Museum. It was opened by British Museum Director Neil MacGregor by way of a launch event that included street parades, Roman legionnaire displays and lively family activities. HWHL, Carlisle Cultural Quarter and Cumbrian Museums Consortium (see below) are further examples of important partnerships the Trust will develop further as it moves into its second year. Over the next three years, the Trust will develop new collaborations and partnerships, building on those already achieved.

4.2.1 National museums and cultural organisations

Tullie House has benefited significantly from its partnership with the British Museum, in particular with the development of the Roman Frontier gallery. The British Museum partnership continued into 2012/13 with the *Talking Objects* programme, which aims to inspire creative engagement with young people. Over the next three years, the Trust will develop further partnership opportunities with the British Museum and other national museums with initiatives such as *spotlight loans*.

The Trust will be involved in national initiatives such as *Kids in Museums*, *Museum at Night* and the developing *Children's University* initiative. *Kids in Museums* and



Museum at Night are two national annual initiatives that are supported and promoted by the Arts Council. In 2011 and 2012 Tullie House was long listed for a *Kids in Museums Award* by the *Guardian*. The Museum will continue to work with



the different organisations on these initiatives.

4.2.2 Local partnerships

Whilst working on creating Carlisle's Cultural Quarter, Tullie House has developed good working relationships with other local heritage organisations and the City Council. These partnerships will become more significant as we prepare the Development Plan for Tullie House. Partnerships and joint projects focusing on young people and promoting healthy living will be central to the Trust's community engagement agenda.

4.2.3 Regional partnerships

Our partnership with HWHL has been cemented by the success of the Roman Frontier Gallery. Our activity now centres on drawing visitors from the Hadrian's Wall World Heritage Site to the museum and on developing overseas links. The Arts Council are supporting work with HWHL and Tyne and Wear Archives & Museums to develop collaborative working along the Wall.

4.2.4 Cumbria Museums Consortium

The Cumbria Museums Consortium (CMC), comprising the Lakeland Arts Trust, the Wordsworth Trust and the Tullie House Museum and Art Gallery Trust, is an example of a Cumbrian partnership initiative that has developed over the past two years. In 2012 the CMC, led by ourselves, became one of only 16 Major Partner Museums to receive Arts Council's Renaissance funding for a programme of activities focusing on two of the Arts Council's goals: *Children and Young People* and *Audiences*.

As part of the CMC programme a Cumbrian Learning Networks programme has been established to support museums across the whole of Cumbria. The CMC Project Manager, based at Tullie House works closely with the networks – ensuring that Tullie House is working with a wide group of museums across Cumbria.

CMC is collaborating with Manchester Museums Partnership to manage the Arts Council's Museums Development Programme for the benefit of museums across the north-west region.

4.2.5 International partnerships

Over the last year we have benefitted from high profile loans such as the Nijmegen Helmet from the Netherlands. We will be developing our partnerships with other museums and cultural organisations, both nationally and internationally.

4.2.6 Designation

Over the next three years, Tullie House will prepare an application for Designated Museum status for the collections. A bid was submitted three years ago which was unsuccessful. Designated status would widen our opportunities to develop the collections and raise the profile of Tullie House.

5. Audiences: using the collection to extend our reach by developing existing and new audiences

5.1 Use the temporary exhibition programme as a tool to engage and develop audiences

In 2012-13 Tullie House had a successful programme of exhibitions. These included *Secret Egypt* (a touring exhibition from Coventry Museum), *Georgians* (initiated, researched and designed by Tullie House staff), *Street Art* (a touring exhibition from the Victoria and Albert Museum) and *C-Art* (an exhibition selling local craft in collaboration with Eden Arts). The Trust will build on this programme to engage and develop audiences.

The 2012/13 exhibition programme has a budget of £27k, which is used to support a broad range of exhibitions in both the Art Gallery and the Special Exhibition Gallery (SEG). Each art gallery exhibition costs between £20 and £30k and each SEG show costs approximately £5k.

Wherever possible, external funding is sought for specific exhibitions, e.g. the *Solway* exhibition will be supported by Heritage Lottery funding and the exhibition on *Freemasonry* will be sponsored by the Freemasons together with some local businesses. The major 2013 exhibition on *George Howard* will be part funded by the Heritage Lottery Fund and the Friends of Tullie House. *Secret Egypt*, staged earlier in 2012, was a charging exhibition and £10K of the admissions income was reinvested back into the exhibitions programme. From March 2013 the admission charge to Tullie House will include entry to exhibitions for both the Art Gallery and the Special Exhibition Gallery spaces.

The Trust aims to provide a balanced programme of exhibitions that appeal to a broad range of audiences. The exhibition programme will also meet some of the following criteria: educational, challenging, relevant, innovative, popular and niche. It is a difficult process to balance, particularly when exhibition funding is difficult to source. The Trust is committed to maintaining high standards of exhibition.

In 2013/14 we have programmed two major exhibitions, *George Howard* and *Martin Greenland*. The former is a nationally important exhibition which for the first time will bring together works by the 9th Earl of Carlisle, sourced from both private and public collections. Financial support from the Heritage Lottery Fund will enable us to present an exciting, innovative programme of events and educational activities to support the exhibition. Martin Greenland is an established landscape artist who has recently been inspired by the Cumbrian environment. His *National Park* was bought by Tullie House in 2011 and was the first work he produced after winning the John Moore's Prize for Contemporary Painting.

The proposed exhibition programme for the three years to 2015/16 is attached in Appendix E. A workshop focusing on audiences held at Tullie House in October identified that the key audiences are families, local people and over 60s.

We propose to increase the exhibition budget by an estimated £15k. This will allow the programming team to develop our cultural engagement offer and encourage a more sustainable approach to exhibition development.

5.2 Maintain and further develop our high quality of learning provision

5.2.1 Learning programme

The external Renaissance Hub funding enabled the Museum to employ four members of staff, who were engaged in delivering a high quality, formal and informal learning programme. This source of funding ended in March 2012, leading to a reduction to just one core staff member and significant modifications to the learning programme.

The Arts Council's Major Grant Funding provides resources to support the delivery of a number of key learning projects focusing on children and young people until March 2015. These projects include:

- An Apprenticeship programme for 16-25 year olds across the CMC. This will provide Tullie House with three apprentices per annum together with the support of an Apprenticeship Coordinator.
- The *Making All Family Friendly* initiative which will create a more family orientated offer and will link with national and regional initiatives such as *Kids in Museums*.
- A Young People initiative which will develop programmes to engage with young people at Tullie House and the Wordsworth Trust. The Coordinator will consult with bridging organisations and work with schools and colleges in Cumbria on the delivery of Artsmark and Arts Award.
- The Schools programme. This will provide the opportunities for Tullie House to develop and encourage closer working with secondary schools and Further Education Colleges.

5.2.2 Extend the reach of the museum by using our collections to enhance audience engagement within and beyond Cumbria

As part of the CMC programme, we are working with our partners to develop a better understanding of our audiences and identify new audiences by employing an Audience Research Coordinator.

The Major Grant Funding gives Tullie House the opportunity to work closely with partners across Cumbria to deliver the innovative *Voice of Cumbria* project. This will involve creating a new website where people can find out about the cultural heritage of Cumbria. The website will bring together public and privately owned collections and stories from across the county. The *Voice of Cumbria* Coordinator will involve museums across Cumbria and work in conjunction with the media and press.

5.2.3 Loans

Loans from the collections are made to other cultural organisations nationally and internationally for both individual and touring exhibitions. During 2012/13, the Trust lent works to the Royal Academy, Manchester Art Gallery, the Victoria and Albert Museum, Le Musee D'Orsay in Paris and the Museum of Fine Arts, Ghent. Over the next three years there will continue to be a demand to loan works nationally and internationally.

5.2.4 Increase access to collections through digital technology and development of the website

Tullie House managers and ICT Connect held a workshop in August to discuss the provision of ICT for the Trust. In order to support the implementation of the Development Plan and the efficient running of Tullie House, the following areas of ICT development were agreed, dependent on cost and funding:

- An upgrade of the website and further development of social networking tools
- Individual printers will be replaced by multi-function devices
- The development of interpretation, e.g. webcams, visitor comments screens and access to information in storage.
- A data warehouse will be researched and established over the next three years. This will be compatible with the Museum's collections database MODES and will be used to store all the Museum's images and resources for marketing and learning.

It is recommended that a part-time post is created in 2013/14 to work on the website and develop the use of social networking. The estimated cost of this project is £18k.

5.2.5 Strengthen our community engagement

Renaissance funding over the past six years established Tullie House's reputation for excellent work in formal and informal education. The programme exposed a wide range of audiences to the collections and exhibitions and delivered a broad learning programme of workshops, family events, school activities and reminiscence work. This significantly raised the profile of the museum's learning offer.

Over the next three years, community partnerships will be developed to ensure the sustainability of the learning programme. With the support of the Arts Council's Major Grant Funding, we will develop our community engagement programme and expand our current provision. The Trust is keen to continue to develop opportunities for volunteers and work placements for students.

Focusing on targeted audiences, including schools, families, adults and young people, is intended to make the museum more inclusive and accessible as well as have a positive impact on local communities. High quality provision will enable Tullie House to develop a more creative approach to learning, thus encouraging return visitors and new audiences to the museum.

Tullie House, with the support of funding from the Arts Council and in conjunction with the CMC, will deliver a programme for the over 50s and those in isolated rural communities, which will link into the Government's initiative *Ageing Well*. A new Community Engagement post, again funded through the Major Grants Fund, will support the delivery of community projects in North Cumbria and expand people's expectations of what they can learn from museums.

6. Resources: staff development, business development and generating income

6.1 Investing in generating sustainable income

While the core grant from Carlisle City Council will remain the Trust's key source of income for the foreseeable future, other areas of income generation will collectively become increasingly important. (The proposed budget for 2013/14 to 2015/16 is shown in Appendix F.) This includes:

- The trading company (retail sales, catering/hospitality, web-site income)
- Fundraising and sponsorship
- Arts Council Renaissance funding
- Other grants and donations
- Visitor admissions and Gift Aid.

The City Council's 12-month grant to the Trust in 2013/14 has already been agreed at £1,198,420 excluding CPI adjustment. As part of the negotiations with Carlisle City Council over the transfer to Trust, Tullie House was required to identify savings of £58k in 2011/12 and a further £58k in 2013/14. In practice, all of these savings were achieved in 2011/12 through a staff restructure and some staff redundancies. In addition, the Trust implemented a number of initiatives such as introducing a new admissions charging policy, offering staff a Holiday Purchase Scheme and increasing the number of day schools and corporate events and dinners.

6.1.1 Trading company

Commercial trading income currently represents about 14% of the Trust's total income of £1.4m. Growing commercial trading income is a potentially important way of increasing the Trust's internally generated funds. The new subsidiary trading company's Board of Directors were appointed in February 2012 under the chairmanship of Sir Mark Jones. They are tasked with developing a commercial trading strategy for submission to the Trust Board. While we cannot prejudge this strategy, it is likely to include opportunities for broadening catering income through expanded corporate and other hospitality events, increasing retail sales taking account of opportunities for developing the retail space and working across Cumbria with other retail outlets within the Cumbria Museums Partnership. In the meantime, commercial trading income for this plan has been budgeted on the basis of present policies, strategies and trend.

6.1.2 Catering

The catering at Tullie House is contracted out to a third party company (Elior). In September 2012 a team from Elior presented their recommendations for a new three-year contract to the Directors of the Trust's Trading Company, which included:

- Increased projected income over three years
- Capital investment in the coffee offer and kitchen equipment
- Additional investment in marketing to drive events business, e.g. the Trust Dinner and special events
- An improved counter layout with enhanced visual merchandising
- Re- launch of the Sunday offer.

6.2 Increase generated income through legacies, grants, donations, sponsorship

6.2.1 Fundraising and sponsorship

A fundraising strategy was prepared in 2012/13 to help the organisation focus on both existing and new sources of funding. Existing sources include grants from public and quasi-public sources such as the Heritage Lottery Fund and the Arts Council England, where Tullie House has enjoyed a good deal of success over the years. New sources will include grants from private philanthropic foundations, donations and legacies from private individuals and commercial sponsorship income. The Trust has less experience in these areas. This plan adopts a cautious approach to budgeting fundraising income, particularly from new sources where the lead times for generating income can be long.

Tullie House has been successful with grants and has been awarded Heritage Lottery Funding of £43k towards supporting the *George Howard* exhibition in 2013. As part of the Solway Wetlands Landscape Partnership Scheme, Tullie House has been awarded a further £35k from the HLF to mount an exhibition on the wetland landscapes of the Solway Firth in the summer of 2013.

To make the Trust more sustainable in the long term, work has begun on the development plan which will form the basis of any future capital development improvements. In order to be able to support the development plan, prepare bids for grants and other funding bodies, support the trading initiatives and other fundraising initiatives, the Trust proposes to dedicate £30k towards supporting income generation strategies.

6.2.2 Arts Council Renaissance Funding – Major Partner Museum

The CMC's Major Grant Funding of £3.2m over the period 2012/15 is linked to an agreed programme of activity by the Consortium. Tullie House Museum and Art Gallery Trust is the lead organisation and will liaise closely with the other partners and the Arts Council. The Arts Council has five key goals for the Major Partner Museums:

- "Excellence is thriving and celebrated in museums
- More people experience and are inspired by museums
- Museums are sustainable, resilient and innovative
- Leadership and workforce are diverse and highly skilled
- Every child and young person has the opportunity to experience the richness of museums."

CMC's successful bid for Major Grant Funding focused on the second and last of these goals.

The Arts Council has high expectations for all Major Partner Museums (MPMs), requiring them to demonstrate an absolute commitment to excellence and ambition in their work and stating that:

- *"Each MPM should invest time, effort and resources into managing and researching dynamic and high quality collections and ensure these are used to maximum public benefit. They should seek to reach more and more people including children and young people through quality engaging and experiences.*

- *It is the responsibility of all Major Partner Museums to work with the Arts Council and other organisations to build partnerships and share skills and expertise, as together we deliver great museums for everyone."*

(The Arts Council's agreed goal statements and KPIs are in Appendix D.)

The Trust will work with the Project Manager and CMC partners to develop an exit strategy for the MPM programme. The funding is time limited, ending in 2015.

6.2.3 Admission charges review

A review of the admission charging policy has been completed and approved by the Board on 8th June 2012. The review recommended starting to charge for both the Art Gallery and Old Tullie House. The Tullie Card will be retained, for which there will be a charge of £1 per annum to Carlisle residents. All other visitors will be charged £7 (concessions £5 and children under 16 will be free). The new entry charge will provide unlimited admission for a year when the visitor signs up for Gift Aid. (Gift Aid was introduced in July 2012.) The policy recommends that there is an additional charge for major exhibitions, as was done for the *Secret Egypt* exhibition earlier in 2012 on a case-by-case basis. The new charges will be introduced in March 2013.

6.2.4 Central charges

The Trust is awaiting a report from the City Council on the review of central charges for support services. The Trust is required to give 12 months notice to the Council, should it intend to source its human resources, information technology, payroll or other support services from elsewhere. The Trust was originally required to give 18 months notice but the Council have agreed to reduce this because the completion of the review was delayed. The budget assumes that all these services will continue to be sourced from the Council over the plan period.

6.3 Embed sustainability in everything we do

The Trust will take practical steps to embed environmental sustainability into our activities. Within the lifetime of the Arts Council's funding agreement, there is a commitment to develop an environmental action policy and annual action plan to improve environmental performance and reduce carbon emissions. Working with our staff, visitors and local communities we will take responsibility to achieve realistic targets in carbon reduction. This will be developed with the CMC partners and the Arts Council's recommended partner Julie's Bicycle. Julie's Bicycle is a not-for-profit organisation, which works with the arts and creative industries to make environmental sustainability a core component of their business.

6.4 Lead and develop staff through continuous staff development programme

A staff restructure was completed in 2011/12 and the new structure was launched in April 2012. As part of this work, a fresh approach was taken to the management of the organisation. This involved two tiers of management - (a) the Senior Management Team comprising the Director, the Head of Collections and Programming and the Head of Business and Marketing and (b) the Department Management Team which includes all middle managers. The aim is to empower these managers and give them responsibilities for day to day management. (For the Staff Structure, see Appendix B). A staff meeting, held on a monthly basis, has become an important means of communication.

The new CMC posts will work closely with the core staff. Through the CMC Apprenticeship programme we will be recruiting a number of 16-24 year old apprentices to the museum. Tullie House has a dedicated and respected team of volunteers and the Trust will support and develop this team.

A Personal Development Plan programme has been launched for all staff. This will be further developed and embedded into the organisation and will become central to planning and developing staff and the organisation.

6.5 Support the management of the estate/property

6.5.1 Leases

One of the four leases with the City Council has been agreed and signed. This is the lease for the main Tullie House premises. The leases for Shaddon Mill and the Millennium Gallery are in the preparation stage (31.10.12). As there is outstanding maintenance work on the structure of the Guildhall, this lease has not been finalised.

6.5.2 Art Gallery exhibition space

The Art Gallery is the largest Government Indemnity standard (GIS) exhibition space between Manchester and Glasgow. GIS is an alternative to commercial insurance which allows the public access to objects within the UK that might not otherwise be available. The Art Gallery space has the flexibility to be used for exhibitions of a wide range of shapes and sizes because it uses a moveable wall display system manufactured by Panelock. This display system was installed in the 1990s and now has a high risk rating. Risk assessments enable this risk to be mitigated but movement can now require the deployment of up to four trained staff. This risk assessment process does not address the system being beyond its design life. Technology has improved significantly since the Panelock system was installed. *The Trust has received a quotation of £56k plus VAT for a new moveable wall display system. Over the next three years capital funding needs to be identified to replace the present system.*

6.5.3 Herbert Atkinson House

We understand that the negotiations for the transfer of properties between Carlisle City Council and Cumbria County Council are now complete. Herbert Atkinson House is likely to be transferred to the Trust on a peppercorn rent on the same basis as Tullie House, whereby upkeep of the external and internal structure is provided by the City Council. Use of the building by the Trust will necessitate some work on the property, including updating the security system, installing ICT and undertaking some painting and decorating. These one-off costs will need to be funded from the Trust's reserves. From 2013/14, however, the Trust will need to cover the full running costs of energy, security, decoration and other non-structural maintenance (including the grounds) as well as the NNDR. *It is estimated that a budget of £20k pa will be required for this.*

6.6 Create a lean, entrepreneurial organisation

Following on from the restructure of the organisation in 2011-12 there have been significant changes to staff roles and responsibilities. The new staff structure implemented in April 2012 is one intended to encourage new ways of working across the organisation. Our aim is to establish an organisation that is responsive, entrepreneurial and fit for purpose.

The Trust needs to become an organisation that has a strong focus on business development, fundraising and income generation. The need to generate additional income from grants, conferences and events should become part of the ethos of the organisation. Staff will learn to do things differently, so that we are managing the Trust efficiently and effectively. The Development Plan is an opportunity for Tullie House to be bold and ambitious in creating a forward-looking and visitor focussed organisation.

7 Budget commentary

The Trust has been trading as a separate legal entity for 18 months since May 2011. Over this period we have had to carry out a number of one-off activities that have taken up a great deal of management time such as recruitment of new trustees, registering the Trust as a charity, setting up a subsidiary trading company, registering for VAT and Gift Aid, appointing auditors, adopting new policies and procedures, as well as the on-going lease negotiations and organisational restructuring. As a newly formed trading organisation, the Trust is still getting to grips with its finances and is only now - with invoices starting to come directly to the Trust rather than as initially via Carlisle City Council - getting a clear line of sight at all Trust expenditure items. Moreover we are facing a number of cost pressures that will require careful handling. For these reasons alone our budget stance over the three-year plan period would inevitably have been somewhat cautious but our caution is reinforced by the present economic slowdown and uncertain outlook. The budget projects a modest growth in income over the three-year period and this will cover the planned cost increases outlined in the plan.

The Trust had a financially satisfactory first year due mainly to transfers of reserves from the City Council and a number of other one-off factors. This has allowed the Trust to start building up reserves. This in turn will enable the Trust to fund one-off project expenditures in the next three years, such as the costs of making good Herbert Atkinson House and updating the Panelock system, which will ease budgetary pressures should that become necessary.

7.1 Key budget issues

The reductions in our core grant from Carlisle City Council (£116k during the first two years of the Trust's start-up period, comprising £58k in 2012/13 and a further £58k in 2013/14) have been built into our three-year budget. In addition we are assuming that there will be cost and other pressures to be managed as a result of:

Initiatives to increase the sustainability of the organisation, including:

- Investment in the exhibition programme.
- Support for fund raising.
- Investment in income generation support.
- Organisational and staff development following the restructuring.
- Costs of ICT investment and replacements over the coming three years.
- Costs of maintenance of Herbert Atkinson House.

Cost inflation, in particular:

- Energy/utility price rises.
- A three-year agreement for staff pensions: the Trust needs to prepare for a 2% contribution increase in 2014/15.

Over the past year, while forming and establishing itself, the Trust has undergone a painful process of making savings - including three staff redundancies. In addition, the former Museums, Libraries and Archives Council's Renaissance in the Regions programme ended, with a reduction of a further nine posts. This loss of key staff and funding for collections development, audience development and learning and outreach programmes has weakened the organisation. The Trust organisation is small and vulnerable to the loss of key staff. The Arts Council's Major Partner Museum funding, which is supporting 3.5 dedicated staff for Tullie House, is a positive step forward.

Tullie House Trust is in the business of cultural engagement. The more we raise our profile through exhibitions, partnerships, social media, events, etc., the greater our footfall will be. We need to use our USPs - our collections, location, facilities, staff, buildings, etc. - to become better known in Cumbria, nationally and internationally, whilst at the same time investing in the quality of the core product: the visitor experience - whether this be in person or virtually. The greater the footfall, the greater our income and the more successful and sustainable we become. Several of the proposed cost increases aim to increase our cultural engagement.

In order to be sustainable, the additional expenditure needs to be funded by a combination of increased revenue and cost savings. The rationale for investment in income generation is to generate additional income: specifically a target of £40k in sponsorships and £12k in Tullie House's net share of grants (net after disbursements) must be achievable for the investment to be viable.

Income from paying visitors has been consistently above target - for the four months ending 31st July 2012 it was 10% ahead of budget. From April 2013 the new admissions policy will be in place and these two factors - increased visitor numbers coupled with higher admissions charges - are assumed to add a further £20k to our income budget. The new admissions policy is also assumed to lead to an increase in the amount of VAT that can be recovered, yielding an assumed minimum saving of £10k a year. Once the Council has completed its review of central charges, we may be able to generate further savings. These can't be estimated precisely at this stage but we feel that a net cost reduction of £10k per annum is prudent.

When detailed work on the 2013/14 budget takes place, if the income and savings assumptions do not look safe, the additional costs will have to be looked at again, as the Trust must produce a balanced budget.

7.2 Budget overview

The Trust's three-year budget has been prepared in constant 2011/12 prices; no account has been taken at this stage of general price inflation over the plan period. This will be reflected in an inflationary adjustment to the Council's grant, to be made on 1st April 2013 (see paragraph 5.12 of the PFA reproduced in Appendix A), at which time appropriate adjustments will be made to the other items in the budget.

The Trust has produced a broadly balanced three-year budget, showing a very small surplus in each of the three years. The Trust's reserves position has given us the confidence to budget on the basis of a very small assumed surplus; without this the three-year budget could be viewed as quite risky. To meet the 31st October submission deadline, the budget has been prepared six months before the start of the three-year period, which we consider to be too early to enable a full and detailed budget to be produced. We do however understand the rationale for producing a financial plan to the timescales agreed in the PFA. Therefore, while it is likely that the balance between income and expenditure in order to achieve a balanced budget will have changed by the time we present our detailed budget to the Trust Board for approval in March 2013, we confirm that the Trust will live within the limits of the funding requested at this stage from the Council and the surplus identified in Appendix F.

Appendix F analyses income and expenditure across Tulle House, CBDC and the Arts Council funded project and shows summary income and expenditure information including the funding requested from

Carlisle City Council. A detailed budget will be presented to the Trust Board for approval in March 2013. This approach enables Carlisle City Council to approve the overall business plan and its funding element while the Trust sets its own budget to achieve the plan.

The Arts Council grant income and expenditure has been included in the budget as this is a requirement of the Arts Council grant. The large drop in income and expenditure projected in 2015/16 represents the ending of the major Arts Council project in March 2015.

After allowing for the end of the Arts Council funding in Year 3 of the plan, Appendix F shows income falling faster than expenditure over the plan period. This is a result of our planning to achieve a very small surplus (£1k) in Year 3 compared to a budgeted surplus of £55k in the current baseline year. Had we been budgeting for a £1k surplus in the current year, income and expenditure would have fallen at the same rate. The key underlying message of course is that we need to make every effort to maximise income and minimise expenditure in all realistic ways throughout the plan period.

7.3 Income

Excluding the Council funding, we are budgeting for a small increase in Trust income from sources such as Gift Aid and the new admissions charging policy. We are also budgeting for an increase in sponsorship and grants due to the planned employment of a grants and sponsorship officer administration post.

| Summary of Proposed income increases and savings | £k |
|---|-----------|
| Sponsorship income and net grant | 43 |
| Admissions income | 20 |
| Total | 63 |

When detailed work on the 2013/14 budget takes place, if the income and savings assumptions do not look safe, the additional costs will have to be looked at again, as the Trust must produce a balanced budget.

7.4 Expenditure

In order to achieve our ambitions as a leading arts organisation that “provides a vibrant and proactive centre for heritage and arts in Carlisle” (Tullie House Vision Statement), we need to drive forward change. The following cost increases are projected:

| Summary of projected annual cost increases | £k |
|--|-------------|
| Herbert Atkinson House | 20 |
| Exhibitions | 15 |
| ICT developments | 18 |
| Income generation support | 30 |
| Sub-total | 83 |
| VAT savings due to new admissions policy | (10) |
| Central recharges | (10) |
| Sub-total | 63 |
| Allowances for cost increases in excess of inflation adjustment to core grant: | |
| Pay (1%) | 11 |
| Utilities (2%) | 3 |
| Total | £77k |

7.4.1 Payroll

Payroll pressures have increased and new staff positions such as the grant and sponsorship administration post and additional marketing support have been costed into the budget. Cost of living increases have been excluded as they will be funded by the Council under an agreed formula as and when they occur.

7.4.2 Utilities

The investment in a new boiler has produced substantial savings in 2011/12 and 2012/13. Utilities costs, however, are assumed to increase in 2013/14, 2014/15 and 2015/16 with the additional costs associated with Herbert Atkinson House. Moreover, general utility prices have been assumed to rise faster than CPI.

7.4.3 Consumables

The consumables budget in 2013/14, 2014/15 and 2015/16 also increases due to Herbert Atkinson House including additional annual maintenance costs, cleaning, alarms and ICT.

7.5 Budget: conclusion

The proposed three-year funding plan follows the guidelines expected by Carlisle City Council and keeps the funding requirement at its current level after achieving the £116k savings required. The Trust Board will approve a detailed budget in March 2013 consistent with the plans set out in this document.

Hilary Wade, Director

Tullie House Museum and Art Gallery Trust

31st October 2012

List of Appendices

Appendix A - Copy of Partnership Fund Agreement

Appendix B - Staff Structure

Appendix C - Tullie House Trust Performance Monitoring: City Council

Appendix D - Tullie House Trust Performance Monitoring: Arts Council England

Appendix E - Exhibitions and Events Programme

Appendix F - Proposed Budget

Appendix A

Process and content of business plans

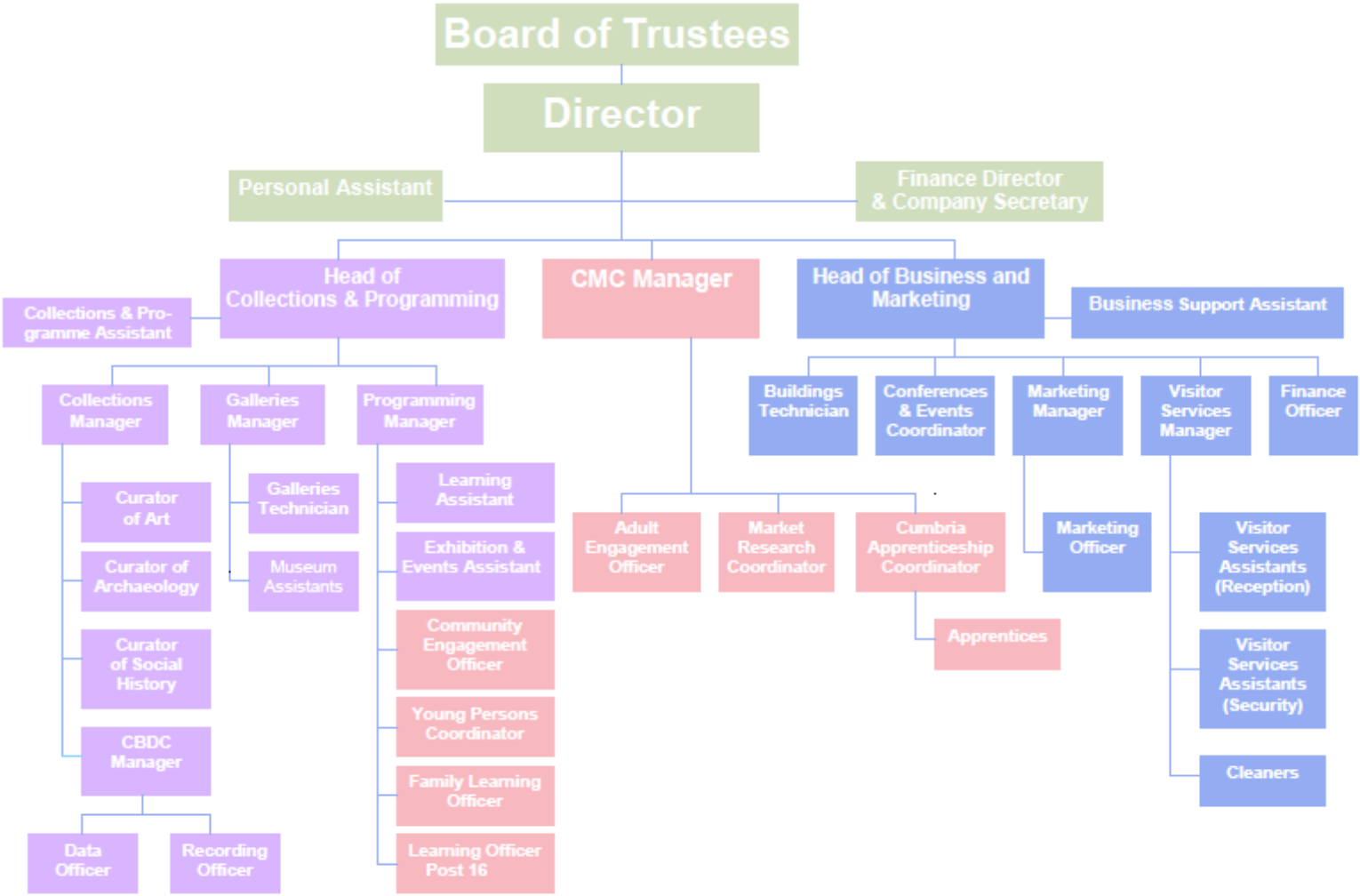
(Reproduced from the Partnership & Funding Agreement between Carlisle City Council and Tullie House Museum and Art Gallery Trust, 5th May 2011)

- 5.4. In order to provide MT with a secure and stable basis for medium-term planning, the parties agree that starting in 2012/13 the Core Funding will be approved by Carlisle through a systematic and collaborative process on a three-year rolling basis against a Business Plan submitted by MT to Carlisle not later than 31 October each financial year which the parties shall use their best endeavours to agree by no later than 31 December each financial year.
- 5.5. Core Funding for 2012/13, 2013/14 and 2014/15 will be agreed through a Business Plan submitted by MT to Carlisle not later than 31 October 2011 and Core Funding for 2015/16 will be agreed through a Business Plan which covers the period 2013/14 to 2015/16 submitted by MT to Carlisle not later than 31 October 2012.
- 5.6. Each year thereafter Core Funding for the third subsequent financial year will be agreed through a Business Plan following the above process (Core Funding for the first and second subsequent financial years already having been agreed through the previous Business Plan following the above process).
- 5.12. Without prejudice to the generality of the provisions of clauses 5, 7 and 10 Core Funding will be subject to annual uplift on 1st April each year for:
 - 5.12.1. salary inflation based on the percentage increase in the NJC Local Government pay award; and
 - 5.12.2. all supplies and services and including all MT income (but excluding grant) and NNDR based on the previous year's Consumer Price Index (C.P.I.) at September each year.

6. CONTENT OF BUSINESS PLANS

- 6.5. The Business Plan shall (amongst other things) specify in respect of the relevant period:
 - 6.5.1. MT's overall vision, purpose, key objectives and strategy for achieving them;
 - 6.5.2. key development and investment plans and their financial implications;
 - 6.5.3. MT's management and operating plans for the Museum and the Collection and maintenance plans for the Collection, reflecting the priorities agreed by the parties from time to time;
 - 6.5.4. developments proposed to MT's organisation, staffing arrangements and operating policies;
 - 6.5.5. projected income (both expected from Carlisle and other sources), revenue expenditure and capital expenditure for the next three financial years, including MT's assessment of any risk of fluctuation of the cost of performing its obligations under this Agreement and its proposals for managing such risks;
 - 6.5.6. the Core Funding which MT assesses it requires to be provided by Carlisle for each of the next three financial years with an explanation of the expenditure of MT for which the Core Funding is required;
 - 6.5.7. the key performance indicators and other relevant targets against which MT will report in accordance with clause 9; and
 - 6.5.8. such other information as Carlisle may reasonably require from time to time (which will be specified with reasonable advance notice).

Appendix B
Staff Structure



Appendix C

Tullie House Trust Performance Framework 2012/13: Carlisle City Council

Customer

- 1) All in-person visits to TH (target 300k)
- 2) Visitors to all galleries
- 3) Proportion of 3) who are from 'Out of City' (non TH card holders)
- 4) No. visits to website
- 5) No. children visits (outreach and school pupils)
- 6) No of people taking part in learning activities broken down by subcategories of:

Visitors to Galleries

Curatorial Enquiries

Loans Boxes

Guildhall visitors

Website Users

Community and Schools outreach

Under 5's Education sessions

Internal Workshops and Events

Pupil Count

- 7) Monitoring of usage by protected characteristics, geography (*BP P3 table*) and economic segmentation (*BP P3 final para*)
- 8) Customer satisfaction

Above two are annual measures with data compiled via a customer survey conducted with the assistance of CCC plus use of ACE survey

Finance and Economic Benefits

- 1) Additional funding gained in excess of Council funding
- 2) Volunteer hours worked
- 3) Local economic value of volunteer work

City Council Finance Team to provide quarterly statement in advance of performance meeting

Organisational development

- 1) No. FTE employees
- 2) No. employees – headcount
- 3) Health and safety incidents reportable to the HSE.

Risk register to be reported by major exception.

Appendix D

Tullie House Trust Performance Framework 2012/13:

Arts Council England

GOAL 1: EXCELLENCE IS THRIVING AND CELEBRATED IN MUSEUMS

KPI 1 - Indicate what you are doing to ensure excellence and how you will know you have been successful

Quality of the *Voice of Cumbria* programme and breadth and reach of joint working with wider Cumbria museums measured through numbers of museums engaging with CMC through programmes and satisfaction with programme. Our target will be to engage with 80% of the museums in Cumbria by March 2014 and 90% by the end of the programme in March 2015. We will work with the Cumbria Museums Forum in 2012-13 to establish programme priorities, standards and targets. We will evaluate satisfaction levels through an annual review of progress with the Cumbria Museums Forum and use the feedback to inform future programme. Our proposed target is to obtain at least 80% of participants more than satisfied in 2013-14 and 2014-15.

Success of establishing a broad range of community and children and young people focused programmes across the CMC venues in 2012-13 and impact of programmes in 2012-13, 2013-14 and 2014-15. We will measure this through successful completion of milestones and full post recruitment. This team will establish targets by end September 2012. The impact of programmes over 2012-15 will be measured through numbers of participants; number of new and strengthened learning partnerships with schools, colleges, community organisations and other providers; and the level of satisfaction measured through feedback from participants and evaluation with representatives of partner organisations at end of 2012-13, 2013-14 and 2014-15.

Successful completion of equality strategy for CMC venues in 2012-13 measured by meeting milestones. We will use the strategy to establish a benchmark, identify the changes and improvements required and to set targets and milestones. The CMC management group will assess progress made against the benchmark in March 2013, 2014, and 2015, in the areas of programme and organisational development.

By 31 March 2013.

GOAL 2: MORE PEOPLE EXPERIENCE AND ARE INSPIRED BY MUSEUMS

KPI 2 - Implement/Maintain a method for audience data collection and interpretation

Complete baseline audience research in 2012-13 to create benchmark information across all CMC venues and establish meaningful segmentation which focuses on the motivations of diverse audiences. We will use the findings, and previous market assessment and audience research, to set targets to increase and diversify audiences within each segmentation.

Success in developing consistent ways of measuring user satisfaction across CMC in 2012-13 and implementing and using information collected in 2013-14 and 2014-15. The CMC management group will measure this through meeting milestones for implementation and annual survey and assessment of the extent to which user feedback has informed programme at CMC venues.

By 31 March 2012

KPI3 - Increase the amount of activity made available to audiences digitally

Increase the amount of activity digitally through the creation of a new digital portfolio of projects through the *Voice of Cumbria* Programme including a new Cumbria Museums website, related apps and social media feeds, and expansion of elearning resources for CYP audiences. The target is to

widen access to collections and activities and enable participation and dialogue with a wider range of audiences. This activity will be measured through % increase in content against benchmark set in 2012; quality of site and content; number of unique site visits and users, and the extent to which the programme meets desires and aspirations of users measured through on line satisfaction survey and feedback in March 2013, 2014 and 2015. The CMC's management group will monitor this.

Success of increasing digital access to collections to increase revenue in CMC and in partner museums in Cumbria. We develop strategy in 2012-13 from work done in 2011-12 and implement over the three years. We will collate information on existing provision and income in 2012-13 and set targets with the participating museums in Cumbria to increase income over the three years.

By 31 March 2015

KPI4 - Increase the organisation's engagement and reach

We will use the audience research and diversity strategy developed in 2012-13 to set benchmarks for visitor numbers and market segmentations, including C&YP, families, and older people within the CMC's museums and use these benchmarks to set targets to increase engagement and reach over the three years to March 2015. We will set the target % increases from the benchmark by end December 2012.

By 31 March 2015

GOAL 3:

KPI5 - Indicate the organisation's expected amount of contributed income in 2012/13, 2013/14 and 2014/15

Lakeland Arts Trust's fundraising team will continue to work to maintain and if possible increase the revenue and capital donations they attract over the three years to March 2015. The 2011 revenue baseline is £300,000. LAT has the ambition to raise at least £300,000 per annum through sponsorship and donations over the 2012-15 year period, to help support an ambitious programme of activity. This is on addition to the ambition to secure a total of £10m capital funding for the Windermere Steamboat project by May 2013.

Wordsworth Trust will seek to maintain contributed income at c. £600,000 per annum. This is an aggregation of revenue grants and donations and capital grants.

Tullie House Trust has a baseline of £53,000 per annum for 2011-12 for donations and sponsorship. Our Business Plan states that this will increase 100% over the three years (12/13 £65,500, 13/14 £83,500, 14/15 £106,000).

By 31 March 2015

Appendix E

Exhibition and Events Programme

| Art Gallery | | |
|--|---|---|
| 25 th May-7 th July 2013 | Into the Light - Freemasons and Cumbria | Tullie House is hosting an exhibition on Freemasonry in conjunction with the national Freemasonry Museum and Grand Lodge in London, Beamish, the North of England Open Air Museum and local Cumbrian lodges. The exhibition will major on freemasonry but will also put the movement into context by talking about other fraternal groups and societies. The exhibition has a working title of <i>Into the Light - Freemasons and Cumbria</i> and will cover themes such as: What is freemasonry, the History of freemasonry in Cumbria, Fraternity, Costume and regalia, Personalities and stories, Freemasonry today and in popular culture, Diversity in freemasonry. The exhibition is aiming to dispel myths and/or explain the reasoning behind rules and rituals whilst at the same time highlight little known facts about subjects such as origins, persecution, personalities and charity work. |
| 20 th July-13 th October 2013 | George Howard | This exhibition commemorates the centenary of the death of George Howard, 9 th Earl of Carlisle (1843-1911). A significant figure in Cumbria's cultural heritage, Howard was a dedicated and accomplished artist who produced beautifully observed and delicately captured works in oil and watercolour including portraits, landscapes, everyday scenes and family episodes. |
| 26 th October 2013 January 2014 | C-Art at Tullie | TBC subject to success of 2012/13 exhibition |
| July-October 2014 | Richard Slee | Richard Slee is an internationally renowned ceramic artist who was born in Carlisle. This Tullie House touring exhibition looks back upon Slee's work over the past five years and includes a newly commissioned work for the permanent collection. |
| 4 th October 2014-11 th January 2015 | War Games | This V&A Museum of Childhood Touring Exhibition explores war games & the child's relationship with war looking at symbolism. |

| Art Gallery | | |
|-------------------------|--------------------------------|---|
| 26 January – March 2015 | Artist Rooms: Anselm Kiefer | <p><u>TBC subject to funding</u></p> <p>German painter and sculptor, Anselm Kiefer. The themes of environment and memory are key strands in Kiefer's work and these also resonate with Tullie House's own collecting policy. Geographical, historical and cultural identities run as a powerful thread throughout Carlisle and Cumbria and we would like to use an exhibition of Kiefer's work as an admission point for visitors to explore their own journeys and create their own interpretations.</p> |

| Special Exhibitions Gallery | | |
|------------------------------------|-----------------|---|
| 6 July – October / November tbc | Solway Wetlands | <p>This HLF funded exhibition will interpret and celebrate the unique landscape of the south Solway, explore the rich human history of the area and illustrate the ways in which the natural landscape and wildlife has both influenced human activity and in turn been moulded by that activity. The exhibition will be designed so that key elements of it can be travelled around a variety of local venues thereafter.</p> |
| November 2013 – February 2014 | Natasha Daintry | <p>This exhibition features a stunning new acquisition which complements the museum's growing collection of contemporary art on the theme of the natural world and our historic porcelain collection. The exhibition will comprise of Natasha Daintry's 'Ocean' a ceramic installation of 1000 porcelain pots purchased jointly for the museum collections with Oldham, Preston, Rochdale and Nottingham Museums with financial support from the Contemporary Art Society and the Art Fund. Selected pieces of historic porcelain from the collections will also be on display.</p> |

| Other Exhibitions in Development / Under consideration | |
|--|--|
| Martin Greenland | Martin Greenland is an explorer of the landscape- both real and invented. In his paintings he explores the illusion of landscapes made by the tactile breadth of oil paint. Martin does not utilize photographs in his work nor does he paint while observing nature directly. His paintings are about inventing a landscape that has never been seen. Martin boldly states, "It may seem futile to make the works seem as though they have been observed or taken from photographs, but inventing gives the work reason for existence – what is shown exists only within these painted illusions..." SEG 2014 |
| Carlisle at War | |
| A history of Carlisle in 10 Objects | Following on from the History of the World in 100 objects, this in-house exhibition would tell the story of Carlisle and how it has played its part in the national story of England. Huge opportunity for community engagement. Links to Voices of Cumbria project and Consortium-wide Best of Cumbria exhibition. |
| New Acquisitions | In-house exhibition focussing on new material that has been acquired by Tullie House over the past 10 years. |
| BM Prints & Drawings | Exploring the possibility of a major exhibition of world class prints and drawings from the British Museum's extensive collections developed in collaboration with TH (2016). |
| Roman Parade Armour | Possibility of a major trans-European project partnership looking at the role and purpose of parade armour throughout the Roman Empire. |

Appendix F

Tullie House Museum and Art Gallery Trust - Proposed budget 2013/14 to 2015/16

| £, in constant 2012/13 prices | | Baseline Year | Plan Year | | | % Increase |
|-------------------------------|--|------------------|------------------|------------------|------------------|----------------------|
| | | 2012/13 | Year 1 - 2013/14 | Year 2 - 2014/15 | Year 3 - 2015/16 | Year 3 over Baseline |
| | | Budget | Draft budget | Draft budget | Draft budget | |
| Income | Tullie House Trust: | 1,553,520 | 1,576,020 | 1,626,000 | 1,676,000 | 7.88% |
| | Of which Carlisle City Council Grant | 1,256,420 | 1,198,420 | 1,205,000 | 1,205,000 | (4.09%) |
| | Generated Income | 297,100 | 377,600 | 421,000 | 471,000 | 58.5% |
| | Arts Council England (ACE) grant | 511,400 | 589,296 | 581,871 | 0 | (100%) |
| | Cumbria Bio-diversity Data Centre (CBDC) | 61,067 | 86,144 | 91,000 | 91,000 | 49.02% |
| | Total income | 2,125,987 | 2,251,460 | 2,298,871 | 1,767,000 | (16.89%) |
| Expenditure | Payroll: | 1,032,690 | 1,269,236 | 1,275,072 | 1,004,500 | (2.73%) |
| | Of which Tullie House Trust funded | 832,700 | 898,233 | 898,000 | 920,000 | 10.48% |
| | ACE funded | 143,923 | 289,859 | 292,572 | 0 | (100%) |
| | CBDC funded | 56,067 | 81,144 | 84,500 | 84,500 | 50.71% |
| | Utilities (All Tullie House Trust funded) | 190,200 | 145,720 | 165,000 | 170,000 | (10.62%) |
| | Other Costs: | 847,947 | 835,437 | 857,799 | 591,500 | (30.24%) |
| | Of which Tullie House Trust funded | 475,470 | 531,000 | 562,000 | 585,000 | 23.04% |
| | ACE funded | 367,477 | 299,437 | 289,299 | 0 | (100%) |
| | CBDC funded | 5,000 | 5,000 | 6,500 | 6,500 | 30% |
| | Total expenditure: | 2,070,837 | 2,250,393 | 2,297,871 | 1,766,000 | (14.72%) |
| Surplus/(Deficit) | (All attributable to Tullie House Trust) | 55,150 | 1,067 | 1,000 | 1,000 | (98.19%) |

COMMUNITY OVERVIEW AND SCRUTINY PANEL

Panel Report

Public

Date of Meeting: 22nd November 2012

Title: Overview Report and Work Programme

Report of: Overview and Scrutiny Officer

Report reference: OS 31/12

Summary:

This report provides an overview of matters related to the Community O&S Panel's work. It also includes the latest version of the work programme.

Recommendations:

Members are asked to:

- Decide whether the items on the Notice of Key Executive Decisions should be included in the Panel's Work Programme for consideration.
- Note and/or amend the Panel's work programme

Contact Officer: Nicola Edwards

Ext: 7122

1. Notice of Key Executive Decisions

The most recent Notice of Key Executive Decisions was published on 19th October 2012. The following issues fall into the remit of this Panel and full details are attached at **Appendix 1**:

KD.029/12 Tullie House Museum and Art Gallery Trust Business Plan 2013/14 – *to be considered at this meeting of the Panel.*

KD.033/12 Budget Process 2012/13 – *to be considered at this meeting of the Panel.*

KD.036/12 Review of CCTV Provision in Carlisle – *to be considered by the Executive on 19th November.*

KD.037/12 Carlisle Plan 2012-13 – *this item has now been deferred.*

KD.039/12 Tenancy Strategy – *Panel considered this report at their meeting on 11th October.*

KD.040/12 Amendments to the Cumbria Choice Allocations Policy – *to be considered at this meeting of the Panel.*

KD.041/12 Regulatory Reform Order – Empty Property Policy Amendments – *this has now been deferred.*

KD.042/12 Proposals for Implementation of Council Tax Technical Reforms to discounts and exemption – *to be considered at this meeting of the Panel*

2. References from the Executive

The following references have been received from the Executive and can be found at Appendix 2.

EX.121/12 Future Management of Allotments

EX.130/12 Support to Community Centres – see Agenda Item A3 (a)

3. Scrutiny Chairs Group

A meeting of the Scrutiny Chairs Group was held on 1st November 2012. Note of the meeting at attached at **Appendix 3** for information and/or comment.

4. Work Programme

The Panel's current work programme is attached at **Appendix 4** for comment/amendment.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|---|
| Key Decision Reference: | KD.029/12 |
| Decision Title: | Tullie House Museum and Art Gallery Trust Business Plan 2013/14 - 2015/16 |
| Decision to be taken: | The Executive will consider the proposed Business Plan and make it available for consideration by the Community Overview and Scrutiny Panel prior to making recommendations to Council. |
| Date Decision to be considered: | 19 November 2012 consultation period to include Overview and Scrutiny as appropriate |
| Date Decision to be taken: | 17 December 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public. |
| Documents submitted for consideration in relation to the Decision: | The Director of Community Engagement's report will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Community Engagement, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Culture, Health, Leisure and Young People (Councillor Ms Quilter) |
| Relevant or Lead Overview and Scrutiny Panel: | Community Overview and Scrutiny Panel |

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|-------------------------------------|--|
| Key Decision Reference: | KD.033/12 |
| Decision Title: | Budget Process 2013/14 |
| Decision to be taken: | <p>The Executive will be asked to consider strategic financial issues arising from the budget setting process:</p> <p>(a) Budget Update - Revenue Estimates (19th November 2012)</p> <p>(b) Individual Charges Reviews (Local Environment, Governance , Economic Development, Community Engagement) (19th November 2012)</p> <p>(c) New Revenue Spending Proposals (19th November 2012)</p> <p>(d) New Savings Proposals (19th November 2012)</p> <p>(e) New Capital Spending Proposals and Provisional Capital Programme (19th November 2012)</p> <p>(f) Repair and Maintenance (19th November 2012)</p> <p>(g) Treasury Management and Prudential Borrowing Implications (19th November 2012)</p> <p>(h) Consideration of Overview and Scrutiny Consultation feedback (13th December 2012)</p> <p>(i) Draft Revenue Support Grant Settlement (if available) (17th December 2012)</p> <p>(j) Summary Overall Revenue and Capital Position (17th December 2012)</p> <p>(k) Draft Treasury Management and Investment Strategy including MRP Strategy (17th December 2012)</p> <p>(l) Executive Draft Budget Proposals for consultation (17th December 2012)</p> <p>(m) Final Revenue Support Grant and Final Revenue Budget Summary (14th January 2013)</p> <p>(n) Provisional Capital Programme (14th January 2013)</p> <p>(o) Treasury Management and Investment Strategy including MRP Strategy (14th January 2013)</p> <p>(p) Consideration of Final Budget Consultation (16th January 2013)</p> <p>(q) Executive's Final Budget Proposals (16th January 2013).</p> |
| Date Decision to be considered: | 19 November 2012, 13 December 2012, 17 December 2012 and 14 January 2013 consultation period to include Overview and Scrutiny as appropriate |
| Date Decision to be taken: | 19 November 2012, 13 December 2012, 17 December 2012 and 14 January 2013 |
| Is the Decision Public or Private?: | The decision will be taken in public. |

Items relevant to the Community Overview and Scrutiny Panel:

| | |
|--|--|
| | |
| Documents submitted for consideration in relation to the Decision: | The Director of Resource's report will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Resources, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Finance, Governance and Resources (Councillor Dr Tickner) |
| Relevant or Lead Overview and Scrutiny Panel: | Cross cutting |

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Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|---|
| Key Decision Reference: | KD.036/12 |
| Decision Title: | Review of CCTV Provision in Carlisle |
| Decision to be taken: | The Executive will be asked to cease the provision of CCTV monitoring service and review the viability of any residual CCTV Service. |
| Date Decision to be considered: | |
| Date Decision to be taken: | 19 November 2012 |
| Is the Decision Public or Private?: | The decision will be taken in private. The report is not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972, as the report contains exempt information relating to the financial or business affairs of any particular person (including the authority holding that information) |
| Documents submitted for consideration in relation to the Decision: | The Director of Local Environment's report will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Local Environment, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Environment and Transport (Councillor Mrs Martlew) |
| Relevant or Lead Overview and Scrutiny Panel: | Community Overview and Scrutiny Panel |

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Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|--|
| Key Decision Reference: | KD.037/12 |
| Decision Title: | Carlisle Plan 2012-13 |
| Decision to be taken: | The Executive is requested to: 1. Consider and comment upon the presentation and content of the Plan with a view to seeking continuous improvement in the way the Council delivers services to its local communities. 2. Consider the comments of the Overview and Scrutiny Panels on the draft Plan. 3. Refer the Plan to full Council for approval. |
| Date Decision to be considered: | 19 November 2012 consultation period to include Overview and Scrutiny as appropriate |
| Date Decision to be taken: | 17 December 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public. |
| Documents submitted for consideration in relation to the Decision: | The report of the Policy and Communications Manager will be available five working days before the meeting |
| Contact Officer for this Decision: | Town Clerk and Chief Executive, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Finance, Governance and Resources (Councillor Dr Tickner) |
| Relevant or Lead Overview and Scrutiny Panel: | Cross cutting |

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|--|
| Key Decision Reference: | KD.038/12 |
| Decision Title: | Local Support for Council Tax |
| Decision to be taken: | The Executive will be asked to adopt the scheme for the localised support for Council Tax Support. |
| Date Decision to be considered: | 6 August 2012 (EX.93/12) consultation period to include Overview and Scrutiny as appropriate |
| Date Decision to be taken: | 19 November 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public. |
| Documents submitted for consideration in relation to the Decision: | Report CD.39/12 - Localisation of Council Tax The report of the Director of Community Engagement will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Community Engagement, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Communities and Housing (Councillor Mrs Riddle) |
| Relevant or Lead Overview and Scrutiny Panel: | Community Overview and Scrutiny Panel |

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Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|---|
| Key Decision Reference: | KD.039/12 |
| Decision Title: | Tenancy Strategy |
| Decision to be taken: | The Executive will be asked to endorse the Tenancy Strategy mad recommend approval by full Council. |
| Date Decision to be considered: | 19 November 2012 consultation period to include Overview and Scrutiny as appropriate |
| Date Decision to be taken: | 17 December 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public |
| Documents submitted for consideration in relation to the Decision: | The report of the Director of Community Engagement will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Community Engagement, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Communities and Housing (Councillor Mrs Riddle) |
| Relevant or Lead Overview and Scrutiny Panel: | Community Overview and Scrutiny Panel |

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|---|
| Key Decision Reference: | KD.040/12 |
| Decision Title: | Amendments to the Cumbria Choice Allocations Policy |
| Decision to be taken: | The Executive will be asked to approve the revised Cumbria Choice Allocation Policy. |
| Date Decision to be considered: | |
| Date Decision to be taken: | 17 December 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public. |
| Documents submitted for consideration in relation to the Decision: | The report of the Director of Community Engagement will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Community Engagement, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Communities and Housing (Councillor Mrs Riddle) |
| Relevant or Lead Overview and Scrutiny Panel: | Community Overview and Scrutiny Panel |

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|---|
| Key Decision Reference: | KD.041/12 |
| Decision Title: | Regulatory Reform Order - Empty Property Policy Amendments |
| Decision to be taken: | The Executive will be asked to amend the Regulatory Reform Order in place to enable the Council to provide loans to the owners of empty property to enable them to be brought back in use under the Empty Property project. |
| Date Decision to be considered: | 19 November 2012 consultation period to include Overview and Scrutiny as appropriate |
| Date Decision to be taken: | 17 December 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public |
| Documents submitted for consideration in relation to the Decision: | The report of the Director of Community Engagement will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Community Engagement, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Communities and Housing (Councillor Mrs Riddle) |
| Relevant or Lead Overview and Scrutiny Panel: | Community Overview and Scrutiny Panel |

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

Items relevant to the Community Overview and Scrutiny Panel:

Notice of Key Decisions to be taken by the Executive

The following key decision is to be made on behalf of Carlisle City Council:

| | |
|--|--|
| Key Decision Reference: | KD.042/12 |
| Decision Title: | Proposals for Implementation of Council Tax Technical Reforms to discounts and exemption |
| Decision to be taken: | The Executive will be asked to consider whether to reduce Council Tax Discount/Exemptions as allowed under the Local Government Finance Bill to fund in part the cost of implementing the Local Support for Council Tax Scheme |
| Date Decision to be considered: | 19 November 2012 |
| Date Decision to be taken: | 17 December 2012 |
| Is the Decision Public or Private?: | The decision will be taken in public |
| Documents submitted for consideration in relation to the Decision: | The report of the Director of Resources will be available five working days before the meeting |
| Contact Officer for this Decision: | Director of Resources, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG |
| Relevant Portfolio Area: | Finance, Governance and Resources (Councillor Dr Tickner) and Communities and Housing |
| Relevant or Lead Overview and Scrutiny Panel: | resources Overview and Scrutiny Panel and Community Overview and Scrutiny Panel |

All public reports can be viewed in the Customer Contact centre of the Civic Centre, Carlisle, the Public Library and on the Council's website www.carlisle.gov.uk.

Other documents relevant to the matter may be submitted to the decision maker. These, if available, may be obtained by contacting the named contact officer.

**EXCERPT FROM THE MINUTES OF THE EXECUTIVE
29 OCTOBER 2012**

EX.121/12 FUTURE MANAGEMENT OF ALLOTMENTS
(Key Decision – KD.034/12)

Portfolio Environment and Transport

Relevant Overview and Scrutiny Panel Community

Subject Matter

The Environment and Transport Portfolio Holder submitted report LE.28/12 concerning the future management of allotments.

Although the provision of allotment sites was a statutory requirement for the City Council, statute did not specify any particular model for management of allotment sites. Many local authorities continued to employ dedicated staff to manage the function, whilst many others followed a different model and relied on allotment tenants themselves to 'self-govern'. A range of options were available under the self-government model and there were many different examples of how that could work.

Details of the financial considerations; opportunities for self-governance; and legal aspects were set out within the report.

There was an increasing sense amongst allotment holders that they wished to take more responsibility for their own affairs. The time was now right to consider whether the service would be better run by the people who used it. To that end, details of the advantages / disadvantages relative to the following options were provided:

- A) Continue direct management with the officer functions divided between Green Spaces team members
- B) Encourage Allotment Associations to take up self-management for their own sites (and incorporate smaller sites nearby)
- C) Encourage the establishment of a Carlisle-wide, third-sector body to take overall responsibility for allotments in the City, with representation from the body of plot-holders as a whole

A joint Task Group, comprising Members of the Community; and Environment and Economy Overview and Scrutiny Panels, had considered the matter on 16 October 2012 and resolved:

"The Task Group recognised that some allotment associations were keen to take over the management of their allotments but the Group had reservations regarding how the Council would address the long term future of small allotments. The Task Group asked that the Executive gave consideration as to how plot holders on small allotments could be supported in the future.

The Task Group recognised that it may not be possible to achieve Option C detailed in the report initially but would like to see an evolution to this model in the future. "

Copies of the Task Group Minutes had been circulated.

The Chairman of the Community Overview and Scrutiny Panel (and Lead Task Group Member) began by thanking the Portfolio Holder and Neighbourhoods and Green Spaces Manager for attending the Panel at short notice.

Referring to the background position, she commented that the issue of self management had been looked at over the years. A widely publicised special meeting had taken place in the summer, at which time between 30 – 40 interested parties (including association representatives and individual plot holders) had attended. Certain allotment associations had already taken steps towards self management, whilst others were awaiting the Council's decision.

The Chairman then outlined the Task Group's deliberations highlighting, in particular, their concerns / views with regard to the availability of support and training for smaller allotment associations; the financial implications of the proposed transfer (including the water meter scheme); and the provision of public liability insurance for the allotments.

The Chairman noted that Option C was the preferred model. She expressed the hope that, if agreed, consideration would be given to the issues raised by the Future Management of Allotments Task and Finish Group.

The Environment and Transport Portfolio Holder was of the opinion that scrutiny of the matter should in fact have taken place last year prior to deletion of the Allotment Officer's post.

Although Option C was the desired option, the Portfolio Holder recognised that may not be achievable in the short term. She anticipated therefore that delivery may well be via an alternative model as discussed in Option A and B of the report.

The Environment and Transport Portfolio Holder then moved the recommendations, which were duly seconded by the Leader.

Summary of options rejected None

DECISION

1. That the Executive approved the transfer of management of Council owned allotment sites under licence to a not for profit organisation (as in Option C) established for the purposes of managing allotments available for rent by all members of the community.
2. If the establishment of a not for profit organisation was not possible then the Executive agreed to delegate authority to the Director of Local Environment, in consultation with the Portfolio Holder, to deliver an alternative model as discussed in Option A and B in report LE.28/12.

Reasons for Decision

Allows the City Council to progress a sustainable model for the future management of allotments in Carlisle whilst improving the service to allotment holders

SCRUTINY CHAIRS GROUP MEETING

1 November 2012 at 9.30am

Attended: Councillor Whalen, Vice Chairman of the Environment and Economy Overview and Scrutiny Panel (Lead Member)
Councillor Mrs Luckley, Chairman of the Community Overview and Scrutiny Panel (until 10.20am)
Councillor Mrs Prest, Vice Chairman of the Community Overview and Scrutiny Panel (from 9.55am)
Councillor Layden, Chairman of the Environment and Economy Overview and Scrutiny Panel
Councillor Betton, Vice Chairman of the Resources Overview and Scrutiny Panel (from 10.05am)
Nicola Edwards, Scrutiny Officer
Rachel Rooney, Lead Committee Clerk

18/12 APOLOGIES FOR ABSENCE

An apology for absence was submitted on behalf of Councillor Watson, Chairman of the Resources Overview and Scrutiny Panel.

19/12 MINUTES OF PREVIOUS MEETINGS

The minutes of the meeting held on 3 July 2012 were considered.

13/12 – Scrutiny of Welfare Reform

Councillor Whalen informed the Group that he had been researching the impact of the Welfare Reform and had information if any Members required copies. There were a number of issues regarding the Reform and redundancies within Carlisle. The Group welcomed the support being provided by a number of agencies within the City.

AGREED – That the minutes of the Scrutiny Chairs Group held on 3 July 2012 be agreed as a correct record of the meeting.

20/12 CIVIC CALENDAR 2013/14

Ms Rooney submitted the draft Civic Calendar for 2013/14 for comment. In previous years there had been an issue with JMT clashing with Overview and Scrutiny Panels. This year the Executive moved the JMT meetings to 4.00pm which eliminated the clash.

There were concerns raised that, although the attendance to Scrutiny meetings had improved, there had been an increase in the number of Members who left part way

through the meeting, particularly around noon. The Group felt that the Scrutiny meetings were important and Members should make themselves available to attend the full meetings and they should expect the meetings to last until at least 1.00pm. The Agenda for the meetings would highlight any requirements for lunch etc if the meetings were likely to run in to the afternoon.

AGREED – 1) That the draft dates and times of meetings for 2013/14 be approved.

2) That the concerns of the Group regarding Members of Scrutiny leaving part way through the meetings be highlighted with Group Leaders.

21/12 CHAIRS TRAINING

Councillor Whalen reminded the Group of the Scrutiny Chairs and Vice Chairs Training on Purposeful Meetings which had taken place in July 2012. He asked how the Chairs had used this training and if they had any suggestions for further training.

The Group all felt that the training had been particular useful and continued to use the literature as part of their role. They suggested training for new Members of Scrutiny and asked that opportunities to share training with other authorities be explored further.

They agreed that Task and Finish Groups had been very successful and were a practical way for in depth Scrutiny which Members enjoyed taking part in.

The Group noted that a number of reports had been through Scrutiny before being considered by the Executive and agreed that the process had helped to promote open and honest discussions which informed the decisions of the Executive in a much more timely manner.

The Group were disappointed that members of the local press did not attend Scrutiny meetings or publish outcomes or debates from the meetings. They agreed that Scrutiny should use the Council's press officer to promote the work of Scrutiny.

AGREED – 1) That training be arranged for new Members of Scrutiny in collaboration with other authorities where possible.

2) That discussions take place with the Council's press officer to consider how best to promote the work of Scrutiny.

22/12 ANY OTHER BUSINESS

It was confirmed that a Budget Scrutiny workshop had not been arranged for this budget cycle due to the Executive releasing their savings proposals earlier. The proposals were considered by each Panel before the full budget would come through Scrutiny.

23/12 DATE OF NEXT MEETING

AGREED – That the next meeting of the Scrutiny Chairs Group will take place on 1 February 2013 at 10.00am

(The meeting ended at 10.30am)

COMMUNITY OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2012/13

Date last revised: 12 November 2012

| Issue | Type of Scrutiny | | | | | | Comments/status | Meeting Dates | | | | | | | |
|--|------------------------|--|--|------------|--------|-----------|---|---------------|-----------|-----------|-----------|-----------|-----------|-----------|--|
| | Performance Management | Key Decisions Item/Referred from Executive | Policy Review/Development Scrutiny of Partnership/ External Agency | Monitoring | Budget | 07 Jun 12 | | 19 Jul 12 | 06 Sep 12 | 11 Oct 12 | 22 Nov 12 | 10 Jan 13 | 14 Feb 13 | 28 Mar 13 | |
| | | | | | | | | | | | | | | | |
| CURRENT MEETING – 22 nd November 2012 | | | | | | | | | | | | | | | |
| Tullie House Trust | | | | | | | Business Plan 2012/13 – 2015/16 | | | | | ✓ | | | |
| Budget 13/14 – 17/18 | | ✓ | ✓ | | | | Consideration of service implications | | | | | ✓ | | | |
| Choice Based Lettings | | ✓ | | | | | To scrutinise review of CBL | | | | | ✓ | | | |
| Performance Monitoring Reports | ✓ | | | | | | Reporting of performance relevant to remit of Panel | x | ✓ | ✓ | | ✓ | | ✓ | |
| Proposals of Implementation of Council Tax Technical Reforms | | ✓ | | | | | Consideration of Executive Report | | | | | ✓ | | | |
| TASK AND FINISH GROUPS | | | | | | | | | | | | | | | |
| Community Centres | | | | ✓ | | | Response from Executive | | | ✓ | ✓ | ✓ | | | |

COMMUNITY OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2012/13

Date last revised: 12 November 2012

| Issue | Type of Scrutiny | | | | | | Comments/status | Meeting Dates | | | | | | | |
|--|------------------------|--|---------------------------|--|------------|--------|---|---------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| | Performance Management | Key Decisions Item/Referred from Executive | Policy Review/Development | Scrutiny of Partnership/ External Agency | Monitoring | Budget | | 07 Jun 12 | 19 Jul 12 | 06 Sep 12 | 11 Oct 12 | 22 Nov 12 | 10 Jan 13 | 14 Feb 13 | 28 Mar 13 |
| Disabled Facilities Grants | | | ✓ | | ✓ | | To monitor action plan | | ✓ | | | | ✓ | | |
| Homelessness | | | ✓ | | | | Monitor implementation of recommendations | ✓ | | | | | ✓ | | |
| FUTURE MEETINGS | | | | | | | | | | | | | | | |
| Carlisle Plan | | ✓ | | | | | To consider draft Plan | | | | | | | | |
| Regulatory Reform Order – Empty Property Policy Amendments | | ✓ | | | | | Consideration of Executive Report (awaiting date) | | | | | | ? | ? | |
| Localisation of Council Tax | | ✓ | | | | | Draft scheme how Council will administer Council Tax Benefit discount from 1/4/12 | | | | ✓ | | | | |
| Executives Saving Proposals | | | | | | ✓ | Proposals for 2013/14 for areas within the remit of the Panel | | | | ✓ | | | | |

COMMUNITY OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2012/13

Date last revised: 12 November 2012

| Issue | Type of Scrutiny | | | | | | Comments/status | Meeting Dates | | | | | | | |
|----------------------------------|------------------------|--|---------------------------|--|------------|--------|---|---------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| | Performance Management | Key Decisions Item/Referred from Executive | Policy Review/Development | Scrutiny of Partnership/ External Agency | Monitoring | Budget | | 07 Jun 12 | 19 Jul 12 | 06 Sep 12 | 11 Oct 12 | 22 Nov 12 | 10 Jan 13 | 14 Feb 13 | 28 Mar 13 |
| Tenants Strategy | | ✓ | ✓ | | | | To comment on draft strategy | | | | ✓ | | | | |
| Riverside Carlisle | | | | ✓ | | | Monitoring progress and developments of joint working | | ✓ | | | | | ✓ | |
| Sports provision in the District | | | | | | | Panel to be involved in study and to consider final report | | | ✓ | | | ✓ | | |
| Annual Equality Report | ✓ | | | | | | Monitoring role | | | | | | | | ✓ |
| Rural Issues | ✓ | | ✓ | | | | Need to give consideration on what Members wish to do in this area | | | | | | | ✓ | |
| Working with Young People | | | ✓ | | ✓ | | To receive report on the services to young people including those NEET and the LSP C&YP Group | | | | | | ✓ | | |

COMMUNITY OVERVIEW AND SCRUTINY PANEL WORK PROGRAMME 2012/13

Date last revised: 12 November 2012

| Issue | Type of Scrutiny | | | | | | Comments/status | Meeting Dates | | | | | | | |
|--|------------------------|--|--|------------|--------|-----------|--|---------------------------|-----------|-----------|-----------|-----------|-----------|-----------|---|
| | Performance Management | Key Decisions Item/Referred from Executive | Policy Review/Development Scrutiny of Partnership/ External Agency | Monitoring | Budget | 07 Jun 12 | | 19 Jul 12 | 06 Sep 12 | 11 Oct 12 | 22 Nov 12 | 10 Jan 13 | 14 Feb 13 | 28 Mar 13 | |
| | | | | | | | | | | | | | | | |
| Scrutiny Annual Report | | | ✓ | | ✓ | | Draft report for comment before Chairs Group | | | | | | | | ✓ |
| COMPLETED ITEMS | | | | | | | | | | | | | | | |
| Shaddongate Resource Centre | | | | | ✓ | | Update on provision, services and financial plan | | | | ✓ | | | | |
| Crime and Disorder Reduction Partnership | ✓ | | ✓ | | | | To consider Joint Scrutiny arrangements for the CDRP | ✓ | ✓ | | | | | | |
| Neighbourhood Working | | | ✓ | | | | Monitor implementation of recommendations | ✓ | | | | | | | |
| INFORMATION ONLY ITEMS | | | | | | | | | | | | | | | |
| Details | | | | | | | | Date Circulated | | | | | | | |
| Food Law Enforcement Service Plan | | | | | | | | 24 th May 2012 | | | | | | | |



COMMUNITY OVERVIEW AND SCRUTINY PANEL

Panel Report

Public

Date of Meeting: 22nd November 2012

Title: COMMUNITY CENTRES

Report of: The Director of Community Engagement

Report reference: CD54/12

Summary:

This report provides a response to the Community Overview and Scrutiny Panels Task and Finish report looking at Community Centres. It provides some background and context before addresses the specific recommendations.

Questions for / input required from Scrutiny:

Community Overview and Scrutiny Panel should consider this response and assess if it provides an appropriate basis for acting on the Task and Finish Groups findings.

Recommendations:

Community Overview and Scrutiny Panel consider this report and provide advice and support in the implementation of the Task and Finish Group's recommendations.

Contact Officer: Keith Gerrard

Ext: 7350

1. Background

The Wellbeing Team has always and continues to offer advice and support to Community Centres with the aim of assisting them to become more effective, self sufficient and maximising their contribution to local communities. The City Council provides revenue grants totally approximately £304,000 and building maintenance in the region of £124,000pa to Community Centres.

Until February 2011 the City Council also supported Community Centres through its Community Engagement Manager. Working with Community Centres was the principal function of this role. The officer visited each centre on a regular basis (at least once a month and often weekly), provided reminders when, for example, safety certificates were due to expire and arranged the Community Centre Managers meetings (setting the agenda, leading discussions). The City Council also provided administrative support for individual Centre's monthly Board meetings.

The post of Community Engagement Manager became vacant in February 2011 and was deleted from the operational structure in April 2011. Liaison with Community Centre was from that point lead through the Wellbeing team, specifically the Community Development officer leading on Enterprise. This role could not offer the detailed level of involvement with each centre which had previously been provided. It was made clear to all the Centres that support would still be given. The lead officer met with all Centre managers on a number of occasions to reinforce this. This commitment remains ongoing.

In May 2011, a workshop was organised by the City Council, for the Community Centres to identify their needs. They identified training, individual Officer's roles and raised concerns about the future of their grants. In response to their request for training over £8,000 was spent in 2011/12.

In October 2011, the Wellbeing Manager, came into post. She attended one Federation meeting and one Managers meeting. It was made clear by the meeting organisers that any future visits would need to be by invite only.

In response to the Community Centres request for training relating to funding applications, the Wellbeing Manager commissioned the CVS to put together a bespoke training package and subsequently a six session package was offered to Centre Managers. A date was set which then had to be cancelled due to a low take up of

place. A second date was set but once again insufficient Centres agreed to attend, making it financially unviable to hold. Instead a one day session was rearranged which nine of the centres attended. Community Centres are also advised they can access the corporate training programme

In 2011 ICT Connect was commissioned by the City Council to help Community Centres develop new websites with the facility for Community Centre staff to update sites themselves. In November 2011 graduate apprentice started work on the project and has subsequently worked with the Community Centres to produce a completely new design that is fully standards compliant (accessible for the disabled), mobile device friendly and incorporates social media including Twitter, Facebook and Google calendars. Feedback has been extremely positive. In addition Immediacy training was given to the centres Community Centres are now requesting First Aid Training which the Wellbeing Manager is in the process of arranging.

A meeting has been arranged in November, facilitated by CVS and supported by the Portfolio Holder to develop Service Level Agreements between Centres and the City Council. The aim is to maximise the outreach benefits of the Community Centres, linking City Council services with local communities. This will ensure every Community Centre is able to meet clear objectives. Business planning will be a key component in how Community Centres plan their future activity both in the short, medium & long term. In addition a marketing strategy to raise the profile of the Community Centres will aid sustainability. The Wellbeing Team are working proactively with the centres to support them to achieve this.

The support previously offered on HR issues could potentially have left the City Council open to litigation.

2. Community Overview & Scrutiny Task & Finish Group – Support to Community Centres

The recommendations of the group are listed below with an update of the position to date by each and further actions:-

- A) That clarification of the ownership of each Community Centre building is sought as soon as possible.**

Update

The City Council owns all Community Centres except Longtown and Brampton

Longtown Community Centre

The Community Centre is subject to an unusual arrangement whereby the City Council holds title in trust for the Longtown Memorial Hall Community Centre charity which arose from a Charity Commissioners Scheme established in 2003. There is no lease or contract between the City Council and the Community Centre. The City Council undertakes the repairs.

Brampton Community Centre

The City Council surrendered their leasehold interest of the property known as the Irthing Centre, which included Brampton Business Centre units and the wooden hut and buildings occupied by Brampton Community Association, on 30th April 2009, to Cumbria County Council. The County Council leased the building to Brampton and Beyond Community Trust

In addition:-

Downagate Community Centre

The City Council owns the land and buildings. Lease dated 22/3/2002 to the Downagate Association. The tenants are responsible for all internal and external repairs apart from the retaining wall to the A69. The Association have leased a small area of land to the Northern Gas Networks Ltd dated 14/12/2005 for a term of 30 years.

- B) That Community Centres are provided with details on the criteria which will be required to access funding in 2013/14 as soon as possible.**

Update

The November meeting of Centre Managers will be facilitated by the CVS. Also in attendance will be the Portfolio Holder for Communities and Housing and the Community Development Officer for Enterprise. The outcome of the session will be for Managers to have a greater understanding of:

- Service Level Agreement arrangements, their use and scope
- The Cumbria Compact - an agreement between the Public Sector and the Voluntary & Community sector.
- The current social and economic value of Community Centres
- Summary and next steps for Community Centres and Carlisle City Council and Partner Support.

This meeting will form part of the process to establish Service Level Agreements with all the Community Centres. This will include the criteria that Community Centres will have to meet in order to access funding in 2013/14. With support from the Wellbeing Team, Community Centres will begin to identify needs within their communities. Appropriate activity can then be delivered by the Community Centres to match those identified needs.

- C) That consideration is given to an Officer from the City Council to attend part of the bi-monthly Community Centre Managers meeting to discuss ongoing issues and support. Consideration should also be given to an Officer from the Council visiting each Centre Manager individually in order facilitate a better relationship with the Community Centres.**

Update

The Wellbeing Manager contacted all Community Centres on the 12th October requesting that she be invited to attend part of the Community Centre Managers meeting to discuss ongoing issues and support

The Manager from Brampton Community Centre responded with the following:

“We would like to discuss further at our November managers meeting the support we feel we need from City to see if there are any generic needs that we need and then decide on whether it is worth your time to come to meetings on a regular basis. As you are aware all the centres are different and have different needs and it may be that the individual centres would get more from you by meeting with you on a one to one basis to discuss needs. I hope this is acceptable to you and we will be in touch after our November meeting”

Previously an Officer from the City Council, Dave Trussler, visited each Community Centre on a monthly basis as his main role was to support Community Centres. In some cases the visits were weekly and this took up a large part of his role. The role of the Wellbeing Manager and the Community Development Officer for Enterprise are different and cover a wider range of areas of work and associated projects. A further request has been made to the Centre Managers that they be allowed to attend the January Managers meeting to explain their roles and identify the best way to ensure regular dialogue is maintained.

Officers appreciate each centre will have different needs and the Wellbeing Manager has requested in the first instance that each centre email them with a list of their needs.

- D) That a Toolkit is developed for Community Centre Managers (or indeed for all Community groups) providing information on ‘how to’ do things and offer practical guide on funding, staff issues and contact numbers for advice and support.**

Update

All Community Centres except Downagate and Belah are, through Carlisle and District Federation of Community Organisations, members of Community Matters. Both Centre Managers have been provided with details of how to join Community Matters.

Community Matters champions voluntary and community action at a neighbourhood level, as a means of local people taking control of issues in their area and fostering community spirit. They do this in three ways:

Membership

By creating a national network of Community organisations and activists who share their vision and support our aims. Their membership is constantly evolving to meet changing social needs, and includes multipurpose community organisations,

communities of interest, local support and infrastructure bodies, and Associates. Members are supported with a comprehensive range of tool kits and hands-on advice and support, and help shape the direction of Community Matters by electing representatives to the National Executive Committee.

Services

By developing and delivering low-cost, targeted and practical support. This includes training and consultancy; free advice and legal services; business development support; online resources; and a dedicated youth department. They also offer deliver specialist programmes like Communitybuilders and Community Assets Matter, along with campaigns such as Red Flags crisis management and The YES Project for youth engagement. To underpin their commitment to the highest standard of community work they developed VISIBLE Communities™, comprising their nationally recognised quality standard and development tools.

Campaigning

By building a comprehensive programme of external affairs work covering policy, parliamentary affairs, communications and a growing portfolio of research work. They also seek to enable community activists by providing campaigning resources and briefings on legal and regulatory issues. In addition they are a member of and provide the secretariat for the Community Sector Law Monitoring Group, which lobbies on behalf of 15 voluntary and community sector networks.

They are increasingly committed to widening participation and access by delivering services and information online. This site was launched in November 2010 and will be further developed in the coming months.

The Council is unable to offer advice on staff issues. Clarification has been sought from the Council's Insurance Officer and the Council's insurers:

Their advice is:-

The City Council's insurers would consider this kind of service to be classed as a Professional Indemnity activity. This would mean that the City Council's insurers would have to put up any potential claims made against the City Council as a result of alleged 'wrong advice or bad service. The City Council only holds indemnity for statutory functions provided by the City Council and as Community Centres are external organisations we are not insured to offer this service.

- E) That the Community Support Worker (Children and Young People) look at innovative ways of recruiting young people onto management committees**

Update

As each Community Centre is slightly different a request has been made to Centre Managers and Centre Committee Chairmen asking to explain the potential roles that young people could be involved in at individual centres. This information would be shared with the wide range of young people that the Community Development Officer for Children and Young People has contact with. This would enable her to start identifying innovative ways to involve young people.

Impact assessments

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Does the policy/service impact on the following? | | |
| Age | Yes | Positive |
| Disability | Yes | Positive |
| Race | Yes | Positive |
| Gender/ Transgender | Yes | Positive |
| Sexual Orientation | Yes | Positive |
| Religion or belief | Yes | Positive |
| Human Rights | Yes | Positive |
| Health inequalities | Yes | Positive |
| Rurality | Yes | Positive |

If you consider there is either no impact or no negative impact, please give reasons:

.....

.....

.....

If an equality Impact is necessary, please contact the P&P team.

EXCERPT FROM THE MINUTES OF THE EXECUTIVE HELD ON 29 OCTOBER 2012

EX.130/12 SUPPORT TO COMMUNITY CENTRES (Non Key Decision)

Portfolio Communities and Housing

Relevant Overview and Scrutiny Panel Community

Subject Matter

Pursuant to Minute COSP.70/12, consideration was given to a reference from the Community Overview and Scrutiny Panel on 11 October 2012 regarding the final report of the Community Centre Task and Finish Group. The Panel had resolved:

"That the Community Centre Task and Finish Group report be approved and referred to the Executive for their formal response to the recommendations."

Copies of Report OS.30/12 and the Minute Excerpt had been circulated.

The Lead Member of the Community Centre Task and Finish Group was in attendance at the meeting. The Member began by expressing thanks to the Communities and Housing Portfolio Holder and Officers for their willingness to assist scrutiny with this one day piece of work. She added that Community Centre Managers had been extremely grateful for the time taken to meet with them, but had indicated that they felt isolated due to a lack of communication with the City Council.

The Task and Finish Group accepted that Community Centres required to be run as a business and that the Council needed to assist in that regard. It was also noted that support from Management Committees varied at each Centre, but most provided a lot of support. Although the Committees were supportive, they often lacked the necessary skills required. Constitutions were restrictive in terms of recruitment, in addition to which Managers had difficulty encouraging younger people onto Committees.

She further drew attention to the difficulties around grants and funding; and evidence provided by representatives of the Carlisle and District Federation of Community Organisations.

The Lead Member then outlined in some detail the Task Group's recommendations, together with the rationale therefor:

1. That clarification of the ownership of each Community Centre building is sought as soon as possible.

2. That Community Centres are provided with details on the criteria which will be required to access funding in 2013/14 as soon as possible.
3. That consideration is given to an Officer from the City Council to attend part of the bi-monthly Community Centre Managers' meeting to discuss ongoing issues and support. Consideration should also be given to an Officer from the Council visiting each Centre Manager individually in order to facilitate a better relationship with the Centres.
4. That a Toolkit is developed for Community Centre Managers (or indeed for all Community groups) providing information on 'how to' do things and offer practical guide on funding, staff issues and contact numbers for advice and support.
5. That the Community Support Worker (Children and Young People) look at innovative ways of recruiting young people onto management committees?

The Chairman of the Community Overview and Scrutiny Panel was concerned that examination of the issue had been restricted to one day only, since clearly relationship problems did exist between the City Council and the Community Centres. Notwithstanding that she felt that the five recommendations detailed above were excellent and, if there was sufficient capacity to carry those out, they would make a real difference in terms of addressing the issues identified.

In conclusion, the Chairman stressed that a great deal of time, effort and funding was expended with a view to addressing the needs of the community. People were enthusiastic and she felt sure that a meeting of minds could arise.

The Communities and Housing Portfolio Holder thanked the Task and Finish Group for their quite detailed work, commenting that some of the recommendations had already been met.

The Portfolio Holder said that work required to be done on both sides in order to improve the issue of communication. Referring to recommendation 3, it was her understanding that City Council Officers had to be invited prior to attendance at the bi-monthly Community Centre Managers' meetings. She alluded to recent very useful e-mail correspondence, which may also be of use to Managers. Development of a Toolkit for Community Centre Managers would also be of assistance.

She further believed that all Community Centres were members of "Community Matters" from which a great deal of advice could be obtained.

In conclusion, the Communities and Housing Portfolio Holder moved that the Executive respond to the recommendations at the next meeting of the Community Overview and Scrutiny Panel scheduled for 22 November 2012. The Culture, Health, Leisure and Young People Portfolio Holder seconded the recommendation.

Summary of options rejected None

DECISION

That the Executive had considered the final report of the Community Centre Task and Finish Group attached to Report OS.30/12; and would respond to the recommendations at the next meeting of the Community Overview and Scrutiny Panel on 22 November 2012.

Reasons for Decision

To respond to a reference from the Community Overview and Scrutiny Panel



EXECUTIVE DECISIONS

DECISIONS MADE AT THE EXECUTIVE MEETING HELD ON 19 NOVEMBER 2012

Date of Publication: 21 November 2012

| |
|--|
| CALL IN PERIOD ENDS 28 November 2012 at 1700 |
|--|

Notes:

- (a) Decisions may be called-in by the Chairman or any three Members of the relevant Overview and Scrutiny Committee.
- (b) Requests to call -in must be delivered to the Committee Section (by phone, email or in writing) by the date and time specified.
- (c) In the absence of any call-in, decisions will take effect and can be implemented 5 working days after publication of these Decisions.
- (d) Decision marked ** may not be called-in as they were made under special urgency rules.

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|--|
| Committee Section: Email – CommitteeServices@carlisle.gov.uk |
|--|

| | |
|--|--|
| Morag Durham – Lead Committee Clerk Rachel Rooney – Lead Committee Clerk Sheila Norton – Committee Clerk | 01228 817036 01228 817039 01228 817557 |
|--|--|

EXECUTIVE

MONDAY 19 NOVEMBER 2012 AT 4.00 PM

PRESENT:

Professor Councillor Hendry (Leader)
Councillor Glover (Deputy Leader; and Economy and Enterprise Portfolio Holder)
Councillor Ms Quilter (Culture, Health, Leisure and Young People Portfolio Holder)
Councillor Mrs Riddle (Communities and Housing Portfolio Holder)
Councillor Mrs Martlew (Environment and Transport Portfolio Holder)
Councillor Dr Tickner (Finance, Governance and Resources Portfolio Holder)

Town Clerk and Chief Executive
Deputy Chief Executive
Director of Governance
Director of Resources
Director of Community Engagement
Director of Economic Development
Director of Local Environment

ALSO PRESENT:

Councillor Mrs Luckley (Chairman of the Community Overview and Scrutiny Panel)
Councillor Layden (Chairman of the Environment and Economy Overview and Scrutiny Panel)
Councillor Watson (Chairman of the Resources Overview and Scrutiny Panel)

Councillors Allison, Bloxham, McDevitt and Mrs Prest (observers)

APOLOGIES FOR ABSENCE

There were no apologies for absence.

DECLARATIONS OF INTEREST

There were no declarations of interest affecting the business to be transacted at the meeting.

MINUTES OF PREVIOUS MEETING

The Minutes of the meeting of the Executive held on 3 September 2012 were signed by the Chairman as a true record of the meeting.

**EX.132/12 2012/13 REVISED REVENUE BASE ESTIMATES AND UPDATED
MEDIUM TERM FINANCIAL PLAN PROJECTIONS: 2013/14 TO 2017/18**
(Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.43/12 providing a summary of the Council's revised revenue base estimates for 2012/13, together with base estimates for 2013/14 and updated reserve projections to 2017/18. The base estimates had been prepared in accordance with the guiding principles for the formulation of the budget over the next five year planning period as set out in the Medium Term Financial Plan (MTFP) and Charging Policy; Capital Strategy; and Asset Management Plan agreed by Council on 11 September 2012. The report set out known revisions to the Medium Term Financial Plan projections, although there were a number of significant factors affecting the budget that were currently unresolved, and he reported in some detail on those key issues which included:

- (a) Government Finance Settlement - RSG and NNDR
- (b) Welfare Reform Act
- (c) Local Government Resource Review regarding the localisation of Business Rates
- (d) Fundamental Review of Local Environment Budgets
- (e) Transformation

The Finance, Governance and Resources Portfolio Holder informed Members that the potential impact of any new spending pressures and new savings identified was not reflected within the report, as there were a number of options for Member consideration. Decisions would need to be made to limit budget increases to unavoidable and high priority issues, together with maximising savings and efficiencies (and probable use of reserves) to enable a balanced budget position to be recommended to Council in February 2013.

He summarised the movements in base budgets and highlighted for Members the updated MTFP projections; the projected impact on revenue reserves; together with a summary of the financial outlook and budget discipline 2013/14 to 2017/18.

The Finance, Governance and Resources Portfolio Holder then moved the recommendations as detailed within the report, which were duly seconded by the Leader.

Summary of options rejected None

DECISION

1. That the revised base estimates for 2012/13 and base estimates for 2013/14 be noted.
2. That the current Medium Term Financial Plan projections, which would continue to be updated throughout the budget process as key issues became clearer and decisions were taken, be noted.

Reasons for Decision

To note the Revenue Base Estimates and updated Medium Term Financial Plan projections for consideration as part of the 2013/14 budget process

EX.133/12 REVIEW OF CHARGES 2013/14 – LOCAL ENVIRONMENT (Key Decision – KD.033/12)

Portfolio Environment and Transport

Relevant Overview and Scrutiny Panel Community; Environment and Economy; and Resources

Subject Matter

The Environment and Transport Portfolio Holder submitted report LE.34/12 setting out the proposed fees and charges for 2013/14 relative to those services falling within the responsibility of the Local Environment Directorate.

The Environment and Transport Portfolio Holder reminded Members that a new charging structure for off-street parking had been introduced in 2012/13 and, despite the structure having only been in place since 1 April 2012, Officers were starting to build a picture of its impact.

Measures put in place following recommendations by Buchanan Consultants last year included the revised charging structure and the introduction of Pay By Phone facilities. Table 3 of the report showed that such measures had enabled the Council to prevent the decline in income for Category 1 and Category 2 car parks. Although the income from category 3 and Category 4 car parks continued to decline, car park sales had increased in Devonshire Walk car park showing that customers were beginning to return.

The uptake of Pay By Phone at the Sands Centre car park was unexpectedly low but, with increased marketing and awareness activity, there was potential to substantially increase the income within Category 3. Furthermore, there was evidence to suggest that increasing charges would trigger a fall in car park use and sales.

In light of the above, it was proposed that off street parking charges should remain unchanged as per Table 2, whilst the measures recommended by Buchanan were further evaluated and uptake of the Pay By Phone facility was encouraged.

The Environment and Transport Portfolio Holder drew Members' attention to the charging proposals for Talkin Tarn Car Park (set out on page 22, table 7 of the bound budget book). She proposed an amendment to the Table, to the effect that car parking would remain free until 10:00 each day, so the proposed charge from 08:00 – 09.59 hrs is deleted. After 10:00 charges will apply of £1 for the first hour, rising to £2 for stays of more than an hour up to 18:00. After 18:00 the car park will be free.

Details of the proposed charges in relation to City Centre usage by external organisations; Allotments; Parks and Green Spaces; Sports Pitches; Environmental Health; Food Safety; Waste Services and Street Cleaning; and Bereavement Services were also provided.

The Environment and Transport Portfolio Holder advised that with the exception of Talkin Tarn, the income from which was ring-fenced, acceptance of the charges highlighted within the report would result in an anticipated level of income of £2,629,800 against the Medium Term Financial Plan target of £2,679,800. That represented a shortfall of £50,000 against the MTFP target.

In conclusion, the Environment and Transport Portfolio Holder moved the recommendation (subject to the amendment of the Talkin Tarn car park charges as outlined above), which was duly seconded by the Leader.

Summary of options rejected None

DECISION

That the Executive agreed for consultation the proposed charges (including the amended charges for Talkin Tarn car park), as set out in Report LE.34/12 and relevant appendices with effect from 1 April 2013; noting the impact of those charges on income generation, as detailed within the report.

Reasons for Decision

To ensure that the City Council's Corporate Charging Policy is complied with

EX.134/12 REVIEW OF CHARGES 2013/14 – COMMUNITY ENGAGEMENT (Key Decision – KD.033/12)

Portfolio Communities and Housing

Relevant Overview and Scrutiny Panel Community; and Resources

Subject Matter

The Communities and Housing Portfolio Holder submitted report CD.53/12 setting out the proposed fees and charges for the Hostel services and Disabled Facilities Grants (DFGs) falling within the responsibility of the Community Engagement Directorate.

The Portfolio Holder gave an overview of the current position with regard to the provision of housing related support within the Hostel Services and outlined proposed charges for 2013/14. Pending Executive approval for the revised rent charges, the Portfolio Holder considered it prudent to flag up a projected £14,000 deficit on the proposed 2013/14 revenue budget for the Hostels. She added that a further review of hostel expenditure would be undertaken to bridge the shortfall and ensure that expenditure was in line with the budget.

The Communities and Housing Portfolio Holder further outlined details of the proposed DFG fees for 2013/14, highlighting the need to review the MTFP for DFGs to accurately reflect the spend as part of a review in 2013/14.

The introduction of the hostel charges and DFG proposed fee charges were forecast to generate income of £516,500 and £123,800.

In conclusion the Communities and Housing Portfolio Holder moved the recommendation, which was duly seconded by the Leader.

Summary of options rejected None

DECISION

That the Executive agreed for consultation the increase in charges, as set out in Report CD.53/12, with effect from 1 January 2013; and noted the impact thereof on income generation as detailed within the report.

Reasons for Decision

To ensure that hostel charges and DFG fees reflect the actual costs of service provision and are in line with the City Council's Corporate Charging Policy

EX.135/12 REVIEW OF CHARGES 2013/14 – ECONOMIC DEVELOPMENT (Key Decision – KD.033/12)

Portfolio Economy and Enterprise

Relevant Overview and Scrutiny Panel Environment and Economy; and
Resources

Subject Matter

The Economy and Enterprise Portfolio Holder submitted joint report (ED.35/12) with the Culture, Health, Leisure and Young People Portfolio Holder setting out the proposed fees and charges for areas falling within the responsibility of the Economic Development Directorate. The proposed charges related to Economic Development and Tourism; and Planning Services.

He informed Members that acceptance of the charges highlighted within the report, with the exception of Building Control which was self financing, would result in an anticipated level of income of £575,000 against the Medium Term Financial Plan target of £579,100. That represented a shortfall of £4,100 which could be accommodated within base budgets.

The Economy and Enterprise Portfolio Holder moved the recommendation, which was seconded by the Culture, Health, Leisure and Young People Portfolio Holder.

Summary of options rejected None

DECISION

That the Executive agreed for consultation the proposed charges, as set out in the relevant Appendices to Report ED.35/12, with effect from 1 April 2013; noting the impact those would have on income generation as detailed within the report.

Reasons for Decision

To ensure that the City Council's Corporate Charging Policy is complied with

EX.136/12 REVIEW OF CHARGES 2013/14 – GOVERNANCE AND RESOURCES (Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report GD.64/12 setting out the proposed fees and charges for areas falling within the remit of the Governance Directorate.

He outlined the proposed charges in respect of Electoral Registers; Minute Books, Room Bookings and Access to Information Requests; Local Land Searches; and MOT charges, the introduction of which was forecast to generate income of £170,200 in 2013/14.

The Finance, Governance and Resources Portfolio Holder moved the report, which was duly seconded by the Leader.

Summary of options rejected None

DECISION

That the Executive agreed for consultation the proposed charges, as set out in Appendix A to Report GD.64/12, with effect from 1 April 2013; and noted the impact thereof on income generation as detailed within the report.

Reasons for Decision

To ensure that the City Council's Corporate Charging Policy is complied with

EX.137/12 REVIEW OF CHARGES 2013/14 – GOVERNANCE DIRECTORATE – LICENSING (Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report GD.61/12 setting out the fees and charges for areas falling within the responsibility of the Licensing Section of the Governance Directorate. He advised Members that the Regulatory Panel

had responsibility for determining the licence fees and the approved fees reflected in the attached report would be considered by the Panel on 21 November 2012.

The Finance, Governance and Resources Portfolio Holder moved the recommendation, which was duly seconded by the Leader.

Summary of options rejected None

DECISION

That the Executive noted the Charges which would be submitted for approval by the Regulatory Panel on 21 November 2012.

Reasons for Decision

To ensure that the City Council's Corporate Charging Policy is complied with and sufficient income is generated to cover the costs associated with administering and enforcing the Council's statutory licensing function

EX.138/12 BUDGET 2013/14 TO 2017/18 - SUMMARY OF NEW REVENUE SPENDING PRESSURES (Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Community; Environment and
Economy; and Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.44/12 summarising the new revenue spending pressures and reduced income projections which would need to be considered as part of the 2013/14 budget process. He reminded Members that the issues had to be considered in the light of the Council's corporate priorities.

The Finance, Governance and Resources Portfolio Holder then outlined the pressures identified in the report. He added that clearly all of the pressures could not be accommodated within existing resources (including the use of reserves) and decisions would need to be made throughout the budget process to limit pressures to high priority and unavoidable issues to ensure that a balanced budget position was recommended to Council in February 2013.

The Finance, Governance and Resources Portfolio Holder then moved the recommendations.

Summary of options rejected None

DECISION

That Report RD.44/12 on the new revenue spending pressures be received and forwarded to the relevant Overview and Scrutiny Panels for consideration as part of the 2013/14 budget consultation process.

Reasons for Decision

To make arrangements for the new revenue spending pressures to be considered as part of the 2013/14 budget process

EX.139/12 BUDGET 2013/14 TO 2017/18 - SUMMARY OF NEW SAVING PROPOSALS AND ADDITIONAL INCOME (Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Community; Environment and Economy;
and Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.45/12 summarising proposals for savings and additional income generation to be considered as part of the 2013/14 budget process. He reminded Members that the Savings Strategy approved by Council on 11 September 2012 focussed on the following areas to deliver the savings required to produce a balanced longer term budget:

- (a) Asset Review;
- (b) Service Delivery Models; and
- (c) Transformation Programme.

The Finance, Governance and Resources Portfolio Holder reported that, at this stage, the Executive (and Overview and Scrutiny) were being asked to give initial consideration to the new proposals for further permanent reductions in base expenditure budgets and also increases to income budgets from 2013/14 onwards. The requests needed to be considered in the light of the projected budget shortfall outlined in Report RD.43/12 and also the spending pressures in RD.44/12.

He summarised the proposed savings, and also highlighted the new savings proposals and additional income projections.

In conclusion, the Finance, Governance and Resources Portfolio Holder moved the recommendations set out in the report.

Summary of options rejected None

DECISION

1. That the proposed reductions to the base budget from 2013/14 onwards, as set out in Report RD.45/12, be received and forwarded to the relevant Overview and Scrutiny Panels for consideration as part of the budget consultation process.
2. That it be noted that the Senior Management Team would continue to investigate efficiencies and savings in accordance with the Transformational Savings Strategy.

Reasons for Decision

To make arrangements for the proposals for savings and additional income generation to be considered as part of the 2013/14 budget process

EX.140/12 REVISED CAPITAL PROGRAMME 2012/13 AND PROVISIONAL CAPITAL PROGRAMME 2013/14 TO 2017/18 (Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Community; Environment and Economy; and Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.46/12 detailing the revised Capital Programme for 2012/13, together with the proposed method of financing. The report summarised the proposed programme for 2013/14 to 2017/18 in the light of the new capital pressures identified, and summarised the estimated and much reduced capital resources available to fund the programme.

Details of the current commitments and five new spending proposals were provided.

The Finance, Governance and Resources Portfolio Holder highlighted for Members the summary of the estimated revised resources available to finance the capital programme for 2013/14 to 2017/18 based on the announcements by Government in the spending review. A summary of the estimated resources compared to the proposed programme year on year was also provided.

The Finance, Governance and Resources Portfolio Holder then moved the recommendations as detailed within the Director's report.

Summary of options rejected None

DECISION

That the Executive :

1. Noted the revised capital programme and relevant financing for 2012/13 as set out in Appendices A and B of Report RD.46/12;

2. Recommended that the City Council approve reprofiling of £3,000,000 and savings of £2,080,300 from 2012/13 identified in the review;
3. Made recommendations to Council to approve virements from underspends from Kingstown Industrial Estate (£150,100) and Families Accommodation Replacement (£100,000) to fund additional expenditure at the Resource Centre;
4. Had given initial consideration to the capital spending requests for 2013/14 to 2017/18 contained in Report RD.46/12 in the light of the estimated available resources; and
5. Noted that any capital scheme for which funding had been approved by the Council may only proceed after a full report, including business case and financial appraisal, had been approved.

Reasons for Decision

To note the details of the revised Capital Programme and relevant financing and make arrangements for the new capital bids to be considered as part of the 2013/14 budget process

EX.141/12 CORPORATE ASSETS – 3 YEAR REPAIR AND MAINTENANCE PROGRAMME (Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.53/12 setting out the maintenance programme and budget proposals for the Council's Corporate Property assets for the three year period 2013/14 to 2016/17.

He reminded Members that local authorities had a duty to manage their property assets, particularly operational assets, in a safe and efficient manner which contributed to the quality of service delivery. The maintenance strategy was fully integrated with the Asset Management Plan and Environmental Policy. In addition, the Council followed good practice by, where practical, allocating its budget 70% planned maintenance and 30% reactive maintenance.

The revenue maintenance budget amounted to approximately £656,200 spread across a wide range of assets. In accordance with recommendation R6 in the 2012 Audit of Facilities Management the maintenance budgets for next year and those for the next three years (based on a continuation basis as set out in the Medium Term Financial Plan) were included at Appendix A. It was emphasised that, whilst the allocation was necessary for budget purposes, the Building Services Manager (authorised by the Director of Resources) could redistribute funding to meet specific or emergency needs. That element of flexibility was essential to avoid any service disruption.

Since certain assets (monuments and statues, Dixon's Chimney, West Walls, Herbert Atkinson House, Carlisle Fire Station and the Castle Banks) currently had no budget allocation it was proposed to re-organise some budgets into larger groups of assets according to type. That course of action would give greater flexibility; and ensure that all assets were linked to a particular maintenance budget. The overall revenue maintenance budget would not be increased.

The Finance, Governance and Resources Portfolio Holder further reported that the Council had a capitalised major repairs and improvement programme with a provision of £300,000 included in the capital programme. That sum was allocated according to need, with priority being given to those projects with health and safety; legal compliance and preservation of assets arising from the five year plan.

He then drew Members' attention to the suggested prioritisation, based on the above criteria, set out in Table 1; together with the current position regarding asbestos re-surveys and status analysis.

In conclusion, the Finance, Governance and Resources Portfolio Holder moved the recommendations set out in the report, which were seconded by the Leader.

Summary of options rejected None

DECISION

1. That the three year revenue maintenance programme set out in Appendix A to Report RD.53/12 be approved with the budget of £656,200 for 2013/14 and considered as part of the budget process.
2. That the 2013/14 capital budget allocation of £300,000 be approved for consideration as part of the budget process.
3. That the list of capital projects be approved as detailed in Table 1 of the report.

Reasons for Decision

To plan the Council's repairs and maintenance programme and make proposals for future revenue and capital budgets to meet those requirements

**EX.142/12 TREASURY MANAGEMENT JULY - SEPTEMBER 2012 AND
FORECASTS FOR 2013/14 TO 2017/18**
(Key Decision – KD.033/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.47/12 providing the regular quarterly report on Treasury Transactions, together with an interim report on Treasury Management as required under the Financial Procedure Rules. The report also discussed the City Council's Treasury Management estimates for 2013/14 with projections to 2017/18, and set out information regarding the requirements of the Prudential Code on local authority capital finance.

He stated that the report clearly demonstrated the high quality work undertaken by Officers, together with the Executive's intention to carry out capital projects thus creating employment in the City.

The Finance, Governance and Resources Portfolio Holder then moved the recommendation set out in the report, which was duly seconded by the Leader.

Summary of options rejected None

DECISION

That Report RD.47/12 be received and the projections for 2013/14 to 2017/18 be incorporated into the Budget reports elsewhere on the Agenda.

Reasons for Decision

To receive the report on Treasury Management and refer it as part of the budget process

**EX.143/12 TULLIE HOUSE MUSEUM AND ART GALLERY TRUST BUSINESS PLAN
2013/14 – 2015/16**
(Key Decision – KD.029/12)

Portfolio Culture, Health, Leisure and Young People

Relevant Overview and Scrutiny Panel Community

Subject Matter

The Culture, Health, Leisure and Young People Portfolio Holder submitted report CD.45/12 introducing the Tullie House Museum and Art Gallery Trust 2012-2015 Business Plan.

The Portfolio Holder explained that the purpose of the report was to facilitate consideration of the Business Plan in order that the Council may, in due course, agree core funding for the Trust. That was in line with Section 5 of the Partnership Agreement signed at the establishment of the Trust, that the Business Plan submitted by the Trust to the City Council should be used as the basis for agreeing funding.

In conclusion the Culture, Health, Leisure and Young People Portfolio Holder moved the recommendations, which were seconded by the Leader.

Summary of options rejected None

DECISION

The Executive had given consideration to Report CD.45/12 and the proposed Tullie House Museum and Art Gallery Trust Business Plan; and made the report available for consideration by the Community Overview and Scrutiny Panel.

Reasons for Decision

The recommendations allow this report, the associated Business Plan and core funding to be approved in line with the Partnership Agreement

EX.144/12 LOCAL SUPPORT FOR COUNCIL TAX (Key Decision – KD.038/12)

Portfolio Communities and Housing

Relevant Overview and Scrutiny Panel Community; and Resources
Subject Matter

Pursuant to Minute EX.093/12, the Communities and Housing Portfolio Holder submitted Report CD.55/12 concerning the issue of local support for Council Tax.

The Communities and Housing Portfolio Holder reminded Members that they had on 6 August 2012 considered report CD.39/12 which outlined the draft proposals for consultation for a local scheme through which the City Council would administer Support for Council Tax. She outlined the key recommendations of that report.

Following consideration, the recommendations had been approved and the consultation process for the draft Scheme initiated.

Members' attention was drawn to the findings from the consultation, namely that the vast majority of respondents supported the draft proposals.

The Community Overview and Scrutiny Panel had considered the matter on 11 October 2012 and resolved (COSP.68/12):

"That the Panel:

Agreed the principle of not reducing the current level of reductions given to existing Council Tax Benefit recipients when changing from a Benefit to a Discount.

Agreed that Carlisle City Council's LSCT Scheme would be identical to the current Department for Work and Pensions Council Tax Benefit Scheme but written as a S13A policy document, under The Local Government Finance Act 1992 (as amended), to ensure it becomes a legal discount rather than a Benefit.

Agreed the principles of funding the scheme, in part or full, through the application of Council Tax Technical Reforms and other funding streams.

Was aware that the full LSCT S13A policy and the decisions regarding implementation of Council Tax Technical Reforms and other funding streams would need to be approved by Council on 8 January 2013.

Approved the principle of a draft policy (statement of intent), to include consultees, as part of the formal consultation process.

Agreed that consideration be given to the financial implications of the local scheme during the first operational year and the position reviewed for subsequent years.

That a further update on the Localisation Support for Council Tax be submitted to the next meeting of the Panel.”

The Chairman of the Community Overview and Scrutiny Panel addressed the Executive. She emphasised that the public consultation period had closed just prior to the Panel meeting. The key question had been to seek views on the intention to maintain support at the same level, together with options for potential scheme changes. The findings from the consultation would be analysed and the Panel would examine that via a further report.

The Chairman also stressed that Panel Members were anxious that unintentional fraud would be treated sympathetically by the City Council, and had received an assurance to that effect. She added that the Panel was concerned as to whether sufficient resources were available within the Directorate to undertake the work, but the Communities and Housing Portfolio Holder was confident that the work could be done within current resources.

In addition, the Resources Overview and Scrutiny Panel on 18 October 2012 had resolved (ROSP.73/12):

“1) That the localisation of Council Tax report CD.50/12 be noted.

2) That the Panel were in support of the progress made and the recommendations with the report.

3) That a further report be submitted to the Panel following the introduction of the legislation.”

The Chairman of the Resources Overview and Scrutiny Panel was present at the meeting and gave an overview of the Panel’s work on a variety of issues, details of which could be found within his report to Council on 13 November 2012. On the issue of the Localisation of Council Tax he confirmed that the Panel was supportive of the progress made and the recommendations contained within the report.

In conclusion, the Communities and Housing Portfolio Holder recommended that the proposals be submitted for approval by the City Council in January 2013. The Leader seconded the recommendation.

Summary of options rejected None

DECISION

That the proposed Scheme for Local Support for Council Tax be submitted for approval by full Council in January 2013.

Reasons for Decision

The proposed scheme would maintain support at the entitlement levels currently awarded. As a result, the new scheme would continue to support those most in need of assistance

EX.145/12 PROPOSALS FOR IMPLEMENTATION OF COUNCIL TAX TECHNICAL REFORMS TO DISCOUNTS AND EXEMPTION (Key Decision – KD.042/12)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources; and Community

Subject Matter

The Finance, Governance and Resources Portfolio Holder reported (RD.48/12) that the Local Government Finance Bill contained a number of 'technical' changes giving Councils greater freedom to vary existing discounts and exemptions. The Government considered that to be a suitable means of helping to offset the cost of a Local Support for Council Tax Scheme (LSCT) as the additional income would be shared between the precepting authorities in the same proportions they were funding the LSCT.

The report set out the current position in terms of the Council's Localised Support for Council Tax Scheme (LSCT); Council Tax Technical Reforms; together with details of the considerations and proposals relating to detailed Council Tax Technical Reforms.

The Finance, Governance and Resources Portfolio Holder informed Members that the Council Tax Technical reforms were due to take effect on 1 April 2013 and, under the new proposals, local authorities would have limited discretion to reduce the exemption / discounts (increase the Council Tax liability) on empty dwellings and second homes. He added that, based on 2012/13 figures, the estimated shortfall for Carlisle was estimated at c.£120,000 - £190,000. Details of the anticipated savings that might be made from the changes to Council Tax discounts were summarised at paragraph 5.1 of the report.

The decisions to be made around setting levels of discount and premium for the wider Council Tax Technical Reforms required careful consideration, particularly as regards the financial, economic and wider community impact. The changes to discount suggested in the report took the 'middle road' between making full use of the technical changes to maximise income and minimise the impact on Council Tax payers. It should be noted however that the owners of empty homes were unlikely to welcome any reduction in their current discounts.

The Finance, Governance and Resources Portfolio Holder felt that Officers had done a remarkable job in terms of the level of detail set out within the report.

In conclusion the Finance, Governance and Resources Portfolio Holder moved the recommendations, which were duly seconded by the Leader.

Summary of options rejected None

DECISION

1. That the Executive had considered the proposals set out in Report RD.48/12 and summarised in paragraph 5.1 as a means to fund in part the grant reductions to be introduced from 1 April 2013 in funding the cost of the localisation of Council Tax Benefits (discounts).
2. That the recommendation of the Executive be progressed to Council as part of the 2013/14 budget considerations.
3. That the Executive wished to place on record their recognition of the remarkable work undertaken by Officers on this matter.

Reasons for Decision

To secure the implementation of Council Tax Technical Reforms to discounts and exemptions

EX.146/12 TENANCY STRATEGY
(Key Decision – KD.039/12)

Portfolio Communities and Housing

Relevant Overview and Scrutiny Panel Community

Subject Matter

The Communities and Housing Portfolio Holder reported (CD.51/12) that, as Members were aware, the Localism Act 2011 introduced a programme of reform which would change the way people accessed social housing; the way tenancies were issued; and the way the homelessness duty was discharged.

In order to meet the requirements of the Localism Act 2011, the City Council was required to publish a Tenancy Strategy by 15 January 2013 providing a framework for the delivery of new affordable homes and setting out the broad objectives that registered providers must have regard to when developing or reviewing their own tenancy policies.

The Portfolio Holder drew Members' attention to the Tenancy Strategy appended to the report, together with the summary of the Council's position on each of the draft Strategy areas.

The Community Overview and Scrutiny Panel had, on 11 October 2012, considered the matter and resolved to endorse the Tenancy Strategy as set out in Report CD.46/12. A copy of Minute Excerpt COSP.69/12 had been circulated.

The Chairman of the Community Overview and Scrutiny Panel informed the Executive that the Panel was concerned as to whether there would be any flexibility in the application of the under occupancy rules, but had been informed that the Government's position was clear and application of the policy would be determined by local providers.

The Panel had also questioned rent levels for social rents, affordable rents and marketable rents and had subsequently received details of the exact figures in writing.

In conclusion, the Communities and Housing Portfolio Holder recommended that the Executive approve the content of the draft Tenancy Strategy; which would come back to the Executive on 17 December 2012, prior to referral to full Council for consideration. The Leader seconded the recommendation.

Summary of options rejected None

DECISION

That the Executive approved the content of the draft Tenancy Strategy, appended to Report CD.51/12, prior to referring it to full Council for consideration.

Reasons for Decision

Carlisle City Council is required to publish a Tenancy Strategy by 15 January 2013 to provide the framework for the delivery of new affordable homes, and to set out the broad objectives that registered providers must have regard to when developing or reviewing their own tenancy policies

EX.147/12 NOTICE OF EXECUTIVE KEY DECISIONS (Non Key Decision)

Portfolio Cross-Cutting

Relevant Overview and Scrutiny Panel Community; Environment and
Economy; and Resources

Subject Matter

The Notice of Executive Key Decisions dated 19 October 2012 was submitted for information.

The Director of Community Engagement was scheduled to submit a report concerning the Regulatory Reform Order – Empty Property Policy Amendments (KD.041/12). Further clarity was needed on potential funding sources and assessment of financial risk and the matter was therefore deferred.

The Policy and Communications Manager was scheduled to report on the Carlisle Plan 2012-13 (KD.037/12). Further work was required and the matter was therefore deferred.

Summary of options rejected None

DECISION

That the Notice of Executive Key Decisions dated 19 October 2012 be noted.

Reasons for Decision

Not applicable

EX.148/12 SCHEDULE OF DECISIONS TAKEN BY OFFICERS (Non Key Decision)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

Details of decisions taken by Officers under delegated powers were submitted.

Summary of options rejected None

DECISION

That the decisions, attached as Appendix A, be noted.

Reasons for Decision

Not applicable

EX.149/12 REFERENCE FROM THE ENVIRONMENT AND ECONOMY OVERVIEW AND SCRUTINY PANEL – SMALL SCALE COMMUNITY PROJECTS (Non Key Decision)

Portfolio Communities and Housing

Relevant Overview and Scrutiny Panel Environment and Economy

Subject Matter

Pursuant to Minute EEOSP.63/12, consideration was given to a reference from the Environment and Economy Overview and Scrutiny Panel concerning small scale community projects. A copy of Report OS.24/12 and the Minute Excerpt had been circulated.

The Chairman of the Environment and Economy Overview and Scrutiny Panel was in attendance at the meeting. He reported that the Panel was totally supportive of retention of the scheme which had proven value for the community. Task Group Members had considered the budget expenditure and highlighted various excellent examples of inspiring community based projects which had been funded by small scale grants.

Task Group Members had agreed that a deadline on applications of 30 January 2013 would lighten any end of year surges in applications. In addition, they had questioned whether the partnership funding of the Neighbourhood Forum represented similar value to the work of the District Councillor, feeling that perhaps the money used there could be added to the small scale fund.

In conclusion, the Chairman reported that the Panel had requested that the Executive include a non-recurring budget for 2013/14 of £40,000 for the Members' Small Scale Projects.

In response, the Communities and Housing Portfolio Holder moved that a non-recurring budget of £40,000 for the Members' Small Scale Projects be included for 2013/14. The Leader seconded the recommendation.

Summary of options rejected None

DECISION

That the Executive had considered the reference from the Environment and Economy Overview and Scrutiny Panel; and agreed to the inclusion of a non-recurring budget for 2013/14 of £40,000 for the Members' Small Scale Projects.

Reasons for Decision

To respond to a reference from the Environment and Economy Overview and Scrutiny Panel

EX.150/12 REFERENCE FROM THE ENVIRONMENT AND ECONOMY OVERVIEW AND SCRUTINY PANEL – CARLISLE CITY CENTRE BUSINESS IMPROVEMENT DISTRICT UPDATE
(Non Key Decision)

Portfolio Economy and Enterprise

Relevant Overview and Scrutiny Panel Environment and Economy

Subject Matter

Pursuant to Minute EEOSP.64/12, consideration was given to a reference from the Environment and Economy Overview and Scrutiny Panel concerning the establishment of a Business Improvement District. A copy of the Minute Excerpt had been circulated.

The Chairman of the Environment and Economy Overview and Scrutiny Panel drew Executive Members' attention to the valuable feedback provided by a Panel Member (and BID voter) details of which were set out on page 2 of the Minute Excerpt. He added that the Panel had recommended that the Executive continue to support all efforts being made to establish a Business Improvement District.

In response, the Economy and Enterprise Portfolio Holder recognised the very useful scrutiny session undertaken on 25 October 2012.

Although some of his thoughts had already been rehearsed at the meeting of the City Council on 13 November 2012, the Portfolio Holder emphasised that the good relationship the City Council had with local businesses was vital. One lesson which could be derived from the failed BID was the need to ensure that any future ballot was business led.

The Economy and Enterprise Portfolio Holder expressed his concern that a former Portfolio Holder thought that the BID money may have been included in the Council's base budget, which was not the case.

The Portfolio Holder reiterated that the Executive was looking to support businesses within the City Centre in any way it could; to build relationships with the Shadow Board in order that any future BID would have the best chance of success; and to learn from Penrith.

In conclusion, the Economy and Enterprise Portfolio Holder wished to place on record the thanks of the Executive to all staff involved in the excellent Christmas Lights switch on event held on 18 November 2012, and to those staff who had ensured that the City Centre was in spotless condition this morning.

Summary of options rejected None

DECISION

That the Environment and Economy Overview and Scrutiny Panel be informed that the Executive would continue to support all efforts being made to support businesses both in the City Centre and in the wider District.

Reasons for Decision

To respond to a reference from the Environment and Economy Overview and Scrutiny Panel

EX.151/12 JOINT MANAGEMENT TEAM
(Non Key Decision)

Portfolio Various

Relevant Overview and Scrutiny Panel Community; Environment and
Economy; and Resources

Subject Matter

The Minutes of the meeting of the Joint Management Team held on 13 September 2012 were submitted for information.

Summary of options rejected None

DECISION

That the Minutes of the meeting of the Joint Management Team held on 13 September 2012, attached as Appendix B, be received.

Reasons for Decision

Not applicable

EX.152/12 REVENUE BUDGET OVERVIEW AND MONITORING REPORT: APRIL TO SEPTEMBER 2012 (Non Key Decision)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted the Revenue Budget Overview and Monitoring Report (RD.51/12) for the period April to September 2012. He outlined the overall budget position, the monitoring and control of expenditure against budget allocations and the exercise of virement. Details of balance sheet management issues, high risk budgets and performance management were also provided.

The Finance, Governance and Resources Portfolio Holder highlighted a number of key issues, including: the Salary Turnover Savings Budget; and progress with regard to transformational and efficiency savings.

He added that the Council's financial position was affected by a number of external factors which had a financial impact during the course of the year and ultimately at the year end. Those included:

- the general effect of the economic climate on the Council's income streams e.g. car parking and leisure activities;
- fuel prices, energy costs and other inflationary issues; and
- the effects of the housing market and property prices, especially with regard to income from land charges and rents.

The Council's financial position would continue to be closely monitored and reported more fully in the next quarterly monitoring report.

The Portfolio Holder further pointed out that the main variances in the Directorates' Budgets were also set out in the report and he gave an overview of the forecast outturn position for 2012/13. He added that, at this stage of the year, the level of bad debts was broadly in line with expectations and would be within the scope of the current provisions to fund the bad debts. The situation was, however, continuously under review and any major deviations would be the subject of future reports.

The Finance, Governance and Resources Portfolio Holder then moved the report, which was duly seconded by the Leader.

Summary of options rejected None

DECISION

That the Executive:

1. Noted the budgetary performance position of the Council to September 2012;
2. Noted the review of underachieved savings and made recommendations to Council in respect of the funding of those savings as detailed in Appendix B to Report RD.51/12; and
3. Noted the action by the Director of Resources to write-off bad debts as detailed in paragraph 9 of the report.

Reasons for Decision

To show that the Executive had been informed of the Council's actual financial position compared with the budgeted position, and to bring to their attention any areas of concern

EX.153/12 CAPITAL BUDGET OVERVIEW AND MONITORING REPORT – APRIL TO SEPTEMBER 2012
(Non Key Decision)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.50/12 on the budgetary position of the City Council's capital programme for the period April to September 2012. He outlined for Members the overall budget position for the various Directorates; the capital budget overview; the monitoring and control of expenditure against budget allocations and the exercise of virement.

Members' attention was, in particular, drawn to Appendix A to the report which set out the Capital Programme for 2012/13.

The Finance, Governance and Resources Portfolio Holder moved the recommendations set out in the report, which were seconded by the Leader.

Summary of options rejected None

DECISION

That the Executive:

1. Noted the budgetary position and performance aspects of the capital programme for the period April to September 2012.
2. Would use the information contained within Report RD.50/12 to inform the budget considerations for 2013/14 onwards.
3. Noted the recommendations to Council to approve re-profiling of £3,000,000 and savings of £2,080,300 from 2012/13 as detailed in Report RD.46/12 elsewhere on the Agenda.
4. Noted the recommendations to Council to approve virements from underspends from Kingstown Industrial Estate (£150,100) and Families Accommodation Replacement (£100,000) to fund the additional expenditure at the Resource Centre as detailed in RD.46/12 elsewhere on the Agenda.

Reasons for Decision

To inform the Executive of the Council's actual financial position opposite its Capital Programme for 2013/13

EX.154/12 DATES AND TIMES OF MEETINGS FOR 2013/14 (Non Key Decision)

Portfolio All

Relevant Overview and Scrutiny Panel Community; Environment and Economy; and Resources

Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report GD.59/12 on proposed dates and times of meetings of the City Council, the Executive, Overview and Scrutiny Panels and the Regulatory Committees for 2013/14 in order that a recommendation could be made to the City Council.

The Finance, Governance and Resources Portfolio Holder moved that the report go forward to the City Council in January 2013 for approval. The Leader seconded the recommendation.

Summary of options rejected None

DECISION

That the City Council be requested to agree the schedule of dates and times of meetings in the 2013/14 municipal year as set out in the calendar attached as an Appendix to Report GD.59/12.

Reasons for Decision

In order to recommend to the City Council a schedule of dates and times for meetings covering the 2013/14 Municipal Year as required by Procedure Rule 1.1(ix)

EX.155/12 IMPROVEMENTS TO THE PROVISION ICT SERVICES (Non Key Decision)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources
Subject Matter

The Finance, Governance and Resources Portfolio Holder submitted report RD.52/12 concerning proposed improvements to the provision of ICT Services.

The Finance, Governance and Resources Portfolio Holder outlined the background to the establishment of the shared ICT Service commenting that, whilst the service had worked well and delivered on its promise of savings and service improvements, the local government landscape had changed considerably since its conception 2008.

The focus of the shared service needed to change in order to meet that challenge and reflect the needs of both Allerdale and Carlisle Councils. The administrative agreement between the two Councils specified that they share an ICT Strategy and Service Plan; that was proving impossible to achieve given that the two Councils had very challenging transformational savings targets that required different ICT strategies and, more importantly, dedicated development staff to achieve their corporate objectives.

He added that the ICT CONNECT Operations Board had requested the Shared Services Manager to assess options in maintaining the significant benefits both in infrastructure and cost savings delivered by the Shared Services, whilst delivering improvements particularly in respect of supporting the two Councils' transformation programmes.

The ICT Connect Strategic Board had on 25 October 2012 considered the resultant Business Case, a copy of which was appended. In summary, the Business Case considered three options:

Option 1 – reduce the area of responsibility of the shared ICT Service to supporting and developing the ICT infrastructure only and create a development resource within each Council to support their transformation process

Option 2 – all staff would return to their “home” Council and would work exclusively for that Council, with the exception of any shared projects

Option 3 – the staff would submit an expression of interest under the “Community Right to Challenge” legislation within the Localism Act (2011) to both Councils with regard to the provision of ICT services.

The Strategic Board, after considering the advantages and disadvantages of each option as set out in the Business Case, had opted to support Option 2 as the basis for consultation with staff. The Board's recommendation to the two Councils' Executives being:

"The Strategic Board recognises the operational and financial benefits that the Shared ICT Service has produced for both Councils. The Board is committed to the further development of a shared ICT service and recognises that additional improvements can be made in helping to deliver the two Councils transformation agenda. The Strategic Board recommend that consultation begins over the introduction of new operating arrangements and reporting structures as described in option 2 of the "Improvements to the Delivery of ICT Services" report."

In conclusion the Finance, Governance and Resources Portfolio Holder thanked the Director of Resources and his Team for work undertaken. He moved the recommendations set out in Report RD.52/12, which were seconded by the Leader.

Summary of options rejected Options 1 and 3 detailed within Report RD.52/12

DECISION

That the Executive:

1. approved the introduction of new operating arrangements and reporting structures as described in Option 2 of the Business Case attached to Report RD.52/12 and recommended by the Shared ICT Services Strategic Board.
2. Noted and agreed that the Director of Resources in liaison with the ICT CONNECT Operational and Strategic Boards would progress Option 2 for implementation of the revised arrangements by 1 April 2013.
3. wished to place on record their appreciation of the work undertaken by the Director of Resources and his staff.

Reasons for Decision

The improvements recommended would increase the responsiveness and effectiveness of ICT Services in achieving the priorities to the Council while retaining the benefits of the Shared Service

PUBLIC AND PRESS

RESOLVED – That in accordance with Section 100A(4) of the Local Government Act 1972 the Public and Press were excluded from the meeting during consideration of the following item of business on the grounds that it involved the likely disclosure of exempt information as defined in the paragraph number (as indicated in brackets against the minute) of Part 1 of Schedule 12A of the 1972 Local Government Act.

EX.156/12 REVIEW OF CCTV PROVISION IN CARLISLE
(Key Decision – KD.036/12)

(Public and Press excluded by virtue of Paragraph 3)

Portfolio Environment and Transport

Relevant Overview and Scrutiny Panel Community

Subject Matter

The Environment and Transport Portfolio Holder submitted private report LE.37/12 concerning the review of CCTV provision in Carlisle.

The Environment and Transport Portfolio Holder outlined the background to and reasons for the review, together with the options open for consideration by the Executive. She added that option 4 was the most effective and efficient option as it provided both a deterrent and a means to collect evidence.

Referring to recommendation 3, the Portfolio Holder expressed the hope that future consultation with partners would be positive in nature.

In conclusion, the Environment and Transport Portfolio Holder moved the recommendations, which were duly seconded by the Finance, Governance and Resources Portfolio Holder.

Summary of options rejected Other options detailed within private Report LE.37/12

DECISION

That the Executive approved the proposal to:

1. Discontinue active monitoring of the CCTV system.
2. Reduce the number of cameras and restructure the CCTV service, retaining 9 car park cameras, 20 internal Civic Centre Cameras in line with Option 2.
3. Subject to available budget, retain 6 City Centre Cameras for the next financial year only to enable further negotiations with partners to agree financial support for the continuance of those cameras.
4. Delegated authority to the Director of Local Environment in consultation with the Portfolio Holder to conclude those negotiations.

Reasons for Decision

As set out within Report LE.37/12

(The meeting ended at 4.35 pm)



REPORT TO EXECUTIVE

PORTFOLIO AREA: FINANCE, GOVERNANCE & RESOURCES

Date of Meeting: 19 November 2012

Public

Key Decision: Yes

Recorded in Forward Plan: Yes

Inside Policy Framework

Title: BUDGET 2013/14 TO 2017/18
SUMMARY OF NEW REVENUE SPENDING PRESSURES

Report of: DIRECTOR OF RESOURCES

Report reference: RD44/12

Summary:

The report summarises the new revenue spending pressures and reduced income projections which will need to be considered as part of the 2013/14 budget process. The issues are to be considered in the light of the Council's corporate priorities

Recommendations:

The Executive is asked to give initial consideration to the pressures contained within this report, for recommendation and forwarding to the relevant Overview and Scrutiny Panels as part of the budget consultation process.

Contact Officer: Peter Mason

Ext: 7270

CITY OF CARLISLE

To: The Executive
19 November 2012

RD44/12

BUDGET 2013/14 TO 2017/18 – SUMMARY OF NEW REVENUE SPENDING PRESSURES

1. BACKGROUND INFORMATION AND OPTIONS

- 1.1 As part of the budget process for 2013/14, the Executive is asked to consider revenue spending pressures that have emerged as part of the current year budget process. The issues are to be considered in the light of the Council's corporate priorities.
- 1.2 This report considers proposals for revenue spending only. The capital proposals are contained in the capital report elsewhere on the agenda (RD46/12).
- 1.3 At this stage, the Executive (and Overview and Scrutiny) are requested to give their initial views on whether the bids are to be supported in principle and whether, subject to available funding, whether they should be progressed any further. The requests cannot be considered in isolation and need to be viewed alongside the current forecast budget position as set out below,

| | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|
| Recurring annual revenue deficit / (surplus) MTFP | (626) | (348) | (907) | (284) | 266 |
| Non-Recurring Revenue deficit / (Surplus) MTFP | 786 | 0 | 0 | 0 | 0 |
| Total | 160 | (348) | (907) | (284) | 266 |
| | | | | | |

- 1.4 The savings and additional income proposals considered in RD45/12 should also be taken into account.
- 1.5 It is clear at this early stage that all of the pressures cannot be accommodated within existing resources (including use of reserves) and decisions will need to be made throughout the budget process to limit pressures to high priority and unavoidable issues to ensure that a balanced budget position is recommended to Council in February 2013.

2. SUMMARY OF NEW PRESSURES

- 2.1 In the light of the current forecast deficits, proposals for new spending have been kept to the minimum. The pressures in the table below are regarded as unavoidable or are the highest priority in meeting the Council's corporate objectives.

| Issue Description | Para | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|--|------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Recurring Revenue Pressures | | | | | | |
| Localisation of Council Tax Support | 3.2 | 120 | 180 | 215 | 250 | 250 |
| Revenue Costs of Capital Schemes | 3.3 | 129 | 104 | 159 | 159 | 159 |
| Treasury Management | 3.4 | 124 | 118 | 166 | 373 | 238 |
| Asset Business Plan Reprofiting | 3.5 | 140 | 127 | 115 | 0 | 0 |
| Elections Individual Registration Costs | 3.6 | ? | ? | ? | ? | ? |
| Building Control Income | 3.7 | 50 | 50 | 50 | 50 | 50 |
| Car Parking Income | 3.8 | 50 | 50 | 50 | 50 | 50 |
| Borrowing Cost - Proposed Capital Scheme | 3.9 | 0 | 0 | 287 | 287 | 287 |
| New Homes Bonus - 2011/12 Allocation | 3.10 | 0 | 0 | 0 | 0 | 243 |
| Revenue Support Grant | 3.11 | 169 | 169 | 169 | 169 | 169 |
| Living Wage | 3.12 | 30 | 30 | 30 | 30 | 30 |
| Highways Services | 3.13 | 99 | 99 | 99 | 99 | 99 |
| Sub Total Recurring Revenue Pressures | | 911 | 927 | 1,340 | 1,467 | 1,575 |
| Non Recurring | | | | | | |
| Homelessness | 3.14 | 66 | 66 | 0 | 0 | 0 |
| MMI Insurance Provision | 3.15 | 175 | 0 | 0 | 0 | 0 |
| Lanes Income | 3.16 | 0 | 138 | 0 | 0 | 0 |
| Sub Total Non Recurring Pressures | | 241 | 204 | 0 | 0 | 0 |
| | | | | | | |

3. RECURRING REVENUE PRESSURES

- 3.1 The following paragraphs provide information about the pressures shown in the table above in the table.

3.2 Localisation of Council Tax Support

Council Tax Benefit is to be abolished from 1st April 2013 and will be replaced by Localised Support for Council Tax (LSCT). It is the responsibility of each council to set its own scheme which will see council tax benefit changing to a legal discount. The Government is reducing funding by 10% at the same time as this localisation, and it is anticipated that the pressure identified above will be as a result of losing this 10% of funding as well as additional take up of the scheme.

3.3 Revenue Costs of Capital Schemes

This relates to the proposed ongoing revenue cost to support the development of a City Arts Centre in the Methodist Hall. A full Business case has been prepared which identifies the proposed net contribution the Council will have to make to support the scheme.

3.4 Treasury Management

Treasury Management projections are reviewed annually to ensure that current interest rate forecasts are updated and that current and future spending implications are built into cash flow forecasts model. As interest rates are not forecast to increase in the medium term, revisions have been made to the interest achievable and average cash balances have been amended to reflect anticipated capital receipts, capital expenditure and anticipated use of revenue reserves

3.5 Asset Business Plan Re-profiling

The Asset Business Plan is included in the Medium Term Financial Plan and assumes a level of sales and purchases per year that will lead to loss of current income streams and generation of new income. Due to sales and new purchases not occurring in line with this plan, reprofiling exercises have been carried out and the adjustments shown above are the net cost implication of this reprofiling.

3.6 Elections Individual Registration Costs

A new scheme requiring electoral registration to be held on an individual basis rather than household basis is due to be introduced imminently. This will involve significant costs to implement. There is the possibility this could be offset by a grant from central government

3.7 Building Control Income

The Building Control function is governed by strict statutory requirements that dictate that the function must only break even. The current budget position provides for the service to generate a surplus of £50,000 which is not allowed under the statutory requirements and this pressure removes this position.

3.8 Car Park Income

Car Parking income is due to increase by £50,000 due to the MTFP requirement of 3.8% being added to all fees and charges income budgets. The Charges report (LE34/12) considered elsewhere on this agenda confirms that this cannot be achieved and therefore a pressure of £50,000 is required.

3.9 Borrowing Cost

This relates to the proposal in report RD46/12 for a capital scheme at the Sands Centre in 2015/16. This would be funded by a principal repayment loan for 25 years and would be linked to a revenue saving generated from the Leisure contract that is included in RD45/12 elsewhere on this agenda.

3.10 New Homes Bonus – 2011/12

The New Homes Bonus allocations are for a period of 6 years and this pressure reflects the 2011/12 allocation ceasing in 2017/18.

3.11 Revenue Support Grant

The Medium Term Financial Plan assumes a reduction in core formula grant funding (RSG) of 28% until 2015/16. However, early indications are that this may be reviewed further in December 2012 and a further reduction may be made. At present this is estimated to be £169,000 but will not be confirmed until December 2012.

3.12 Living Wage

Cost of amending lower end pay scales to facilitate all staff being on a minimum hourly rate of £7.45 per hour.

3.13 Highways Services

Costs of retaining certain Highways Services following the decision to return HCR to the County Council with joint working arrangements on the retained services.

3.14 Homelessness

An additional non-recurring government grant to support homelessness is included in report RD45/12 and this pressure utilises this grant to provide additional homelessness support.

3.15 MMI Insurance Provision

The Council may still have an obligation to repay some of the liabilities which remained following the transfer of assets and goodwill of MMI Ltd to Zurich Municipal in 1993. A solvent 'run off' has always been anticipated and the MMI scheme of arrangement has never been triggered; however following a Supreme Court Judgement in March 2012, it is now likely that MMI will clawback some money and it is prudent to make provision for this liability. A sum of £175,000 has been calculated based upon the accounts of MMI to 30 June 2012.

3.16 Lanes Income

Lanes income projections were reduced as part of the 2012/13 budget process for two and a half years. The reduction was £277,000 for the 2012/13 to 2013/14 and a

reduction of £138,000 in 2014/15. However, indications are that the reductions in income being received from the Lanes will continue and income will not recover properly until 2015/16. Therefore a further pressure of £138,000 is required for 2014/15.

4. PROJECTED INCOME SHORTFALLS

4.1 The individual Charges review reports are considered in detail elsewhere on the agenda (LE34/12, ED35/12, CD53/12 and GD64/12). These have been prepared in accordance with the principles set out in the Corporate Charging Policy (CCP) i.e. an increase in overall income of 3.8%. However, any deviation from this target has been addressed in the individual charges reports.

4.2 Trading and Charging

Individual charges reports are considered elsewhere on the agenda. Shortfalls in income corporately have been identified within these reports and have been summarised in the table at paragraph 2.1. These currently amount £100,000 in total and will be included as additional budget pressures. Some income budgets are expected to generate additional income, for example Land Charges, however the major shortfalls are expected on Car Parking and Building Control Fees.

5. CONSULTATION

5.1 The Senior Management Team and the Joint Management Team have discussed the proposals.

5.2 Resources, Community and Environment and Economy Overview and Scrutiny Panels will consider the requests at their meetings in November and December, and feedback any comments on the proposals under consideration to the Executive on 13 December, prior to the Executive issuing their draft budget proposals for wider consultation on 17 December.

6. RECOMMENDATIONS

6.1 The Executive is asked to give initial consideration to the proposals contained within this report, for recommendation and forwarding to the relevant Overview and Scrutiny Panels as part of the budget consultation process.

7. IMPLICATIONS

- Staffing/Resources – Individual requests have different staffing and resource implications
- Financial – as stated in the report and RD43/12 elsewhere on the agenda the Council does not have the resources to address all the pressures highlighted.

Decisions will need to be made regarding which pressures are included as part of the budget in the light of the Council's priorities. This will also involve considering where the resources are currently expended. Additional savings (and potential costs) from the ongoing transformation programme which are required following the spending review are currently being determined. These may change once final confirmation of grant settlements become known.

- Legal – None
- Corporate – SMT, JMT, and Service Managers have considered the issues over a number of weeks and the proposals contained within this report are those that are considered to contribute most towards the achievement of the corporate objectives.
- Risk Management – The budget issues being raised at this meeting clearly point to increasing pressures on the Council's budgets arising from the economic downturn, along with ongoing funding of priority services. The pressures cannot be met from existing resources and decisions will need to be taken to enable a balanced budget position to be reached.
- Equality Issues – None
- Environmental – Some of the bids have Environmental issues as set out in the proformas
- Crime and Disorder – N/A

8. IMPACT ASSESSMENTS

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|-----------------------|--|
| Does the policy/service impact on the following? | | |
| Age | No | N/A |
| Disability | No | N/A |
| Race | No | N/A |
| Gender/ Transgender | No | N/A |
| Sexual Orientation | No | N/A |
| Religion or belief | No | N/A |
| Human Rights | No | N/A |
| Social exclusion | No | N/A |
| Health inequalities | No | N/A |
| Rurality | No | N/A |

If you consider there is either no impact or no negative impact, please give reasons:

This report summarises the additional revenue pressures for 2013/14 and future years. The report has no direct impact on the above.

If an equality Impact is necessary, please contact the P&P team.

PETER MASON
Director of Resources

Contact Officer: Peter Mason

Ext: 7270

REPORT TO EXECUTIVE

PORTFOLIO AREA: FINANCE, GOVERNANCE & RESOURCES

Date of Meeting: 19 November 2012

Public

Key Decision: Yes

Recorded in Forward Plan: Yes

Inside Policy Framework

Title: BUDGET 2013/14 to 2017/18
SUMMARY OF NEW SAVING PROPOSALS AND ADDITIONAL
INCOME

Report of: DIRECTOR OF RESOURCES

Report reference: RD45/12

Summary:

The report summarises proposals for savings and additional income generation to be considered as part of the 2013/14 budget process.

Recommendations:

The Executive is asked:

- (1) To give initial consideration to the proposed reductions to the base budget from 2013/14 onwards, for forwarding to the relevant Overview and Scrutiny Panels as part of the budget consultation process.
- (2) To note that SMT will continue to investigate efficiencies and savings in accordance with the Transformational Savings Strategy.

Contact Officer: Peter Mason

Ext: 7270

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

CITY OF CARLISLE

To: The Executive
19 November 2012

RD45/12

BUDGET 2013/14 TO 2017/18 – SUMMARY OF SAVINGS PROPOSALS

1. BACKGROUND INFORMATION AND OPTIONS

- 1.1 As part of the budget process for 2013/14, the Executive is asked to consider the savings and additional income generation proposals set out below.
- 1.2 The Savings Strategy approved by Council on 11 September 2012, focused on the following areas to deliver the savings required to produce a balanced longer term budget:
 - Asset Review – this will focus on introducing a Development and Investment Plan for the City Council's property portfolio with the aim of delivering additional income or reduced costs on a recurring basis.
 - Service Delivery Models – As part of the transformation programme, alternative options for service delivery will be considered in order to make significant financial savings whilst still delivering good standards of service. The options under consideration will include shared services and commissioning of services.
 - As part of the transformation programme a review of those services which do not fall within the Council's core priorities or which are not statutory will be undertaken to ensure that services are properly aligned to what the Council wants to achieve.
- 1.3 The detailed programme of reviews, together with specific targets, is monitored by SMT, the Executive and Overview and Scrutiny. They monitor how well services perform against both the objectives of the review and against the Strategy itself.
- 1.4 At this stage, the Executive (and Overview and Scrutiny) is asked to give initial consideration to new proposals for further permanent reductions in base expenditure budgets and also increases to income budgets from 2013/14 onwards. The requests need to be considered in the light of the projected budget shortfall contained in report RD43/12 elsewhere on the agenda and also the spending pressures (RD44/12).

2. SAVING PROPOSALS

- 2.1 The savings review, undertaken by Senior Management Team challenged, prioritised and reviewed current base budgets. The results of the review are summarised in the tables below which set out proposals for new savings over and above those already being progressed.
- 2.2 The recommendations from the review are summarised in Table 1 below.

Table 1 Summary of savings proposed

| Detail | Note | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|------------------------------------|------|-----------------|-----------------|-----------------|-----------------|-----------------|
| <u>Savings Proposed</u> | | | | | | |
| 2012/13 Pay Award Savings | 2.3 | (110) | (110) | (110) | (110) | (110) |
| Council Tax Discounts Review | 2.4 | (90) | (90) | (90) | (90) | (90) |
| Leisure contract saving | 2.5 | 0 | 0 | (250) | (250) | (250) |
| Asset Review | 2.6 | (8) | (8) | (16) | (16) | (16) |
| Housing Benefit Admin Grant | 2.7 | (94) | 0 | 0 | 0 | 0 |
| Transformation Savings Reprofiting | 2.8 | 700 | 650 | 587 | 36 | 0 |
| Transformation Savings Reprofiting | 2.8 | (1,534) | (834) | (623) | (36) | 0 |
| Transformation Savings | 2.9 | 0 | 0 | ? | ? | ? |
| Total of Savings | | (1,136) | (392) | (502) | (466) | (466) |
| Total Recurring | | (1,230) | (392) | (502) | (466) | (466) |
| Total Non-Recurring | | (94) | 0 | 0 | 0 | 0 |

2.3 Pay Award Savings 2012/13

The 2012/13 budget included provision for a pay award of 1%. The continued pay freeze in the Public Sector means that this requirement is not needed and this reflects the recurring saving generated.

2.4 Council tax discount review

The implementation of the localisation of Council Tax Support scheme has resulted in a review of Council Tax Discounts offered. A report (RD48/12) considered elsewhere on this agenda gives further details of these proposed changes to Council Tax discounts that will generate £90,000 in savings.

2.5 Leisure Contract Savings

This relates to the proposal in report RD46/12 for a capital scheme at the Sands Centre in 2015/16. This is linked to the additional borrowing cost considered in RD44/12 considered elsewhere on this agenda.

2.6 Asset Review

Savings will be made through the letting of Herbert Atkinson House to Tullie House Trust (subject to agreement being reached).

2.7 Housing Benefit Admin Grant

The current Medium Term Financial Plan assumes a reduction in Housing Benefit Admin Grant of £180,000 for 2013/14. Actual allocations have now been received and the reduction is not as much as anticipated. Therefore a non-recurring saving of £94,000 will accrue.

2.8 Transformation Savings Reprofilling

Transformation savings have been brought forward meaning that the current schedule of savings built into the Medium Term Financial Plan need revising. The overall impact of making the savings early, gives an additional years recurring savings to increase reserves. Details of this reprofiling can be seen below.

| | Cumulative Savings identified as part of 2012/13 Budget £000 | Reprofiling £000 | Additional Cumulative Savings Required £000 | Revised Cumulative Savings required £000 | Revised in Year Savings Required £000 |
|---------|---|---------------------|--|---|--|
| 2012/13 | (600) | 0 | | (600) | (600) |
| 2013/14 | (1,300) | 700 | (1,534) | (2,134) | (1,534) |
| 2014/15 | (1,950) | 650 | (834) | (2,134) | 0 |
| 2015/16 | (2,537) | 587 | (623) | (2,573) | (439) |
| 2016/17 | (2,573) | 36 | (36) | (2,573) | 0 |

2.9 Transformation Savings

In order to achieve a balanced budget for 2013/14 to 2017/18, additional transformation savings will have to be identified in order to address the identified budget pressures as detailed in RD44/12 elsewhere on the agenda

3. ADDITIONAL INCOME PROJECTIONS

- 3.1 The Council also receives income from a variety of other sources which are not subject to Corporate Charging Policy reviews but are still reviewed annually as they generate substantial income for the Council. Although there is additional income expected from Land Charges and Hostel Rents, these are included in the overall pressure to offset the shortfalls in income from Car parking and Development Control fees in Report RD44/12 elsewhere on this agenda.

There is additional income anticipated from other sources.

Table 2 – Additional Income Projections

| Detail | Note | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 |
|--------------------------------|------|--------------|--------------|--------------|--------------|--------------|
| | | £000 | £000 | £000 | £000 | £000 |
| New Homes Bonus | 3.2 | (349) | (349) | (349) | (349) | (349) |
| Homelessness Grant | 3.3 | (66) | (66) | 0 | 0 | 0 |
| Council Tax Freeze Grant | 3.4 | (67) | (67) | 0 | 0 | 0 |
| Land Charges Income | 3.5 | (10) | (10) | (10) | (10) | (10) |
| LSCT Relief Grant | 3.6 | (20) | 0 | 0 | 0 | 0 |
| Total additional income | | (512) | (492) | (359) | (359) | (359) |
| Split | | | | | | |
| Recurring | | (359) | (359) | (359) | (359) | (359) |
| Non Recurring | | (153) | (133) | 0 | 0 | 0 |

3.2 New Homes Bonus

New Homes Bonus allocation for 2013/14 has not yet been confirmed but early indications are that it will be £349,000 for 6 years.

3.3 Homelessness Grant

Additional government grant has been awarded to support the Council's homelessness function and this grant income will fund the additional expenditure pressure identified in RD44/12 considered elsewhere on this agenda.

3.4 Council Tax Freeze grant

The Government has announced that there will be grants available to authorities who freeze their Council Tax for 2013/14. The MTFP already assumed a zero increase in Council Tax for 2013/14 so the additional grant, equivalent to a 1% increase or £67,000, is included as additional income.

3.5 Land Charges Income

It is anticipated that the Land Charges income budget can be increased by £10,000 for 2013/14. Income has recovered well over the past few years performance against budgets has been good.

3.6 Local Support for Council Tax Relief Grant

Central Government grant awarded for one year to assist in the implementation of the localisation of council tax support.

SUMMARY OF SAVINGS AND INCREASED INCOME PROJECTIONS

The following Table summarises the overall reductions proposed.

Table 3 – Summary of Savings and Increased Income Projections

| Description | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|
| New Savings Proposals (Table 1) | (1,136) | (392) | (502) | (466) | (466) |
| Additional Income Projections (Table 2) | (512) | (492) | (359) | (359) | (359) |
| Total | (1,648) | (884) | (861) | (825) | (825) |
| | | | | | |

4. CONSULTATION

- 4.1 Resources, Community and Economy & Environment Overview and Scrutiny Panels will consider the amendments to the base budgets at their meetings in November and December, and feedback any comments on the proposals under consideration to the Executive in December, prior to the Executive issuing their draft budget proposals for wider consultation.

5. RECOMMENDATIONS

The Executive is asked:

- (i) To give initial consideration to the proposed reductions to the base budget from 2013/14 onwards, for forwarding to the relevant Overview and Scrutiny Panels
- (ii) To note that SMT will continue to investigate efficiencies and savings in accordance with the Savings Strategy.

6. IMPLICATIONS

- Staffing/Resources – none
- Financial – contained within the report

- Legal – none
- Corporate – SMT/JMT have considered the reports
- Risk Management – There is a continuing risk to the Council's budget from reliance on income and grants. There is also a risk around the projections due to the uncertainties of the amounts included for items such as RSG which are dependent on more information coming from Central Government.
- Equality Issues – none
- Environmental – none
- Crime and Disorder –none

7. IMPACT ASSESSMENTS

An Equality Impact Assessment will be drafted based on the results of the consultation on the 2013/14 budget proposals.

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Does the policy/service impact on the following? | | |
| Age | No | N/A |
| Disability | No | N/A |
| Race | No | N/A |
| Gender/ Transgender | No | N/A |
| Sexual Orientation | No | N/A |
| Religion or belief | No | N/A |
| Human Rights | No | N/A |
| Social exclusion | No | N/A |
| Health inequalities | No | N/A |
| Rurality | No | N/A |

If you consider there is either no impact or no negative impact, please give reasons:

This report summarises savings proposals for 2013/14 and future years. The report has no direct impact on the above.

PETER MASON
Director of Resources

Contact Officer: Peter Mason

Ext: 7270



REPORT TO EXECUTIVE

PORTFOLIO AREA: LOCAL ENVIRONMENT & TRANSPORT

Date of Meeting: 19 November 2012

Public

Key Decision: Yes

Recorded in Forward Plan:

Yes

Inside Policy Framework

Title: REVIEW OF CHARGES 2013/2014 – LOCAL ENVIRONMENT
Report of: DIRECTOR (LOCAL ENVIRONMENT)
Report reference: LE34/12

Summary:

This report sets out the proposed fees and charges for 2013/14 relating to those services falling within the responsibility of the Local Environment Directorate.

Recommendations:

The Executive is asked to agree the charges as set out in the body of the report and relevant appendices with effect from 1st April 2013 noting the impact these will have on income generation as detailed within the report.

Contact Officer: Angela Culleton

Ext: 7325

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

REVIEW OF CHARGES 2013/14 – LOCAL ENVIRONMENT

1. BACKGROUND INFORMATION AND OPTIONS

- 1.1 Each Directorate is required to carry out an annual review of fees and charges.
- 1.2 This report proposes the review of charges within the Local Environment Directorate and covers City Centre usage by external organisations, Car Parking, Allotments, Sports Pitches, Environmental Quality, Food Safety, Waste Services and Bereavement Services. The report has been prepared in accordance with the principles approved under the Council's Corporate Charging Policy.
- 1.3 The charges, which have been reviewed, are addressed separately below.
- 1.4 Attached at Appendix C are extracts from the summary of charges book, which show the current and proposed level of charge for those services.

2. CORPORATE CHARGING POLICY 2013/14 TO 2017/18

- 2.1 The Corporate Charging Policy, which is part of the Strategic Financial Framework, was approved by the Executive on 3rd September 2012 and Full Council on 11th September 2012 and sets out the City Council's policy for reviewing charges. The principal objective(s) of setting the charge are:-

- Recovering the cost of service provision
- Generate Surplus Income (where permitted)
- Maintain existing ser
- vice provision
- Fund service improvements or introduction of new services(s)
- Manage demand for service(s)
- Promote access to services for low-income households
- Promote equity or fairness
- Achieve wider strategic policy objectives (e.g. encouraging Green Policies)

- 2.2 The MTFP currently assumes an overall income target for the financial year 2013/14 reflecting an increase of 3.8% on 2012/13 budgets.
- 2.3 In addition, the policy recognises that each Directorate is different, and requires Directors to develop specific principles for their particular service or clients groups,

but within the parameters of the main principles of the Council's Corporate Charging Policy which is set out in full in Appendix C.

3. HIGHWAYS SERVICES

3.1 CITY CENTRE

- 3.1.1 The Council exercises its powers, set out in Section 115 of the Highways Act, to charge reasonable expenses for events and activities undertaken in the pedestrianised area of the City Centre. At the present time the income generated is partly used to contribute to the cost of entertainment, events and activities arranged in that area whilst also serving to reduce the overall costs to the Council of managing the City Centre.
- 3.1.2 The charges approved in 2009/10 represented a significant increase to those adopted for previous years and there was a favourable overall impact on the income levels achieved in that year which greatly benefited from a large scale commercial promotions particularly from Sky taking advantage of the introduction of Digital services within Cumbria. JFR Promotions is an organisation responsible for booking a large number of the promotional events in the City Centre. Their opinion, given the footfall and the size of the city, is current charges are in line with (if not slightly higher than) comparable cities in the North.
- 3.1.3 In view of the current economic climate it is proposed to retain the current charge levels for 2013/14 to help maintain demand and the current budgeted level of revenue. Based upon anticipated usage, the proposed charges in Table 1 below for 2013/14 will still meet the MTFP budget target requirement of £16,200.
- 3.1.4 In respect of the current concessions given, it is further proposed the following types of event and organisations continue to be authorised the use of the City Centre free of charge:
- Church & other religious events.
 - Street Theatre.
 - Community Information/Awareness Stands.
 - Registered Charities.
 - Political Parties.
 - Community Service Organisation's (e.g. Police, Fire Services, Armed Forces etc)

TABLE 1 - CITY CENTRE EVENTS CHARGES

| Event Type | Current Charges 2012/13 | Proposed Charges 2013/13 |
|--|------------------------------------|-------------------------------------|
| Charities, education and public information events | No charge | No charge |
| Large Markets | £900/day | £900/day |
| Large Commercial Promotions | £200/day | £200/day |
| Small Commercial Promotions | £60/day | £60/day |
| Large Children's Ride | £80/day | £80/day |
| Small Children's Ride | £50/day | £50/day |

3.2 CAR PARKING

3.2.1 A new charging structure for off-street parking was introduced in 2012/13, which is shown in Table 2 below:

TABLE 2 – OFF STREET PARKING CHARGES

| Length of Stay | Category 1 | Category 2 | Category 3 | Category 4 |
|-----------------------|-------------------|-------------------|-------------------|-------------------|
| 1 hour | £1.00 | £1.00 | £1.00 | £1.00 |
| 1-2 hours | £2.00 | £2.00 | £1.80 | £1.80 |
| 2-3 hours | £3.00 | £3.00 | £2.70 | £2.70 |
| 3-4 hours | £4.00 | £4.00 | £3.30 | £3.30 |
| 4-6 hours | N/A | N/A | £4.00 | £3.80 |
| All Day | £10.00 | £6.00 | £4.70 | £4.00 |

3.2.2 Despite this charging structure having only been in place since 1st April 2012 we are starting to build a picture of its impact, as shown in Table 3.

TABLE 3 - OFF-STREET PARKING IN 2012/13 TO WEEK 26

| Car Park | P & D | PBP | Total | 2011/12 Compar ison | P & D | PBP | Total | 2011/12 Compar ison |
|----------------|---------|-----|---------|------------------------|---------|-------|---------|------------------------|
| | Sales | | | | Income | | | |
| Category 1 | | | | | | | | |
| Civic Centre | 29,161 | 121 | 29,281 | Down 13.8% | 50,168 | 557 | 51,175 | Up 3.6% |
| Town Dyke | 79,172 | 203 | 79,375 | Up 2.3% | 144,728 | 813 | 145,541 | Down 0.8% |
| Cat 1 Total | 108,333 | 323 | 108,656 | Down 2.6% | 195,346 | 1,370 | 196,716 | Up 0.7% |
| Category 2 | | | | | | | | |
| Bits Park | 17,703 | 289 | 17,992 | Down 5.1% | 26,308 | 1,106 | 27,414 | Down 4.1% |
| Upper Viaduct | 34,068 | 224 | 34,292 | Up 3.3% | 65,590 | 940 | 66,530 | Up 4.4% |
| Cat 2 Total | 51,771 | 513 | 52,284 | Up 0.2% | 91,898 | 2,046 | 93,944 | Up 2.2% |
| Category 3 | | | | | | | | |
| Paddy's Market | 1,416 | 8 | 1,424 | Down 20.2% | 2,830 | 21 | 2,851 | Down 18.3% |
| Sands Centre | 33,563 | 9 | 33,572 | Down 3.3% | 63,102 | 210 | 63,312 | Down 8.9% |
| Swifts Bank | 353 | 5 | 358 | Down 9.5% | 639 | 2 | 641 | Down 27.8% |
| Cat 3 Total | 35,332 | 22 | 35,354 | Down 4.2% | 66,571 | 233 | 66,804 | Down 9.6% |
| Category 4 | | | | | | | | |
| Cecil Street | 10,199 | 83 | 10,282 | Down 6.3% | 21,963 | 220 | 22,183 | Down 21.6% |
| Lower | 24,257 | 52 | 24,309 | Down | 51,928 | 124 | 52,052 | Down |

| Car Park | P & D | PBP | Total | 2011/12 Comparison | P & D | PBP | Total | 2011/12 Comparison |
|--------------------|----------------|--------------|----------------|----------------------|----------------|--------------|----------------|-----------------------|
| Viaduct | | | | 4.7% | | | | 13.8% |
| Devons hire Walk | 18,030 | 181 | 18,211 | Up 17.6% | 25,900 | 756 | 26,656 | Down 21.7% |
| Cat 4 Total | 52,486 | 316 | 52,802 | Up 1.6% | 99,791 | 1,100 | 100,891 | Down 17.8% |
| Grand Total | 247,922 | 1,174 | 249,096 | Down 1.4% | 453,606 | 4,749 | 458,355 | Down 5.5% |

3.2.3 Measures put in place following recommendations by Buchanan Consultants last year included the revised charging structure and the introduction of Pay By Phone facilities. Table 3 shows that such measures have enabled us to prevent the decline in income for Category 1 and Category 2 car parks. The income from Category 3 and Category 4 car parks continues to decline, however in Devonshire Walk car park sales have increased, which shows that customers are beginning to return.

3.2.4 The uptake of Pay By Phone at the Sands Centre car park is unexpectedly low. With increased marketing and awareness activity there is the potential to substantially increase the income within Category 3. Furthermore, there is evidence to suggest that increasing charges will trigger a fall in car park use and sales.

3.2.5 It is therefore proposed that off street parking charges remain unchanged as per Table 2 whilst the measures recommended by Buchanan are further evaluated and uptake of the Pay By Phone facility is encouraged.

4 NEIGHBOURHOODS AND GREEN SPACES

4.1 ALLOTMENTS

4.1.1 The Allotments Act 1908 placed an obligation on Local Authorities to provide allotments and this remains a statutory duty today together with the responsibility for managing them.

4.1.2 Taking all factors into account, it is proposed that current charges are increased by 3.8% in line with current MTFP expectation. The existing and proposed charges are as follows in Table 4 below:

TABLE 4 – EXISTING 2012/13 AND PROPOSED 2013/14 ALLOTMENT CHARGES

| Type of Charge | Existing Charge 2012/13 | Proposed Charge 2013/14 |
|----------------|-------------------------|-------------------------|
| Rental | 22p per square metre | 23p per square metre |
| Water Supply | £9.90 for the year | £10.30 for the year |

4.1.3 Individuals in receipt of a state pension currently receive a 50% discount on the allotment rental but not the water supply charge and approximately 40% of existing holders fall into this category. There is a further 10% discount to tenants associations' which run 5 sites in the City. In return for this discount the Committee members carry out tasks including the administration of lettings and rent collection thus saving an administrative burden on Council officers.

4.2 USE OF PARKS AND GREEN SPACES

4.2.1 Charging for the use of parks and green spaces was introduced for 2012/13 as per Table 5, with the exception of Low Key Commercial Use, which the Executive is asked to consider.

TABLE 5 – PROPOSED CHARGING LEVELS FOR THE USE OF PARKS

| TYPE OF ACTIVITY/EVENT | MINIMUM FEE | LARGE EVENT INC CATERING PER EVENT |
|---|--|--|
| 'Low key' commercial use – <ul style="list-style-type: none"> Caterers selling hot and cold prepared food and drinks (e.g. burgers, pies, sandwiches etc.) Fun Fairs | £50 per day Sliding Scale (see 4.2.2.) | |
| City Council organised events – to be recharged to the Directorate leading the event. | Re-instatement/ cleaning at cost | N/A |
| Not for profit, general community events which are free at the point of entry (e.g. | No charge provided | N/A |

| TYPE OF ACTIVITY/EVENT | MINIMUM FEE | LARGE EVENT INC CATERING PER EVENT |
|---|---|---|
| Sponsored Walks, Race for Life, Schools Orienteering etc). | litter is cleared and site is left in condition as found. | |
| Not for profit, special interest events, with charitable status (proof required) where a charge is made for entry. | £200 plus re-instatement cost | £200/ per day plus re-instatement cost |
| Fully commercial, profit making events – e.g. Circus Shows, music concerts etc | £1,000 plus re-instatement costs | £1000 per customer-paying day plus re-instatement costs |

NB The above charges would be subject to VAT where applicable.

4.2.2 With reference to Low Key Commercial use it is intended that Council officers should have discretion to waive or reduce charges in circumstances where a commercial operator is needed in order to provide a catering service as part of a City Council run event and this responsibility is currently delegated to the Director of Local Environment.

- A sliding scale of charges is recommended for fun fairs as follows:

- 1-10 rides/stalls £300 plus VAT per open day
- 11-15 rides/stalls £400 plus VAT per open day
- 16-20 rides/stalls £500 plus VAT per open day
- Over 20 rides/stalls by negotiation.

4.3 SPORTS PITCHES

4.3.1 The proposed increases in charges for football and rugby pitches which are substantially in accordance with the MTFP target are shown in Table 6 as follows:-

TABLE 6 – EXISTING 2012/13 & PROPOSED 2013/14 CHARGES FOR PITCHES

| TYPE OF USE | Existing Charge 2012/13 | Proposed Charge 2013/14 |
|--|------------------------------------|------------------------------------|
| <u>Matches</u> | | |
| Senior Clubs/match | £50.00 | £52.00 |
| Junior Clubs/match | £23.00 | £24.00 |
| <u>Pitch and Accommodation/Season*</u> | | |
| Senior Clubs | £500.00 | £519.00 |
| Junior Clubs | £155.00 | £161.00 |
| *Includes use of showers, changing facilities and training room if available | | |
| <u>Pitch Only/Season</u> | | |
| Senior Clubs | £192.00 | £199.00 |
| Junior Clubs | £55.00 | £57.00 |

4.4 Talkin Tarn Car Park/Other Charges

- 4.4.1 The income from car parking is an important funding stream for Talkin Tarn particularly given the withdrawal of transitional financial support from the County Council and greatly helps to reduce the annual revenue costs of the facility. In 2011/12 the income generated by the car park was £28,332. Income for this financial year to Period 6 is £14,658, which is approximately £1,000 short of the budget figure. The full-year budget figure is £31,100. In order to increase revenue from the car park at Talkin Tarn, we propose to introduce a new pricing structure for 2013/14, as shown in Table 7 below; and also to extend the daily operational period by 3 hours. Therefore visitors would be required to pay for parking from 08:00hrs to 19:00hrs each day.

TABLE 7 – TALKIN TARN CAR PARK CHARGING PROPOSALS FOR THE FINANCIAL YEAR 2013/14

| Service | 2012/13 Charge | 2013/14 Proposed Charge |
|------------------------|------------------|-------------------------|
| Annual Permit | £30.00 per annum | N/A |
| 10:00-18:00hrs | £1.00 | N/A |
| 08:00-09:59hrs | N/A | £0.50 |
| 10:00-17:59hrs | N/A | £2.00 |
| 18:00-19:00hrs | N/A | £0.50 |
| Talkin Tarn Membership | N/A | £52.00 per annum |

In order to encourage uptake, the annual permit will be rebranded as the Talkin Tarn Membership and will include other services besides the use of the car park. The details of the product are yet to be finalised, but it could include a year's worth of car parking, vouchers to spend at the Cafe, a small number of day permits for fishing or water sports, access to "members only" events (e.g. guided walks, conservation workshops etc), a "Christmas Shopper" one day parking permit for the City, and a newsletter to show which projects at the Tarn are in benefit of the membership revenue.

- 4.4.2 The Business Plan for the tarn seeks to generate income wherever it is feasible and safe to do so. Other charges that are currently prevalent at Talkin Tarn are outlined in Table 8 overleaf:

4.4.3

TABLE 8 – TALKIN TARN CURRENT AND FUTURE PROPOSED CHARGE LEVELS FOR OTHER INCOME

| ACTIVITY/FACILITY | CURRENT CHARGE 2012/13 | PROPOSED CHARGE 2013/14 |
|---------------------------|-------------------------------|-----------------------------|
| Education Cabin Hire | £25/half day | £30/half day |
| | £50/full day | £55/full day |
| | £6.25/hr | £6.50/hr, min. charge 2 hrs |
| Alex Boathouse Hire | £30 per day or 15% of takings | 15% of any takings |
| Water Sports Day Permit | £5.85 | £6.50 |
| Annual Water Sport Permit | £300 (For Groups) | £310 (For Groups) |
| | £100 (For Individuals) | £105 (For Individuals) |
| Fishing Permit | £2 per adult per day | £2.50 adult per day |
| | £1 per child per day | £1.50 child per day |
| | £20 Annual Permit | £25 Annual Permit |

4.5 BEREAVEMENT SERVICES

4.5.1 For 2013/14 several charges will be deleted from the budget as they account for little, no, or negative income. These charges include:

- Storage of Cremated Remains
- Bamboo, Willow, and Eco Coffins
- Conducting Entire Funeral Services.

In line with the MTFP requirement of adding a minimum of 3.8% for inflation it is proposed that all current charges be increased by 4% and then rounded up or down to the nearest pound, as set out in Appendix B.

5. ENVIRONMENTAL HEALTH

5.1 **GENERAL** – The charges within the Environmental Health function are diverse and in some instances the limits are fixed by legislation. The proposed charges are set out in Appendix A. Commentary on each area is set out in the following paragraphs.

5.2 Pest Control Charges

The income budget for 2011/12 was adjusted to take account of the prevailing shortfall in the ongoing MTFP target at that time. Figures to date in the current financial year currently indicate that demand for the service has declined further in line with most other services hit by the general downturn in the economy. The envisaged shortfall of up to £3,000 is however hopefully a temporary situation that needs to be compensated for by corresponding cost savings in the pest control account or elsewhere in the Local Environment Directorate. It is proposed to increase wasp charges in line with the 3.8% MTFP target retaining the 50% reduction in charges for senior citizens and a continuation in the provision of a free service for the control of rats in domestic premises. The other pest control fees and charges are to be retained at their existing values to encourage professional treatment of public health pests.

5.3 Clean Neighbourhoods & Environment Act – Fixed Penalty Charges

The Government have changed the maximum amount Councils can now put on a Fixed Penalty Notice for waste receptacle offences and this charge has been reduced accordingly. Other Fixed Penalty Notices should remain the same, as detailed in Table 10.

TABLE 10 – PROPOSED CHARGES FOR CLEAN NEIGHBOURHOODS & ENVIRONMENT ACT FIXED PENALTY NOTICES

| TYPE OF OFFENCE | Current Charge 2012/13 | Proposed Charge 2013/14 |
|---|-------------------------------|--------------------------------|
| Dog Fouling, Fly Posting, Graffiti, Dogs not on Leads | £80.00 | £80.00 |
| As above but paid within one week of issue | £60.00 | £60.00 |
| Waste Receptacles | £110.00 | £80.00 |

5.4 Environmental Protection Act 1990

Litter Fixed Penalty notices – no change in the current base charge of £80 but again this sum to be reduced to £60 if paid within one week of being issued.

5.5 Environmental Protection Act – LAPPC Charges

The charges for the Local Authority Pollution Prevention and Control (LAPPC) regime continue to be set nationally. The figures are not usually available until March each year and have in the past been set well below the 3.8% MTFP Target. Current indications are that there will be no increases in 2013/14. Any eventual shortfall will need to be offset by reduced expenditure or increased income elsewhere within the Directorate.

5.6 Public Health and Miscellaneous Licences

It is proposed to increase charges in 2013/14 in line with overall MTFP expectation. The charge levels proposed are incorporated within Appendix A. An administration fee of £15.00 has been included to ensure the Council recovers these costs when undertaking works in default of a Statutory Notice.

5.7 Private Water Supply Sampling

The charges for private water supply sampling analysis will vary depending on the supplies risk assessment. All monitoring/analysis costs will be set at the price charged by the laboratory which the Council will recover. The analysis costs are approximately:

| | |
|----------------------------|---------|
| Bacteriological only | £15.00 |
| Check Monitoring | £45.00 |
| Audit Monitoring (maximum) | £450.00 |

Plus each visit will incur a sampling charge. If a risk assessment, or another investigation is carried out or an authorisation granted there are additional charges as follows:-

| | |
|--|------|
| Sampling (each visit) | £80 |
| Risk Assessment | £100 |
| Other investigations (each investigation) | £100 |
| Granting an authorisation (each authorisation) | £50 |

5.8 Contaminated Land & Information Requests

Charges for the investigation and supply of information relating to land conditions or environmental issues are to remain at £50 minimum charge plus £50 per hour thereafter. However an additional charge will be made to recover the cost of the photocopying of documents at a level of 10p per A4 sheet.

5.9 Dog Warden Service

The Council administers a charge to the owners of stray dogs at the point of recovery from the kennels. This is to contribute to administration costs incurred in providing the service. The Council's position on the recovery charge for a stray dog from the kennels will be a sliding charge.

5.10 FOOD SAFETY

5.10.1 Proposed charges for 2013/14 remain the same with the exception of the cost of a Food Export Certificate, which rises by £1.00 to £15.00, as set out in Appendix A.

5.10.2 The Council has also started to undertake basic food hygiene training for internal and hard to reach groups. The proposed charge for this is £50.00 per person.

6. WASTE SERVICES AND STREET CLEANSING

6.1 It is proposed that the 3.8% MTFP increase is applied to bulky waste collection. Also proposed is the introduction of charges for clinical waste collections and new or replacement Euro bins, as per Table 11.

TABLE 11 – PROPOSED CHARGES FOR WASTE SERVICES

| Service | 2012/13 Charge | 2013/14 Proposed Charge |
|--|-----------------------|--------------------------------|
| Bulky Waste Collection, up to 5 items | £16 | £17 |
| New/Replacement Euro Bin (charge for developers and property management companies) | N/A | £275 + cost of delivery |
| Clinical Waste Collection | N/A | £470 per year |

6.2 There is an ongoing review of the “Purple Sack” rounds, which will decrease demand for replacement purple sacks. The project involves identifying all properties that can be migrated from purple sacks to wheeled refuse bins. Any properties that cannot be migrated will be supplied with Gull Sacks instead. The second tranche of properties are currently being identified.

6.3 The clinical waste collection service is under review. This service may be discontinued or a charge introduced. The initial charge proposed is an annual fee set at £470 per year as shown in Table 11. As this is a new charge, no income target should be set this year.

6.4 It is proposed that a charge is introduced for lost and replacement containers in addition to the already established charge for extra green waste containers. All first replacement bins and sacks would be provided free of charge. Thereafter refuse bins that are damaged, lost, or additional - unless the Council is liable for the replacement (for example if a bin is damaged by a crew or lost in the back of a refuse wagon) - should be charged for as per Table 12.

- 6.5 It is proposed to charge developers for the cost of supplying households on new developments for the first set of waste and recycling containers. This will ensure that waste collection can remain free at the point of delivery, as the developers bear the costs. All proposed container charges are set out in Table 12.

TABLE 12 – WASTE RECEPTACLE CHARGES

| Container Type | Proposed Charge |
|---|----------------------------|
| Refuse Bin (Grey) 140 Litre 240 Litre | £20.00 £30.00 |
| Green Waste Bin (Green) 240 Litre | £30.00 |
| Box Hat | £1.00 |
| Euro Bin | £275.00 + Delivery Cost |

7 SUMMARY OF INCOME

7.1 The original 2012/13 budgets and 2013/14 forecast income levels based upon the current charge structure and forecast volume are as follows:-

TABLE 13 – COMPARISON OF ESTIMATES AND MTFP TARGETS

| Service Area | Original Estimate 2012/13 | MTFP Target 2013/14 | Original Estimate 2013/14 | (Shortfall) or Excess over MTFP | Inc/ Dec |
|---------------------|--------------------------------------|------------------------------------|--|--|---------------------|
| | £ | £ | £ | £ | % |
| City Centre | 15,600 | 16,200 | 16,200 | 0 | 0% |
| Env Protection | 2,400 | 2,400 | 2,400 | 0 | 0% |
| Env Protection Act | 23,500 | 24,400 | 24,400 | 0 | 0% |
| Dog Policy EPA | 7,500 | 7,800 | 7,800 | 0 | 0% |
| Pest Control | 30,000 | 31,100 | 31,100 | 0 | 0% |
| Food | 2,400 | 2,500 | 2,500 | 0 | 0% |
| Bereavement Serv's | 1,132,300 | 1,175,000 | 1,175,000 | 0 | 0% |
| Allotments | 26,500 | 27,500 | 27,500 | 0 | 0% |
| Bulky Waste | 35,000 | 36,300 | 36,300 | 0 | 0% |
| Sports Pitches | 12,000 | 12,500 | 12,500 | 0 | 0% |
| Car Parking | 1,249,000 | 1,344,100 | 1,294,100 | (50,000) | (3.7%) |
| Total | 2,536,200 | 2,679,800 | 2,629,800 | (50,000) | (1.87%) |

7.2 With the exception of Talkin Tarn, the income of which is ring-fenced, acceptance of the charges highlighted within this report will result in an anticipated level of income of £2,629,800 against the MTFP target of £2,679,800. This represents a shortfall of £50,000 against the MTFP target.

8 RECOMMENDATIONS

The Executive is asked to agree the charges as set out in the body of the report and relevant Appendices with effect from 1st April 2013.

9 REASONS FOR RECOMMENDATIONS

To ensure the City Council's Corporate Charging Policy is complied with.

10 IMPLICATIONS

- Staffing/Resources – N/A

- Financial – included in the main body of the report
- Legal – N/A
- Corporate – The report reflects the Council's Charging Policy and recognises the MTFP requirements.
- Risk Management – The income forecasts and charging proposals reflect the current market climate and known issues which could impact on income levels in 2013/14.
- Equality and Disability – N/A
- Environmental – N/A
- Crime and Disorder – N/A
- Impact on Customers – N/A
- Equality and Diversity – N/A

Impact assessments

Does the change have an impact on the following?

| Assessment | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Equality Impact Screening Does the policy/service impact on the following? | | |
| Age | Yes | Positive & negative |
| Disability | Yes | Negative |
| Race | Yes | Negative |
| Gender/ Transgender | Yes | Negative |
| Sexual Orientation | Yes | Negative |
| Religion or belief | Yes | Negative |
| Human Rights | Yes | Negative |
| Social exclusion | Yes | Positive and negative |
| Health inequalities | No | |
| Rurality | Yes | Negative |

If you consider there is either no impact or no negative impact, please give reasons:

- Allotments: There is no change to how concessions are applied. The application form is used to assess eligibility and proof of age is part of the application process. Applicants under pensionable age who have retired on the grounds of ill health can also receive the concession.
- Pest Control: There is no change to how concessions are applied. 50% concession is applied to senior citizens and those in receipt of high rate disability living allowance.
- Bulky waste: Collection requests to be encouraged via the website, however, telephone and face to face requests can still be made via the contact centre for those without internet access.

APPENDIX A

ENVIRONMENTAL SERVICES CHARGES PROPOSALS 2013/14

| <u>Pest Control</u> | <u>Existing Charge 2012/13</u> | <u>Proposed Charge 2013/14</u> |
|--|---------------------------------------|---------------------------------------|
| (The charges are exclusive of VAT, which is charged at Standard Rate) | | |
| Standard Farm Contract Service (Duration 12 months) | £300.00 | £300.00 |
| Service Charge per hour (min charge 1 hour) initial visit plus materials | £42.00 | £42.00 |
| Subsequent Visits per hour (min charge 1 hour) | £28.00 | £28.00 |
| Wasps (standard rate) | £32.00 | £33.00 |
| Ants | £46.00 | £46.00 |
| Fleas | £58.50 | £58.50 |
| Fleas Empty Properties | £104.00 | N/A |
| Rats | £73.00 | £73.00 |
| Mice | £74.00 | £74.00 |
| Disposal of Unfit and Unsaleable Food | | |
| *Small load – per hour (exclusive of VAT) | £83.00 | £83.00 |
| Additional hours (per hour) | £51.00 | £51.00 |
| Condemnation Certificate | £25.00 | £25.00 |
| This fee would be levied whatever the value of the goods surrendered. However, occasionally minor amounts of food require disposal (i.e. where there are no transport or tipping charges incurred). For these cases a £28 charge only be raised which will cover the cost of condemnation certificate. | | |
| *Min charge of 1 hour | | |
| Note: These charges are subject to an additional fee in respect of Landfill Tax | | |
| Export Certification of Food | | |
| Cost of Export Certificate | £14.00 | £15.00 |
| Cost of EHO's time where applicable (per hour) | £51.00 | £51.00 |
| Cost of Inspection of Meat Cutting Premises (per hour) | £51.00 | £51.00 |
| Clean Neighbourhood & Environment Act FPN:- | | |
| Dog Fouling** | £80.00 | £80.00 |
| Dog Fouling – paid within one week of issue | £60.00 | £60.00 |
| Fly Posting** | £80.00 | £80.00 |
| Fly Posting – paid within one week of issue | £60.00 | £60.00 |
| Graffiti** | £80.00 | £80.00 |
| Graffiti – paid within one week of issue | £60.00 | £60.00 |
| Dogs not on Lead** | £80.00 | £80.00 |
| Dogs not on lead – paid within one week of issue | £60.00 | £60.00 |

| | | |
|---|---------|---------|
| Waste Receptacles** | £110.00 | £80.00 |
| Environmental Protection Act - Litter | £80.00 | £80.00 |
| Environmental Protection Act - Litter – paid within one week of issue | £60.00 | £60.00 |
| Health Act 2006:-Smoking in Smokefree premises + | £50.00 | £50.00 |
| Health Act 2006:-Failure to display 'Smokefree' signage + | £200.00 | £200.00 |
| Public Health Charges & Miscellaneous Licences | | |
| Acupuncture, Cosmetic Piercing & Tattooing/Skin Colouring* | £90.00 | £93. |
| Animal Boarding Establishment | £84.00 | £87.00 |
| Dog Breeders | £61.00 | £63.00 |
| Pet Shops | £89.00 | £92.00 |
| Zoo Licences & Dangerous Wild Animals (+ Vets Fees) | £115.00 | £119.00 |
| Works in default administration costs recovery | N/A | £15.00 |
| Food Hygiene Training | N/A | £50.00 |

* One-off registration fees. ** The range of penalty charges for these are defined by legislation and range between £50 - £80 or £75 - £80 (waste receptacles)

+ The charges are defined by legislation

PROPOSED LAPPC Charges for 2012/13- (SUBJECT TO FINAL OUTCOME OF DEFRA CONSULTATION)

| Type of charge | Type of process | 2012/13 Fee | | |
|--|--|----------------|------|-------|
| Application Fee | Standard Process | £1579 | | |
| | Additional fee for operating without a permit | £1137 | | |
| | Reduced fee activities (except VRs) | £148 | | |
| | PVR I & II combined | £246 | | |
| | Vehicle refinishers (VRs) | £346 | | |
| | Reduced fee activities: Additional fee for operating without a permit | £68 | | |
| | Mobile screening and crushing plant | £1579 | | |
| | For the third to seventh applications | £943 | | |
| | For the eighth and subsequent applications | £477 | | |
| Where application is for a combined Part B / waste application, add £297 to the above amounts. | | | | |
| | Standard process Low | £739 (+£99)* | | |
| | Standard process Medium | £1111(+£149)* | | |
| | Standard process High | £1672 (+£198)* | | |
| | Reduced fee activities Low/Med/High | £76 | £151 | £227 |
| | PVR I & II combined | £108 | £216 | £326 |
| | Vehicle refinishers Low/Med/High | £218 | £349 | £524 |
| | Mobile screening and crushing plant L/M/H | £618 | £989 | £1484 |
| | for the third to seventh authorisations L/M/H | £368 | £590 | £884 |
| | eighth and subsequent authorisations L/M/H | £189 | £302 | £453 |
| | Late Payment Fee | £50 | £50 | £50 |
| | * additional amount in brackets to be charged where a permit is for a combined Part B and waste installation | | | |
| 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 | | |
| | Standard process partial transfer | £476 | | |
| | New operator at low risk reduced fee activity | £75 | | |
| | Surrender: all Part B activities | £0 | | |
| | Reduced fee activities: transfer | £0 | | |
| Temporary transfer for mobiles | Reduced fee activities: partial transfer | £45 | | |
| | First transfer | £51 | | |
| | Repeat transfer | £10 | | |
| | Repeat following enforcement or warning | £51 | | |

| Type of charge | Type of process | 2012/13 Fee |
|---------------------------|---|-------------|
| Substantial change s10/11 | Standard process | £1005 |
| | Standard process where the substantial change results in a new PPC activity | £1579 |
| | Reduced fee activities | £98 |

Key

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.

Reduced fee activities are; Service Stations, Vehicle Refinishers, Dry Cleaners and Small Waste Oil Burners under 0.4MW

LAPPC mobile plant charges for 2012/13

| Number of authorisations | Application fee 2012/13 | Subsistence fee 2012/13 | | |
|--------------------------|-------------------------|-------------------------|------|-------|
| | | Low | Med | High |
| 1 | £1579 | £618 | £989 | £1484 |
| 2 | £1579 | £618 | £989 | £1484 |
| 3 | £943 | £368 | £590 | £884 |
| 4 | £943 | £368 | £590 | £884 |
| 5 | £943 | £368 | £590 | £884 |
| 6 | £943 | £368 | £590 | £884 |
| 7 | £943 | £368 | £590 | £884 |
| 8 and over | £477 | £189 | £302 | £453 |

LA-IPPC charges for 2012/13

NB – every subsistence charge in the table below includes the additional £99 charge to cover LA extra costs in dealing with reporting under the E-PRTR (European Pollutant Release and Transfer Register) Regulation.

| Type of charge | Local authority element 2012/13 |
|--|---------------------------------|
| Application | £3218 |
| Additional fee for operating without a permit | £1137 |
| Annual Subsistence LOW | £1384 |
| Annual Subsistence MEDIUM | £1541 |
| Annual Subsistence HIGH | £2233 |
| Substantial Variation | £1309 |
| Transfer | £225 |
| Partial transfer | £668 |
| Surrender | £668 |

Key

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.

Reduced fee activities are: Service Stations, Vehicle Refinishers, Dry Cleaners and Small Waste Oil Burners under 0.4MW

Newspaper advertisements

Newspaper adverts may be required under EPR (Environmental Permitting Regulations) at the discretion of the LA as part of the consultation process when considering an application. This will be undertaken and paid for by the LA and the charging scheme contains a provision for the LA to recoup its costs.

Environment Agency Subsistence Fees for Discharge to Controlled Waters 2012/13

| Charge Band | Charge | Applicability |
|-------------|--------|---|
| A | £2,270 | Where permit conditions contain numerical water discharge limits other than for the pollutants or parameters listed in bands B and C |
| B | £760 | Where permit conditions contain numerical water discharge limits for BOD, COD ¹ or ammonia |
| C | £222 | Where permit conditions contain numerical limits for water flow, volume, suspended solids, pH, temperature, or oil or grease. |
| D | £66 | Where conditions are included in a permit which do not fall within any of the descriptions in bands A-C (e.g. descriptive conditions) |

There is no extra fee payable to the Environment Agency where quarterly payments are made.

BEREAVEMENT SERVICES CHARGES

| Service | 2012/13 Current Charge | 2013/14 Proposed Charge |
|--|---------------------------------------|--|
| VAT EXCLUDED | | |
| Cremation -Stillborn | 0.00 | 0.00 |
| Cremation- up to 17yrs | 139.00 | 145.00 |
| Cremation Adult | 580.00 | 605.00 |
| Environmental Surcharge (applicable to Adult Cremation only) | 50.00 | 50.00 |
| New Cremation Environmental Surcharge | 50.00 | 50.00 |
| Storage of Cremated Remains | 30.00 | 30.00 |
| Additional copies of cremation certificates | 20.00 | 21.00 |
| Cremated remains placed without appointment | 20.00 | 21.00 |
| Cremated remains placed with appointment | 40.00 | 42.00 |
| Cremation Body Parts | 66.00 | 69.00 |
| Chapel 24hrs | 15.00 | 16.00 |
| Chapel 48hrs | 28.00 | 29.00 |
| Chapel 72hrs | 42.00 | 44.00 |
| Cremated Away | 51.00 | 53.00 |
| Postage | 41.00 | 43.00 |
| Poly Urn | 15.00 | 16.00 |
| Metal Urn | 24.00 | 25.00 |
| Casket | 37.00 | 38.00 |
| Bearer | 15.00 | 16.00 |
| Interment NVF/stillborn | 0.00 | 0.00 |
| Interment NVF/stillborn - Wood lined grave | | 0.00 |
| Interment up to 17yrs | 91.00 | 95.00 |
| Interment up to 17yrs - Wood Lined Grave | 280.00 | 291.00 |
| Interment Adult | 555.00 | 577.00 |
| Interment Adult - Wood Lined Grave | 745.00 | 775.00 |
| Interment Adult - Out of Hours Grave Mon-Sat | 805.00 | 837.00 |
| Interment Adult - Out of Hours Grave - Sunday | 865.00 | 900.00 |
| Interment Adult - Out of Hours Grave - Bank hols | 925.00 | 962.00 |
| Interment Non Resident | 555.00 | 577.00 |
| Interment Cremated Remains | 181.00 | 188.00 |
| Interment Body Parts | 50.00 | 52.00 |
| Replacement Headstone Fee | 70.00 | 73.00 |
| Purchase - child grave 30yrs | 56.00 | 58.00 |
| Purchase Child Grave 50 yrs | 77.00 | 80.00 |

| Service | 2012/13 Current Charge | 2013/14 Proposed Charge |
|---|------------------------------|-------------------------------|
| Purchase Adult grave 30 yrs | 571.00 | 594.00 |
| Purchase Adult Grave 50 yrs | 952.00 | 990.00 |
| Purchase Cremated Remains Grave 30 yrs | 198.00 | 206.00 |
| Purchase Cremated Remains Grave 50yrs | 327.00 | 340.00 |
| Woodland Burial - one - 30 yrs | 224.00 | 233.00 |
| Woodland Burial - one - 50yrs | 372.00 | 387.00 |
| Woodland Burial -two - 30yrs | 447.00 | 466.00 |
| Woodland Burial- two-50yrs | 743.00 | 774.00 |
| Woodland Cremated Remains 30yrs | 224.00 | 233.00 |
| Woodland Cremated Remains 50 yrs | 372.00 | 387.00 |
| Recyled Resident | 555.00 | 577.00 |
| Recycled Non Resident | 555.00 | 577.00 |
| Headstone (Inc 2 safety checks 5 & 10 yrs) | 146.00 | 152.00 |
| Memorial Vase/Add Ins | 57.00 | 59.00 |
| Cemetery Chapel - RS | 111.00 | 115.00 |
| Cemetery Chapel - Stan | 91.00 | 95.00 |
| Statutory Declaration Form | 27.00 | 28.00 |
| Re-turf graves | 22.00 | 23.00 |
| Standard Information Provision | FOC | 0.00 |
| Complex Information Provision Fees | 20.00 | 21.00 |
| VAT INCLUDED | | |
| BOR 2 line | 59.00 | 61.00 |
| 5 line | 113.00 | 118.00 |
| 5 line +F/E | 162.00 | 168.00 |
| 8 line | 127.00 | 132.00 |
| 8 line + F/E | 187.00 | 194.00 |
| Cards 2 line | 38.00 | 40.00 |
| 5 line | 64.00 | 67.00 |
| 5 line + F/E | 118.00 | 123.00 |
| 8 line | 81.00 | 84.00 |
| 8 line + F/E | 135.00 | 140.00 |
| Baby Book per line | 8.00 | 8.50 |
| Motifs | 60.00 | 62.00 |
| Granite Plaque 2 line with niche | 427.00 | 444.00 |
| 2 lines without niche | 363.00 | 378.00 |
| 3 lines with niche | 469.00 | 488.00 |
| 3 lines without niche | 407.00 | 423.00 |
| 4/5 lines with niche | 545.00 | 567.00 |
| 4/5 lines without niche | 480.00 | 499.00 |
| Each Reserved line | 74.00 | 77.00 |
| Bronze Plaque with niche | 334.00 | 347.00 |
| Bronze Plaque without niche | 269.00 | 280.00 |
| Replacement | 105.00 | 109.00 |
| Sheepfold Plaque | 325.00 | 338.00 |
| Teak Seats | 1039.00 | 1081.00 |

| Service | 2012/13 Current Charge | 2013/14 Proposed Charge |
|---------------------------|------------------------------|-------------------------------|
| Sanctum 2000 | 895.00 | 931.00 |
| Extra letters & Figures | 5.00 | 5.20 |
| Replacement Plaque | 231.00 | 240.00 |
| Memorial Vase & Tablet | 480.00 | 499.00 |
| Replacement Plaque | 222.00 | 231.00 |
| New Sanctum 12 | 567.00 | 590.00 |
| Extra letters & Figures | 5.00 | 5.20 |
| Flower vase holder | 21.00 | 22.00 |
| Replacement Plaque | 231.00 | 240.00 |
| Octogan Planter Plaques | 455.00 | 473.00 |
| Replacement Plaque | 93.00 | 97.00 |
| Memorial Mushroom Plaques | 218.00 | 227.00 |
| Baby Urn | 6.00 | 6.50 |
| Wesley Recorded Service | 39.00 | 41.00 |

APPENDIX C

CORPORATE CHARGING POLICY 2013/14 TO 2017/18

This appendix sets out the corporate approach to the setting of fees and charges.

Each service is required to consider how and to what extent each of the following applies to the fees and charges it proposes to set:

1. Objectives of Charge - Set out the principal objective(s) of setting the charge:

- Recover cost of service provision
- Generate Surplus Income (where permitted)
- Maintain existing service provision
- Fund service improvements or introduction of new service(s);
- Manage demand for service(s)
- Promote access to services for low-income households;
- Promote equity or fairness;
- Achieve wider strategic policy objectives (eg encouraging green policies).

2. Other factors influencing decisions on whether and how much to charge:

- The Council's historic approach to charging
- The views of local politicians, service users and taxpayers
- Other Councils' and service providers approach to charging
- Levels of central government funding and policy objectives
- The Council's overall financial position
- Changes in demand for services
- Policy on Concessions
- Availability of powers to charge for discretionary services (eg pre application planning advice)
- Central Government policy objectives

3. Targeting Concessions - The following target groups should be considered:

- Persons over 65

- Unemployed
- Young persons under the age of 18
- Students in full time higher education
- Community Groups
- Those in receipt of supplementary benefits, tax credits, attendance allowance, disability living allowance and other appropriate groups

4. Trading

The Council is empowered to sell goods or services to other public bodies or trade commercially through a company with non-public bodies. The objectives should be considered for relevant services (including Building Cleaning and Maintenance, Vehicle Maintenance, Grounds maintenance, Legal Services, Human Resources, IT, Payroll, Planning and Development Services) as follows to:

- Deliver services more strategically on an area-wide basis
- Achieving greater efficiency
- Capitalise on expertise within the council
- Utilise spare capacity
- Generate income
- Support service improvement

5. Value For Money

- Has charging been used as a tool for achieving strategic policy objectives?
- Has the optimum use of the power to charge been used?
- Has the impact of charging on user groups been monitored?
- Has charging secured improvements in value for money?



REPORT TO EXECUTIVE

PORTFOLIO AREA: HOUSING & COMMUNITY ENGAGEMENT

Date of Meeting: 19 November 2012

Public

Key Decision: Yes

Recorded in Forward Plan:

Yes

Inside Policy Framework

Title: REVIEW OF CHARGES 2013/14

Report of: The Director of Community Engagement

Report reference: CD 53/12

Summary:

This report sets out the charges for the Hostel services and Disabled Facilities Grants (DFG's) falling within the responsibility of the Community Engagement Directorate.

Recommendations:

The Executive is asked to agree the increase in charges as set out in the report with effect from 1st January 2013 noting the impact these will have on income generation as detailed within the report

Contact Officer: Keith Gerrard

Ext: 7350

1. BACKGROUND INFORMATION

- 1.1 Each Directorate is required to carry out an annual review of fees and charges.
- 1.2 Executive approved the current Hostel Services charges on 19/12/11 with an implementation date of 1st April 2012 (CD/25/11). The report highlighted the rationale which reflects the actual costs of the service delivery in line with the Council's Corporate Charging Policy. It was agreed that the rent rationale would be reviewed annually to reflect the actual costs of the services.
- 1.3 Fees of 10% for DFG's are longstanding.

2. CORPORATE CHARGING POLICY 2013/14 TO 2017/18

- 2.1 The Corporate Charging Policy, which is part of the Strategic Financial Framework, was approved by the Executive on 3 September 2012 and Full Council on 11 September 2012 and sets out the City Council's policy for reviewing charges. The principal objective(s) of setting the charge are:-
 - Recover cost of service provision
 - Generate Surplus Income (where permitted)
 - Maintain existing service provision
 - Fund service improvements or introduction of new services(s)
 - Manage demand for service(s)
 - Promote access to services for low-income households
 - Promote equity or fairness
 - Achieve wider strategic policy objectives (e.g. encouraging Green Policies)

- 2.2 In addition, the policy recognises that each Directorate is different, and requires Directors to develop specific principles for their particular service or clients groups, but within the parameters of the main principles of the Council's Corporate Charging Policy.

3. HOSTEL SERVICES

- 3.1 In 2011/12 Carlisle City Council was contracted by Cumbria County Council to provide housing related support within the hostel services with an annual value of £305,622. These contracts ended on 31 March 2012. A new contract was issued on

1 April 2012 to provide housing related support to homeless women and families living within the family Hostel and Home- shares with an annual value of £125,135.

- 3.2 In response to the outcomes of the Supporting People tender process, a service and staffing review is underway in the hostels.
- 3.3 The City Council has a statutory responsibility under part 7 of the Housing Act, 1996, as amended to provide temporary accommodation to people who are vulnerable under the act and are homeless or at risk of homelessness within 28 days. The authorities approach to service provision is based on a pathways model of assessment, providing a 24/7 service of temporary accommodation, out of hours emergency homeless response and resettlement and move on services.
- 3.4 The proposed new structure for the hostel service reduces staff from 15.6FTE to 11.4FTE and is the minimum staffing level required to deliver our statutory responsibility ensuring both clients and staff are not put at risk and we minimise the use of bed and breakfast accommodation. There are also changes in job role.
- 3.5 Eligible rent levels under the Housing Benefit Regulations have recently been agreed for a five tier charging structure that reflects usage and that is in line with the corporate charging policy. Although a five tier rent structure is a more transparent way of calculating rent levels, it does make comparisons with the three tier 2011 charging structure more difficult, with the exception of John Street.
- 3.6 Pending Executive approval for the revised rent charges, it is prudent to flag up a projected £14,000 projected deficit on the proposed 2013/14 revenue budget for the hostels. There will be a further review of hostel expenditure to bridge the shortfall and ensure that expenditure is in line with budget.

2013/14 PROPOSED HOSTEL CHARGES (from 1st January 2013)

| PROJECT | | Proposed Charge from 1 January 2013 | Current charge |
|--------------------------------|-----------------|--|----------------|
| LONDON ROAD FAMILY RATE | | | |
| 8 Units | Total Charge | £284.34 | £279.85 |
| 8 Units | Personal Charge | £17.92 | |
| LONDON ROAD SINGLE RATE | | | |
| 2 Units | Total Charge | £244.02 | £279.85 |
| 2 Units | Personal Charge | £12.74 | |
| JOHN STREET | | | |
| 28 Units | Total Charge | £279.32 | £225.79 |

| | | | |
|-------------------------------|-----------------|---------|---------|
| 28 Units | Personal Charge | £12.67 | |
| HOMESHARES FAMILY RATE | | | |
| 7 Units | Total Charge | £283.64 | £229.56 |
| 7 Units | Personal Charge | £18.41 | |
| HOMESHARES SINGLE RATE | | | |
| 5 Units | Total Charge | £282.24 | £229.56 |
| 5 Units | Personal Charge | £13.58 | |

4. DFG FEES

Carlisle City Council currently charges fees for its core Disabled Facilities Grant (DFG) service to meet the revenue costs of delivering the service. These fees are currently set at 10%. Carlisle was recently accredited as a Home Improvement Agency (HIA) in July by Foundations, the national body for HIAs.

- 4.1 Fee levels nationally are now currently at 12.5% and it is proposed that Carlisle raise its fees accordingly. For extensions to properties, where there is additional drawings and specifications to be prepared, it is proposed to raise the fee to 15%. This will raise additional revenue and contribute to the savings the Directorate needs to make. The HIA will also shortly be offering its services to private clients and the fees level needs to reflect the cost of the work and market rates.
- 4.2 DFGs are mandatory grants that are made to adapt the homes of older and disabled people. Carlisle is also currently establishing additional services under the HIA to help, particularly, older people remain independent at home for as long as possible. This is a key aim for both Health and Social Care. We are working closely with our partners to ensure the right services and support are in place.
- 4.3 The effect of taking a charge is to convert what is a capital grant to revenue. Most of the funding comes from an annual Government Grant as detailed below. Currently there are no waiting lists for DFGs and the budget last year was both kept to and spent and taking an increased fee would not affect the service to our clients. We are also lobbying for additional funding to increase Government's contribution to the budget. It is expected an additional amount will be allocated shortly from the Department of Health as last year.

- 4.4 There is a need to review the MTFP for DFGs to reflect the spend accurately as part of a review in 2013/14. As in previous years, the MTFP target for fees has not accurately reflected the actual spend.

2013/14 PROPOSED DFG Fees (from 1st January 2013)

The Table below shows actual fee income received during the 11/12 Financial Year.

| Year | Spend | Fees raised |
|---------|------------|-------------|
| 2011-12 | £1,020,486 | £98,122 |

The Table below shows projected fee income levels based on 12.5% for the last quarter of the current year, and for 12.5% and 15% in 2013/2014. All figures are estimated, based on the changes taking effect in last quarter 2012-13 and are subject to the review of the MTFP target. Department of Health funding is provisional and has not yet been confirmed.

| Year | Budget | Allocation | DOH Funding | Fees raised |
|---------|------------|------------|-------------|-------------|
| 2012-13 | (£863,000) | £663,000 | | (£91,663) |
| 2013-14 | (£938,000) | £663,000 | (£75,000) | (£124,750) |

5 SUMMARY OF INCOME GENERATED

5.1 Hostels and DFGs

The introduction of the hostel charges and DFG proposed fee charges are forecast to generate income of £516,500 and £123,800 which is summarised in the table below:

| Service Area | Original Estimate 2012/13 £ | MTFP Target 2013/14 £ | Original Estimate 2013/14 £ | Difference to MTFP Target £ | % (Increase)/ Decrease |
|---------------------|--|--------------------------------------|--|--|-------------------------------|
| Hostel Charges | 445,800 | 516,500 | 516,500 | 0 | 3.8% |
| DFG Fees | 123,800 | 123,800 | 123,800 | 0 | |

6. RECOMMENDATIONS

Executive is asked to agree the increase in charges and fees as set out in the report with effect from 1st January 2013 noting the impact these will have on income generation as detailed within the report

4. REASONS FOR RECOMMENDATIONS

To ensure that hostel charges and DFG fees reflect the actual costs of service provision and are in line with the City Council's Corporate Charging Policy.

5. IMPLICATIONS

- Staffing/Resources – N/A
- Financial – included within the main body of the report.
- Legal – Paragraph D.31 of the Council's Financial Procedure Rules provides that, except where specifically approved all new charges or changes to existing charges require prior approval of the Executive.
- Corporate – The report reflects the Council's Charging Policy and recognises the MTFP requirements.
- Risk Management – The income forecasts and charging reflect the current market climate and known issues which could impact on income levels in 2013/14.

Impact assessments

- **Does the change have an impact on the following?**

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|-----------------------|--|
| Does the policy/service impact on the following? | | |
| Age | Yes | positive |
| Disability | Yes | positive |
| Race | Yes | positive |
| Gender/ Transgender | Yes | positive |
| Sexual Orientation | Yes | positive |
| Religion or belief | Yes | positive |
| Human Rights | Yes | positive |
| Health inequalities | Yes | positive |
| Rurality | Yes | positive |

If you consider there is either no impact or no negative impact, please give reasons:

.....

.....

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CORPORATE CHARGING POLICY 2013/14 TO 2017/18

This appendix sets out the corporate approach to the setting of fees and charges.

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- Promote equity or fairness;
- Achieve wider strategic policy objectives (eg encouraging green policies).

2. Other factors influencing decisions on whether and how much to charge:

- The Council's historic approach to charging
- The views of local politicians, service users and taxpayers
- Other Councils' and service providers approach to charging
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- Availability of powers to charge for discretionary services (eg pre application planning advice)
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3. Targeting Concessions - The following target groups should be considered:

- Persons over 65
- Unemployed
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4. Trading

The Council is empowered to sell goods or services to other public bodies or trade commercially through a company with non-public bodies. The objectives should be considered for relevant services (including Building Cleaning and Maintenance, Vehicle Maintenance, Grounds maintenance, Legal Services, Human Resources, IT, Payroll, Planning and Development Services) as follows to:

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- Achieving greater efficiency
- Capitalise on expertise within the council
- Utilise spare capacity
- Generate income
- Support service improvement

5. Value For Money

- Has charging been used as a tool for achieving strategic policy objectives?
- Has the optimum use of the power to charge been used?
- Has the impact of charging on user groups been monitored?
- Has charging secured improvements in value for money?
- Has charging been used as a tool to reduce increases in Council Tax?



REPORT TO EXECUTIVE

PORTFOLIO AREA: FINANCE, GOVERNANCE & RESOURCES

Date of Meeting: 19 November 2012

Public

Key Decision: Yes

Recorded in Forward Plan: Yes

Inside Policy Framework

Title: REVISED CAPITAL PROGRAMME 2012/13 AND
PROVISIONAL CAPITAL PROGRAMME 2013/14 TO 2017/18

Report of: DIRECTOR OF RESOURCES

Report reference: RD46/12

Summary:

The report details the revised capital programme for 2012/13 together with the proposed method of financing as set out in Appendices A and B.

The report also summarises the proposed programme for 2013/14 to 2017/18 in the light of new capital pressures identified, and summarises the estimated and much reduced capital resources available to fund the programme.

Recommendations:

The Executive is asked to:

- (i) Note the revised capital programme and relevant financing for 2012/13 as set out in Appendices A and B;
- (ii) Make recommendations to Council to approve reprofiling of £3,000,000 and savings of £2,080,300 from 2012/13 identified in the review;
- (iii) Make recommendations to Council to approve virements from underspends from Kingstown Industrial Estate (£150,100) and Families Accommodation Replacement (£100,000) to fund additional expenditure at the Resource Centre;
- (iv) Give initial consideration and views on the capital spending requests for 2013/14 to 2017/18 contained in this report in the light of the estimated available resources;
- (v) Note that any capital scheme for which funding has been approved by Council may only proceed after a full report, including business case and financial appraisal, has been approved;

Contact Officer: Peter Mason

Ext: 7270

CITY OF CARLISLE

To: The Executive
19 November 2012

RD46/12

PROVISIONAL CAPITAL PROGRAMME 2012/13 TO 2017/18

1. INTRODUCTION

- 1.1 This report details the revised capital programme for 2012/13 together with the proposed methods of financing as set out in paragraph 3 and **Appendix A and B**.
- 1.2 The report also details the capital spending proposals for 2013/14 to 2017/18, together with the potential resources available to fund the programme. Members are asked to give initial consideration to the spending proposals.
- 1.3 The guiding principles for the formulation of the capital programme over the next five year planning period are set out in the following policy documents that were approved by Council on 11 September 2012:
 - Capital Strategy 2013-14 to 2017-18 (Report RD30/12)
 - Asset Management Plan (Report RD36/12)
- 1.4 A Project Assurance Group of senior officers continues to take the lead on the prioritisation of investment and the monitoring and evaluation of schemes. This is to improve performance monitoring and business case analysis of capital projects.

2. CAPITAL RESOURCES

- 2.1 There are several sources of capital resources available to the Council to fund capital expenditure, the main ones being:
 - Borrowing (Prudential Code - see paragraph 5.2)
 - Capital Grants e.g. DFG, specific capital grants
 - Capital Receipts e.g. proceeds from the sale of assets
 - Council Reserves e.g. Projects Reserve
- 2.2 In accordance with the Capital Strategy, the Director of Resources will make recommendations on the most effective way of financing the Capital Programme to optimise the overall use of resources.
- 2.3 It should be noted that capital resources can only be used to fund capital expenditure and cannot (with the exception of the Council's own Reserves), be

used to fund revenue expenditure. There are strict definitions of what constitutes capital expenditure.

- 2.4 It should also be noted that the resources available to support the capital programme can only be estimated during the year. The final position is dependent in particular on how successful the Council has been in achieving Capital Receipts from the sale of assets against its target i.e. the more capital receipts generated, the less is required to be taken from Borrowing and Council Reserves (and vice versa).
- 2.5 The cost of borrowing £1m to fund the capital programme will result in a charge to the revenue account in the next full year of approximately £85,000. This is made up of £45,000 for the cost of the interest payable (4.50% of £1m equates to £45,000) and a principal repayment provision of 4% of the outstanding sum (4% of £1m equates to £40,000).

3. REVISED CAPITAL PROGRAMME 2012/13

- 3.1 The capital programme for 2012/13 totalling £12,728,300 was approved by Council on 17 July 2012 as detailed in the 2011/12 out-turn report (RD10/12).
- 3.2 The revised capital programme for 2012/13 now totals £8,105,200 as detailed in **Appendix A**. This is a result of the reprofiling exercise and review of the capital programme that has been carried out and other in year adjustments, and is subject to approval by Council.

An adjudication notice received on the Resource Centre awarded a final account payment to the contractor of £218,603.42. Approval to pay this was received through an Officer Decision presented elsewhere on the agenda. The projected final overspend on this project due to the adjudication and increased retentions from contractors is £250,100. It is proposed to fund the additional costs from underspends on other projects. **(Executive are asked to consider for recommendation to Full Council the transfers from underspends on Kingstown Industrial Estate (£150,100) and Families Accommodation replacement (£100,000) to fund the additional costs on the Resource Centre.**

- 3.3 **Appendix B** details the revised anticipated resources available and their use to fund the capital programme. These have been revised to take account of revised projections and valuations of asset sales.
- 3.4 A summary of the revised programme for 2012/13 is shown below:

| Summary Programme | £ | Appx |
|--|--------------------|-------------|
| 2012/13 Original Capital Programme | 12,728,300 | A |
| Reprofiling (result of review of programme) | (3,000,000) | |
| Reduction in Programme | (2,080,300) | |
| Other adjustments | 457,200 | |
| Revised Capital Programme (Sept 2012) | 8,105,200 | A |
| Estimated Capital Resources available | (12,506,350) | B |
| Projected (Surplus) capital resources | (4,401,150) | |

- 3.5 The progress to date of each scheme in the current financial year has been identified in the Quarterly Budget Monitoring report considered elsewhere on the agenda (RD50/12). That report also highlighted an underspend against the annual budget, slippage of £3,000,000 and a reduction in the programme of £2,080,300 have been identified. These reductions relate to vehicle replacements and the environmental enhancements project.
- 3.6 The revised programme for 2012/13 (£8,105,200) does not include the revised project for the Old Town Hall presented to Council on 13th November 2012 requesting a virement of £109,400. Once approved this will be incorporated into future reports to the Executive.
- 3.7 It is anticipated that there will be a significant shortfall on anticipated capital receipts generated during 2012/13, during 2011/12, estimated at a net figure of £15,806,600 below the current projections.

| Source | Original £ | Revised £ | Difference £ |
|---|-----------------------|----------------------|-------------------------|
| PRTB Agreement | (150,000) | (235,000) | (85,000) |
| Lovells Sales | (180,000) | (10,000) | 170,000 |
| Asset Sales - General | (500,000) | (250,000) | 250,000 |
| Asset Sales - Asset Review (Reprofiling) | (19,339,600) | (3,868,000) | 15,471,600 |
| Anticipated Capital Receipts 2011/12 | (20,169,600) | (4,363,000) | 15,806,600 |

4. NEW CAPITAL SPENDING PROPOSALS 2013/14 TO 2017/18

- 4.1 The existing and new capital spending proposals are summarised in the following table.

| Capital Scheme | App/ Para | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|--|--------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Current Commitments: | | | | | | |
| Disabled Facilities Grants | | 863 | 863 | 863 | 863 | 663 |
| Planned Enhancements to Council Property | | 300 | 300 | 300 | 300 | 300 |
| Vehicles & Plant | 4.3 | 259 | 279 | 1,901 | 200 | 200 |
| Asset Management Plan | 4.4 | 4,773 | 1,038 | 4,046 | 0 | 0 |
| ICT Shared Service | | 193 | 0 | 0 | 0 | 0 |
| Public Realm Work S106 | | 330 | 0 | 0 | 0 | 0 |
| Clean Up Carlisle | | 12 | 0 | 0 | 0 | 0 |
| Total Existing Commitments | | 6,730 | 2,480 | 7,110 | 1,363 | 1,163 |
| New Spending Proposals | | | | | | |
| Methodist Arts Centre | 4.5 | 250 | 161 | 175 | 0 | 0 |
| Public Realm Work | 4.6 | 100 | 0 | 0 | 0 | 0 |
| Harraby School and Community Campus Capital Contribution | 4.7 | 600 | 500 | 500 | 0 | 0 |
| Old Town Hall/Greenmarket | 4.8 | 0 | 1,500 | 0 | 0 | 0 |
| Leisure Facilities | 4.9 | 0 | 0 | 5,000 | 0 | 0 |
| Total New Proposals | | 950 | 2,161 | 5,675 | 0 | 0 |
| TOTAL POTENTIAL PROGRAMME | | 7,680 | 4,641 | 12,785 | 1,363 | 1,163 |

- 4.2 Many of the new spending proposals have not yet been considered by the Project Assurance Group. Therefore should they be approved for inclusion in the Council's Capital Programme as part of this budget process, the release of any budget would be subject to verification of the business case by the Project Assurance Group and a report to the Executive as appropriate.

Likewise details of the proposals for spend in committed areas will be subject to a full report and Business Case to the Project Assurance Group before the release of any budget.

- 4.3 The anticipated additional budgets for replacement of the Council's vehicle fleet are included in the table above and have been amended to reflect revised requirements within service areas.
- 4.4 Asset Management Plan expenditure has been revised to reflect an updated investment plan in revenue generating assets.

- 4.5 A 3 year programme of works to develop a sustainable Arts Centre in the Methodist Hall. If this scheme is approved there may be a requirement to utilise some of this funding in 2012/13.
- 4.6 A series of Public Realm improvement works around the City Centre, Botchergate and Rickergate areas
- 4.7 The Harraby School and Community Project is a capital new build scheme designed to deliver a three form entry primary school, community centre, library, theatre and other sports facilities on the former North Cumbria Technology College site.
- 4.8 This project seeks to improve the facilities, appearance and services of the buildings in this small part of the city. The project also seeks to include other iconic properties such as the Crown and Mitre.
- 4.9 Sports and leisure facilities will be significantly improved through a capital scheme which will address the need of appropriate wet and dry facilities servicing the whole of the district. It will be informed by a sports facility strategy which is currently in production.

5. POTENTIAL CAPITAL RESOURCES AVAILABLE

- 5.1 The table below sets out the estimated revised resources available to finance the capital programme for 2013/14 to 2017/18 based on the announcements by Government in the spending review.

| Source of Funding | Para | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|---|------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Capital Grants: | | | | | | |
| • Disabled Facilities Grant | 5.3 | (663) | (663) | (663) | (663) | (663) |
| • General Grants/Contributions | 5.4 | (330) | 0 | 0 | 0 | 0 |
| Internal Borrowing | 5.5 | (271) | (334) | (1,956) | (290) | 0 |
| External Borrowing | 5.5 | 0 | 0 | (5,000) | 0 | 0 |
| Capital Receipts: | | | | | | |
| • Generated in year – General | 5.6 | (660) | (260) | (260) | (260) | (260) |
| • Generated in year – Asset Business Plan | 5.7 | (20,148) | (3,265) | (1,340) | 0 | 0 |
| • Generated in year – PRTB | 5.8 | (150) | (150) | (150) | (150) | (150) |
| Direct Revenue Financing / Invest to Save | 5.9 | (84) | (35) | (35) | 0 | 0 |
| TOTAL | | (22,306) | (4,707) | (9,404) | (1,363) | (1,073) |

- 5.2 The Prudential Code which was introduced in 2004, gives authorities freedom to borrow to fund capital schemes subject to the over-riding principles of Affordability, Prudence and Sustainability. Whilst the new freedoms could significantly impact on the capital resources available to the Authority, the principles referred to in effect mean that the Council is limited by the ongoing cost of any borrowing (i.e. the cost of prudential borrowing falls to be met from the General Fund recurring expenditure). The Prudential Code requires authorities to develop their own programmes for investment in fixed assets, based upon what the authority and local taxpayers can afford, and subject to a full Business Case and Options appraisal process. Further details on the Code can be found elsewhere on the agenda in the Treasury Management Report (RD47/12).

The Council in the current financial climate is not considering any prudential borrowing however this will be kept under review. It is likely that, subject to the outcome of service reviews, borrowing may be required to fund the vehicle and plant replacements in future years or other alternative sources of funding identified.

- 5.3 Disabled facilities grant allocation will not be announced until January 2013, although it has been indicated that this grant will be protected at the 2012/13 levels. A further report will be presented to the Executive once the 2013/14 allocation has been received.
- 5.4 Section 106 contributions towards Public Realm Work.
- 5.5 Internal and external borrowing to fund vehicle replacements and Sands Centre.
- 5.6 Capital receipts from the sale of fixed assets, including the sale of the Council's interest in land on the Raffles estate and other specific asset disposals have been revised downwards based on updated projections from Property Services. The receipt from the Families Accommodation (£250,000) has been moved from 2012/13 into 2013/14. A revised valuation of the property is required to ascertain whether this figure can be realised.
- 5.7 Capital receipts from the sale of Assets as part of the Asset Management Plan have been reprofiled between years to reflect sales and purchase activity to date.
- 5.8 The Preserved Right to Buy (PRTB) sharing arrangement with Riverside Group is for a fifteen year period with the Council being entitled to a pre-agreed reducing percentage of the receipts. Right to Buy sales are predicted to be in line with the original projections.

- 5.9 Direct revenue financing in relation to invest to save schemes and Clean Up Carlisle.

6. SUMMARY PROVISIONAL CAPITAL PROGRAMME 2013/14 TO 2017/18

A summary of the estimated resources compared to the proposed programme year on year is set out below:

| | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | 2016/17 £000 | 2017/18 £000 |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|
| Estimated in year Resources available (para 5.1) | (22,306) | (4,707) | (9,404) | (1,363) | (1,073) |
| Proposed Programme (para 4.1) | 7,680 | 4,641 | 12,785 | 1,363 | 1,163 |
| Projected (Surplus)/Deficit | (14,626) | (66) | 3,381 | 0 | 90 |
| Cumulative B/Fwd Balance | (4,401) | (19,027) | (19,093) | (15,712) | (15,712) |
| Cumulative year end Position | | | | | |
| • Capital (Surplus) / Deficit | (19,027) | (19,093) | (15,712) | (15,712) | (15,622) |
| Capital Receipts Set Aside | 15,000 | 15,000 | 15,000 | 15,000 | 15,000 |
| Net Year end Position | (4,027) | (4,093) | (712) | (712) | (622) |

7. CONSULTATION

- 7.1 The Resources, Environment and Economy and Community Overview and Scrutiny Panels will consider the requests for their areas of responsibility at their meetings in November and December. Feedback of any comments on the proposals will be made to the Executive on 13 December prior to the Executive issuing their draft budget proposals for wider consultation on 18 December.

8. RECOMMENDATIONS

The Executive is asked to:

- (i) Note the revised capital programme and relevant financing for 2012/13 as set out in Appendices A and B;
- (ii) Make recommendations to Council to approve reprofiling of £3,000,000 and savings of £2,080,300 from 2012/13 identified in the review;
- (iii) Make recommendations to Council to approve virements from underspends from Kingstown Industrial Estate (£150,100) and Families Accommodation Replacement (£100,000) to fund additional expenditure at the Resource Centre;
- (iv) Give initial consideration and views on the capital spending requests for 2013/14 to 2017/18 contained in this report in the light of the estimated available resources;

- (v) Note that any capital scheme for which funding has been approved by Council may only proceed after a full report, including business case and financial appraisal, has been approved;

9. IMPLICATIONS

- Staffing/Resources – as detailed on the individual appraisal forms
- Financial – included within the report
- Legal – none
- Corporate – SMT and SPG have considered the new spending proposals contained within this report.
- Risk Management – as detailed on the individual appraisal forms
- Equality Issues – none
- Environmental – as detailed on the individual appraisal forms
- Crime and Disorder – as detailed on the individual appraisal forms

10. IMPACT ASSESSMENTS

Does the change have an impact on the following?

| Assessment | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Equality Impact Screening Does the policy/service impact on the following? | | |
| Age | Yes | Positive |
| Disability | Yes | Positive and negative |
| Race | Yes | Positive |
| Gender/ Transgender | No | |
| Sexual Orientation | No | |
| Religion or belief | No | |
| Human Rights | No | |
| Social exclusion | Yes | Positive |
| Health inequalities | Yes | Positive |
| Rurality | Yes | Positive |

If you consider there is either no impact or no negative impact, please give reasons:

Future year budgets for Disabled Facilities Grant is protected at 2012/13 levels. Further impact assessment work will take place once allocation is announced.

Capital Programme includes a range of positive projects that will directly benefit the people of Carlisle.

If an equality Impact is necessary, please contact the P&P team.

PETER MASON

Director of Resources

Contact Officer: Peter Mason

Ext: 7270

| Scheme | 2012/13 Original July 2012 £ | 2012/13 Revised Nov 2012 £ | Notes |
|---|---------------------------------------|-------------------------------------|-------|
| Customer Contact Centre | 10,000 | 10,000 | |
| Resource Centre | 11,000 | 261,100 | 4 |
| Environmental Enhancements | 37,900 | 37,900 | |
| Document Image Processing | 22,000 | 22,000 | |
| Planned Enhancements to Council Property | 403,000 | 403,000 | |
| Kingstown Industrial Estate | 468,000 | 317,900 | 4 |
| Play Area Developments | 66,900 | 66,900 | |
| Vehicles, Plant & Equipment | 1,333,000 | 1,040,400 | 2 / 3 |
| IT Equipment | 99,000 | 99,000 | |
| ICT Shared Service | 232,800 | 232,800 | |
| Families Accommodation Replacement | 1,716,900 | 1,616,900 | 4 |
| Old Town Hall - Strategic TIC | 588,700 | 580,000 | 2 |
| Disabled Facilities Grants | 863,000 | 863,000 | |
| Trinity Church MUGA | 7,700 | 7,700 | |
| Connect 2 Cycleway | 15,000 | 15,000 | |
| Historic Quarter | 70,000 | 70,000 | |
| Regeneration Projects | 35,600 | 35,600 | |
| ODPM Private Sector Renewal | 4,500 | 4,500 | |
| Mechanical Sweepers | 100,000 | 100,000 | |
| Economic Development Environmental Enhancements | 1,778,800 | 0 | 3 |
| Asset Review Purchases | 4,709,500 | 1,709,500 | 1 |
| Crematorium Extension | 60,000 | 60,000 | |
| Talkin Tarn | 95,000 | 95,000 | |
| Castleway Cycle Ramp | 0 | 370,000 | 1 |
| Public Realm Work S106 | 0 | 40,000 | 1 |
| Clean Up Carlisle | 0 | 47,000 | 1 |
| TOTAL | 12,728,300 | 8,105,200 | |

Notes:

1. Budget reprofiled to future years.
2. Savings / Projects to be removed from capital programme.
3. Other variations relate to virements between schemes or additional/reduced contributions as set out in previous Executive reports.
4. Adjustments proposed to fund additional expenditure on Resource Centre.

REVISED CAPITAL PROGRAMME 2012/13 – PROPOSED FINANCING

| Source of funding | 2012/13 Original £ | 2012/13 Revised £ | Notes |
|--|--------------------------|-------------------------|-------|
| Capital Grants: | | | |
| • DFG | 663,000 | 663,000 | |
| • Old Town Hall | 255,000 | 255,000 | |
| Capital Receipts: | | | |
| • B/fwd from previous year | 6,198,850 | 6,198,850 | |
| • PRTB receipts | 150,000 | 235,000 | 1 |
| • Generated in year | 680,000 | 260,000 | 2 |
| • Generated in year (Asset Review) | 19,339,600 | 3,868,000 | 3 |
| Capital Contributions | | | |
| • General | 45,000 | 455,000 | 4 |
| • Slippage from 2011/12 | 14,800 | 14,800 | |
| Use of Reserves/Internal Borrowing | 1,878,200 | 0 | 5 |
| Direct Revenue Financing | 379,500 | 556,700 | 6 |
| TOTAL FINANCE AVAILABLE | 29,603,950 | 12,506,350 | |
| TOTAL PROGRAMME (SEE APP A) | 12,728,300 | 8,105,200 | |
| PROJECTED SURPLUS CAPITAL RESOURCES AVAILABLE | 16,875,650 | 4,401,150 | |

Notes:

1. The revised projection from Riverside Group for 2012/13 is for 12 sales realising a receipt of £236,000.
2. Receipts from the Lovells Agreement have been reduced in line with revised expectations and the receipt from the Families Accommodation (£250,000) has been reprofiled in 2013/14.
3. The anticipated receipts from the Asset Management Plan have been reprofiled into future years in line with revised projections.
4. Changes to general receipts relate to Castle Way Cycle Ramp S106 (£370,000) and Public Realm Works S106 (£40,000).
5. Resources have been removed due to deletion/reduction of schemes from capital programme.
6. Changes to Direct Revenue Financing relate to Clean Up Carlisle (£47,000), Vehicle Replacements (£8,900), Insurance Claim (£130,000) and Old Town Hall (-£8,700).



COMMUNITY OVERVIEW AND SCRUTINY PANEL

Panel Report

Public

Date of Meeting: 22nd November 2012

Title: CUMBRIA CHOICE ALLOCATION POLICY – PROPOSED
REVISIONS

Report of: The Director of Community Engagement

Report reference: CD 56/12

Summary: This report presents members with an overview of the proposed revisions to the Cumbria Choice allocation policy.

Questions for / input required from Scrutiny:

Scrutiny is asked to comment on the proposed revisions to the Cumbria Choice allocation policy.

Recommendations: It is recommended that Community Overview and Scrutiny Panel consider the report and, as appropriate, provide information to The Executive.

Contact Officer: Keith Gerrard

Ext: 7350

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

1. BACKGROUND

All local housing authorities must have an allocation policy for housing, regardless of whether or not they own a housing stock. Carlisle City Council went into partnership with the other five Cumbrian authorities and eight housing associations to develop a joint allocation policy for Cumbria, named Cumbria Choice. The policy came into operation in March 2011. When implemented, it was the intention of the Cumbria Choice partnership to review the policy after 12 months. The review was intended to take into account both the operational issues which have arisen over the last year, and any national trends and reforms such as localism and welfare reform.

2. CONSULTATION

Consultation has involved consideration of the views of all partners, the commissioning of an independent consultant to review equality and diversity considerations, and undertaking consultation with local organisations. The City Council is ensuring that local residents are consulted on the policy revisions. A consultation period on the proposed changes is taking place until 23rd November (tbc) 2012, during which both applicants and stakeholders will be advised of the proposed changes via the Cumbria Choice website and invited to submit any objections and comments.

3. PROPOSED REVISIONS

Following the review process, the partnership board has concluded that allocation policy has predominantly been functioning as anticipated and desired. The 'choice' element of the new allocation policy gives applicants more information about what homes are available and the priority banding required to successfully apply for them. The partnership board does not therefore believe that any wholesale overhaul of the Cumbria Choice allocation policy is required.

However, some changes to the policy are being proposed by the partnership. These changes are being proposed to improve the fairness of the policy, to take into account changes to national policy (in particular changes to the welfare system), or as administrative changes, proposed to address ambiguities or loopholes identified while operating the policy.

A few changes to the priority banding classifications are being proposed in order to improve fairness or to respond to issues arising from national policy reform. These are summarised below:

- Where an existing tenant is both under-occupying and will suffer financial hardship as a result of housing benefit reductions, they will be awarded Band B (High Need for Housing). This is being done to assist such tenants with downsizing to a smaller and more suitable home.
- Where a non-social housing tenant is suffering housing-related financial hardship, they will be offered Band C (Medium Need for Housing). This is to give greater preference to applicants whose current accommodation is unaffordable.
- Band C priority is to be removed from applicants who share bathroom/kitchen facilities with unrelated people, who will now be awarded Band D+/D (Low Need for Housing due to No Reasonable Preference). This is because it was considered unreasonable to prioritise this group over, for example, older children who live at home.

In addition:

- In the future two children of the same sex are only expected to share a bedroom until the age of 16, instead of the current policy's defined age of 21.
- Housing associations will get more freedom to decide what size of property can be let to different sizes of household. The board believes this flexibility is needed to allow housing associations to respond to the changes in housing benefit regulations while taking into account differing types of stock. Individual landlords will need to consult with the local authorities in whose areas they operate about their approach to occupation.
- Customers who have accrued high levels of debt as a result of welfare reform may not be given reduced preference by the allocation policy.

A number of changes to the wording of the allocation policy are needed to address ambiguities and ensure greater consistency of working across the partnership. These changes, as well as the above revisions, can be seen in the amended version of the allocation policy, attached in appendix one.

4. CONSULTATION RECEIVED

The City Council has thus far received the following consultation on the revised allocation policy:

- Cumbria Probation Trust has flagged up that the change of priority (from band C to Band D+/D) for those living in shared accommodation will adversely impact those offenders accommodated at the Bowling Green Approved Premises in Carlisle. The City Council agrees with this feedback, and will look to rectify the policy at the Cumbria Choice board on 29th November, where the final policy will be agreed and taken forward, subject to approval from the Executive.

5. ACCESSIBILITY POLICY

An independent review of Cumbria Choice was undertaken in July 2011 to assess the accessibility of the allocation policy. The review found that some older people and people living in rural areas struggled to access Cumbria Choice. Subsequently a sub-group of the partnership examined these issues and, in response, updated Cumbria Choice's accessibility policy, and added a good practice check list to seek to ensure that all partners followed best practice in making sure Cumbria Choice was accessible to all. The revised accessibility policy is included in appendix two.

6. FINANCIAL IMPLICATIONS

Between 2009/11, the City Council contributed £17,356.16 (8.35%) towards the inception/capital costs of the scheme. Ongoing revenue costs of the scheme have been, and will continue to be, met by the participating housing associations. There should thus be no revenue implications for the City Council approving the revised housing policy.

7. CONCLUSION AND OUTPUTS

Since its launch in May 2011, Cumbria Choice has been operating effectively, has been well received by applicants, and has been a fine example of cross-county partnership working. The proposed revisions to the Cumbria Choice allocation policy will add clarity to the existing policy, and will allow the City Council to respond more effectively to the reforms to the welfare system.

Impact assessments

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Does the policy/service impact on the following? | | |
| Age | Yes | Positive |
| Disability | Yes | Positive |
| Race | Yes | Positive |
| Gender/ Transgender | Yes | Positive |
| Sexual Orientation | Yes | Positive |
| Religion or belief | Yes | Positive |
| Human Rights | Yes | Positive |
| Health inequalities | Yes | Positive |
| Rurality | Yes | Positive |

If you consider there is either no impact or no negative impact, please give reasons:

.....

.....

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If an equality Impact is necessary, please contact the P&P team.



Allocations Policy – August 2012

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Summary of the Scheme

Cumbria Choice is a sub regional scheme for letting most of the social rented property in Cumbria. It is a partnership between the 6 Local Districts and 8 social housing providers.

It is managed through a web based computer system.

To be part of the scheme customers need to apply to the Common Housing Register. There is only one application form and customers will be placed on the register if they meet the eligibility criteria.

Priority for housing is awarded through a 'Banding' system that places people in one of five Bands according to their housing needs.

The majority of properties are advertised and customers are able to exercise choice by registering an interest in the property.

Customers are only able to express an interest in properties that meet their requirements. For example adapted property and some ground floor accommodation will be for customers with medical needs and/or for older persons.

At the end of the advertising period a shortlist is compiled, taking into account: the Band of the customer, the 'effective' date of the application, and any local connection.

Usual practice is that customers at the top of the shortlist are offered the property.

In certain situations exceptions to the policy will apply and these are detailed in the policy. These exceptions, which include 'management discretion' or 'local lettings policies' allow the individual partners to respond appropriately to certain individual housing need and to effectively manage their housing stock. All exceptions to the general policy will be recorded and monitored.

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| Section 1 Introduction and Background |
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1.1 Members of the Cumbria Choice Based Letting Partnership

The following are members of the Cumbria Choice based letting partnership, called 'The Cumbria Partnership':

Allerdale Borough Council
Barrow Borough Council
Carlisle City Council
Copeland Borough Council
Eden District Council
South Lakeland District Council

The six Councils have adopted this common Allocation Policy so that customers within the districts covered by the six Councils are assessed on the same basis and have the same access to apply for any social housing vacancies across that whole district.

The scheme applies not only to properties in the Councils' own housing stock (i.e. those owned by any of the Councils if applicable) but also to all those properties to which any of the Councils have rights of nomination (whether by way of a legally enforceable arrangement or not) of the tenant. Properties to which the Councils have rights of nomination of the tenant include properties owned by the following Social Housing Providers:

Accent Housing
Derwent & Solway Housing
Eden Housing
Home Group including Copeland Homes
Impact Housing
Riverside Housing
South Lakes Housing
Two Castles Housing

The participating Social Housing Providers listed above are obliged to advertise vacant properties in accordance with this policy. In addition all of the Social Housing providers listed above have adopted the Council's allocation policy so that there is a common allocation policy ensuring that applicants within the Sub Region who apply to the Council or a participating Social Housing Provider are assessed on the same basis and have access to apply for any vacancies either within their district and to a percentage across the Sub Region.

The scheme formally applies to all properties to which Allerdale Borough Council, Barrow Borough Council, Carlisle City Council, Copeland Borough Council, Eden District Council and South Lakeland District Council have rights

of nomination (whether by way of a legally enforceable arrangement or not) of the tenant. Properties to which the Council have rights of nomination of the tenant include properties owned by Accent Housing, Derwent & Solway Housing, Eden Housing, Home Group including Copeland Homes, Impact Housing, Riverside and Two Castles Housing. The participating Social Housing Providers are obliged to advertise vacant properties in accordance with this policy. Separately, participating partner Social Housing Providers to the Cumbria scheme have voluntarily agreed to allocate the majority of their properties that are not subject to a formal nominations agreement under the joint policy agreed by the six Local Authorities.

To improve the service to customers and to avoid duplication a customer can apply to any of the participating housing organisations listed above. Where this organisation is not a Local Authority that organisation will be assessing the applicant under the Allocation Policy of the relevant Local Authority for that area and on behalf of that Local Authority. This will remove the need for a customer to be redirected back to the Council to register under the Council's allocation scheme directly.

Any significant changes to this policy will need to be approved by the full Council for each participating Local Authority. The relevant decision-making bodies of the Social Housing Providers, namely the Board, will also need to consider and endorse any changes that the Local Authorities wish to make to the policy. Any changes will also be subject to consultation with relevant statutory and voluntary sector organisations and tenant representatives.

❖ Contact details for all partners are listed in Appendix 2.

In developing this policy the partnership has referred to the following guidance and housing legislation:

- The Housing Act 1996 and the Homelessness Act 2002
- Office of the Deputy Prime Minister: Allocation of Accommodation - Code of Guidance For Local Housing Authorities. November 2002
- Department for Communities and Local Government: Allocation of Accommodation: Choice Based Lettings - Code of Guidance for Local Authorities 2008
- Department for Communities and Local Government: Fair and Flexible statutory guidance on social housing allocations for local authorities in England December 2009
- Department of Health: Housing Learning and Improvement Network – The impact of Choice Based Lettings on the access of vulnerable adults to social housing 2009
- Department for Communities and Local Government Circular 04/2009: Housing allocations – members of the armed forces
- Audit Commission: Housing Inspectorate Key Lines of Enquiry – Allocations and Lettings
- Homelessness Code of Guidance for Local Authorities 2006.

Equality legislation and guidance

The partnership will ensure that its policy complies with the current equality legislation and with the relevant statutory codes and guidance.

The operation of the policy has been subject to an Equality Audit and this will be regularly reviewed.

1.2 Policy Statement

Cumbria Choice is the main route into social housing for the majority of people seeking such housing in Cumbria. This policy will aim to treat those applying to the scheme fairly; will be inclusive of all groups and the procedure will be transparent.

Cumbria Choice will provide greater choice for applicants but the demand for housing will continue to be greater than the supply. However through good quality feedback to customers the scheme will enable people to be clear about their prospects of being offered accommodation.

For people unlikely to be offered accommodation through the scheme there will be advice about alternative housing options. There will be information on the website and in written material on options such as; mutual exchanges, the private rented sector, low cost home ownership and shared ownership properties.

The partnership intends the allocation policy to have a positive effect on local communities by increasing tenant satisfaction with their housing, and by contributing to the development of stable communities. The partnership aims to provide a high quality service to its customers and intends to work together to continue to develop the scheme to find joint solutions to housing problems, including those of homelessness.

The partnership acknowledges that some customers applying to the scheme will not be eligible to register for housing due to previous unacceptable behaviour, such as anti-social behaviour. The policy aims to be open and transparent as to the reasons for exclusions and gives advice on the possible actions a customer can take to subsequently gain acceptance onto the register.

Partners are committed to developing a common lettings approach that is easily understood by customers. However, the partnership recognises the need for different approaches to apply in different areas which meet the particular needs of these areas and the needs and objectives of different organisations. Local lettings policies and approaches are therefore accommodated within the policy. Where a specific policy or process applies it will be covered by a written document and made available by the organisation operating the policy/process.

Additionally, each individual provider will have its own approach to tackling welfare reform. For example, different approaches will be taken for dealing with under-occupation. These approaches will be published in parallel with, but separate from, this allocation policy.

1.3 Aims of the Scheme

In developing this policy the Partnership has agreed the following aims:

To reduce the use of temporary accommodation for homeless applicants and to assist with prevention by making customers aware of their potential housing choices and the alternative options available to them eg. private sector, low cost home ownership.

To increase the availability of move-on accommodation to prevent 'blockages' in supported housing schemes.

To ensure a lettings service that embraces equality and diversity by being open and fully accessible to all individuals and to provide support to more vulnerable customers where required.

To improve the means by which local people in Cumbria gain access to social rented housing by providing a modern and easy to understand allocation system which allows choice and is fair, transparent and accountable.

To encourage residents to access employment and to recognise residents who make a contribution to a local community.

To make the best use of the housing stock within the scheme.

To increase mobility by making available 10% of all properties to customers across Cumbria. To increase opportunities for tenant mobility between Cumbria and other areas of the country.

To attract new customers to areas of low demand and reduce void times on 'hard to let' properties.

1.4 Statement on Choice

The key underlying principle of the scheme is to give choice to customers who are looking to obtain housing in the social rented sector.

To ensure customers have choice the partnership will advertise the majority of its properties on a weekly basis through this scheme; property adverts will appear on its website and in newsletters available in the offices of all partner

organisations and other appropriate sites to assist the public to access the scheme.

The Partnership will endeavour to ensure that property adverts are easy to read and will include information about the local area to allow customers to make the best informed choice about housing that is suitable for their needs.

It is the Cumbria Choice policy that wherever possible customers wanting social housing should be able to choose the property for which they wish to be considered. There will be some instances, in exceptional circumstances where the only way to resolve a person's housing situation is through the use of management discretion e.g. homeless households to whom there is a statutory duty to house; households at risk of violence. (See section 3.3: Management Discretion). **In certain circumstances choice may be limited.**

1.5 The Partnership

Cumbria Choice is managed by the Sub Regional Project Board which is governed by a 'partnership agreement'. Its members consist of one senior officer representative from each organisation within the partnership and two tenant representatives. Each organisation has one vote within the partnership. Tenant representation has one vote within the partnership.

The Project Board will meet at least six times a year to oversee the running of the scheme and to monitor its compliance with local and national policy and guidance. The partnership will continue to monitor, fund, develop and make policy decisions about the scheme as appropriate.

1.6 Equality and Diversity

Cumbria Choice is committed to ensuring that its policy and procedures in the letting of property is non-discriminatory. This includes promoting equality of access to the service.

The Partnership is committed to assisting all customers to access the service, taking account of vulnerability or other specific needs, and also the needs of different ethnic groups.

To identify the needs of our customers the application form will have specific questions relating to vulnerability, ethnic origin, sexual orientation, disabilities etc. This information will be used to monitor the impact of the policy on minority and specific needs groups and to make such amendments as may be required to ensure no group is disadvantaged by the policy.

1.7 Accessibility

The partnership recognises that a choice based letting scheme requires active participation by the customer which some may find difficult.

Local support groups and voluntary and statutory agencies have been involved in the development of this scheme to ensure that it is as accessible as possible to all groups within the community. The partnership will continue to work with these agencies to improve accessibility to the scheme.

Those needing support, advice or assistance will be identified through information given on the application form and also by staff, other professional and voluntary groups, and also the computer system which can be used to monitor whether some customers are not 'bidding' or are making inappropriate 'bids' (expressions of interest).

The Partnership will continue to try to ensure that the system is as accessible as possible to any applicant who wants to use it. Easy to read guides explaining how the scheme works will be sent to all customers when they request an application form and once they are registered. All forms and guides will be available on request in other formats and languages.

The Partnership will continue to widely publicise the scheme and will ensure that newsletters advertising the properties are widely distributed.

The Partnership has ensured that its own staff are fully trained and able to offer advice and assistance to individual customers through; front line staff, floating support workers, hostel staff and sheltered housing wardens.

Through ongoing liaison with a range of statutory and voluntary agencies, the partnership aims to ensure that high quality support is available to customers.

The ICT system will be used to monitor customer bidding patterns and will be used to identify those who are having difficulty using the system. In addition the outcomes for customers identified as having specific needs or coming from minority groups will be monitored to ensure they are as successful in gaining housing as other customers.

In exceptional circumstances 'automatic bidding' (see Appendix 1 definition of terms) will be available – this is not a preferred option as it reduces customer choice.

An Accessibility Policy accompanies the Cumbria Choice Scheme.

1.8 Monitoring

The partnership will continue to monitor the policy to ensure that its aims are being met.

Monitoring will be used to ensure that:

- Those in the 'reasonable preference' categories are given priority for housing (see sections 3 and 4)
- Lettings are broadly proportionate to the profile of local communities
- Lettings within 'the Bands' accords with the stated aims of the policy (see section 3)
- Customers in special needs groups are successfully accessing housing.
- There is overall customer satisfaction with the scheme.

1.9 Information sharing, confidentiality and data protection

Information received by a partner organisation in relation to a customers registration form will be treated in confidence in accordance with the Data Protection Act 1998.

Confidential Information held about customers will not be disclosed to third parties apart from:

- Where the individual has consented to the disclosure
- Where a partner organisation is required by law to make such a disclosure.
- Where disclosure is made in accordance with a recognised Information Sharing Protocol or for reasons of public protection.

Partner organisations will continue to develop Information Sharing Protocols within their own areas and where possible across Cumbria to enable consistency and good working practices between the partnership and other voluntary and statutory agencies.

Local Authorities have a duty under the freedom of Information Act with which they will comply. This duty does not apply to registered social housing providers.

Section 2 The Common Housing Register

The Partnership has agreed to operate one common housing register within the scheme. This is a single register for both new customers applying for property and existing tenants wanting a transfer. The single register enables customers applying to the scheme to access housing owned by each member of the Partnership by completing just one application form.

When shortlisting for properties priority will usually be given to customers with a local connection to the Local Authority area. However, there is a commitment to make 10% of vacancies available across the Sub Region without the requirement for a local connection to the Local Authority area in which the property is advertised. (see section 5.9 for definition of local connection)

2.1 Who can Apply

1. Anyone over 16 years – UNLESS:
 - i. They are a person from abroad and have been classed by the Secretary of State for Communities and Local Government as ineligible for housing.
 - ii. They or a member of their household is guilty of unacceptable behaviour serious enough to make them an unsuitable tenant.
2. Open Register: Cumbria Choice operates an open register and will accept all people regardless of their housing need or whether they are from outside Cumbria, subject to them meeting the eligibility criteria.
3. Joint Applicants: joint applications will be accepted and will be treated as one application. An applicant can only have one active application as a main applicant on the register. The housing need of the full household will be considered in assessing housing need. This Allocations Policy supports adult customers wishing to sign as joint tenants should they choose to do so.

In relation to social housing providers the individual housing provider will decide whether to allow a joint tenancy depending on the circumstances of the case.

4. Employees or their relatives: those working for, or elected to the Governing Body of a partner organisation, or, those related to such a person will be eligible to apply. Any offer of accommodation will be subject to the approval of the Governing Body of the organisation offering the property.
5. Owner Occupiers (and those with the financial means to purchase property):
 - These customers can register with the scheme and will be assessed and placed in the appropriate 'Banding' subject to an assessment of their financial means and ability to purchase suitable accommodation. **The decision will be based on a case by case basis based on housing need and the local housing market.** If assessed as able to purchase suitable accommodation they will be given reduced preference.
6. 16/17 year olds: young people aged 16/17 years will be able to apply for accommodation by completing a registration form. However a Social Landlord will not normally grant a tenancy to anyone under the age of 18 years without evidence of an appropriate support package being in place.

The following are examples of when a person under 18 years will be considered for accommodation:

 - They are accepted as requiring move-on accommodation following a successful period in a recognised supported housing scheme and have a move-on support package.
 - They are a homeless young person to whom a duty is owed under Part VII, Housing Act 1996 and a full housing and child in need assessment has been made by Children's Services.
 - They are referred by Children's Services following a housing and child in need assessment with a recommendation for housing having been made. This includes children leaving care.
7. Tenants of social housing organisations
 - Secure and assured tenants may apply to the Register at any time and will have their priority assessed in the same way as other customers.
 - Tenants with probationary or starter tenancies will be given reduced preference until the completion of the 12 months probationary period and a secure or assured tenancy has been granted. However this may not be applied if there is an urgent need for re-housing.

- Tenants transferring within the Scheme will need to have a clear rent account and a satisfactory property report. However this may not necessarily be required if there is an urgent need for re-housing.

8. Persons from Abroad

- Housing authorities are required by law to establish if a person is eligible for housing or whether they are excluded from an allocation under the Asylum and Immigration Act 2002.
- Where a person's eligibility for housing is unclear investigations will be undertaken to establish the person's entitlement for housing.

9. Prisoners: prisoners can register in the 6 month period prior to their date of release. They are able to express an interest in a property in the 2 week period prior to release but must be able to accept the tenancy on the date required by the housing provider.

Partner organisations will refer to the Cumbria Joint Protocol for Housing Offenders for guidance.

10. Serious unacceptable behaviour

- Cumbria Choice expects customers registering for housing to be able to meet the standards of behaviour required of them by the tenancy agreements of partner organisations. Where customers current behaviour indicates that they would be unsuitable to be a tenant they will not be eligible to register with the scheme.
- Part 6 of the Housing Act 1996 as amended by the Homelessness Act 2002 (Section 160A (7)) allows the Local Authority to treat a person as ineligible where they or a member of their household has been guilty of behaviour serious enough to make him/her unsuitable to be a tenant and at the time of the application the customer is still unsuitable to be a tenant.
- Unacceptable behaviour includes but is not limited to:
 - Anti-social behaviour
 - Racial harassment and other hate related crimes
 - Criminal Behaviour
 - Violence
 - Violence or threats of violence to staff or the agents of partner organisations in the Cumbria Choice scheme
 - Serious rent arrears
- The decision on whether a customer is deemed to be ineligible will be made on a case by case basis.
- Where a customer is deemed to be ineligible to join the register they will be given the reasons for that decision and will have the right to request a review of that decision (Section 6).

- Ineligible applications will remain so for a period of 12-months following the date of the decision and customers will need to reapply for housing after this time. The only exception to this is where a previous arrear has been fully cleared. Applicants can re-apply as soon as debts are repaid.

❖ The full policy on the Eligibility criteria is listed in Appendix 3.

11. Households with access to children/joint custody

- Children will only be considered at their main place of residence.
- Customers wishing to include children in their application must be able to provide formal evidence that each child will live with the customer, for example through child benefit entitlement, residency order or custody agreement.

2.2 How to Apply

To join the Cumbria Choice Register customers need to complete an application form. The form can be obtained from the offices of any partner organisation or completed on line via the website.

The application form will be available in other formats and languages on request.

Customers will be required to sign a declaration to:

- Confirm that the information given is correct and that they will notify Cumbria Choice of any change in their circumstances.
- Give consent to allow enquiries to be made concerning their eligibility for housing and level of priority.
- Give consent to allow information to be provided to another partner organisation in the scheme.

Assistance is available for any customer who has difficulty in completing the form from any of the partner organisations

2.3 References

Existing or previous tenants will be asked to provide a reference from their current or previous landlord. This information will be used to decide whether the customer is eligible to be accepted onto the Register and whether or not they should be given reduced preference.

Where a customer has not held a tenancy a character reference may be requested from a professional person who has known the customer for at least 2 years. This applies to both customers where there is a joint application.

Where a customer cannot provide a reference then the following options may be taken to establish whether a customer is eligible to be accepted onto the register and whether or not they should be given reduced preference:

- The customer will be asked to attend an interview with the Officer responsible for assessing the application.
- Information may be sought from the Police through the information sharing protocol.

2.4 Police Checks

Where a customer indicates on their form that they have an unspent criminal conviction a criminal records bureau check or further information will be sought about the offence(s). This will be done to establish whether the person has been involved in a serious crime(s) that would pose a serious risk to the community if they were to be housed within that community.

Information gained will not automatically exclude an applicant from the register. It may also be used to make informed decisions about any offer of a property.

2.5 Notification of Registration

When an application is accepted onto the register the customer will be informed in writing and provided with the following information:

- Their registration date
- Their registration reference number
- The Band they have been placed in.
- A Priority Band date if that is different from their date of registration (see section 3.2; the 'effective' date)
- **An explanation of the login reference number and memorable date for use when logging into their online account**

If an application is moved into a higher priority Band the 'effective date' is taken to be the date it was moved into the higher priority Band. Where an application is moved out of a priority Band the waiting time reverts to the original date of registration.

When customers receive their letter of registration they will also receive a guide to the Cumbria Choice Scheme. This will inform them about how the scheme works and will include such information as: how applications are Banded; where to look for advertised properties; how to register an interest in a property, 'bid'; what checks are made before an offer is confirmed.

2.6 Changes in Circumstances

It is the responsibility of the customer to notify Cumbria Choice of any changes in their circumstances that could affect their application for housing. The application will be re-assessed and if appropriate placed in a different Band.

2.7 Reviewing the Register

Each customer on the Common Housing Register will have their application reviewed annually. A letter will be sent to all customers requesting confirmation of details. If a reply is not received within 28 days of the date sent the application will be cancelled.

Customers registered in Bands A and B will be reviewed more regularly to ensure they are bidding for suitable properties. Monitoring of number(s) of 'bids' made (or lack of) will be used to identify where assistance to customers may be needed

2.8 Cancelling Applications

An application will be cancelled from the housing register in the following circumstances:

- i. At the customers request.
- ii. If the customer becomes ineligible for housing on grounds of their behaviour.
- iii. When the customer has been housed.
- iv. When a social housing tenant completes a mutual exchange.
- v. On failure to reply to a review letter or requests for further information within a given time period.
- vi. Where it is discovered that the customer has given false or misleading information

In circumstances (ii) and (vi) the customer will be notified in writing and informed of the reason why their registration has been cancelled and of their right to request a review of that decision.

In circumstance (v) the customer will be notified in writing that their registration has been cancelled. The application will be re-instated if the applicant contacts Cumbria Choice within 28 days of being notified of the cancellation.

2.9 Giving False Information

Under section 171 of the 1996 Housing Act it is a criminal offence for anyone applying for housing from a housing authority to knowingly give false

information or to withhold information which is relevant to their application. An offence is also committed if a person allows a third party to provide false information on their behalf.

Customers who are found to have withheld or given false information may be removed from the register for 12 months. This will be decided upon based on the seriousness of the false information given and an assessment of why the information was withheld.

The customer will be informed in writing of the decision and advised of their right to request a review.

Where a tenancy has been awarded action may be taken with regard to that tenancy.

2.10 Deliberate Worsening of Circumstances

Where there is evidence that a customer has deliberately made their housing situation worse in order to gain a higher priority on the register, they will be assessed based on the circumstances before their situation changed.

Examples of this are:

- Customers who have allowed family members or others to move into their property, who previously had suitable accommodation **or the financial means to secure their own accommodation**, and this has resulted in the property being overcrowded.
- Customers who have moved from previously suitable or more suitable accommodation which it was reasonable for them to continue to occupy, into a less suitable property.
- Homeowners who have transferred their property to another family member within the last 5 years from the date they make their application to the Register.

Section 3 Assessing Housing Need

Priority for Housing

Local Authorities are required by law to determine the relative priority that housing customers are awarded. The law, as it applies to Local Authorities, requires that reasonable preference for housing must be given to those in the categories set out in the Housing Act 1996 (as amended). In addition the Cumbria Choice scheme gives additional preference to those customers where the Council is satisfied that they have other exceptional or urgent housing needs.

Cumbria Choice operates a needs based Banding system which is set out below. The Bands are arranged to reflect housing need with the highest Band, Band A, indicating the greatest need for housing.

| Band A: Urgent Need for Housing due to Reasonable preference plus additional priority. | Explanation of criteria to be used in the Assessment |
|---|--|
| <p>Homeless Households owed a full homeless duty.</p> <p>Reasonable preference category s 167(2) (b)</p> | <p>Households who have made a statutory homeless application to the Local Authority under Part V11 of the Housing Act 1996 and have been determined by the Council as owed a homelessness duty.</p> <p>Note: Local Band A will be awarded unless the household also meets the criteria for Exceptional need to move (see below)</p> |
| <p>Exceptional need to move due to a Medical condition or reasons of Disability</p> <p>Reasonable preference category s167(2) (d)</p> | <ul style="list-style-type: none"> • An immediate life threatening condition which is seriously affected by the current housing circumstances. • A member of the household cannot be discharged from hospital until a suitable adapted property is provided. • Due to an assessed limited mobility a person in the household is unable to access essential parts of the property eg. bathroom/toilet and the property cannot be suitably adapted. • A member of the household is elderly or disabled or has a progressive illness and is |

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| | <p>likely to require admission to hospital or residential/nursing care in the immediate future and re-housing would enable the person to remain at home.</p> <ul style="list-style-type: none"> Armed forces personnel who need to move to suitable adapted accommodation because of a serious injury, medical condition or disability which he or she or a member of their household, has sustained as a result of service. <p>People who have a severe mental health or learning disability which significantly affects their ability to lead a normal life and which puts them at risk of admission to hospital or residential care.</p> |
| <p>Exceptional need to move.</p> <p>Reasonable preference category s167(2) (d)</p> | <p>Customers who need to move due to domestic abuse, extreme violence or extreme harassment. This would include racial, homophobic or transgender harassment.</p> <p>This will only be agreed in exceptional circumstances where there is a high risk to the tenant or their family's safety if they remain in the property/area and the location sought would substantially reduce or eliminate the risk. Clients in this group should be awarded global Band A without a local connection restriction (other than when this is required by s106 agreement)</p> |
| <p>Excessive Overcrowding</p> <p>Reasonable preference category s167(2) (c)</p> | <p>Households living in conditions which are prejudicial to health and where there is a high risk of harm, as assessed using the Housing Health and Rating system.</p> <p>The assessment must be made by the Local Authority.</p> |
| <p>Property Condition</p> <p>Reasonable preference category s167(2) (c)</p> | <p>Households living in conditions which give rise to an imminent risk of harm and where the Local Authority has served a Prohibition Order under Part 1 of the 2004 Housing Act.</p> |
| <p>Band B: High Need for Housing due to Reasonable</p> | <p>Explanation of criteria to be used in the Assessment</p> |

| Preference | |
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| <p>Cumulative Preference</p> <p>Combinations of reasonable preference categories s167(2) (c), (d) & (e)</p> | <p>People who are assessed as having more than one reasonable preference housing need from reasonable preference category (c), (d) & (e).</p> <p>Customers who have two or more of the following needs as listed in Band C:</p> <ul style="list-style-type: none"> Households needing to move to a particular locality on hardship grounds Households overcrowded/under occupying Disrepair - households where a Category 1 hazard has been identified by the Local Authority (NB see full definition of disrepair under "Property condition in Band C") Medical need Existing social housing tenants who suffer financial hardship as a result of housing benefit changes under Welfare Reform. |
| <p>Welfare Grounds</p> <p>Reasonable preference category s167(2) (d)</p> | <ul style="list-style-type: none"> People who are living in a supported housing placement within the partnership area (usually for for at least 6 months) and who have been assessed as being ready for independent living. Young people who are referred by Cumbria Children's services following a s17 assessment under the Children Act 1989 with a recommendation for housing. This includes children leaving care. All referrals by Children's Services will be made following the Joint Protocol – currently the Interim Protocol 16-17 year old presentations in relation to accommodation (March 2010) in Cumbria <p>NB. It is expected that a support plan will have been prepared and will be available to the housing provider for people rehoused on these grounds.</p> |
| <p>Homeless prevention status – customers who have not been housed within 3 months of being awarded Band C priority</p> | <p>A customer has children or is pregnant, or is a single person who in the Local Authority's opinion may be in priority need and the Local Authority considers they are at risk of being physically homeless. The customer must have opted to take a homeless prevention option and as a result have been granted Homeless Prevention Status.</p> <p>This priority will be awarded by the Local Authority</p> |

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| | after the 3 month period that the customer has been in Band C. |
| Under occupation Reasonable preference category s167(2) (c) | Social housing tenants of a partner organisation that are under occupying a house by 2 or more bedrooms who bid on properties with at least 2 fewer bedrooms than they currently have. An assessment will be made on the basis of the current family composition and will also take into account the family composition at the start of the tenancy. |
| Band C: Medium Need for Housing due to Reasonable Preference | Explanation of criteria to be used in the Assessment |
| Non Priority Homeless Those who are entitled to reasonable preference as being non-priority homeless, intentional homeless or homeless within Part 7 of the Act. Reasonable preference category s167(2) (a) Homeless in priority need and intentional pending S202 Review | These customers will be assessed by the Local Authority. They will include: <ul style="list-style-type: none"> • Rough sleepers • Those moving between friends and relatives • Those who have accommodation but the local authority do not consider it reasonable to occupy • Those who have accommodation, but cannot secure access to it or there is no lawful place they can live in it e.g. caravan Those who have made a homeless application and determined to be homeless but not in priority need or are intentionally homeless or have no local connection. (NB Band E may apply to intentionally homeless applicants where there is a clear reduced preference as defined in the policy ie. Arrears / anti-social behaviour) |
| Homeless prevention option being chosen Priority will be awarded for a 3 month period | A customer has children or is pregnant, or is a single person who in the Local Authority's opinion may be in priority need and the Local Authority considers they are at risk of being physically homeless. The customer must have opted to take a homeless prevention option and as a result have been granted Homeless Prevention Status. This priority will be awarded by the Local Authority for a period of 3 months. |
| Medical | The customer's housing is unsuitable for medical/disability reasons but they are not |

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| <p>Reasonable preference category s167(2) (d)</p> | <p>housebound and their life is not at risk due to their current housing. However the housing conditions are directly contributing to their ill health.</p> <p>Examples are as follows:</p> <ul style="list-style-type: none"> • Children with severe conditions such as autism, or cerebral palsy where their long term needs cannot be met without settled accommodation • A person whose disability means that re-housing would enable them to overcome physical barriers created by their current accommodation e.g. stairs and steps. • A person with a disability requiring substantial adaptations where their current accommodation cannot be economically adapted to meet their needs after consultation with the relevant Local Authority • A person with a terminal illness or long term medical debilitating condition whose current accommodation is not having a significant impact on their condition but where their quality of life would be significantly improved by moving to alternative settled accommodation which may or may not be closer to support. <p>The assessment will not be made on the basis of the customer's health but on how their accommodation affects their health.</p> |
| <p>Hardship</p> <p>Reasonable preference category s167(2) (e)</p> | <p>Customers who need to move to a particular locality where failure to meet that need would cause hardship to themselves or others. This would include people needing to move for:</p> <ul style="list-style-type: none"> • Employment purposes • To be near relatives to give or receive support • To access medical treatment/social services facilities. <p>This priority will only be awarded in exceptional circumstances and includes:</p> <ul style="list-style-type: none"> • Customers who require support from relatives or friends will only be considered where there is a severe mental health, medical or welfare issue and there are reasons why this support cannot be made |

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| | <p>available through reliance on public transport or the customer's own transport.</p> <ul style="list-style-type: none"> Customers requiring to take up or continue employment opportunity not available elsewhere will only be considered where they do not live within a reasonable commuting distance and will be required to provide confirmation of employment details from the employer. Non social housing customers who are assessed as facing housing related financial hardship where re-housing through Cumbria Choice will alleviate the situation. Existing social housing tenants who suffer financial hardship as a result of housing benefit changes under Welfare Reform. |
| <p>Overcrowded</p> <p>Reasonable preference category s167(2) (c)</p> | <p>Customers who need to move due to overcrowding by 1 bedroom or more.</p> <p>Applicants will be assessed according to the Cumbria Choice policy for overcrowding (see s 4.3)</p> <p>A household will be considered for this category where they are 1 bedroom or more short of the required bedrooms.</p> |
| <p>Property Condition</p> <p>Reasonable preference category s176 (2) (c)</p> | <p>Households where there is one or more category 1 hazard as assessed under the Housing Health and Safety Rating System (HSSRS) as defined under Part 1 of the Housing Act 2004.</p> <p>This will mean where a Category 1 hazard has been identified by the Local Authority and the Local authority is working with the landlord to resolve the problem or taking enforcement action.</p> |
| <p>Under Occupation</p> <p>Reasonable preference category s167(2) (c)</p> | <p>Social housing tenants of a partner organisation that are under occupying a house by 1 bedroom who bid on properties with 1 less bedroom than they currently have</p> <p>An assessment will be made on the basis of the current family composition and will also take into</p> |

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| | account the family composition at the start of the tenancy. |
| Band D: Low Need for Housing due to No Reasonable Preference | Explanation of criteria to be used in the Assessment |
| <p>Band D Plus</p> <p>Customers not owed a reasonable preference but who have met the Partnership Community Contribution criteria</p> | <p>Those in Band D Plus will be given priority over other customers in Band D. To qualify for this Band applicants need to demonstrate:</p> <ul style="list-style-type: none"> • Employment • Transfer customers of partner organisations with a positive tenancy history. • A positive contribution to the local community – for example voluntary work. |
| <p>Band D</p> <p>Customers not owed a reasonable preference</p> | <p>Customers assessed as not being owed a reasonable preference.</p> <p>This would include those who are assessed as adequately housed.</p> |
| Band E: Reduced Priority | Explanation of criteria to be used in the Assessment |
| <p>Customers owed a reasonable preference but given reduced priority</p> <p>Customers not owed a reasonable preference and given a reduced priority</p> | <ul style="list-style-type: none"> • Customers will be awarded the reasonable preference that their assessed housing needs warrant but will be given reduced priority until action is taken by them to rectify their circumstances/behaviour. • These customers will remain in this Band until action is taken by them to rectify the circumstances/behaviour that has led to the reduced priority. <p>A customer will be given reduced priority for the following reasons:</p> <ul style="list-style-type: none"> • Arrears or other housing related debt • Breach of a tenancy condition which is unresolved but would not warrant a full possession order • A property not meeting the required standard for a transfer customer • No local connection • those with financial resources • Refusing 2 reasonable offers within a 12 |

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| | <p>month period</p> <ul style="list-style-type: none"> • Young people less than 18 years of age unless they meet the criteria for being offered accommodation. • Tenants with starter or probationary tenancies |
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- ❖ See Section 4 for detail on how reasonable preference, additional preference and reduced priority will be assessed and applied under the scheme.

3.2 Waiting Time – The ‘Effective’ Date

Priority is given to customers depending on their housing need but significant importance is also given to the length of time the customer has waited for a property. Priority within each Band is determined by the length of time the application has been placed in that Band. This is either the date of registration or the date of entry into a priority Band.

Where a customer moves out of a priority Band and into Band D or E their effective date will return to their date of registration.

3.3 Management Discretion

In some circumstances a property will be let directly to a customer without being advertised. This is when: a sensitive letting is required due to the person’s previous history; where there is an urgent need for housing and it would cause serious hardship or risk to the customer if they were required to ‘bid’ for a property; there is a need to make best use of the housing stock or for other housing management reasons.

This is not an exhaustive list but examples of these instances are:

- Tenants of partner organisations that need to move on a temporary basis due to a fire or flood.
- People who are at imminent risk of violence and are to be housed through a witness protection programme.
- Vulnerable people who are to be housed as part of a multi-agency protocol where a full support package is in place.
- Where an existing social housing tenant is required to move to make best use of stock and suitable accommodation has not been secured through the Scheme e.g. to make available a fully adapted property, urgently required by a priority customer.
- Where there is a need agreed between housing and social services to provide a specific property for vulnerable individuals. For example

where a property is required for people with learning disabilities to live together with support.

- Where a sensitive letting is required for a particular property because of previous issues of drug dealing, violence, public protection or anti-social behaviour.
- **Tenants of partner organisations participating in a recognised down-sizing scheme.**

When an allocation is made through management discretion this information will be included in the lettings results which are published.

3.4 Homeless Households

Homeless applications will continue to be dealt with by the appropriate Local Authority in accordance with the relevant legislation and codes of guidance -. this includes dealing with appeals and reviews. Information regarding homelessness will be provided to homeless applicants by the Local Authority (or Local Authority agent).

However a key aim of the Cumbria Choice scheme is to address the issues of homelessness within the County and through the partnership to provide an improved service to those either homeless or threatened with homeless.

This will be achieved through sharing good practice and developing initiatives across the partnership. Through the use and development of improved ICT systems homeless households will be able to identify the housing options available to them and to have an informed view of how they can best resolve their housing needs.

Homeless households and those threatened with homelessness will have greater control and choice over where they live and through assisting them with these decisions the scheme aims to increase their commitment to both the home and the community into which they move.

Households who are found homeless or at risk of homelessness, in priority need and are unintentionally homeless, and, to whom a Local Authority has a duty under Part VII of the 1996 Housing Act will be placed in Band A.

However some Local Authorities in Cumbria may also chose to use the provisions of the Localism Act 2011 to discharge their duty into a 12 month Assured Shorthold Tenancy (AST) in the private sector.

These households will be able to bid for properties during a 6 week period. During this time the bidding pattern of such customers will be monitored to ensure that they are bidding and to identify those who are in need of further advice and assistance to help them through the process.

After the 6 week period, partner organisations have the right to place a bid on behalf of the homeless household. Where the bid is successful it will constitute an offer of accommodation in accordance with section 193(7) and

202 of the 1996 Housing Act. The offer will be made in writing and subject to appeal.

The homelessness duty will be discharged if an offer is made as a result of a successful bid on a suitable property.

Customers who have been found intentionally homeless may be given reduced preference by virtue of the action which led to the intentional homeless decision and placed in Band E. Customers to whom a Local Authority has a duty under Part VII of the 1996 Housing Act will be given reduced preference and placed in Band E where they do not have a local connection to the Local Authority. Customers will remain in this Band until the issues relevant to their circumstances have been resolved.

3.5 Households with a Disability

The scheme enables customers who require adaptations to 'bid' for any property in the scheme. The customer will be considered for the property on the same basis as the other applicants who have placed 'bids'. **However, there is an expectation that applicants awarded a priority band on medical grounds will bid for properties suitable to their needs or that the landlord considers the property reasonably capable of being adapted at reasonable cost. Where a property does not meet the needs of the applicant the medical priority awarded may be withdrawn for that property**

Adapted properties or properties designed to disability standards are included within the scheme and will be offered firstly to those customers with a need for this property type. This will be made clear in the advert as well as information within the advert about the actual adaptations/accessible features.

3.6 Serious offenders and Public Protection

Cumbria Choice will work with the Police and Probation Service through the Housing Offenders Protocol to manage any risk posed to the public.

Officers will attend case conferences and work with agencies where cases are referred to the Multi-Agency Public Protection Panel. A range of housing options will need to be considered and the partnership will seek to assist in identifying appropriate housing that meets the needs of the customer and the community.

In some circumstances this may restrict the choice of property available to the customer but they will wherever possible be given the opportunity to exercise some choice.

3.7 Exempt allocations

Some transfer moves are exempt from the requirements of Part 6 of the Housing Act 1996 and will be dealt with separately.

The following are not allocations under this scheme:

- Succession to a tenancy on a tenant's death pursuant to s89 Housing Act 1985, or
- Assignment of a tenancy by way of mutual exchange, or
- Assignment of a tenancy to a person qualified to succeed to the tenancy on the tenant's death, or
- Transfer of the tenancy by a court order under family law provisions or under the Civil Partnership Act 2004, or
- The Conversion of an Introductory Tenancy (Council stock), or Starter Tenancy (Housing Association stock) into a Secure Tenancy.
- Council initiated transfers, for example due to a tenant being displaced from their accommodation due to demolition or regeneration.
- Re-housing due to being displaced from previous accommodation by the Council pursuant to the Land Compensation Act 1973.
- A person granted a family intervention tenancy.
- Provision of non secure temporary accommodation in discharge of any homelessness duty or power.

Section 4 Reasonable Preference Categories, Community Contribution and Reduced Preference

The law requires Local Authorities to give reasonable preference for housing to certain categories of households. The statutory reasonable preferences categories are set out in section 167(2) (a) to (e) of the Housing Act 1996 (as amended) and are:

- People who are homeless, as defined by Section 175 Part VII of the 1996 Housing Act.
- People who are owed a duty by any local authority under section 190(2), 193(2), or 195(2) of the Housing Act 1996 or under S65(2) or S68(2) of the Housing Act 1985 or people that are occupying a property secured by the local authority under Section 192(3) of the Housing Act 1996 (persons not in priority need who are not intentionally homeless)
- People occupying unsanitary or overcrowded housing or otherwise living in unsatisfactory housing conditions
- People who need to move on medical or welfare grounds, including grounds relating to disability
- People who need to move to a particular locality in the district of the housing authority, where failure to meet that need would cause hardship to themselves or others.

In framing this policy and to ensure that those in greatest need are given preference for an allocation of accommodation, the partnership has taken into account the categories of people that must be given reasonable preference by Local Authorities.

Whilst Housing Authorities are required to give reasonable preference to the above groups they will not necessarily be given the same degree of preference. Housing Authorities are able to give additional preference in their allocation policy to households who have a particular urgent need for housing.

To ensure allocation policies meet local housing needs housing authorities are also able to give priority to other groups who are outside these reasonable preference categories as long as they do not dominate the scheme at the expense of those listed in the reasonable preference categories.

Reasonable Preference and Additional Preference – How it is Applied Under this Scheme.

4.1 Reasonable preference category s167(2) (a) – people who are homeless within the meaning of Part VII of the Housing Act 1996.

- Customers assessed as meeting the criteria for this reasonable preference category will be placed in Band C.
- Households at risk of homelessness and whom the Local Authority considers may be in priority need will be placed in Band C where they have opted to take a Homeless Prevention option. Those who are awarded this status may move to Band B after 3 months.

Customers in this category do not need to have made a homeless application to a Local Authority **however they do need to have had a Housing Options Interview**. They do not need to be in 'priority need' for accommodation as defined by Part VII of the 1996 Housing Act. This definition of homeless includes a person who does not have accommodation which is legally and physically available to them or has accommodation but it is not reasonable for them to continue to occupy.

Examples of where a customer may qualify under this category for Band C are:

- Rough Sleepers
- Those moving between friends and relatives
- Those who have no accommodation at all in which they can live, with other family members normally living with them or others the Council might reasonably expect to live with them.
- Those who have accommodation but where their legal right to live in that accommodation has been terminated and they will be homeless immediately or within 28 days.
- Those who have accommodation but where in the Council's opinion it wouldn't be reasonable for them to continue to occupy it.

- Those who have accommodation but cannot secure access to it, or, in the case of a moveable structure, like a caravan, there is no lawful place they can lawfully live in it.
- Those who have made a homelessness application and have been determined by the Council to be homeless but not in priority need, or have been found intentionally homeless or have no local connection.

Note: those found intentionally homeless may be given reduced preference **or be made ineligible** by virtue of the action which led to the intentional homeless decision **where there is a clear reduced preference as defined in the policy ie. rent arrears / anti-social behaviour.**

Homeless Prevention

The Local Authority will award additional preference to those at risk of homelessness where the customer has chosen to take a homeless prevention option, in the following circumstances:

- The customer is likely to be found to be in priority need if they became homeless and made a homeless application
- And, the Council consider that they are at risk of being homeless (within 28 days)
- And, they have opted to take a homeless prevention option offered by the Council and as a result have been granted Homeless Prevention Status

These households will be placed in Band C for up to 3 months. The Council may then award Band B after the 3 month period. The customers 'effective date' will be the date that they moved into the respective Bands. **Banding in this category will apply only in the Local Authority area where the decision has been made. (Local Band only). At no point should the local band be lower than the global band.**

4.2 Reasonable preference category s167(2) (b) – people who are owed a homelessness duty by a Local Authority under Part VII of the Housing Act 1996 .

- Customers assessed as meeting the criteria for this category are given additional preference by the scheme and will be placed in local Band A. **additionally the Local Authority may discharge their duty to a 12 month Assured Shorthold Tenancy (AST) into the private sector in accordance with the Localism Act 2011**

Customers who will be given this additional preference are:

- People who are in priority need and the Local Authority has accepted that it owes the household a full homeless duty under section 195(2) as being threatened with homelessness in the next 28 days, and the Local

Authority is taking steps to try and prevent that homelessness from occurring. People who have been accepted as being owed the full homeless duty under section 193(2) - those who are deemed homeless, in priority need and unintentionally homeless.

Note: The Band awarded will be Local Band A (ie Band A only applies in the authority where the homelessness decision was made) except in the case where the household also meets the criteria for Exceptional Need to Move (s3)

4.3 Reasonable preference category s167(2) (c) – people occupying unsanitary or overcrowded housing or otherwise living in unsatisfactory housing conditions.

Customers being assessed as meeting the criteria for this category will be placed in Bands A, B or C. Customers will be placed in Band C where they have been given reasonable preference and Bands A and B where they have been awarded additional preference by the scheme. Additional preference is awarded based on the severity of the housing need.

Additional Preference

Customers will be awarded additional preference and placed in Band A in the following circumstances

- Households living in conditions which give rise to an imminent risk of harm and where the Local Authority has served a Prohibition Order under Part 1 of the 2004 Housing Act.
- Excessive Overcrowding ie. Where a local authority officer has made an assessment using the Housing Health and Safety Rating system and concluded there is a high risk of harm due to overcrowding. (LR)

Note: Customers may be given a Band B priority based on a combination of housing needs – see Cumulative Preference (section 4.7) below.

Owner occupiers will only be considered if they are elderly, disabled or have a mental health problem and their property is likely to give rise to an imminent risk of harm and they do not have the financial means to carry out essential repairs.

Priority will be given to private tenants where the landlord has been approached but works required to remedy a Category 1 hazard have not yet been undertaken. Once the Local Authority has verified that works have been carried out, priority will be removed.

Reasonable Preference

Customers will be awarded reasonable preference and placed in Band C in the following circumstances:

- Customers who are living in overcrowded conditions. Reasonable preference will be given to households lacking one bedroom or more. The standard used for the assessment of overcrowding by Cumbria Choice is as follows:
a separate bedroom should be allocated to the following persons:
 - A person living together with another as husband and wife (whether that other person is of the same sex or the opposite sex).
 - A person aged 16 years or more.
 - Two persons of the same sex aged less than 16 years.
 - Two persons (whether of the same sex or not) aged less than 10 years.
 - Any person aged under 16 years in any case where he or she cannot be paired with another occupier. .

Customers who have voluntarily allowed family member(s) or other(s) to move into their property will not be given reasonable preference.

Social housing within the Cumbria Choice region is subject to acute pressure and there is a particularly high demand for family size accommodation. Partner organisations need to make best use of their stock and for this **reason children will only be included in the overcrowding calculation at their main place of residence.**

Tenants of Landlords within the Cumbria Choice Scheme who under occupy a family home where a move will free up accommodation.

- Additional preference for customers who need to move on hardship grounds where failure to move will cause hardship to themselves or others. Social housing tenants of a partner organisation that are **moving to a property that will have at least 2 bedrooms fewer than their current property will be awarded Band B**
- Reasonable preference for customers who need to move on hardship grounds where failure to move will cause hardship to themselves or others. Social housing tenants of a partner organisation that are **moving to a property that will have 1 bedroom less than their current property will be awarded Band C or Band B (cumulative preference) where the household is also suffering financial hardship under Welfare Reform**

4.4 Reasonable preference category s167 (d) – people who need to move on medical or welfare grounds including grounds relating to a disability.

Customers being assessed as meeting the criteria for this category will be placed in Bands A, B or C. Customers will be placed in Band C where they have been given reasonable preference and Bands A or B where they have been awarded additional preference by the scheme. Additional preference is awarded based on the severity of the housing need.

Note: Preference will only apply where the applicant is applying for properties that are suitable, will meet their medical need and are reasonably capable of being adapted and at a reasonable cost.

Note: Customers given only reasonable preference (Band C) may be given a Band B priority based on a combination of housing needs – see Cumulative Preference (section 4.7) below.

- Medical Grounds – Additional Preference

A customer who has an urgent need to move for medical reasons or due to a disability, which is being exacerbated by their current housing situation will be awarded additional preference and placed in Band A. This would include people whose safety is at risk due to their current housing or who are completely housebound because of the type of accommodation they live in.

The assessment will be made by an officer of the partner organisation with specific responsibility for the assessment of such cases and following a set of criteria based upon routine medical conditions and property conditions/facilities. The officer will make the assessment from information given by the customer who will be required to complete a medical questionnaire.

In most cases the assessment will not be of the customer's health but how their accommodation affects their health. In exceptional circumstances that do not meet the set criteria the case will be passed to a senior officer within the partner organisation administering the application.

For more serious cases evidence may be required from an Occupational Therapist, Doctor or Consultant. In some cases a decision may be taken to pass the information to a medical consultancy commissioned by the Partnership for the purposes of clarification. The decision on whether to award priority will be taken by the senior officer of the partner organisation.

The following are examples of cases that would qualify for Band A priority:

- An immediate life threatening condition which is seriously affected by the current housing and where re-housing would make it significantly easier to manage.
- A member of the household cannot be discharged from hospital until a suitable adapted property is provided.
- Due to limited mobility a person is unable to access essential parts of the property eg. bathroom/toilet and requires re-housing into accommodation suitable for their use.
- A member of the household is elderly or disabled or has a progressive illness and is likely to require admission to hospital or residential/nursing care in the immediate future and re-housing would enable the person to remain at home.

- Armed forces personnel who need to move to suitable adapted accommodation because of a serious injury, medical condition or disability which he or she or a member of their household, has sustained as a result of service.
 - People who have a severe mental health or learning disability which significantly affects their ability to lead a normal life and which puts them at risk of admission to hospital or residential care.
- Medical Grounds – Reasonable Preference

Customers whose housing is unsuitable for severe medical reasons or due to disability but who are not housebound or whose safety is not at risk due to their current housing will be awarded reasonable preference and placed in Band C.

Their housing conditions will need to contribute to causing serious ill health. Their circumstances will be assessed in the same way as for the additional preference category above. The assessment will be made by an officer of the partner organisation with specific responsibility for the assessment of such cases and following a set of criteria based upon routine medical conditions and property conditions/facilities. The officer will make the assessment from information given by the customer who will be required to complete a medical questionnaire.

In most cases the assessment will not be of the customer's health but how their accommodation affects their health.

In some cases evidence may be required from an Occupational Therapist, Doctor or Consultant and a decision may be taken to pass the information to a medical consultancy commissioned by the Partnership for the purposes of clarification. The decision on whether to award priority will be taken by the partner organisation.

The following are examples that would qualify for Band C priority:

- Children with severe conditions such as autism, or cerebral palsy where their long term needs cannot be met without settled accommodation
- A person whose disability means that re-housing would enable them to overcome physical barriers created by their current accommodation e.g. stairs and steps.
- A person with a severe disability requiring substantial adaptations to a property which is not provided for in their current accommodation.
- A person with a terminal illness or long term medical debilitating condition whose current accommodation is not having a significant impact on their condition but where their quality of life would be significantly improved by moving to alternative settled accommodation which may or may not be closer to support.

Welfare Grounds – Additional Preference

- Domestic Abuse, extreme violence or extreme harassment.

Customers who need to move due to domestic abuse, extreme violence or extreme harassment will be awarded Band A priority. This would include disability, racial, homophobic or transgender harassment and will be awarded for exceptional circumstances where there is a high risk to the tenant or their family's safety if they remain in the property/area.

This priority will be given in circumstances where the customer does not wish to make a homeless application but **cannot remain** in the property **long-term** or **has moved to stay** with relatives or friends **because of the threat**. They will be awarded this priority without going through the homelessness route.

Tenants of partner organisations can be assessed and given Band A priority by **their own Landlord (regardless of who is administering their housing application)**. **All other applicants to the scheme will be assessed by the Local Authority Housing Options Team.**

The assessment will be made by a senior officer within the partner organisations and will be based on evidence provided by the customer and other appropriate statutory and voluntary agencies. This would include, the Police, Social Services, referrals by MARAC, Domestic Violence and Lesbian and Gay support groups.

- Move on from supported housing projects

Customers who are moving on from a specified list (see appendix 4) of supported housing projects will be awarded Band B.

They must have a vulnerability and an urgent housing need that is best met through the provision of long term settled housing. To qualify for this additional preference the support provider will provide written evidence that the customer:

- Has successfully completed a minimum of 6 months in the supported housing scheme **(except in proven exceptional circumstances when a lesser period may be considered)**.
- is ready to move to independent settled accommodation.
- has a support package that has been assessed and is in place.

Customers can register when they move into supported accommodation and are likely to be awarded Band D priority. When they are ready to move on they will be awarded Band B priority. The 'effective date' for all move on customers will be the date they moved into that providers supported housing scheme regardless of their date of application.

- Young Person in Need (including young people moving on from Care).

Young people referred by Social Services in accordance with the joint protocol will be awarded Band B. All referrals by Children's Services will be made following the Joint Protocol – currently the Interim Protocol 16-17 year old presentations in relation to accommodation (March 2010) in Cumbria.

Referrals will be made where a young person is leaving care or housing and child in need assessment with a recommendation for housing has been made. The criteria for the award of additional preference are:

- The young person is ready to move to independent settled housing and is genuinely prepared for a move to independent living.
- They possess the life skills to manage a tenancy including managing a rent account.
- The young person is in need of medium or long term tenancy support.
- The support package has been assessed and is in place.
- Their needs are such that accommodation in the private rented sector, through its short term nature, would have a detrimental effect on their move to independent living.

Welfare grounds – reasonable preference

- Customers who are assessed as facing housing related financial hardship where re-housing through Cumbria Choice will alleviate the situation.
- People who suffer financial hardship as a result of housing benefit changes under Welfare Reform.
(Existing social housing tenants in receipt of housing benefit occupying properties which are too large for them under revised HB size criteria)

4.5 Reasonable preference category s167(2) (e) – people who need to move to a particular locality within the local authority's district, where failure to meet that need would cause hardship to themselves or others.

Customers being assessed as meeting the criteria for this category will be awarded reasonable preference and placed in Band C.

Note: Customers given only reasonable preference (Band C) may be given a Band B priority based on a combination of housing needs – see Cumulative Preference (section 4.7) below.

The people who meet these criteria are those who need to move for:

- Employment purposes
- To be near relatives to give or receive support
- To access medical treatment/social services facilities.

Customers who are assessed as meeting these criteria for employment purposes will be placed in Band C. Priority will only be given in exceptional circumstances and customers will need to show:

- That they need to move to take up or continue an employment opportunity not available elsewhere. They will only be considered

where they do not live within a reasonable commuting distance and will be required to provide confirmation of employment details from the employer.

Customers who are assessed as meeting this **criteria** for support purposes will be placed in Band C. Priority will only be given in exceptional circumstances and customers will need to show:

- That they require substantial and ongoing support from relatives or friends. This will only be considered where there is a severe mental health, medical or welfare issue and there are reasons why this support cannot be made available through reliance on public transport or the customer's own transport.

Example of the type of information required in order to assess the priority include:

- Confirmation of name and address of the person who is to provide the care and the person who is to receive care
- Evidence of their care requirements (Doctor, Social Services)
- Evidence of links to care groups
- Disability living allowance receipt

Customers who are assessed as meeting this **criteria** for access to medical treatment or social services facilities will be placed in Band C. Priority will only be given in exceptional circumstances and customers will need to show:

- That they have a need to access medical care and/or social services facilities and that cannot be met through reliance on public transport, the customer's own transport, or through provision put in place by health or social services.

Example of the type of information required in order to assess the priority include:

- Confirmation of name and address of the medical or social provision to which they need access.
- Evidence of their care requirements (Doctor, Social Services)
- Evidence that no other provision is available and no assistance can be provided to enable them to access the service.

4.6 Economic and Community Contribution

This scheme aims to support economic growth within the County and to value those who make a positive contribution to their community. For customers awarded no reasonable preference and placed in Band D a proportion of properties will be made available and those who meet the economic and community criteria will be placed at the top of the shortlist.

Customers being assessed as meeting the criteria for this category will be placed in Band D Plus. Customers will be awarded this additional priority in the following circumstances:

- Low income working household – the scheme wants to encourage those people who work but are on a low income to remain in the area and contribute to the economic activity of that area.

Low income households are those who are working but would find it difficult to access Home ownership or Low cost Home ownership.

Working households are those where at least one adult member is in employment. This is a permanent contract, working as a temporary member of staff or being self-employed. The person will only qualify if they have been employed for 9 out of the last 12 months. Verification will be sought at the point of application as well as at the point of offer.

Customers must provide payslips, P60, bank statements or a verifying letter on headed paper.

- Community Contribution – the scheme wants to encourage people who make their communities strong, stable and healthy places to live so that they will remain in that community and continue to contribute to sustaining the local area.

Volunteers must have been volunteering for a continuous period of at least 6 months at the point of application and must have continued in voluntary work at the point of offer. Volunteering must be for a not-for-profit organisation or a charity and must be for a minimum of 10 hours per month.

Note: Tenant and resident organisations recognised by a Local Authority or Registered Social Landlord are included.

Evidence of volunteering work will be required from the Manager responsible for the volunteer. This person must not be related to the customer.

- **Customers of the 9 RP's partners of the Cumbria Choice scheme** with a positive tenancy history - the scheme wants to encourage tenants to meet the terms of their tenancy agreement and to assist and retain within the social rented sector those tenants who do.

Tenants must have a positive tenancy history to qualify:

- No on-going involvement in anti-social behaviour or criminal activities.
- A clear rent account maintained for a period of 1 year or more.
- A property maintained in accordance with the tenancy agreement
- No breaches of the tenancy agreement in the last 3 years.
- Not have an outstanding unspent conviction.

- Pre Tenancy Qualification Award – the scheme wants to encourage and help young people under 25 to be responsible tenants and where they are willing to learn how to be a good tenant to reward that effort.

In some Local Authority areas courses are available for young people to attend and gain a 'young person pre-tenancy qualification'. Where a young person has gained this award and shown they know how to live as a responsible tenant they will qualify for this category.

They must have attended a course recognised by the Local Authority or obtained an NVQ level qualification.

4.7 Cumulative Preference

This scheme takes account of customers who have more than one housing need and gives them additional priority for example people who have a medical need and are also living in overcrowded conditions.

Customers who have two or more of the housing needs as listed in Band C will be placed in Band B to reflect their additional housing needs:

- Households needing to move to a particular locality on hardship grounds
- Households overcrowded/under occupying
- Households where there is one or more category 1 hazard as assessed under the Housing Health and Safety Rating System (HSSRS) as defined under Part 1 of the Housing Act 2004.
- Medical need
- Households suffering financial hardship as a result of housing benefit changes under Welfare Reform

4.8 Reduced Preference

Local Authorities have a right to reduce a person's priority for housing under their allocation policy. This action will be taken in order to enforce to existing and prospective tenants the importance of taking seriously their responsibilities as a tenant:

- The responsibility of paying their rent and service charges.
- The responsibility to keep the property in good repair and not to cause deliberate damage.
- The responsibility to conduct their tenancy in accordance with their tenancy agreement and not to cause nuisance or annoyance to their neighbours.

Reduced preference will also take account of other criteria and will be given in the following circumstances:

- There is a current or former debt owed to a social or private sector landlord.

- There is a history of unacceptable behaviour **within the last 2 years (refer to appendix 7.3 for definition).**
- Customers who have been found to be intentionally homeless **but would otherwise meet one or more of the conditions for Band E.**
- Customers who do not have a local connection with the Local Authority area.
- Customers who have the financial resources to purchase a property
- Customers who have refused 2 offers of accommodation that they have 'bid' for or been offered under management discretion within the last 12 months.
- Young people less than 18 years of age unless they meet the criteria for being offered accommodation **which would be those who are accepted as homeless with a full duty or referrals from Children's Services .**
- Tenants with starter or probationary tenancies.

Reduced preference due to current or former housing related debt

- Housing debt from all tenures will be considered and includes current or former rent arrears and/or recharges for repairs from property damage.
- Non housing debts will not be considered. This includes for example, housing benefit overpayments, mortgage arrears. These debts are either not legally enforceable in tenancy law as a condition of the tenancy or under grounds for possession in the Housing Act 1985.
- Where a customer has a debt each case will be considered individually and in certain circumstances the customer will not be given reduced preference. Examples include but are not limited to:
 - Customers who have been accepted by a local authority as unintentionally homeless and in priority need.
 - The customer has been a victim of Domestic Violence
 - The debt arose due to the customer's vulnerability.
 - The customer was unable to pay due to circumstances other than deliberate non payment.
 - **The customer has suffered financial hardship as a result of welfare reform.**

Note: In circumstances where a debt is owed to a housing organisation and the customer is not to be given reduced preference in accordance with the examples listed above the organisation to whom the debt is owed may decide not to make an offer of accommodation. **The customer will be expected to set up and maintain a repayment plan to the creditor landlord. Other RP's may choose to not to make an offer of accommodation where the repayment has not been set up or maintained.**

Any debt will be assessed at the point at which the customer's priority is being considered unless any new information becomes available at a later time and the following will be considered:

- The amount of the arrears/debt
- Whether there are any exceptional circumstances as detailed above. If this is the case then the customer will not be subject to reduced preference.
- Whether the customer has entered into any arrangement to clear the arrears/debt and if so, the amount already paid off and the length of time and regularity of any payments.

Where a decision is taken to give reduced preference the following will apply and the customer will be advised of the actions they need to take:

- Customers who owe £100 or over but less than £500 will be given reduced preference and placed in Band E. Before they can be reinstated to a higher Band they must sign an undertaking to repay the outstanding debt. They must agree and maintain a repayment plan over a 13 week period.
- Customers who owe over £500 but less than £1000 will be given reduced preference and placed in Band E. Before they can be reinstated to a higher Band they must sign an undertaking to repay the outstanding debt. They must agree and maintain a repayment plan for the debt for a period of at least 6 months and have reduced the debt owed to less than £500.
- Customers who owe a debt over £1000 will be deemed ineligible based on a case by case basis and subject to any exceptional circumstances. This is because customers with that level of arrears will be considered by the Local Authority to be guilty of unacceptable behaviour and to be unsuitable to be a tenant by reason of that behaviour.

Customers can apply at any time to have their application reinstated where they are able to show an improvement in their behaviour, in this instance full payment of the debt owed or maintenance of the agreement made.

Reduced preference due to unacceptable behaviour.

Customers will be given reduced preference where it can be satisfied that having considered all the available evidence they (or a member of their current or prospective household) has failed to adhere to the terms of any current or previous social housing or private sector tenancy agreement.

This would include but is not limited to following examples of unacceptable behaviour:

- Failing to maintain the property within the terms of the agreement – for example damage to the property, accumulation of large amounts of rubbish in and around the property.
- Committing acts causing or likely to cause nuisance or annoyance to neighbours or others in the locality where they live or where they previously lived. This would include noise nuisance, threatening or abusive behaviour.

- Criminal behaviour that was relevant to the tenancy and/or locality, for example being in possession of illegal drugs, acts of public disorder.
- Serious breaches of a social or private sector tenancy agreement – for example operating a business from the premises, having an unreasonable numbers of pets at the property.
- Behaving in a threatening, abusive or obstructive manner towards staff of the partnership and or their contractors.

Reduced preference due to the refusal of two reasonable offers of accommodation.

Customers who have bid for and refused 2 offers of accommodation (including any reasonable offer made through management discretion) within 12 months of the date of their first offer will have their priority for housing reduced for a 12 month period. After this 12 month period of reduced preference the customer will be returned to their original Band with their original date as long as a change of circumstances has not occurred.

Note: this does not apply to homeless customers owed a local authority duty who will be made one reasonable offer.

Notification of reduced preference

Customers who have been given a reduced preference will be provided with written notification of the decision which will contain the following information:

- The reasons for the decision to give reduced preference.
- The Band that their application would be awarded had they not been given reduced preference and placed in Band E.
- Their right of appeal and the requirement to put their request in writing within 21 days of receiving the decision.
- What they need to do before their application will be placed in the Band determined by their housing needs.
- That a customer can ask at any time for their application to be removed from the reduced preference Band. The request for removal must be made in writing and must set out why the customer believes that the reduced preference they have been given is no longer justified.

Section 5 How the Scheme Operates

5.1 Advertising the Properties

Choice based lettings are about the customer having choice in where they live. Properties will be advertised and customers will be able to indicate the properties for which they want to be considered by 'bidding'. Once the bidding process closes a shortlist will be compiled and the property allocated taking account of the banding priority of the applications and their time waiting.

The partnership organisations have agreed to advertise the majority of their properties through Cumbria Choice. Properties will be advertised on a weekly basis on both the website and in newsletter form.

Properties will be advertised in an easy to read format. They will usually include a picture of the property or scheme in which it is located. Property adverts will include details of the property and will indicate suitable household size as well as giving information about the local area. They will (where appropriate) indicate the priority band of customers eligible to apply. The properties will clearly indicate which housing organisation is the Landlord.

Properties may be advertised during the 4 week notice period given by an outgoing tenant. If the notice is subsequently withdrawn by the tenant the property will therefore be unavailable to let.

All categories of properties will be advertised. General needs properties; properties that have been adapted for those with disabilities; properties that are specifically for the elderly and which may have a warden and/or an emergency call system. Adverts will clearly indicate any restrictions on bidding (e.g. where properties have been adapted and/or are specifically for people with disabilities) **and will detail any particular criteria that apply (eg. where full occupancy is required, affordability criteria etc.)**

Bids from customers will only be accepted if they meet all of the eligibility criteria for the property.

5.2 Extra Care Properties

Properties which provide extra care facilities are provided under the Supporting People Programme. Customers requiring these properties will need to apply direct to the provider.

5.3 Sheltered Housing

Sheltered accommodation is included within the scheme. It is generally for people of 60 years and older and offers independent living with the added security and support of a warden service. In certain circumstances it may be advertised for people less than 60 years. Property advertisements will clearly state the age requirements of customers able to 'bid' for a property.

5.4 Quota system

A quota system may be used to allow customers in lower priority Bands access to housing. This allows a proportion of properties to be advertised as

available only to those in a specific Band. The system will be monitored to ensure that it does not operate to the detriment of those with a higher need for housing.

Local Authorities will individually agree the quota systems in their own areas in conjunction with their partner social housing providers. They will be individually decided to meet local requirements.

Partners will have formal agreements with the relevant local authority, specifying the % lets for each band. These will be reviewed by the partnership on an annual basis.

The quota system operated in each Local Authority area will be available on the Cumbria Choice website and on request from the Offices of all partner organisations.

5.5 The 'Bidding' process

Properties are advertised on a weekly cycle. Customers may express an interest - 'bid' on any advertised property that meets their needs. They are able to place up to 3 bids each week.

Bids can be made in a number of ways: on the website using the username and password; by telephoning or visiting the office of a partner organisation; by mail; by automated telephone bidding; by proxy bidding (see below 5.7).

A person may bid for any suitable property advertised in the scheme; this means any area covered by the scheme and any landlord advertising in the scheme. Bidding is not restricted to areas where a person may have a local connection unless the advert specifies 'local connection only'.

Customers are able to check their position on the list at the time of the bid, together with the total number of bids already placed. This allows customers to make decisions about their choice of property and the likelihood of being successful. Within the bidding period, customers may withdraw bids and make further bids.

Only the customer whose bid is successful will be contacted.

5.6 Proxy Bids

The relevant Local Authority will be able to place bids on behalf of homeless households who have not made bids or not made any successful bids during the 6 week period. **In addition the Local Authority will also make proxy bids on behalf of homeless households who have not yet had a S184 decision following a 6 week period in temporary accommodation regardless of their**

banding. They will give due consideration as to whether it would be a 'suitable offer' should the bid be successful.

Customers who have been awarded Band A will also be subject to Proxy Bids, if they have not been bidding, following a 6 week period of being awarded the Band subject to suitable accommodation being available. If the customer refuses an offer which is deemed reasonable and suitable, Band A preference may be reduced.

It is also appreciated that there will be a number of vulnerable customers who will require agencies to make bids on their behalf. Proxy bids will be taken from agencies and support groups where a formal arrangement has been agreed and the customer gives their consent for bids to be made on their behalf.

5.7 Shortlisting

At the end of the advertising period a shortlist of suitable applicants will be produced by the web based IT system.

Where priority is to be given to applicants with a local connection to the area this will be reflected in the shortlist. (See local connection 5.9)

The customer at the top of the shortlist will be made the offer unless there is reason not to do so. (See 'The offer' 5.11).

Where a customer is at the top of more than one short list they will be contacted to make a preference within 24 hours and before a viewing can be arranged. Where there are two households with the same Band and length of time on the register a decision to offer the property will be based on the household who would be most suitable for the property type.

Where the property advert has indicated specific requirements such as age or accessibility, only those customers meeting those requirements will be eligible for an offer.

5.8 Local Connection

In situations where priority is to be given to applicants with a local connection the process will be:

- Banding priority will apply
- Within each Band those with a local connection to the Local Authority in which the property is located will be given a higher priority than those whose local connection is with other Cumbrian Authorities.
- Customers with no local connection to any Local Authority partner organisation within the Cumbria Choice scheme **may** be given reduced preference.

Properties where no local connection is required will be identified through information given in the advert.

For some towns and villages where there is a high demand for housing additional priority **may** be given to customers who have a local connection to the particular town or village. Advert details will state where a customer having a local connection to the specific town or village **may be** given priority. Those towns and villages operating a local connection policy will be identified within each Local Authority's local lettings plans.

A local connection means that a customer:

- currently resides in the area in either temporary or permanent accommodation and has been resident in the Local Authority area or specified town/village for at least 6 out of the past 12 months or 3 out of the past 5 years.
- Is at present employed in the district or specified town/village. The local authority should obtain confirmation from the employer that the person is in employment and that the employment is not of a casual nature.
- Has close family connection with someone who lives in the Local Authority area or specified town/village. Family connection means: parents, adult children, brothers or sisters, **grand parents** and foster carers or guardians who have been resident in the district for a period of at least **the last** 5 years.
- There are special circumstances which are considered to give rise to a local connection with the Local Authority area or specified town/village. For example this would include ex-servicemen and serving members of the armed forces posted to the Local Authority area.

The partnership aims to improve mobility within the sub region and will advertise at least 10% of all partner organisation properties to all customers across the sub region regardless of local connection.

5.9 Section 106's

Under the Planning Act some developments are subject to Section 106. This requires property to be let to customers with a local connection to stated

Parishes. Where this applies only those applicants meeting the requirements of the Section 106 will be eligible for an offer of a property.

Advert details will state when the letting of a property is governed by a Section 106.

5.10 The Offer

Prior to an offer being made the landlord of the advertised property will carry out a further verification of the customer's eligibility and priority. In certain situations the offer will not be made:

- If since joining the scheme an applicant has become ineligible.
- On verification of the applicants' details, the priority band was found to have been incorrectly awarded.
- The applicants' circumstances have changed since the priority band was awarded and the applicant is no longer entitled to the same level of priority.
- The partner landlord has good housing management reason not to offer a property.

In order to address issues relating to under-occupation, partner landlords may require either that the property will be fully occupied by the new tenant **or** allow a level of under-occupancy. Full occupation may be required where high demand exists and/or the partner landlord considers full occupancy necessary to make best use of its housing stock. When letting to achieve full occupancy the letting made will comply with the Household Type and Property Size criteria as shown in Appendix 4. Individual landlords will publish information about their approach to occupancy following consultation with the local authorities in whose areas they operate. This will be available on the Cumbria Choice website.

When an offer of the property is made the customer **may be** required to **provide** proof of their identity and **that of** all members of their household. E.g passport, photo driving licence, birth certificate etc.

5.11 Refusing and Non Replies to Offers

Customers who have bid for and refused 2 offers of accommodation (including reasonable offers made under management discretion) will have their priority reduced for 12 months. (see section 4: 8.0 reduced preference).

Note: those household accepted as statutorily homeless and owed a duty to house will lose their priority status if they refuse a 'suitable offer of accommodation'.

If a customer does not reply to an offer within 2 working days of receiving the offer it is deemed to have been refused and the property will be offered to the second customer on the shortlist.

Where the customer has given their consent for someone to either act on their behalf or receive the offer, we will ensure notification is provided to them.

5.12 Local Lettings

Partner organisations may draw up local lettings policies for an area or estate to meet the specific needs of that local community. Local lettings policies may be used to tackle particular management problems and/or to address imbalances in the community.

Schemes will be drawn up where either, local residents or partner organisations have identified its benefit to the local community. These arrangements will be agreed and reviewed by the Partnership.

Where such a scheme applies a property may not always be offered to the bidder with the highest priority. Local Lettings schemes will be publicised on the Cumbria Choice website and available in leaflet form to ensure openness and transparency in the lettings process.

5.13 Feedback on Lettings

A main aim of the Cumbria Choice scheme is to operate an open and transparent lettings system.

The result of lettings made through the scheme will be published on the Cumbria Choice web site and at the end of the property advert newssheet.

5.14 Other Options

A further aim of the scheme is to promote other potential housing options appropriate to applicants. These might include shared ownership/shared equity properties, mutual exchanges, private rental and lodgings. Partner landlords will raise awareness of these options and support and advice to applicants considering such options.

With regard to mutual exchanges, all partners are members of the national mobility scheme and the Cumbria Choice website provides a link to this scheme. The option to mutually exchange will in particular be promoted to applicants who under-occupy their homes. Partners will proactively seek to identify exchange opportunities for applicants who under-occupy, as well as advising of other potential options to enable downsizing.

Section 6 The Review Process

Customers who want to query a decision made in relation to their application to register and any other subsequent decisions are first able to speak to the Officer making the decision to have that decision clarified or amended. This is

outside the review process and does not affect a customer's right to ask for a formal review of the decision.

6.1 There is a right to a review of a decision in the following situations:

- The customer disagrees with the band in which they have been placed.
- The customer considers that a decision has been reached based on incorrect information.
- The customer has been treated as ineligible on the basis of their immigration status.
- They have been treated as ineligible to join the register due to serious unacceptable behaviour.
- Their application has been given reduced preference.

6.2 Customers will be notified in writing of decisions made in respect of the review and will be advised of their right to request a further review of that decision.

6.3 Where a customer is excluded or suspended from the Register they will be given full information on the reason for the decision. They will be advised of what action they need to take to rectify the situation and any appropriate advice or assistance available.

6.4 Customers must request a review of a decision within 21 days of being notified in writing, unless there are exceptional circumstances.

6.5 Customers must contact the partner organisation dealing with their application and will be advised to put their request in writing. However they are able to telephone or visit an office in person and request that their request for a review is taken in writing by an Officer. They must give reasons why they believe an incorrect decision has been made.

6.6 The review will be carried out by a senior officer in the organisation dealing with the application. That officer will not have been involved in making the original decision.

6.7 Cumbria Choice will aim to complete and inform the applicant in writing of the decision within 21 working days, after taking into account any additional information that has been provided by the customer. Alternatively, the customer will be advised of any time extension required to make the decision.

6.8 The customer will be advised of the reasons for the decision and their right to request a further review if they are dissatisfied with the decision.

6.9 Customers must request a further review within 21 days of being notified in writing of the review decision. Customers will only be entitled to a further review if they have new information relevant to their case, that they want the review panel to consider.

- 6.10 Customers will be required to request a further review in writing and to submit additional information with their request. They will be advised that they are able to seek assistance from the partner organisation to make this request.
- 6.11 A review of the decision will be considered by a panel of at least 2 officers from within the partnership and one tenant representative. It will not include officers from the organisation that dealt with the review.
- 6.12 Cumbria Choice will aim to complete the second review and inform the applicant in writing, of the decision within 21 days of receiving all information from the customer. This period may be extended on notification to the customer.
- 6.13 A customer still has the right to continue with their complaint to the Ombudsman service.

Section 7 Appendices

7.1 Appendix 1 – Definition of Terms

Choice Based Lettings (CBL) - The system of letting property that gives customers choice in where they live through advertising property.

Common Housing Register – One list for all of Cumbria of people applying for social housing (previously ‘housing waiting lists’).

Banding Scheme – the method by which customers are prioritised for social housing (previously ‘points schemes’).

Customers - those people applying to the scheme for housing.

Bidding - the term used to describe people who register an interest in a property (no money is involved in making the bid).

Adapted Property - property that is suitable for those with a physical disability i.e. where a stair lift has been fitted.

Effective Date - the date used to decide between customers in the same Band to establish who has waited longest.

Fully Occupied – the bedrooms in the property are being fully used in terms of the household occupying the property in accordance with the table in Appendix 4. When they are not fully used the property could be considered underoccupied.

Global Band / Local Band – In most cases a Band awarded applies for properties in all local authority areas and is therefore global. In a few cases defined in the policy a band only applies within the local authority area where the applicant is living and is referred to as a local band.

The Partnership – the name for the District Councils and housing organisations that have funded, developed and continue to operate the scheme.

Letting Policy - the means by which it is decided how property will be offered to customers.

Local Lettings - short term policy made in local areas (to tackle specific, identified housing management issues) on how property will be offered that differs in some part from the overall scheme policy.

Social Housing Providers - the term for a variety of housing organisations that provide not for profit housing and included local authorities, housing associations.

Housing Options - a term used to describe a service that advises customers of all their choices and includes mutual exchanges, low cost home ownership and renting in the private sector.

Accessibility - used here the term refers to how ‘user friendly’ the service is to all people who may want to use it.

Void Times - the length of time a property stands empty before someone is able to move in.

Hard to Let - low demand property where it takes longer to find a tenant.

Management Discretion - available property that is not advertised but offered straight to an identified person.

Automatic Bidding - within the ICT system a means of expressing an interest in a property for someone, without them needing to make the bid themselves.

Starter/Probationary Tenancies - the tenancy given to new tenants by some organisations that has reduced security of tenure for 1 year.

7.2 Appendix 2 - Contact Details for all Partner Organisations

Accent Housing Association
Ambassador House
Dalton Road
Barrow-in-Furness
LA14 1HZ

Tel: 0845 6780599

Allerdale Borough Council
Allerdale House
New Bridge Road
Workington
CA14 3YJ
Tel: 01900 702702

Barrow Housing Department
Cavendish House
78 Duke Street
Barrow-in-Furness
LA14 1RR
Tel: 01229 876523

Carlisle City Council
Civic Centre
Rickergate
Carlisle
CA3 8QG
Tel: 01228 817200

Copeland Borough Council
The Copeland Centre
Catherine Street
Whitehaven
CA28 7SJ
Tel: 0845 0548600

Derwent & Solway Housing Association
Stoneleigh
Park End Road
Workington
CA14 4DN
Tel: 01900 607500

Eden District Council
Mansion House
Friar Gate
Penrith
CA11 7YG
Tel: 01768 817817

Eden Housing Association
Blain House
Bridge Lane
Penrith
CA11 8QU
Tel: 01768 861400

Home Group
The Copeland Centre
Catherine Street
Whitehaven
CA28 7SJ
Tel: 01946 517650

Impact Housing Association
Nook Street
Workington
CA14 4EH
Tel: 01900 842100

Riverside Housing Association
English Gate Plaza
Botchergate
Carlisle
CA1 1RP
Tel: 0845 3458500

Two Castles Housing Association
3 Castle Street
Carlisle
CA3 8SY
Tel: 01228 547463

South Lakeland District Council
South Lakeland House
Lowther Street
Kendal
LA9 4DQ
Tel: 01539 733333

South Lakes Housing (ALMO)
Little Aynam House
Little Aynam
Kendal
LA9 7AH
Tel: 0845 0570080

7.3 Appendix 3 - Eligibility

The Cumbria Choice Scheme acknowledges that it is the main access to social rented housing for people wanting to live in Cumbria. In this respect it aims to be as open and inclusive as it can be to those people wanting to apply to the Register. It aims to make the scheme accessible to all, to encourage

applications from people from all parts of the community, and to ensure that its policies and procedures do not discriminate.

Cumbria Choice scheme does operate a policy of not accepting onto the Register those Customers who are ineligible due to serious unacceptable behaviour. This action is taken for the following reasons:

- Partner organisations within Cumbria Choice have a responsibility towards their existing tenants to put in place policies that allow them to live in safe and stable communities.
- Cumbria Choice wants to promote through its allocation policy the importance of good tenant behaviour amongst both existing and future tenants.

How decisions on eligibility will be administered:

- Blanket exclusions are unlawful and will not be made: an individual assessment will be made based on the circumstances relevant to each case.
- The partnership will ensure consistency in making decisions
- Decisions will be authorised by a senior officer.

A customer's eligibility for housing will be considered:

- At the time he or she applies to join the CBL Register
- At the point at which he or she is to be considered for an allocation of property

1.0 Ineligible due to Serious Unacceptable Behaviour

1.1 Part 6 of the Housing Act 1996 as amended by the Homelessness Act 2002 (section 160A (7)) allows the Local Authority to treat a person as ineligible where:

'The applicant, or any member of his household, has been guilty of unacceptable behaviour serious enough to make him/her unsuitable to be a tenant'

'And at the time of the application, the customer is still unsuitable to be a tenant because of that behaviour'

1.2 When reaching a decision on whether an applicant is ineligible Cumbria Choice will follow the code of guidance for local authorities 2002 which sets out the 3 steps to consider when making an assessment:

- Is the behaviour unacceptable?: Behaviour will be regarded as unacceptable if it would have entitled the housing authority to a possession order if the applicant had been a secure tenant. This will be applied whether or not the applicant was actually a secure tenant. The behaviour must relate to the customer or a member of their household. Behaviour that relates to a person

who is no longer a member of the household cannot be taken into account. e.g. an ex-partner.

- Is the unacceptable behaviour serious enough to make the applicant unsuitable as a tenant of the landlord?: Where there would be entitlement to a possession order the partnership will need to ensure that the behaviour was serious enough to make the person unsuitable to be a tenant of one of the housing organisations in the partnership.
- Is the behaviour current or has it improved?: Unacceptable behaviour will be behaviour at the time the application is considered. Previous unacceptable behaviour may not justify a decision to consider the applicant as unsuitable, if that behaviour can be shown to have improved.
- Where all three steps of the assessment have been satisfied the applicant will be treated as ineligible.
- Each decision will be taken based on the individual circumstances of the case. Where a decision is taken to treat a person as ineligible to join the register the information will be collated by the officer and passed to a senior officer for authorisation.

1.3 Identifying Serious Unacceptable Behaviour:

- Housing records: this will identify the level of action taken by the housing organisation. Letters; Notice seeking Possession; injunctions; intention/actual Court action.
- Note: where possession action was taken and was unsuccessful, then serious anti-social behaviour cannot be assessed as having occurred. (in these cases the customer's application will be assessed for reduced preference)
- Reports obtained from previous or current landlords
- Reference to information held by other statutory and/or voluntary agencies. This includes information gained from police reports and where in operation through the information sharing protocol with the Police.
- Customers who have unspent criminal convictions will be treated as ineligible for accommodation where they are guilty of serious offences that would threaten the safety of a local community. The Scheme will liaise with support agencies, the Police and Probation Service to consider the housing options for these applicants, where appropriate. Spent convictions will not be taken into account.

The type of offences that should be considered are:

- Owing significant rent arrears or other housing debt – in most cases it is likely that the debt will be over £1,000.

- The use of dwellings for the cultivation, supply and use of drugs, especially class A drugs.
- Persistent and widespread criminal activity including domestic burglaries and vehicle crime.
- Physical assaults, especially those resulting in physical injury, including domestic violence.
- Serious damage to property, including dwellings and cars, for example arson attacks and windows being smashed.
- Serious threats of violence and damage, including threats to kill, threats to petrol bomb.
- Serious disorder, in particular associated with groups.
- Very serious and persistent noise nuisance over long periods of time.
- Persistent and offensive verbal abuse, due to a person's religion, ethnicity, sexual orientation, disability or other factors.
- Applicants who have had action taken against them for racially motivated offences.
- Applicants who have had action taken against them for homophobic motivated offences.
- Persistent and offensive verbal abuse or threats of violence to staff or the agents of partner organisations in the Cumbria Choice scheme.
- A combination of persistent behaviours, which while low level in themselves, taken together over time have a serious negative impact on the quality of life for individuals and communities.

Evidence required to support an applicant being ineligible to join the register for reasons of the individual's behaviour/conduct:

- Copy of the Injunction
- Copy of any other Court Order
- Copy of correspondence confirming intention to take further court action after service of Notice seeking possession
- Copy of correspondence to confirm intention to seek possession after service of Notice on an introductory or starter tenancy.
- Copy of suspended or outright possession order
- Copy of ASBO
- Case history of serious unacceptable and/or criminal activity, eg. correspondence, police logs, reports from other statutory or support agencies
- Evidence required where an applicant is ineligible due to wilful damage to a partner organisation's property:
 - A report detailing the specific damage to the property
 - Photographs of the condition of the property
 - Details of the cost of the repairs required to reinstate the property
- Evidence required where an applicant has been violent or threatened violence to a member of staff or agent of a partner organisation:

- A report detailing the incident along with confirmation that it has been reported to the Police
- Evidence of follow up action, for example an injunction

1.4 Customers who have unspent criminal convictions will be treated as ineligible for accommodation where they are guilty of serious offences that would threaten the safety of a local community. The Scheme will liaise with support agencies, the Police and Probation Service to consider the housing options for these customers, where appropriate. Spent convictions will not be taken into account.

1.5 Where a customer's behaviour is deemed to be unacceptable due to a disability the relevant support agencies will be contacted. A decision will then need to be made as to the level of support someone may need to sustain the tenancy. If the level of support is deemed to be sufficient they will be accepted onto the housing register.

1.6 In situations where the customer has been accepted as priority homeless with a duty to re-house but is excluded from the register – these cases will be dealt with by negotiation between the parties outside the Cumbria Choice Scheme.

1.7 Consideration will be given to a customer making a new application if they are able to demonstrate with evidence, that the behaviour which led to the exclusion has changed and that there are no further incidents of serious unacceptable behaviour. The views of any support agency involved with the customer will be sought.

The onus is on the customer to make a new application. Customers can re-apply at any time.

1.8 In cases relating to serious offences or serious anti-social behaviour, periods in prison will not automatically be considered as evidence that unacceptable behaviour has ceased.


















1.9 Customers that are ineligible to join the Register will be informed of the decision in writing and will be given the full reason for the decision.

1.10 Customers will be notified of what they need to do to be able to re-apply and where appropriate will be given advice on agencies to contact to assist them with this.

1.11 Customers will be notified of their right to request a review of the decision.

7.4 Appendix 4 - Household Type and Property Size

This table provides guidance on the size of home that different types of household can bid for on Cumbria Choice. This is supplemented by the more detailed information which each housing provider places in individual advertisements and in guidance published on the Cumbria Choice website.

| Household | Bedsit | 1 bed | 2 bed | 3 bed | 4 bed | 5+bed |
|---------------------------|---|---|---|---|---|---|
| Single person |  |  | D | D | | |
| 2 Adults (couple) |  |  | D | D | | |
| 2 Adults (non couple) | | |  * | D | | |
| Single 1 child | | |  | D | | |
| Single 2 child | | |  |  | | |
| Single 3 Child | | | | |  |  |
| Single 4 or more children | | | | |  |  |
| Couple 1 child | | |  | D | | |
| Couple 2 child | | |  |  | | |
| Couple 3 child | | | | |  | |
| Couple 4 or more children | | | | |  | |

* Some providers may only allow households with children to bid on houses

Key



= Number of bedrooms allowed for this type of household



= number of bedrooms allowed for this type of household subject to the ages of the children. Two children under the ages of 10 are usually expected to share a bedroom. Two children of the same sex are usually expected to share a bedroom until they are 16. Once a child is 16 a separate bedroom is allowed.

D = allowed by discretion only when stated in the advertisement.
This is most likely to apply in one of the following circumstances

- There is low demand for the type of property in the location
- There is lack of supply of smaller homes in the location
- A local lettings or s106 policy applies

NB Households with access to children will not be able to include them as part of the household when looking at eligibility for property size.



Accessibility Policy – May 2012

Section 1

What does the Accessibility Policy aim to achieve?

Cumbria's choice based lettings scheme is designed to give people more choice and control and to encourage as many people as possible to access suitable social housing. Whilst the scheme will allow most people to participate fully giving them an equal chance of finding a home of their choice, some people will need additional help to access the scheme. The duty to provide this help falls on partner organisations as service providers under current Equalities Legislation. It is reasonable to expect that some of those in the highest bands are more likely to need additional help because of the circumstances which have resulted in their higher housing need.

Assistance will be provided with the aim of allowing the customer to make their own choices/decisions. It is important that it does not remove the customer's responsibility and power to control the process.

The intention is to train all staff dealing with enquiries to make appropriate decisions as to the assistance required and to have the knowledge to direct the customer to the most appropriate places to access support. The aim of all advice and assistance is to give the customer the necessary support to make their own decisions about their housing options.

Section 2

Who may need additional help?

The following are groups who may be more likely to need additional help

(This is not an exhaustive list and help will be tailored according to need)

- Older people who have difficulties getting out and about or have become isolated.
- Those with a physical disability.
- Those who have difficulties reading and understanding written information.
- Those with a learning disability
- Those with a mental health problem
- Those who live a chaotic lifestyle due to such things as: substance misuse, homelessness
- Those not currently at home eg in hospital, in the forces, in prison
- Those where English is not their first language

- Young people and care leavers
- Those with family difficulties eg. lone parents, teenage parents, low income families, domestic violence
- Those living in remote rural areas
- Gypsies and travellers
- Those who may feel excluded from services due to for example, sexual orientation

Section 3

What assistance will the members of the partnership provide?

Awareness of Cumbria Choice

The partnership will continue to work to publicise Cumbria Choice – its website and contact details of the individual partners. The ways this will be done are detailed below. By using a wide number of means the partnership seeks to ensure all the groups mentioned above can easily be aware of Cumbria Choice as the way of accessing social housing in Cumbria.

Removing barriers to those who may find obtaining and understanding information about available properties and bidding more difficult

1. The full allocations policy will be available to anyone on request. Easy to read guides to the system will be sent to all customers wanting to register on the scheme. This would include a summary guide to the Allocation Policy and a guide to using the scheme e.g. how to register an interest in a property. All these guides will be on the website and the web-based virtual guide to using the scheme will be on the website. All scheme guides will be available on request in other formats, such as large print, on CD and in other languages.
2. The advertisements for properties with adaptations will clearly indicate the adaptations which have been made and the people for whom the property would be suitable.
3. All property adverts will make use of picture symbols to identify the facilities in the properties.
4. The partnership believes using the internet to access Cumbria choice has many advantages and will seek to assist customers to use the internet where possible. However there will also be flexibility to help people who cannot or do not wish to use the internet. Other ways of bidding will be explained clearly to customers. These other methods are:
 - Through telephoning any partner organisation office
 - Automated bidding (ie the computer system is set up to place an automatic on properties of a type and location specified by the customer)
 - Ringing the low cost automated telephone line
 - Through sending a text message
 - In person at any partner organisation office
 - Through agreement of the use of proxy bidding

5. All information that goes out to customers at every stage will advise about the availability of assistance and will give contact names and numbers. Customers will be advised that they are able to contact any partner organisation office to seek help in completing a registration form, to enquire about properties that are being advertised, to place an interest in a property etc.
6. When customers are contacted at the yearly review stage they will again be asked if they require assistance and will be sent contact details.
7. All partner organisation staff will be given training and regular updates about the scheme and the assistance that will be available. They will be informed and supplied with guidance on the questions they need to ask and the options available to customers eg. LanguageLine, proxy bidding, posting of individual adverts.

Section 4

How we aim to work effectively with other organisations, including the voluntary sector

- Cumbria choice will maintain a list of stakeholder agencies and will inform them of changes to Cumbria Choice and offer training. They will be supplied with named contact for each partner organisation operating Cumbria Choice in order to resolve any day to day operational difficulties for their clients. Partners organisations will be sent an update on Cumbria choice a minimum of 2 times a year.
- Organisations will be asked if they wish to receive the weekly newssheet of advertised properties and where they do request this, it will be emailed weekly.
- In the event of a difficulty with Cumbria Choice, issues about a specific customer are best discussed with the named contact at Cumbria Choice, or if necessary by following Cumbria Choice's official complaints procedure. In the case of a more general concern about the operation of Cumbria Choice, the organisation may contact the Chair of the Board (currently Lucy Reynolds, South Lakeland District Council) for potential discussion at a Cumbria Choice Board meeting.

Section 5

How can Cumbria Choice offer customers wider housing options information

There are two main ways in which Cumbria Choice will support its customers with housing options advice

- 1) It will ensure that customers have access to support from the trained housing officers of the partners who let properties through Cumbria Choice**

- A customer who may have potential difficulties or requiring assistance does not automatically have a high priority for housing and may not be successful in bidding for a property due to high demand.
 - Cumbria Choice recognised the importance of helping ensure customers receive appropriate advice to enable him / her to resolve his / her housing situation.
 - Where appropriate housing officers from Cumbria Choice organisations will work in liaison with support workers or family members who provide support to the person. Advice would cover areas such as reviewing their housing situation and requirements in conjunction with more 'realistic bidding' choices, the support available, and where appropriate alternative housing options.
- 2) The Cumbria Choice website will include additional information about alternative housing options and links to further housing advice**
- The site will include information to help customers understand the relative popularity of different properties and will include and links to information about other housing options and sources of housing advice.
 - The scheme will also be used to advertise properties with private landlords and it is intended to increase the number of private properties advertised over time.

Section 6

How will we monitor that the Accessibility Policy is working?

Cumbria Choice Board receives monitoring information on a quarterly basis
This will include data monitoring by equality groups and will help the Board to identify if any groups appear to be disadvantaged under Cumbria Choice

Reports will be set up showing

The percentage of registrations by Band compared to allocations for groups that may suffer disadvantage under Cumbria Choice

Length of time to make a successful bid by groups that may suffer disadvantage compared with average time to make a successful bid

Numbers of those registered but not bidding groups that may suffer disadvantage compared with the average for those registered but not bidding

The Board will also monitor complaints, appeals and issues raised by stakeholders to identify if any groups are having particular problems with using and accessing housing through Cumbria Choice.

Good practice check list – Cumbria Choice accessibility policy

1. Identifying and supporting applicants who may need additional help

| Checklist for officers dealing with applicants | |
|--|--|
| 1. Applicants who tick yes to the question “ <i>Do you require help to use this scheme</i> <i>eg. Applying for advertised properties</i> “ to be contacted individually to check what sort of help they need. | |
| 2. Anyone who has contacted for this reason should receive the following help | |
| a) Explanation of how Cumbria Choice works and bidding options | |
| b) Reach agreement on a bidding option which is appropriate and acceptable to them | |
| 1. If they do not have internet access suggest someone else can bid for them if this is an acceptable solution for them | |
| 2. They can phone in weekly to be updated on properties available and a Housing Officer can place the bid for them | |
| 3. Newsheets can be posted out for a maximum of 6 months and if interested in a property the applicant can make bids by phone | |
| 4. They can be placed on auto-bidding based on their property / location requirements | |

| Checklist for landlord organisations | |
|---|--|
| 1. All staff involved with CBL have read and understand the Cumbria Choice Accessibility Policy. | |
| 2. All staff with contact with CBL applicants should have received training on recognising applicants who may need additional help, the bidding options available and what can be offered to applicants who may find it less easy to access Cumbria Choice online | |
| 3. The annual review letter should again offer the applicant help (NB are all review letters sent out and returned by post?) | |
| 4. A report should be run by the organisation at least every 3 months which will allow them to identify people in Band A and B who have not been bidding. The organisation should follow this up to find out why they are not bidding and if they need assistance. In the case of those who are in Band A because of homelessness there will need to be liaison with the Homelessness Team. | |

Promoting knowledge of Cumbria Choice as the way to access Social housing and other housing options in Cumbria

| The partnership | |
|--|--|
| 1. The partnership will finance advertisements for the Cumbria Choice scheme in a free newspaper in each authority area 3 times a year. | |
| 2. The partnership will ensure that where possible links from other organisations websites are established to the Cumbria Choice website (eg Age UK and other voluntary organisations) | |
| 3. The Cumbria Choice will be developed to include information or links to wider | |

| | |
|---|--|
| housing advice and housing options (eg. Letting agencies, low cost home ownership) | |
| 4. An up to date contact list of organisations which may be supporting customers of Cumbria Choice will be maintained. These organisations will receive twice yearly updates of Cumbria Choice, contact details of officers and the offer of training if required. | |
| Individual organisations | |
| 1. Each organisation including Local Authorities should ensure they display up to date information on Cumbria Choice in their public areas and that is updated when necessary. | |
| 2. A list of public access points where a Cumbria Choice poster can be displayed should be drawn up. (It is suggested that the largest housing provider in each authority take a lead on this but should be supported by the smaller providers / LA in the area) <ul style="list-style-type: none"> • Suggested places are: • Supermarkets • Job centres • GP surgeries • Libraries • Citizen advice bureaus | |

Monitoring Cumbria Choice

| | |
|---|--|
| The Partnership | |
| Statistical reports which help to identify inequality issues will be received by the Board on a quarterly basis as detailed in the Accessibility Policy | |
| The Board will follow up any issues of accessibility difficulties brought to its attention by individual partners or by stakeholder organisations. | |
| The Board will require each partner to report annually on its success in carrying out the tasks detailed in this checklist. | |

Letting properties in rural settlements, especially those subject to s106 or local lettings policy

(rural settlement is often considered to be one with a population of less than 3000. The good practice points are particularly relevant to places where vacancies are rare ie. less than 5 per year)

| | |
|---|--|
| Individual officers and landlord organisations | |
| An advertising board showing the organisations name and Cumbria Choice contact details to be displayed at the property (<i>when?</i>) | |
| Notification of the vacancy is sent to the relevant parish clerks (contact details available on www.calc.org.uk) as soon as the void is notified to the Housing Association including details of when is expected the property will appear on Cumbria Choice | |
| Restrictions on bidders allowed to apply for the property by size should be avoided (eg an applicant should not be prevented from making a bid on a 3 bed home when they have two children of the same sex under 10). Preferences for the size of the household can be explained in the ad and those not meeting these criteria would be skipped if | |

| | |
|--|--|
| necessary. | |
| Parish clerks should be contacted to check details of parish boundaries or to verify local connections issues if there is any doubt. | |



COMMUNITY OVERVIEW AND SCRUTINY PANEL

Panel Report

Public

Date of Meeting: 22nd November 2012

Title: PROPOSALS FOR IMPLEMENTATION COUNCIL TAX
TECHNICAL REFORMS TO DISCOUNTS AND EXEMPTIONS

Report of: Director of Resources

Report reference: RD 48/12

Summary:

The Local Government Finance Act 2012 contains a number of 'technical' changes which give councils greater freedom to vary existing discounts and exemptions. The government consider that this would be a suitable means of helping to offset the cost of a Local Support for Council Tax Scheme (LSCT) as the additional income, would be shared between the precepting authorities in the same proportions they are funding the LSCT.

This report suggests changes to empty rate Council Tax discounts to fund in part the cost of reduced LSCT grant income.

Questions for / input required from Scrutiny:

To scrutinize the proposals set out in section 4 of the report.

Recommendations:

The Executive is recommended to consider the proposals set out in the report and summarised in para 5.2 as a means to fund in part the grant reductions to be introduced from 1st April 2013 in funding the cost of the localisation of Council Tax Benefits (discounts).

Any recommendation made by the Executive will be progressed to Council as part of the 2013/14 budget considerations.

Contact Officer: Peter Mason

Ext: 7270

Appendices attached: N/A

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

Impact assessments

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Does the policy/service impact on the following? | No | N/A |
| Age | No | N/A |
| Disability | No | N/A |
| Race | No | N/A |
| Gender/ Transgender | No | N/A |
| Sexual Orientation | No | N/A |
| Religion or belief | No | N/A |
| Human Rights | No | N/A |
| Health inequalities | No | N/A |
| Rurality | No | N/A |



REPORT TO EXECUTIVE

PORTFOLIO AREA: FINANCE, GOVERNANCE & RESOURCES

Date of Meeting: 19th November 2012

Public

Key Decision: Yes

Recorded in Forward Plan: Yes

Inside

Title: PROPOSALS FOR IMPLEMENTATION COUNCIL TAX
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Report of: Director of Resources

Report reference: RD 48/12

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This report suggests changes to empty rate Council Tax discounts to fund, in part, the cost of reduced LSCT grant income.

Recommendations: The Executive is recommended to consider the proposals set out in the report and summarised in para 5.2 as a means to fund in part the grant reductions to be introduced from 1st April 2013 in funding the cost of the localisation of Council Tax Benefits (discounts).

Any recommendation made by the Executive will be progressed to Council as part of the 2013/14 budget considerations.

Contact Officer: Peter Mason

Ext: 7270

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

1. BACKGROUND INFORMATION AND OPTIONS

- 1.1. The Local Government Finance Act 2012 received Royal Assent on 31 October 2012 and contains a number of 'technical' changes which give councils greater freedom to vary existing discounts and exemptions. The government consider that this would be a suitable means of helping to offset the cost of a Local Support for Council Tax Scheme (LSCT) as the additional income would be shared between the precepting authorities in the same proportions they are funding the LSCT.
- 1.2. The details of the proposed LSCT along with early consideration of the Technical Reforms to Council Tax were considered by the Executive on the 6th August (CD 39/12).
- 1.3. In terms of public perception, there are advantages to making any Council Tax technical reform changes, from April 2013, to align with the reduction in Government funding to support the LSCT. The Council as the Billing Authority will be empowered to make decisions on changes to appropriate Council Tax discounts/exemptions.
- 1.4. It should be noted that the Local Government Finance only recently received Royal Assent and the Regulations have still not been made to enable the changes to take place. Therefore any recommendations by the Executive on Council Tax discount amendments will need to be fed into the 2013/14 budget process for consideration by full Council.

2. Local Support for Council Tax Scheme (LSCT)

- 2.1 The Council's proposed scheme for the Localised Support for Council Tax was considered by the Executive on 6th August. It was agreed that for 2013/14 the local scheme adopted would be identical to the DCLG default scheme. This in effect replicates the existing benefit scheme as far as claimants are concerned and so claimants will see no changes to their benefits. There will however be significant technical and accounting changes arising from the change in the award from a benefit to a discount for the precepting Councils. For Carlisle the funding gap of LSCT (before considering the potential mitigations of Council Tax Technical Reforms) is estimated at c. £120,000 in 2013/14 but could rise to £190,000 depending on take up.
- 2.2 The County Council and the Police authorities have been consulted on this proposal and their responses were largely positive and supportive of the Council's reasons for the proposals it had made. There was predictable concern however over the funding gap that arises from the proposals, which for the County amount to between £4.2m and £6.3m, before any mitigations which could be made from the Council Tax Technical Reforms. Both the County Council and the Cumbria Police authority have

asked the Council to consider mitigating the lose of grant by reviewing discount and grants as allowed under the technical changes proposals.

3. Council Tax Technical Reforms

- 3.1. In the Communities and Local Government (DCLG) impact assessment for the Technical Reforms to Council Tax, published 20th December 2011, the DCLG have stated, “it is unlikely that authorities would think it appropriate to use their new flexibilities to reduce these discounts to zero.....That said, if authorities exercise the flexibilities to maximise revenue, the extra revenue generated would relieve pressure on Council Tax” The current understanding is that it is therefore entirely the decision of Councils as to what to set their discount levels at. The Government has given a strong indication that it expects authorities to use the new Council Tax discount powers as one way for Councils to fund the cost of their LSCT schemes. Nationally it is estimated that LSCT my cost local authorities about £500m whilst the extra income from the Council Tax Discounts could raise about £400m.
- 3.2. The different Council Tax Discounts available for consideration are considered in more detail in paragraph 4 below.
- 3.3. A number of other changes are to be made to Council Tax, the main ones are:
 - (i) Council Taxpayers will be given a legal right to pay by twelve instalments on request, although the default will still be ten instalments
 - (ii) Councils will no longer need to provide each Council taxpayer with a hard copy of the information that supports the Council Tax Bill.
- 3.4 There are a number of other discounts that the Government has not given the Council any discretion on altering including the Single Person discount and this will continue to be set nationally by the Government at 25%. This is despite lobbying by a number of Councils to be allowed to set this discount locally.

4. Detailed Council Tax Technical Reform – Considerations and Proposals

- 4.1. **Exemption Class A** – these exemptions apply to uninhabitable properties which are unfurnished and in the course of renovation. These are generally properties in need of significant modernisation, requiring works to remedy structural defects or affected by natural disaster e.g. flood or fire.
 - 4.1.1. **Currently, these properties can receive a 100% exemption from Council Tax for a period up to 12 months.** They are primarily owned by private individuals, rather than builders, and allow the purchaser to acquire the property at a cheaper market value in lieu of the cost of work required to render it habitable. They also

include owners who move out (e.g. live in a caravan on site) in order to remedy structural defects or substantially alter the dwellings e.g. add on another floor.

- 4.1.2. Setting the discount at less than 100% would require the buyer/owner to factor in the additional costs of Council Tax when purchasing the property and could impact adversely on the first time buyer market or in any strategy to reduce the number of unfit homes within the City.
- 4.1.3. There may be some impact on businesses involved in renovating properties.
- 4.1.4. **It is suggested that the current discount of 100% for 12 months should be reduced to 75%. There is no option to alter the time period on this exemption. The estimated value of this reduction is £45k of which the City Council would receive c. £6k.**
- 4.2. **Exemption Class C** – these apply to short term unoccupied and unfurnished properties.
 - 4.2.1. **Currently these properties can receive a 100% exemption from Council Tax for a period up to 6 months.** They are primarily properties that are changing owner or changing tenant and the six months allows for the exchange of contracts/new tenancy agreements to take place. They can also include property left under the terms of a will.
 - 4.2.2. This category includes all property that is rented as unfurnished and includes the majority of Registered Providers of Social Housing (although this is under review). It can also apply to properties that have enjoyed Class A exemption for 12 months and qualify to transfer into Class C exemption for a further period of up to 6 months.
 - 4.2.3. All persons affected would have to factor any discount reduction/increase in liability into their budgets. It might encourage faster re-letting or re-occupation of empty homes. Conversely it may lead to more sub-standard housing where the cost of repairs/redecoration increases with the increase in liability.
 - 4.2.4. There may be some impact on businesses involved in house-building as a newly completed but unoccupied dwellings would normally enjoy a period of 6 months before liability arises.
 - 4.2.5. **It is suggested that the current discount of 100% for 6 months should be reduced to 50% for 6 months. The estimated value of this reduction based on the current 6 months is £524k of which the City Council would receive c. £69k.**

- 4.3. **Second Home Discount** – this applies to furnished but unoccupied properties.
- 4.3.1. **Currently these properties can receive a 10% reduction in Council Tax liability for an indefinite period.** They are generally 2nd homes or properties between tenancies that are let furnished.
- 4.3.2. The disadvantage of reducing the discount to zero is that there would be no incentive for owners to declare their houses as second homes and the record of second homes may therefore become less accurate over time.
- 4.3.3. A further consideration is that there is also a ten year agreement (started April 2009) between the County Council and all the Cumbrian Districts. Under this agreement the County granted back to each District a third of the extra Council Tax raised for the County by the Districts (as Billing Authorities) of reducing the discount from 50% to 10%. For Carlisle this is **£63k per annum**. The agreement was made to ensure that part of the total Council Tax raised by second homes was retained within the district in which it arose. Members will note that the County Council consultation response makes reference to this grant and that ‘the current income sharing agreement may also require review late in the year as the legislation and regulations through which they are financed changes and the full impact becomes clearer’. The County have indicated informally that they are not planning to reconsider the income sharing agreement at this time however Members will need to be clear on the implications of a potential change in the grant back conditions before it makes any decision.
- 4.3.4. **It is suggested due to the reasons set out above that the discount should remain at 10%.**
- 4.4. **Standard Empty Discount** – this applies to longer term unoccupied and unfurnished properties.
- 4.4.1. **Currently these properties can receive a 50% reduction in Council Tax liability for an indefinite period.** Existing legislation allows the Authority to set this discount at a percentage it determines. Also to make a determination varying or revoking a determination but only before the beginning of the financial year.
- 4.4.2. This category contains a mix of circumstances e.g.
- Additional property acquired under the terms of a will
 - Additional property in need of modernisation but not bad enough to be classed as uninhabitable
 - Property which remains unsold or untenanted

- Property which is an asset but where the owner does not want to be involved in the business of renting it out
- Property being held for future occupation

- 4.4.3. Reducing the discount may fit with wider Council strategy or policy objectives around increasing the local housing provision by bringing empty homes back into use or increasing funding through the New Homes Bonus Scheme.
- 4.4.4. However, there may be a number of cases where the owner does not have the financial capacity to bring the home back into use and increasing the Council Tax liability could cause hardship.
- 4.4.5. **It is suggested that the discount for standard empty properties be reduced to 25%.**
- 4.5. **Long Term Empty Premium** – this applies to long term unoccupied and unfurnished properties.
- 4.5.1. **Currently these properties can receive a 50% reduction in Council Tax liability for an indefinite period.** The current proposal allow for a premium to be charged on these properties in future.
- 4.5.2. Similar profiles to standard empty discount properties (detailed above), similar considerations and potential for greater impact if premium applied on top of erasing the current discount.
- 4.5.3. Figures on long term empties are not currently available as the authority does not treat them differently to other empty properties receiving a 50% discount and regulations do not require separate reporting. Investigations will be undertaken to identify the current and trend figures for this category.
- 4.5.4. The regulations allow the Council to not only reduce the discount but if so minded introduce of 50% premium meaning that long term empty properties would be charged up to 1½ time current Council Tax rates.
- 4.5.5. **It is suggested that no discount be granted but no premium on the Council Tax rate is introduced.**

5. **Financial Impact**

- 5.1. Council Tax technical reforms are due to take effect on 1st April 2013 and, under the new proposals, local authorities will have limited discretion to reduce the exemption/discounts (increase the Council Tax liability) on empty dwellings and

second homes. The changes could have a significant impact upon the funding gap resulting from the introduction of LSCT.

Based on 2012/13 figures, the estimated shortfall for Carlisle is estimated at c. £120,000 - £190,000. The anticipated savings that might be made from the changes to Council Tax discounts is summarised below:

| Exemption / Discount | Proposed Reduction in Liability | Full financial impact £000 | Carlisle and Parishes £000 | County and Police |
|---|--|-----------------------------------|-----------------------------------|--------------------------|
| Class A (being renovated) | From 100% for 12 months to 75% for 12 months | 45 | 6 | 39 |
| Class C Short term empties | From 100% for 6 months to 50% for 6 months | 462 | 61 | 401 |
| Second Homes | No Change | | | |
| Standard Empties Medium term empties | From 50% for an indefinite period to 25% for 18 months (2 years total) | 131 | 17 | 114 |
| Long Term Empties | From 50% discount for an indefinite period to no discount | 160 | 21 | 139 |
| TOTAL | | 798 | *105 | 693 |

*Note City Council's share £98,000, parish precepts share £7,000

5.2 **Social Housing**

Social Housing Providers will only be affected by the above changes if the property is left empty for more than 6 months i.e. such properties will be designated as Class B vacant dwellings owned by charities for up to 6 months.

5.3 The above table is an estimation of the impact only as the figures are based on current levels of empty properties. The potential impact also does not take fully into account any collection / avoidance issues. It is suggested that taking these factors into account, Carlisle's share for 2013/14 budget purposes would be approx £90,000.

5.4 As can be seen from the Table above (and note 5.3) the estimated maximum amount that could be raised for Carlisle if discounts were set to the proposed levels

would be approximately £90,000. This would meet of majority the estimated funding gap of £120k/£190k arising from LSCT.

- 5.5 The County Council consultation response has 'encouraged' a consistent approach to the Council Tax Technical Reforms across the Districts. As far as is currently known, all Districts are taking a slightly different approach to this issue depending on local circumstances (some planning to reduce discounts by more than being suggested in this report).

6. Summary

- 6.1. The decisions to be made around setting levels of discount and premium for the wider Council Tax Technical Reforms need to be carefully considered with regard to financial, economic and wider community impact. The changes to discount suggested in this report takes the 'middle road' between making full use of the technical changes to maximize income and minimizing the impact on Council Tax payers. However owners of empty homes are unlikely to welcome any reduction in their current discounts.

7. Recommendations

- 7.1 The Executive is recommended to consider the proposals set out in the report and summarised in para 5.2 as a means to fund in part the grant reductions to be introduced from 1st April 2013 in funding the cost of the localisation of Council Tax Benefits (discounts).
- 7.2 Any recommendation made by the Executive will be progressed to Council as part of the 2013/14 budget considerations.

8. Implications

- Staffing/Resources – none
- Financial – The financial consequences of implementing these technical reforms are set out at section 5 of the report and will be considered as part of the 2013/14 budget process.
- Legal – The Local Government Finance Act 2012 received Royal Assent on 31 October 2012 but, as yet, the relevant Regulations made there under are still awaited. It is these Regulations which will guide the changes discussed within the body of the Report.
- Corporate – none

- Risk Management – The risks associated with the implementation of the LSCT and the technical reforms are monitored through the Council's Corporate Risk Management arrangements
- Environmental – none
- Crime and Disorder – none
- Impact on Customers – Will be monitored throughout the first year of implementation.
- Equality and Diversity – none

Impact assessments

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|-----------------------|--|
| Does the policy/service impact on the following? | | |
| Age | N | N/A |
| Disability | N | N/A |
| Race | N | N/A |
| Gender/ Transgender | N | N/A |
| Sexual Orientation | N | N/A |
| Religion or belief | N | N/A |
| Human Rights | N | N/A |
| Health inequalities | N | N/A |
| Rurality | N | N/A |

COMMUNITY OVERVIEW AND SCRUTINY PANEL

Panel Report

Public

Date of Meeting: 22nd November 2012

Title: Performance Update

Report of: Policy and Communications Manager

Report reference: PPP 13/12

Summary:

This report updates the Panel on the latest position regarding the Service Standards that help measure our performance and customer satisfaction.

Questions for / input required from Scrutiny:

1. Consider the Service Standards.

Contact Officer: Steven O'Keeffe

Ext: 7258

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers: None

1. BACKGROUND INFORMATION

Standards in the services we provide help define what our customers can expect from us and remind our managers and employees of the challenges and obligations we face. With this earlier in the year, we developed a list of Service Standards that we believe affect our customers the most, and standards by which we can be held to account. They are based on timeliness, accuracy and appropriateness of the service we provide in key areas.

2. SERVICE STANDARDS

It is not our intention to measure Service Standards' performance solely against targets. Our current performance already exceeds some of the nationally-set targets; although we are satisfied with that achievement we feel that achievement of locally agreed service standards are of more relevance.

We measure our performance on a monthly basis and display the standards in the Civic Centre reception, as well as publishing them on our website (see www.carlisle.gov.uk/council-and-democracy/performance-management/service-standards.aspx). Senior Management Team also review our performance on a monthly basis.

Following on from the first quarter presentations to Overview and Scrutiny, comparisons with other authorities has been increased to include Nearest Neighbour authorities; they are authorities that may have similar profiles to Carlisle in terms of population, geographical isolation and so on.

The latest Service Standard information is attached below as Appendix 1.

Management Information

As well as the list of Service Standards – that may be viewed as quite high-level – several other measures exist that are monitored either by the team(s) directly delivering the service, or through the corporate performance management process.

It is intended that every team within the five Directorates of the City Council will have some measures in place that will help them continually improve the service they provide. This will include a value for money measure and a measure of customer satisfaction. These measures are or will be monitored through the team's service plan.

Impact Assessments

Does the change have an impact on the following?

| Equality Impact Screening | Impact Yes/No? | Is the impact positive or negative? |
|--|----------------|-------------------------------------|
| Does the policy/service impact on the following? | Yes | Positive |
| Age | Yes | Positive |
| Disability | Yes | Positive |
| Race | Yes | Positive |
| Gender/ Transgender | Yes | Positive |
| Sexual Orientation | Yes | Positive |
| Religion or belief | Yes | Positive |
| Human Rights | Yes | Positive |
| Health inequalities | Yes | Positive |
| Rurality | Yes | Positive |

If you consider there is either no impact or no negative impact, please give reasons:

.....

.....

.....

If an equality Impact is necessary, please contact the P&P team.

APPENDIX 1: Service Standards Figures (October/November 2012)

Service Standard - Percentage of Household Planning Applications processed within eight weeks



| Year to date | Performance Data Trend Chart | Contextual Information | | | | | | | | |
|----------------|--|------------------------|------------|-------------|-------|----------------|-------|--------------|-------|---|
| 89.6% | <table><caption>Performance Data Trend Chart Data</caption><thead><tr><th>Month</th><th>Percentage</th></tr></thead><tbody><tr><td>August 2012</td><td>92.0%</td></tr><tr><td>September 2012</td><td>80.0%</td></tr><tr><td>October 2012</td><td>81.0%</td></tr></tbody></table> | Month | Percentage | August 2012 | 92.0% | September 2012 | 80.0% | October 2012 | 81.0% | <p>We aim to:</p> <ul style="list-style-type: none">- We aim to find the balance between facilitating new development to meet the needs of today's community, whilst protecting and enhancing the environment for future generations- Give our customers an efficient, prompt service when processing their household planning applications- Exceed the nationally set targets- Where it is not possible to process an application within the specified time, communicate the reasons to all relevant parties <p>How does that compare with the latest figures from other Councils? Below is a selection of Councils - some have been classed as excellent (E), some are from the former Historic Cities Benchmarking Group (HC), and some are Carlisle's Nearest Neighbours (NN) in terms of demographics. These figures represent their year-end (2011/12) performance</p> <p>Sevenoaks (E) = 77.81% Staffordshire Moorlands (E) = 86.39% Rushcliffe (E) = 88.1% Mansfield (NN) = 84% St Edmundsbury (NN) = 80% West Lancashire (NN) = 75% Other Cumbrian DC average = 88.3 (Q1 2012/13)</p> |
| Month | Percentage | | | | | | | | | |
| August 2012 | 92.0% | | | | | | | | | |
| September 2012 | 80.0% | | | | | | | | | |
| October 2012 | 81.0% | | | | | | | | | |

Service Standard - Percentage of missed waste or recycling collections




www.carlisle.gov.uk

| Year to date | Performance Data Trend Chart | Contextual Information | | | | | | |
|----------------|--|------------------------|------------|-------------|-------|----------------|-------|--|
| 0.03% | <table><thead><tr><th>Month</th><th>Percentage</th></tr></thead><tbody><tr><td>August 2012</td><td>0.02%</td></tr><tr><td>September 2012</td><td>0.03%</td></tr></tbody></table> | Month | Percentage | August 2012 | 0.02% | September 2012 | 0.03% | <p>The figures are collected on a monthly basis and profiling takes place to be as accurate as possible (i.e. collections are reduced during the winter when there are no green bin collections).</p> <p>Industry Standard is 40 misses per 100,000. Our percentage figure converts to 26 misses.</p> <p>How does that compare with the latest figures from other Councils? Below is a selection of Councils - some have been classed as excellent (E), some are from the former Historic Cities Benchmarking Group (HC), and some are Carlisle's Nearest Neighbours (NN) in terms of demographics These figures represent their year-end (2011/12) performance</p> <p>Rushcliffe (E) = 44 per 100,000 Chorley (E) = 36 per 100,000 Other Cumbrian DC average = 53 per 100,000 (Q1 2012/13)</p> |
| Month | Percentage | | | | | | | |
| August 2012 | 0.02% | | | | | | | |
| September 2012 | 0.03% | | | | | | | |

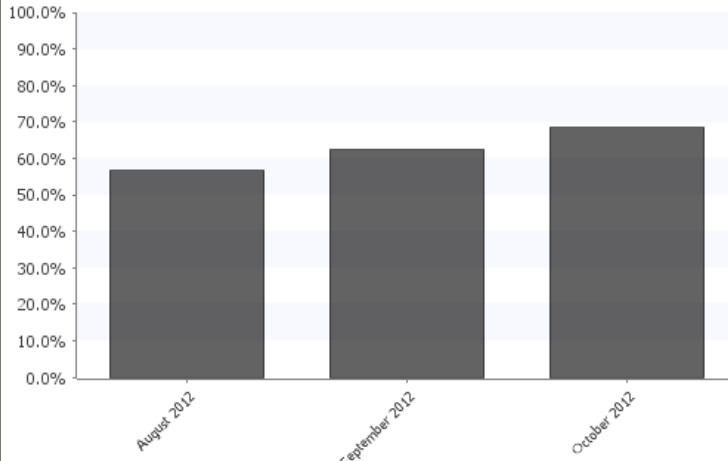
Service Standard - Percentage of household waste sent for recycling



www.carlisle.gov.uk

| Year to date | Performance Data Trend Chart | Contextual Information |
|--------------|--|--|
| <p>49.7%</p> |  <p>The chart displays a single horizontal bar representing the percentage of household waste sent for recycling in August 2012. The y-axis ranges from 0.0% to 100.0% in 10.0% increments. The bar for August 2012 reaches the 49.7% mark.</p> | <p>More than 40 per cent of England's household waste was recycled, reused or composted last year, representing a new record for the country according to provisional statistics released by Defra in 2011. This beat the government's target of achieving a 40 per cent recycling rate by June 2010. The current national average is 46 per cent of collected waste. The figure represented an ongoing trend that has seen the proportion of waste sent to landfill fall from 79 per cent a decade ago. However, England still lags well behind countries such as Germany that have all but eliminated waste streams to landfill. In addition, recycling rates of about 40 per cent are still well short of the 2020 target that require local authorities to increase recycling rates to 50 per cent. There are nationally set targets of 50% recycling by 2020.</p> <p>How does that compare with the latest figures from other Councils? Below is a selection of Councils - some have been classed as excellent (E), some are from the former Historic Cities Benchmarking Group (HC), and some are Carlisle's Nearest Neighbours (NN) in terms of demographics. These figures represent their year-end (2011/12) performance</p> <ul style="list-style-type: none"> Sevenoaks (E) = 32% Staffordshire Moorlands (E) = 59% Chorley (E) = 49% Cheltenham (HC) = 34% St Edmundsbury (NN) = 55.2% North West Leicestershire (NN) = 45% Erewash (NN) = 44% |

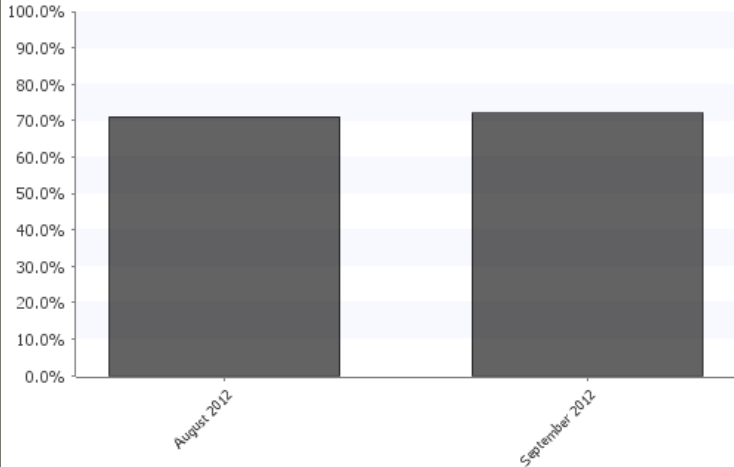
Service Standards - Processing new benefit claims in less than 28 days

| Year to date | Performance Data Trend Chart | Contextual Information | | | | | | | | |
|----------------|--|------------------------|-----------------|-------------|-------|----------------|-------|--------------|-------|--|
| 68.4% |  <table border="1"><thead><tr><th>Month</th><th>Performance (%)</th></tr></thead><tbody><tr><td>August 2012</td><td>58.0%</td></tr><tr><td>September 2012</td><td>63.0%</td></tr><tr><td>October 2012</td><td>68.4%</td></tr></tbody></table> | Month | Performance (%) | August 2012 | 58.0% | September 2012 | 63.0% | October 2012 | 68.4% | <p>New claim' means any claim made following a change of address to a different local authority area or any other claim that leads to an award, except when there is no break in entitlement and no change of local authority following a change of address. 'Time taken to process' means the time counted in calendar days from, and including, the day a new claim for Housing Benefit or the relevant information forwarded from DWP is physically received at any designated office of a local authority to, and including the day the claim is decided. Time should be counted in accordance with the MIS guidance. This means that if a claim is received on a Monday and a decision made on the same day, the time taken is one day.</p> <p>28 days represents the cut off for the middle quartiles of all district councils.</p> <p>How does that compare with the latest figures from other Councils? Below is a selection of Councils - some have been classed as excellent (E), some are from the former Historic Cities Benchmarking Group (HC), and some are Carlisle's Nearest Neighbours (NN) in terms of demographics These figures represent their year-end (2011/12) performance</p> <p>Wychavon (E) = 23.7% (2011/12)</p> |
| Month | Performance (%) | | | | | | | | | |
| August 2012 | 58.0% | | | | | | | | | |
| September 2012 | 63.0% | | | | | | | | | |
| October 2012 | 68.4% | | | | | | | | | |



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Service Standard - Overall satisfaction with council services

| Year to date | Performance Data Trend Chart | Contextual Information | | | | | | |
|----------------|---|------------------------|-----------------|-------------|-------|----------------|-------|--|
| 70.0% |  <table><thead><tr><th>Month</th><th>Performance (%)</th></tr></thead><tbody><tr><td>August 2012</td><td>70.0%</td></tr><tr><td>September 2012</td><td>70.0%</td></tr></tbody></table> | Month | Performance (%) | August 2012 | 70.0% | September 2012 | 70.0% | <p>Figure taken from the Govmetric. This is a system that collects data and allows the Council to access a summary of customer satisfaction levels. GovMetric is also used across two other communication channels: when customers contact the Council Customer Contact Centre via telephone or when we respond to a customer via email.</p> <p>How does that compare with the latest figures from other Councils? Below is a selection of Councils - some have been classed as excellent (E), some are from the former Historic Cities Benchmarking Group (HC), and some are Carlisle's Nearest Neighbours (NN) in terms of demographics These figures represent their year-end (2011/12) performance</p> <p>Rushcliffe (E) = 78.4% Wychavon (E)= 69% Chorley (E) = 65.5% Wyre Forest (NN) = 52% Fenland (NN) = 95% Bristol (HC) = 69.9%</p> |
| Month | Performance (%) | | | | | | | |
| August 2012 | 70.0% | | | | | | | |
| September 2012 | 70.0% | | | | | | | |