

AGENDA

Resources Overview and Scrutiny Panel

Tuesday, 13 June 2017 AT 10:00
In the Flensburg Room, Civic Centre, Carlisle, CA3 8QG

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 Meeting

7 - 16

To agree the minutes of the meeting held on 23 February 2017 [Copy Minutes in Minute Book 43(6)]

To note the minutes of the meeting held on 13 April 2017 [Copy Minutes herewith]

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 OVERVIEW REPORT AND WORK PROGRAMME

17 - 22

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

(Copy Report OS.13/17 herewith)

A.3 STREET TRADING POLICY

23 - 60

(Finance, Governance and Resources Portfolio)

The Corporate Director of Governance and Regulatory Services to submit a report seeking agreement of a Street Trading Policy and revised Street Trading Order, which will provide direction for the regulation of street trading in the District. The matter was included in the Notice of Executive Key Decisions and was considered by the Executive on 8 May 2017 and Regulatory Panel on 24 May 2017.

(Copy Report GD.35/17 and Minute Excerpts herewith)

A.4 CORPORATE PROGRAMME BOARD

61 - 78

(Cross Cutting Portfolio)

The Town Clerk and Chief Executive to submit an update on the work of the Corporate Programme Board and projects currently being undertaken in the Council.

(Copy Report CE.07/17 herewith)

A.5 2016/17 SICKNESS ABSENCE END OF YEAR 79 - 86

(Finance, Governance and Resources Portfolio)

The Town Clerk and Cgief Executive to submit a report on the authority's sickness absence levels for the period April 2016 to March 2017 and other sickness absence related information.

(Copy Report CE.06/17 herewith)

A.6 END OF YEAR PERFORMANCE REPORT 2016/17 87 - 92

(Finance, Governance and Resources Portfolio)

The Policy and Communications Manager to submit the fourth quarter performance against current service standards and a summary of the Carlisle Plan 2015-18 actions.

(Copy Report PC.09/17 herewith)

A.7 2016/17 PROVISIONAL OUTTURN REPORTS

(Finance, Governance and Resources Portfolio)

The following matters were included in the Notice of Executive Key decisions and have been considered by the Executive on 5 June 2017. (Minute Excerpts to follow)

(a) PROVISIONAL GENERAL FUND REVENUE OUTTURN 2016/17 93 - 118

The Chaief Finance Officer to submit a report on the Provisional General Fund Revenue Outturn for 2016/17.

(Copy Report RD.03/17 herewith)

**(b) PROVISIONAL CAPITAL OUTTURN 2016/17 AND REVISED 119 - 136
CAPITAL PROGRAMME 2017/18**

The Chief Fiance Officer to submit a report on the Provisional Capital Outturn for 2016/17.

(Copy Report RD.04/17 herewith)

(c) TREASURY MANAGEMENT OUTTURN 2016/17 137 - 156

The Chief Finance Officer to submit the annual report on Treasury Management together with the regular report on Treasury Transactions.

(Copy Report RD.05/17 herewith)

(d) PROVISIONAL OUTTURN FOR COUNCIL TAX AND NATIONAL NON DOMESTIC RATES 2016/17 157 - 170

The Chief Finance Officer to submit a report summarising the provisional outturn and performance position for Council Tax and National Non Domestic Rates.

(Copy Report RD.06/17 herewith)

(e) ELECTED MEMBERS' ALLOWANCES - PROVISIONAL OUTTURN REPORT FOR 2016/17 171 - 176

The Chief Finance Officer to submit a report on the amount of allowances paid to Members as part of the Elected Members' Allowances Scheme for 2016/7.

(Copy Report RD.02/17 herewith)

PART B

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

- NIL -

Members of the Resources Overview and Scrutiny Panel

Conservative – Mrs Bowman (Vice Chairman), Mallinson J, Robson, Bainbridge (sub), Mrs McKerrell (sub), Shepherd (sub)

Labour – Mrs Birks, Mrs Glendinning, Mrs Riddle (Chairman), Watson, McDonald (sub), McNulty (sub), Sidgwick (sub)

Liberal Democrat - Allison

**Enquiries, requests for reports, background papers,
etc to Democratic Services Officer:
Rachel Plant 817039 or rachel.plant@carlisle.gov.uk**

Minutes of Previous Meeting

RESOURCES OVERVIEW AND SCRUTINY PANEL

THURSDAY 13 APRIL 2017 AT 10.00AM

PRESENT: Councillor Watson (Chairman), Councillors Allison, Bowditch, Mrs Bowman, Mallinson J, McDonald, Mrs Riddle and Robson.

ALSO PRESENT: Councillor Glover - Leader
Councillor Dr Tickner – Finance, Governance and Resources Portfolio Holder
Councillor Miss Sherriff – Communities, Health and Wellbeing Portfolio Holder

OFFICERS: Town Clerk and Chief Executive
Corporate Director of Economic Development
Deputy Chief Finance Officer
Customer Services Manager
Service Improvement Manager
Overview and Scrutiny Officer

ROSP.22/17 APOLOGIES FOR ABSENCE

There were no apologies for absence submitted.

ROSP.23/17 DECLARATIONS OF INTEREST

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

ROSP.24/17 PUBLIC AND PRESS

It was agreed that the items of business in Part A be dealt with in public and Part B be dealt with in private.

ROSP.25/17 MINUTES OF PREVIOUS MEETING

RESOLVED – 1) That the minutes of the meeting held on 5 January 2017 be agreed as a correct record of the meeting and signed by the Chairman

2) That the minutes of the meeting held on 23 February 2017 be noted.

ROSP.26/17 CALL-IN OF DECISIONS

There were no items which had been the subject of call-in.

ROSP.27/17 OVERVIEW REPORT AND WORK PROGRAMME

The Overview and Scrutiny Officer presented report OS.09/17 and provided an overview of matters that related to the work of the Resources Overview and Scrutiny Panel.

The Notice of Executive Key Decisions had been published on 10 March 2017 and the following items fell within the remit of the Panel:

KD.06/17 – 2016/17 Provisional Outturn Reports

KD.07/17 – The Medium term Financial Plan (including the Corporate Charging Policy) and the Capital Strategy 2018/19 to 2022/23
KD.08/17 – The Asset Management Plan 2017 to 2022

The Panel's current Work Programme was attached to the report and Members were asked to begin thinking about the focus for the Panel's work in the next municipal year.

RESOLVED – That the Overview Report incorporating the Work Programme and Key Decision items relevant to this Panel (OS.09/17) be noted.

ROSP.28/17 CARLISLE AMBASSADORS

The Town Clerk and Chief Executive submitted report CE.05/17 which briefed the Panel on the Carlisle Ambassadors' initiative.

The Town Clerk and Chief Executive reminded the Panel that Carlisle Ambassadors was set up in 2013 following the Economic review which had identified the need for Carlisle to grow in population and business terms to achieve its economic potential. Carlisle Ambassadors was established to help enable the Council to work in partnership with businesses to raise the profile of Carlisle.

Carlisle Ambassadors brought together a range of businesses and organisations to meet on a regular basis to show case the businesses and provide a powerful business networking opportunity.

Carlisle Ambassadors defined themselves as a proactive community of passionate individuals, businesses and organisations who participate in projects to raise the profile of Carlisle to make it a better place to live, work and visit. In addition to networking events members had access to a range of resources including Carlisle Story, Carlisle Prospectus and a Design toolkit.

The Town Clerk and Chief Executive explained that it had initially been proposed that a Place Manager should be employed to lead the Carlisle Story and Carlisle Ambassadors. Unfortunately, due to the wide range of skills required it was not possible to appoint someone within the resources available. The work was divided with some activity being carried out by Council officers and the marketing and administration being carried out by external contractors. The external contractors had increased the membership from 50 in 2014 to 154 which generated £18,500 from membership fees. The cost of running the Carlisle Ambassador programme was £38,500 with the Council contributing £20,000. In addition the Ambassadors had received £11,500 in kind from venues, catering, photography, speakers and training.

The Town Clerk and Chief Executive drew Members attention to section 4 of the report which detailed the benefits and outcomes of the initiative which included networking, training, resources, GP recruitment events, representation at the Northern Powerhouse event and media coverage.

In considering the report Members raised the following comments and questions:

- What did Carlisle Ambassadors bring as a partnership that would not happen if it did not exist and did it add value?

The Town Clerk and Chief Executive responded that Carlisle Ambassadors added value and there was nothing like it in the City before. When the Carlisle Ambassadors were first established the City Council covered the entire cost now there are 154 Members who paid subscriptions and covered half of the cost.

- A Member sought clarification that a review was being carried out on the partnership.

The Corporate Director of Economic Development explained that a workshop had taken place at the last meeting of Carlisle Ambassadors to discuss roles within the partnership and the balance of business networking and promotion of the City.

The Town Clerk and Chief Executive reminded the Panel that the main priority for the partnership was to promote Carlisle regionally and nationally as a good place to live, work and invest in. A by-product of the partnership was the opportunity for businesses to network and form relationships and this included the City Council. Carlisle Ambassadors had enabled Carlisle's story to be communicated in a clear and consistent way at a national level and gave real added value to the City via projects such as Give a Day which would run again in June. He felt that the City Council was right to invest in the partnership to ensure it developed but emphasised that it was not about the promotion of the Council its focus was the promotion of Carlisle widely and effectively.

The City Council employed external support, Ms Masters and Ms Wilson, to arrange the events, produce the newsletters and networking including social media and this had proved to be very effective. Carlisle Ambassador membership came from the region, Scotland and London and all members understood the City Council's role in the partnership.

- Who was the driving force within the partnership?

The Town Clerk and Chief Executive responded that he and the Corporate Director of Economic Development discussed the agendas for the meetings and the direction for the partnership with Ms Masters and Ms Wilson. Ideally the City Council would become another Ambassador and Carlisle Ambassadors would run itself.

The Finance, Governance and Resources Portfolio Holder reminded the Panel that the Revenue Support Grant (RSG) would stop in 2020 and the Council would be reliant on business rates income, the partnership helped build a strong brand which would promote Carlisle and encourage new businesses to invest in the City and increase business rate income.

- Was the £11,500 a surplus made by the partnership?

The Corporate Director clarified that the £11,500 had been received in kind from venues, catering, photography, speakers and training.

- How much did the membership cost?

The Town Clerk and Chief Executive explained that the membership fees were on a sliding scale dependent on the size and type of business. Some businesses did not make a financial contribution but provided support and services. He added that, should the membership continue to increase, then the Council would look to scale back the contribution with the long term goal being that the partnership became self-financing.

- A Member had felt that new members to the partnership did not have a clear understanding of the partnership's priority.

The Corporate Director agreed that new members did have a different perspective but the majority of the members understood the purpose for the partnership. A marketing event was planned for May and would provide all members with the information and tools to promote Carlisle. Ambassadors had already taken promotion material to the Northern Powerhouse Event and to Cannes.

The Leader added that the partnership was there to promote Carlisle and not for the promotion of individual businesses. Ms Masters and Ms Wilson were clear in their presentation that the partnership was there to promote Carlisle. He commented that he was pleased to see the members coming from outside of the area and was excited to see Emirates had become a Carlisle Ambassador. They had new routes from Newcastle airport and saw Carlisle as part of the hinterland for the route. It gave the Carlisle Story the potential to be heard worldwide.

- Was there any evidence that the work of the Carlisle Ambassadors had brought new business into the area?

The Corporate Director responded that a tangible result of the work of the partnership was the recent success at a GP recruitment fair. The GP that promoted the area had used the information from Carlisle Ambassadors to promote Carlisle and as a result attracted newly qualified Doctors to the area.

The Town and Chief Executive added that a good portion of the promotion was based on good faith. The Council received regular enquires from businesses and developers but it was difficult to determine if their interest was due to the promotion of the Carlisle story.

- A Member asked if the Carlisle Ambassadors carried out networking and events that the Cumbria Chamber of Commerce used to and commented that she would like to see more businesses from outside of Carlisle coming in to the area.

The Town Clerk and Chief Executive reminded the Panel that the purpose of the Carlisle Ambassadors was to present Carlisle as a place with a consistent theme.

- Was the Carlisle Ambassadors modelled on other systems?

The Town Clerk and Chief Executive confirmed that the Ambassadors initiative was modelled on initiatives that had been run in other areas, in particular those in Burnley and Coventry.

- Members felt that the Carlisle Ambassadors initiative was excellent and productive and worth the continuing support of the Council.

RESOLVED – That the Panel thanked the Town Clerk and Chief Executive and the Corporate Director of Economic Development for the detailed briefing on the Carlisle Ambassadors initiative (CE.05/17).

ROSP.29/17 SMARTER SERVICES DELIVERY PROJECT

The Customer Services Manager presented an update on the Smarter Service Delivery (SSD) Project (CE.03/17).

The Customer Services Manager reminded the Panel that the project had been set up initially to meet customer expectations in being able to access City Council services 24 hours a day, 7 days a week on line. A new website had been written in plain English with a portal called 'my account'. The portal allowed customers to register and look at various elements of their council tax account, report environmental health problems, access refuse and recycling services, business rate accounts and submit enquiries to green spaces or planning. She added that there were plans to add other services to the 'my account' portal and currently there were over 14,000 signs up for 'my account'.

The second phase of SSD focused on the installation of a Salesforce platform including the replacement of the Customer Relationship Management (CRM) system which required a subscription only and therefore shrank or grew with the required usage. The Salesforce CRM

was fully Cloud based and constantly developed at no additional cost; the expected annual savings compared to the current system were £45,000. The Salesforce CRM integrated with 'my account' functions as well as back office systems. This would allow a customer service advisor to access information available on customer requests for service.

A roadmap of the service migration from Capita CRM to Salesforce CRM had been attached to the report.

In considering the report Members raised the following comments and questions:

- Was the Council developing software in house?

The Service Improvement Manager clarified that the Council would not be developing the system but would be configuring it in house using Salesforce as a platform

- What were the risks with the Salesforce platform?

The Customer Services Manager stated that they were confident in the system and the Council would work closely with Salesforce to develop the system rather than using a development partner.

The Finance, Governance and Resources Portfolio Holder added that the system was in proportion with the needs of the authority and would deliver significant savings and an enhanced service. The authority's IT staff were excellent and would develop the system in conjunction with Salesforce.

The Communities, Health and Wellbeing Portfolio Holder congratulated the Customer Services Manager and the Service Improvement Manager for their excellent work and reminded the Panel that the move to the Salesforce platform would also streamline the process for the work Councillors undertook in their Wards. She added that the Service Improvement Manager would take Councillors through the system if they so wished.

The Panel felt that a demonstration of the Salesforce system would be useful for all Members through an Informal Council briefing.

- Had the proposed saving of £45,000 been achieved?

The Customer Services Manager explained that the savings came from the IT budget and she would provide Members with a written response.

- What impact would the development have on the work of the IT staff?

The Customer Services Manager explained that there was a Project Group now led by the Town Clerk and Chief Executive which involved IT and allowed a clear plan to be developed to ensure resources were not overstretched. In addition, a roadmap had been developed to plan ahead any resources required from colleagues.

- How would the proposals change access for those who did not use IT?

The Customer Services Manager clarified that the system was an additional channel to make customer access easier and streamline the process, this would then free up customer service staff to deal with face to face and telephone customers. The goal was to have the same access available to everyone.

RESOLVED – 1) That the update on the Smarter Services Delivery Project (CE.03/17) be welcomed;

2) That the Customer Services Manager and the Service Improvement Manager be thanked for their excellent work;

3) That the Customer Services Manager would provide a written response regarding the proposed £45,000 savings as detailed above.

4) That a presentation on the Salesforce platform be given to all Members at a future Informal Council briefing.

ROSP.30/17 FLOOD UPDATE REPORT

The Deputy Chief Finance Officer presented report CS.13/17 which provided the Panel with an update on flood recovery activities and future programmed work.

The report outlined the City Council's Asset Recovery Programme which had a final target date for all completion of all assets as June 2017 and the Deputy Chief Finance Officer gave a detailed overview of progress on the Civic Centre and Customer Contact Centre, The Sheepmount and Bitts Park.

The figures for the flood grants and household payments were set out in section 3 of the report and section 4 of the report detailed the ongoing work of the organisations involved in the flood recovery.

The Deputy Chief Finance Officer reported that the insurance settlement figure had been agreed in principle and the final offer statement was due. When the final offer had been received recovery work on the Council sites could progress.

In considering the Flood Update Members raised the following comments and questions:

- What process would be in place to enable Members to take part in the debate for the future use of the ground floor of the Civic Centre, what was the timescale for the work and what were the plans?

The Finance, Governance and Resources Portfolio Holder responded that the authority had been waiting on the settlement figure to draw up potential designs. He assured Members that the proposals would be available for scrutiny.

- When would the Sheepmount be accessible?

The Deputy Chief Finance Officer responded that tenders for the work were being evaluated by the loss adjuster. When that was completed the tender would be awarded to a contractor to start work.

- Did the emerging risks for the asset recovery programme include the possibility of a recurrence of flooding?

The Deputy Chief Finance Officer explained that the insurance company had risk assessed each of the properties and produced a report which detailed where future resilience could be built in and the type of resilience the insurance company expected to see built into the assets. The resilience measures had been built into the tender process where possible without being a cost to the authority.

- Some householders who had taken steps to prevent water entering their property had not been eligible to apply for the Flood Resilience Grant (FRG) even though their property was a flood risk.

The Town Clerk and Chief Executive agreed that this was an issue which he raised whenever possible. Claims for the FRG could only be made if the property had been flooded and did not take into account the prevention measures taken by householders. He felt that properties in high risk areas should be identified and then grants should be made available to those properties. It was important that the Government provided support but individual resilience should be available to those at risk of flooding as well as those who had flooded.

Members commented that residents who lived in flats also had issues with their insurance especially if the property was run by a management committee or agents and asked if there were any mechanisms for feedback.

The Town Clerk and Chief Executive responded that the Environment Agency carried out a lot of work following up with the community, businesses and public services as they understood there were lessons to be learned.

The Leader added that the issues householders had regarding FRGs and Flood RE was an important issue which required a change in legislation, it was up to the Council to keep the pressure on Government.

- There had been issues with support for businesses in flood risk areas and Flood RE had not been available for businesses, had this been resolved?

The Finance, Governance and Resources Portfolio Holder confirmed that a resolution had not yet been reached.

- Was there any discussion regarding the likelihood of a recurrence of flooding?

The Town Clerk and Chief Executive responded that the Environment Agency considered the likelihood or probability of reoccurrence but it was very difficult for anyone outside of those experts to talk of probability or patterns. There needed to be some strategic national thinking with big investments to protect the economy and infrastructure. £56million had been allocated to flood defences in Cumbria and there needed to be proper national strategic plans to protect the area and the growth in the future.

RESOLVED – That the Flood Update report CS.13/17 be welcomed.

ROSP.31/17 CORPORATE RISK REGISTER

The Town Clerk and Chief Executive presented report CS.09/17 which provided an update on the Corporate Risk Register.

The Town Clerk and Chief Executive reported that in September 2016 it had been agreed that the Corporate Risk Management Group would meet twice a year with special meetings being called by the Chair should risks be escalated and require an intervention from the Group or Senior Management Team.

It was recognised that the City Council's Risk Management Policy and Risk Management Strategy both needed to be reviewed and, if appropriate, updated. The review would happen at the next Group meeting in April and an update would be available for the Panel. Since the development of the four Senior Management Team boards the Panel was asked to note that 'Risk Management' sat within the remit of the Business Management Board. The sub group

would be chaired by the Council's Section 151 Officer and would consider risks at an operational/directorate level. Issues raised could be escalated to the Group when deemed appropriate,

The Corporate Risk Register was reviewed by the Group in September 2016 and the report set out an update against each of the corporate risks and control strategies.

A Member asked what concerns the Council had with regard to the future of local government funding from 2019. The Town Clerk and Chief Executive reminded the Panel that the RSG would end in 2019 and the Government had originally planned for business rates to fill the gap. Details of the exact scheme had not been released and there had been changes to the proposals. The Council was lobbying through the District Councils Network to protect the authority where possible. It would be a challenging time but the Council was good at dealing with issues as they arose.

RESOLVED – That the Corporate Risk Register update (Cs.09/17) be noted.

ROSP.32/17 PROCUREMENT AND COMMISSIONING STRATEGY 2017/19

The Deputy Chief Finance Officer presented the updated Procurement and Commissioning Strategy covering the period 2017-2019 (RD.01/17).

The Deputy Chief Finance Officer reported that the Procurement and Commissioning Strategy set out the principles by which the Council would operate its Procurement and Commissioning activities. The Strategy included relevant governmental and legislative requirements with regard to Procurement, including requirements of European Procurement Legislation.

The Procurement and Commissioning Strategy was last updated in 2014 and in that time there had been some legislative and operational changes to the way Procurement activity was carried out within the Council. The Strategy had been updated to reflect the current position and activity to be undertaken in the following two years and detailed how the Council would operate its procurement function over the period 2017-19 and conform to the new legislation.

The Panel was asked to scrutinise the draft Procurement and Commissioning Strategy and make recommendations to the Executive.

In considering the draft Procurement and Commissioning Strategy Members raised the following comments and questions:

- Would the Strategy be considered and monitored by the Audit Committee?

The Deputy Chief Finance Officer explained that the amendment to Policy fell under the remit of the Resources Panel and Audit Committee would consider the Strategy as part of any procurement audit.

- Members raised issues with the Business Travel Management arrangements and the £80,000 allocated to the contract. They felt that the contract did not give the authority the best value for money and highlighted issues regarding the cost of rail tickets through the contract which were more expensive than a direct purchase.

The Deputy Chief Finance Officer confirmed that issues had been raised and there would be a review of the service prior to the contract renewal date.

RESOLVED – 1) That the draft Procurement and Commissioning Strategy 2017-2019 (RD.01/17) be noted.

2) That the Executive consider the issues raised by the Panel regarding rail travel through the Business Travel Management contract.

(The meeting ended at 11.58am)

Resources Overview and Scrutiny Panel

Agenda
Item:

A.2

Meeting Date: 13 June 2017
Portfolio: Cross Cutting
Key Decision: No
Within Policy and
Budget Framework
Public / Private Public

Title: OVERVIEW REPORT AND WORK PROGRAMME
Report of: Overview and Scrutiny Officer
Report Number: OS 13/17

Summary:

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

Recommendations:

Members are asked to:

- Note the items (within Panel remit) on the most recent Notice of Key Executive Decisions
- Note and/or amend the Panel's work programme

Contact Officer: Dave Taylor

Ext: 0781 785 8167

Appendices attached
to report:

1. Resources O&S Panel Work Programme 2017/18

1. Notice of Key Executive Decisions

The most recent Notice of Key Executive Decisions was published on 5th May 2017. This was circulated to all Members. The following items fall within the remit of this Panel:

Items which have been included in the Panel's Work Programme:

KD.06/17 Provisional Outturn Reports

KD.07/17 The Medium Term Financial Plan (including the Corporate Charging Policy) & the Capital Strategy 2018/19 to 2022/23

KD.08/17 The Asset Management Plan 2017 to 2022

KD.10/17 Street Trading Policy

KD.14/17 Kingstown Industrial Estate – Management Arrangements

Items which have not been included in the Panel's Work Programme:

2. References from the Executive

There are no references from the Executive 8th May 2017.

3. Work Programme

The Panel's current work programme is attached at **Appendix 1**. At present, this comprises mostly items for this meeting and the next one on 3rd August.

It is proposed that Directors and Portfolio Holders be invited to the next meeting of the Panel, on 3rd August to aid the Panel in defining their work programme for the year. Some possible areas of focus in the work programme will be included in the Overview Report for that meeting. As ever, it is important to stress that Scrutiny is a Member-led function and that the work programme items are chosen by Members themselves.

4. Meeting Clashes with County Council

Three Members of this Panel are Members of both the City and County Councils. The planned times of this Panel's meetings have clash with two County Council meetings – the Local Committee (14th September 2017) and a full County Council meeting (15th February 2018). In previous years, the Panel has chosen to move the starting time of its meetings on such days from 10am to 2pm to avoid a direct clash.

The Panel is asked to consider whether it wishes to move the start time of the Resources O&S Panel on 14th September 2017 and 15th February 2018 from 10am to 2pm.

5. Training

As Members will be aware from the Scrutiny Annual Report, there is to be a renewed focus on effective member-led and policy focussed scrutiny this civic year. To assist with this, two training sessions are to be provided by Tim Young from the LGiU – Tim provided some very well-received scrutiny training here

earlier this year and will return to provide these two sessions on **Tuesday 27th June 2017**. Members should contact Linda Mattinson to book themselves on either (or both) of these sessions.

BEING AN EFFECTIVE OVERVIEW AND SCRUTINY CHAIR

This workshop is aimed at being a refresher course for existing Chairs and Vice Chairs of Overview & Scrutiny Panels but will also be open to other Overview & Scrutiny Members who are interested in these skills.

The course will cover the practical aspects of chairing a panel along with key skills, approaches and tactics to help ensure that your panel is effective and engaged

Time: 27/06/17: 2.00pm to 5.00pm Venue: Committee Room B/C

Trainer: Tim Young, LGiU Associate

BEING AN EFFECTIVE 'CRITICAL FRIEND' – IMPROVING YOUR QUESTIONING SKILLS

As we know, scrutiny is all about robust and confident questioning – this session will help scrutiny Members enhance their questioning skills.

It will cover preparing for questioning, different strategies for questioning and a real world exercise to help develop your skills.

Time: 27/06/17: 5.30pm to 8.30pm Venue: Committee Room B/C

Trainer: Tim Young, LGiU Associate

NB. A buffet will be provided at 5.00 pm for all those attending either session.

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

Appendix 1 – Resources Overview and Scrutiny Panel Work Programme

Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
Current Meeting – 13 June 2017															
Sickness Absence Gary Oliver	✓						To consider reports relating to sickness absence levels.	✓		✓		✓		✓	
Performance Monitoring Gary Oliver	✓					✓	Quarterly monitoring of performance within remit of Panel	✓		✓		✓		✓	
Corporate Programme Board Tracey Crilley						✓	Bi-annual monitoring of significant projects	✓				✓			
Street Trading Policy Scott Burns			✓				New policy being developed	✓							
2016/17 Provisional Outturn Reports Alison Taylor					✓		Outturn reports and requests to Council	✓							
Task & Finish Groups															

Appendix 1 – Resources Overview and Scrutiny Panel Work Programme

Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
Future Items															
Kingstown Industrial Estate Mark Lambert						✓	Consider business plan		✓						
Budget Monitoring 17–18 Alison Taylor					✓	✓	Monitoring of budget – both revenue and capital				✓	✓		✓	
Medium Term Financial Plan and the Capital Strategy 2018/19 to 2022/23 Alison Taylor		✓			✓		Policy Documents Consultation		✓						
Asset Management Plan Mark Walshe		✓					2017 to 2022 Plan		✓						

Appendix 1 – Resources Overview and Scrutiny Panel Work Programme

Issue Contact Officer	Type of Scrutiny						Comments/Current Status	Meeting Dates							
	Performance Management	Notice of Key Decision /Referred from Executive	Policy Review or Development	Scrutiny of Partnership/ External Agency	Budget	Monitoring		13 Jun 17	03 Aug 17	14 Sep 17	26 Oct 17	05 Dec 17	04 Jan 18	15 Feb 18	22 Mar 18
Corporate Risk Register Tracey Crilley						✓	Bi-annual monitoring				✓				
Budget setting 2017/18-2021/22 Alison Taylor					✓		Draft budget consultation						✓		
Flood Update Report Darren Crossley		✓	✓			✓	Areas within remit of Panel		TBC						
Scrutiny Annual Report Dave Taylor							Draft report for comment before Chairs Group approval								✓
COMPLETED ITEMS															
FOR INFORMATION ONLY ITEMS															
Details								Date Circulated							

Report to Resources Overview and Scrutiny Panel

Agenda
Item:

A.3

Meeting Date: 13th June 2017
Portfolio: Finance Governance and Resources
Key Decision: Yes: KD. 10/17
Within Policy and Budget Framework: No
Public / Private: Public

Title: STREET TRADING POLICY
Report of: Corporate Director of Governance and Regulatory Services

Report Number: GD.35/17

Purpose / Summary

This report introduces proposals for a new Street Trading Policy, and a revised Street Trading Order, for controlling street trading in the District. The purpose of the report is to allow the Resources Overview and Scrutiny Panel to consider the draft policy and give the Executive feedback on the Policy and the revised Street Trading Order.

Recommendations:

The Resources Overview and Scrutiny Panel are asked to:

- (i) Consider the report and the proposed Street Trading Policy and revised Order and provide feedback to the Executive.

Tracking

Executive:	8th May 2017 & 3rd July 2017
Overview and Scrutiny:	ROSP 13th June 2017 and Regulatory Panel 24 May 2017
Council:	N/A

Contact Officer: Scott Burns

Ext: 7328

**Appendices
attached to report:**

- 1. Street Trading Policy - Report to Executive 8th May 2017**
- 2. Draft Street Trading Policy April 2017 and Revised Street Trading Order**

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:

Report to Executive

Agenda
Item:

A.1

Meeting Date: 8 May 2017
 Portfolio: Finance Governance and Resources
 Key Decision: Yes: KD.10/17
 Within Policy and Budget Framework NO
 Public / Private Public

Title: STREET TRADING POLICY
 Report of: The Corporate Director of Governance and Regulatory Services

Report Number: GD 20/17

Purpose / Summary:

This report presents the proposed Street Trading Policy 2017 and revised Street Trading Order for consideration prior to consultation.

Recommendations:

It is recommended that Executive:

1. Consider the proposed Street Trading Policy 2017 in Appendix.1 and the revised Street Trading Order in Appendix.2.
2. Request that the Corporate Director of Governance and Regulatory Services undertake a full consultation on the proposed Street Trading Policy and revised Street Trading Order.

Tracking

Executive:	08:05:2017 and 03:07:2017
Overview and Scrutiny:	08:06:2017
Regulatory Panel	24:05:2017
Council:	NA

1. BACKGROUND

- 1.1 The Local Government (Miscellaneous Provisions) Act 1982 (the Act) allows the City Council to adopt powers in respect of restricting street trading in its area. The former Environmental Health Committee adopted the street trading powers under the Act on the 17th October 1984. The first street trading order prohibited trading in most of the streets and Wards of the urban area within the City, two further Orders were approved in 1994 and 1998 prohibiting trading in Brampton's Market Place and Kingstown Industrial Estate respectively. The remaining streets which were not specifically designated prohibited streets by the three orders were consent streets, meaning that consent had to be given by the City Council for street trading. An application, fee and permit process is operated by the City Council through the Licensing Team.

2. STREET TRADING POLICY AND ORDER 2017

- 2.1 The original decision to adopt the street trading powers was due to complaints about litter, noise and smells from mobile vendors in the City Centre, around schools, Brampton Town Centre, and the Industrial Estate. There were also concerns raised about traffic obstructions and from businesses operating out of fixed premises regarding the unfairness of competition as mobile vendors did not pay business rates.
- 2.2 Concerns have recently been raised that the existing street trading orders are too restrictive and do not offer the flexibility to encourage business opportunities. It has been proposed that some street trading could be beneficial in the prohibitive areas and that adequate controls can still be maintained.
- 2.3 Appendix.1. proposes a Street Trading Policy for the District with a revised Order proposed in Appendix.2. The Order designates all streets in the District as Consent Streets, meaning that street trading is prohibited without a valid Consent Permit issued by the Licensing Team of the City Council. Section 4 of the Policy details the criteria to be used in assessing street trading consent applications. The Policy, in its appendix.B, details consent areas within the previously prohibited City Centre and Industrial Estates where street trading is deemed acceptable.
- 2.4 The Street Trading Policy requires proof that permission has been given from the landowner, including Highways, before an application will be considered. The Policy also gives examples of typical conditions that maybe attached to a Consent Permit. No street trading will be permitted 50 metres from any school.

3. PROPOSALS

- 3.1 To consider the proposed Street Trading Policy 2017 in Appendix.1 and the revised Street Trading Order in Appendix.2.
- 3.2 Request that the Director of Governance and Regulatory Services undertake a full consultation on the proposed Street Trading Policy and revised Street Trading Order.

4. CONSULTATION

- 4.1 In preparing the Street Trading Policy and the revised Order the Licensing Team has consulted Legal Services; Green Spaces; City Centre Management Operational Property Services. Brampton Parish Council has also been consulted.
- 4.2 Schedule 4 of the Act details the formal consultation process that must be followed before the Council can pass its resolution to designate streets as consent streets. The resolution is required to be published in a local newspaper and a copy served on the chief officer of police for the area and the highway authority for the designated streets. A further notification process is detailed once representations have been considered.

5. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 5.1. The revised Street Trading Order brings three former Orders, approved at three different times, together into one simpler Order. The revised Order allows flexibility to consider Street Trading as all areas would now be covered by the Consent Street resolution; however, controls would remain in both the discretion to issue consents and through the conditions which may be attached to any permit. The Street Trading Policy provides guidance on where street trading maybe acceptable and on the process of application.
- 5.2 The recommendations seek permission to consult on the revised Order and the guidance given in the Policy with a view to bring back a final Order and Policy to the Executive, on the 3rd July 2017, once all the representations have been considered.

6. CONTRIBUTION TO CORPORATE AIMS

- 6.1 Support business growth and skills development to improve opportunities and economic prospects for the people of Carlisle.

Contact Officer: Scott Burns, Regulatory Services Manager **Ext: 7328**

Appendices attached to report:

Appendix 1- Draft Street Trading Policy April 2017

Appendix 2 - Street Trading Order

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**

CORPORATE IMPLICATIONS/RISKS:

Governance - The previous street trading Orders are of an age and, in the intervening period, the format of the City has changed considerably. It is good practice to review the existing Orders and the introduction of a policy makes it clear to all involved when consents will be granted.

Chief Executive's -

Deputy Chief Executive –

Economic Development –

Resources – The income target for Street Trading Licenses has been increased from £3,300 in 2016/17 to £6,700 from 2017/18 onwards as part of the 2017/18 Charges Review as approved by Executive.



Draft Street Trading Policy

April 2017



Images courtesy of Stuart Walker Photography and www.sjstudios.co.uk

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1.0 Introduction and purpose

- 1.1 Carlisle City Council (“the Council”) has adopted the provisions of Schedule 4, of the Local Government (Miscellaneous Provisions) Act 1982, (“The Act”) for Street Trading which allows for the regulation of street trading within the district.
- 1.2 In formulating this Street Trading Policy the Council has had regard to the Regulators Compliance Code and in particular how it might support or enable economic growth for compliant businesses whilst protecting existing businesses, local amenity, the vulnerable and the environment.
- 1.3 This Policy will be applied to the whole of the district of Carlisle and every street within has been designated as a consent street to assist in consistency of decision making and enforcement. It follows therefore that street trading, within the consented areas may be regarded as an acceptable activity by the Council provided it is located where it makes a positive contribution, complements existing premises based trading, adds interest, diversity and consumer choice to the area; and does not adversely affect safety or local amenity.
- 1.4 The Council has detailed consent areas within the district (Appendix B) where street trading is deemed acceptable subject to the appropriate permissions.**
- 1.5 Before you can trade in any street you will need to obtain a Consent Permit from the Council’s licensing team. It is a criminal offence (punishable by a fine of up to a £1,000) not to do so.

2.0 Definitions

Within the terms of the Council’s Street Trading Consent Scheme, the following definitions shall mean:

Authorised Officer: An officer of the Council, authorised by it to act in accordance with the provisions of the Act.

Consent: Permit granted by the Council’s licensing team authorising the consent holder to trade on a designated street, in accordance with any conditions attached to the same.

Consent Holder: The legal person(s) or company who has been granted a valid consent by the Council.

Consent Street: Means a street in which street trading is prohibited without a trader being in possession of a valid Consent Permit issued by the Council’s licensing team.

Mobile Street to Street Traders: Means mobile traders such as, and including, ice-cream vans and mobile street to street vehicles; which move from street to street to trade for immediate custom, but do not stop for any substantial time. These types of businesses must have a mobile street trading consent to allow them to work within specific areas of Carlisle, unless deemed to be roundsmen.

Mobile Structures: Trading structures, which are potentially readily moveable from site to site.

News vendor: Seller of newspapers and magazines e.g. The Big Issue.

Pedlar: A pedestrian who goes to their customers rather than allowing them to come to the trader; trades as they travel rather than travels to trade. For the avoidance of doubt if a stall or barrow is set up and waits for people to approach rather than approaching them, then they require a street trading consent and are not a pedlar.

Roundsman: Someone who follows the round of their customers, taking orders and delivering earlier orders e.g. a milkman.

Static Mobile Structures: Trading structures which are not built as a permanent fixed building, but is a structure located in a fixed position, but is potentially still moveable.

Street: The term 'Street' includes any road, footway, or other area (or part of) to which the public have access without payment (includes car parks, lay-bys, private roads, industrial trading estates; private land - this includes potential access, that is the right to access, rather than just actual use); and any service area as defined in section 329 of the Highways Act 1980.

Street Trader: Means a trader who requires a Consent Permit to trade or who has such consent.

Street Trading: The selling, exposing or offering for sale of any article in any street. Only those items specifically permitted by the street trading consent can be sold by the consent holder. For clarity, this means no living thing shall be sold on any street; nor the sale of any second hand electrical goods, counterfeit goods, DVDs or similar merchandise.

The Council: Carlisle City Council.

3.0 Legal and Exemptions

3.1 Exemptions

The following street trading activities are exempt from the requirement to obtain a prior consent from the Council:

- Trading by a person acting as a pedlar under the authority of a pedlar's certificate granted under the Pedlars Act 1871.
- Anything done in a market or fair the right to hold which was acquired by virtue of a grant (including presumed grant) or acquired or established by an enactment or order.
- Trading in a trunk road picnic area provided by the Secretary of State under section 112 of the Highways Act 1980.
- Trading as a news vendor (providing certain operating conditions are met).
- Is carried on at premises used as a petrol filling station; or
- Is carried on at premises used as a shop or in a street adjoining premises so used and as part of the business or shop.
- Selling things, or offering or exposing them for sale, as a Roundsman.

Please note that it has been established in law that street trading controls apply to mobile ice cream sales as they are not roundsmen and therefore need consent to operate in Carlisle.

3.2 Charitable Street Trading Permits

The Council issues permits for charitable street collections. Persons may be permitted in any street or public place to collect money or sell articles for the benefit of charitable or other purposes. Collections cannot be held in any street or public place unless a permit has been obtained.

An application form and further guidance for such a permit can be obtained from the Council's Licensing team.

It is not intended that this Policy should apply to those who are simply promoting services or events within the area. Each application will be considered on its own merits so that individual circumstances may be taken into account and exceptions may be made to this policy where appropriate.

3.3 Occasional Consents

Trading at one off events to which the public have access, without payment, such as outdoor school fetes, community fundraising events, carnivals, or other non-profit making events; where such events would be run for the benefit of the community and as such any financial gain is re-invested in the community will be deemed not to require consent.

However, any commercial trader attending such an event will be required to hold an occasional street trading consent and give a minimum of 14 days' notice of the application.

4.0 Process

The Licensing Manager [acting under the authority of delegated powers], will use the criteria listed below to assist in determining any street trading consent applications.

Any representations made about the proposed street trading activity will be considered in terms of relevancy and appropriateness to the application that has been made. Please allow a minimum of 14 days for the consultation process.

Each case will be assessed on its own merits.

4.1 Street trading consents **will not normally be granted** where there is one or more of the following:

- Public Safety: Where the location of the proposed activity presents an unacceptable risk to the public for instance in terms of road safety, obstruction, fire hazard etc. The term "public" includes the trader, any staff or visitors together with customers and anyone else using the street.
- Where any proposed trading is within 50 metres of a school entrance.
- Avoidance of Nuisance: Trading must not present an unacceptable risk of nuisance from noise, rubbish, potential for the harbourage of vermin, smells or fumes to households and businesses in the vicinity of the proposed street trading site. Observations from council officers, other enforcement officers and the police shall be taken into consideration.
- Prevention of Crime and Disorder: The street trading activity should not present a risk to good public order in the locality in which it is situated. This may for example be an issue in respect of applicants wishing to trade at later hours. Observations and comments from Police will be taken into consideration.

- Suitability of the trading unit: Both internally and externally the unit should be of a good quality design, safe construction and not adversely affect the amenity of the locality. The Council expects a high standard of presentation and appearance from its street traders. Tables or stalls used for street trading shall not normally be more than four metres in length and one metre in width. No items shall be placed on the floor or within half a metre of it. Bread trays/baskets or similar containers must not be used to provide storage, shelving, support or display for goods; and items placed next to the stall or table must be immediately adjacent to it.
- Needs of the Area: The adequacy of other trading outlets will be taken into consideration in relation to:
 - The presence of like outlets already existing in the immediate locality (50 metres) of the proposed street trading site.
 - The general needs of a locality, should no comparable outlets exist.
 - Where there is uncertainty as to whether there is a genuine need for the trader's business then the applicant may have to demonstrate to the Council the need for the proposed trading activity. Potential applicants should note that the licensing team are unlikely to approve street trading within the car parks, green spaces, industrial estates or the City Centre except those areas highlighted in appendix B.

4.2 Consent holders may be asked to move their trading position from time to time, if it is considered necessary to do so by the Council.

4.3 Compliance with legal requirements: The proposed street trading activity should be carried out from a trading unit that complies with all the relevant legislation.

The vehicle, van, trailer, stall, unit or other device to be used for the proposed street trading activity may require inspection by an authorised officer of the Council before the issue of any street trading consent. This will particularly be the case where food and health & safety officers need to inspect trailers from which it is proposed to sell food items.

Traders will need to ensure compliance with legislation and any Orders or Regulations including any subsequent revisions, for example:

- Food Safety Act 1990;
- Food Safety & Hygiene (England) Regulations 2013;

- Health and Safety at Work etc. Act 1974;
- Environmental Protection Act 1990;
- Licensing Act 2003; (only if providing hot food or drink between 11pm and 5am)
- Town and Country Planning Acts;
- Road Traffic Acts;
- Trading Standards legislation;
- Traffic Restriction Orders: any conflict with traffic orders such as waiting restrictions or prohibition.

Note: Prior to applying, the applicant must consult with Highways (Cumbria County Council) and Highways England as to whether any restrictions exist that might impact on their trading activity.

- Planning Permissions and Consents: Whether this is in place.

Note: where a time limited planning permission is in place, the street trading consent is deemed to be revoked as soon as the planning permission lapses.

- Suitability of the applicant: Previous failures, without reasonable explanation to comply with relevant legislation, failure or neglect in paying consent to trade fees may result in a consent being refused, revoked or not renewed.

The applicant will be required to provide proof that permission has been given by the landowner/manager for trading on their land which includes highways. Applicants should note that any fee for a concession by the landowner is separate from the fee which must accompany an application for a Street Trading Consent.

- Market days: Street markets will take priority over consent holders.

5.0 Conditions, management and enforcement

The Licensing Manager will keep a register of all the consents issued.

The Council's Regulatory Panel will consider revocations, refusal and appeals. Examples of typical Street Trading Conditions are specified in Appendix C.

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6.0 Appendices

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6.1 Appendix A: Order

STREET TRADING ORDER

CARLISLE CITY COUNCIL

LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1982

SCHEDULE 4 RESOLUTION

The Council of the City of Carlisle hereby makes the following Order:

1. That **all streets** within the District of Carlisle City Council be designated under the above provisions. The Wards to which this order applies are specified in Schedule.
2. That the streets within the District of Carlisle be designated as “**consent streets**” meaning streets in which street trading is prohibited without the consent of the City Council.

The following are **NOT** Street trading for the purpose of the Act:

- a) trading by a person acting as a pedlar under the authority of a pedlar's certificate granted under the Pedlars Act 1871;
- b) anything done in a market or fair the right to hold which was acquired by virtue of a grant (including presumed grant) or acquired or established by virtue of an enactment or order;
- c) trading in a trunk road picnic area provided by the Secretary of State under Section 112 of the Highways Act 1980;
- d) trading as a news vendor;
- e) trading which:
 - i) is carried on at premises used as a petrol filling station, or;
 - ii) is carried on at premises used as a shop or in a street adjoining premises so used and as part of the business of the shop;
- f) selling things, or offering or exposing them for sale, as a roundsman;
- g) the use for trading under Part VIIA of the Highways Act 1980 of an object or structure placed on, in or over a highway;
- h) the operation of facilities for recreation or refreshment under Part VIIA of the Highways Act 1980;

i) the doing of anything authorised by regulations made under Section 5 of the Police, Factories, etc (Miscellaneous Provisions) Act 1916.

DATED THIS *(Day)* DAY OF *(Date)* 2017

Signed

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SCHEDULE

THE WARDS TO WHICH THIS ORDER APPLIES

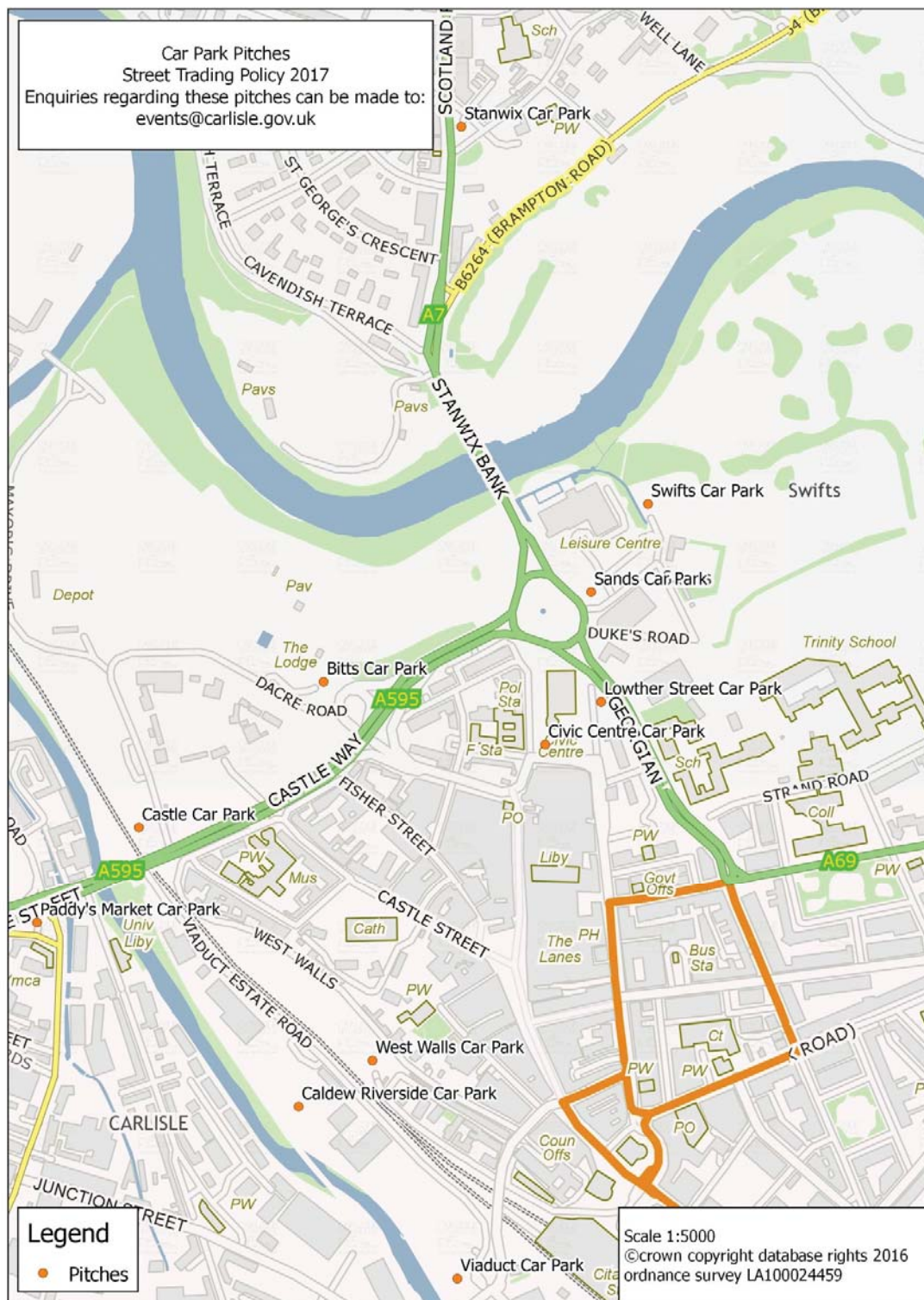
The following Carlisle City Council wards:

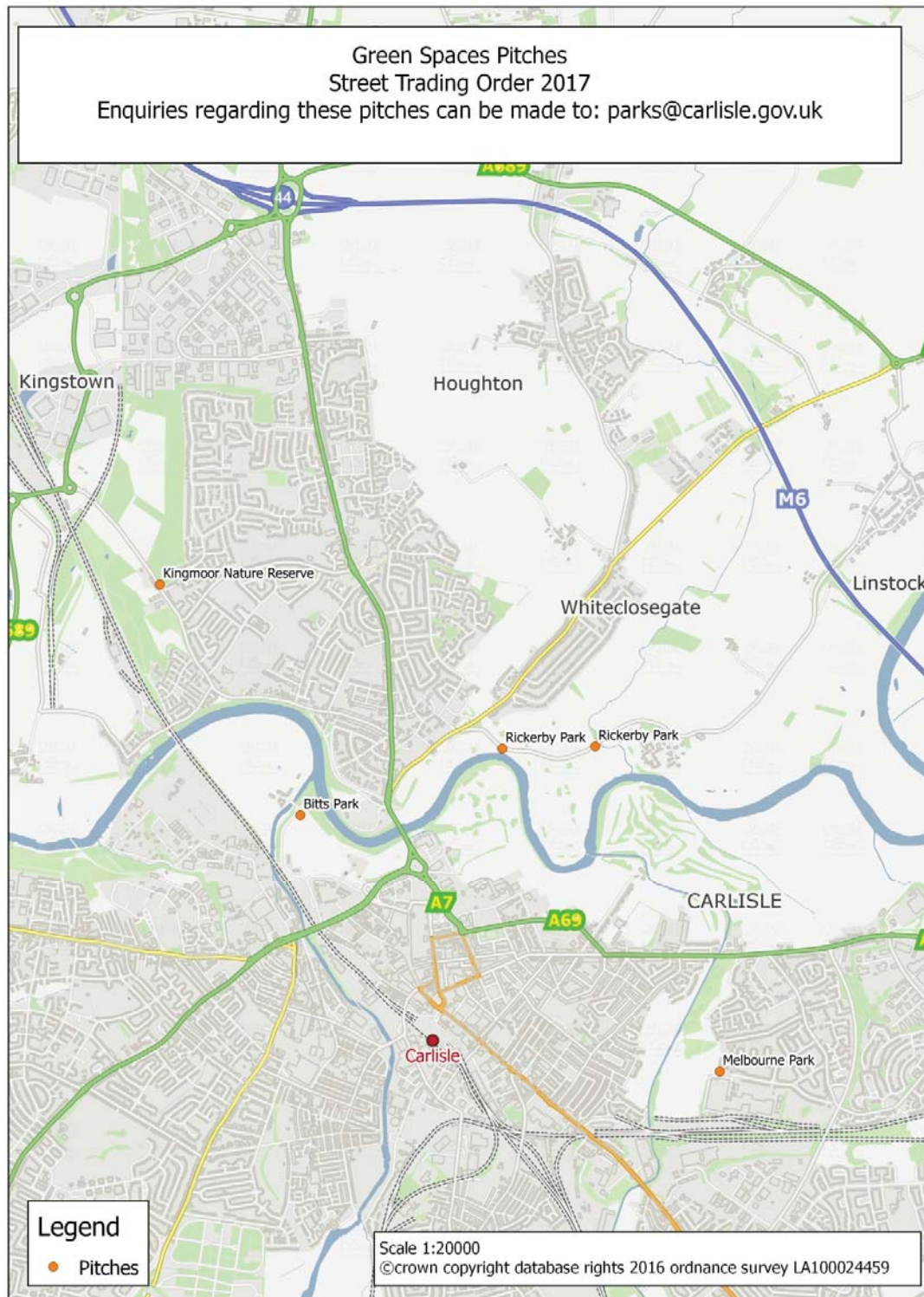
- Belah
- Belle Vue
- Botcherby
- Brampton
- Burgh
- Castle
- Currock
- Dalston
- Denton Holme
- Great Corby and Geltsdale
- Harraby
- Hayton
- Irthing
- Longtown and Rockcliffe
- Lyne
- Morton
- St Aidan's
- Stanwix Rural
- Stanwix Urban
- Upperby
- Wetheral
- Yewdale.

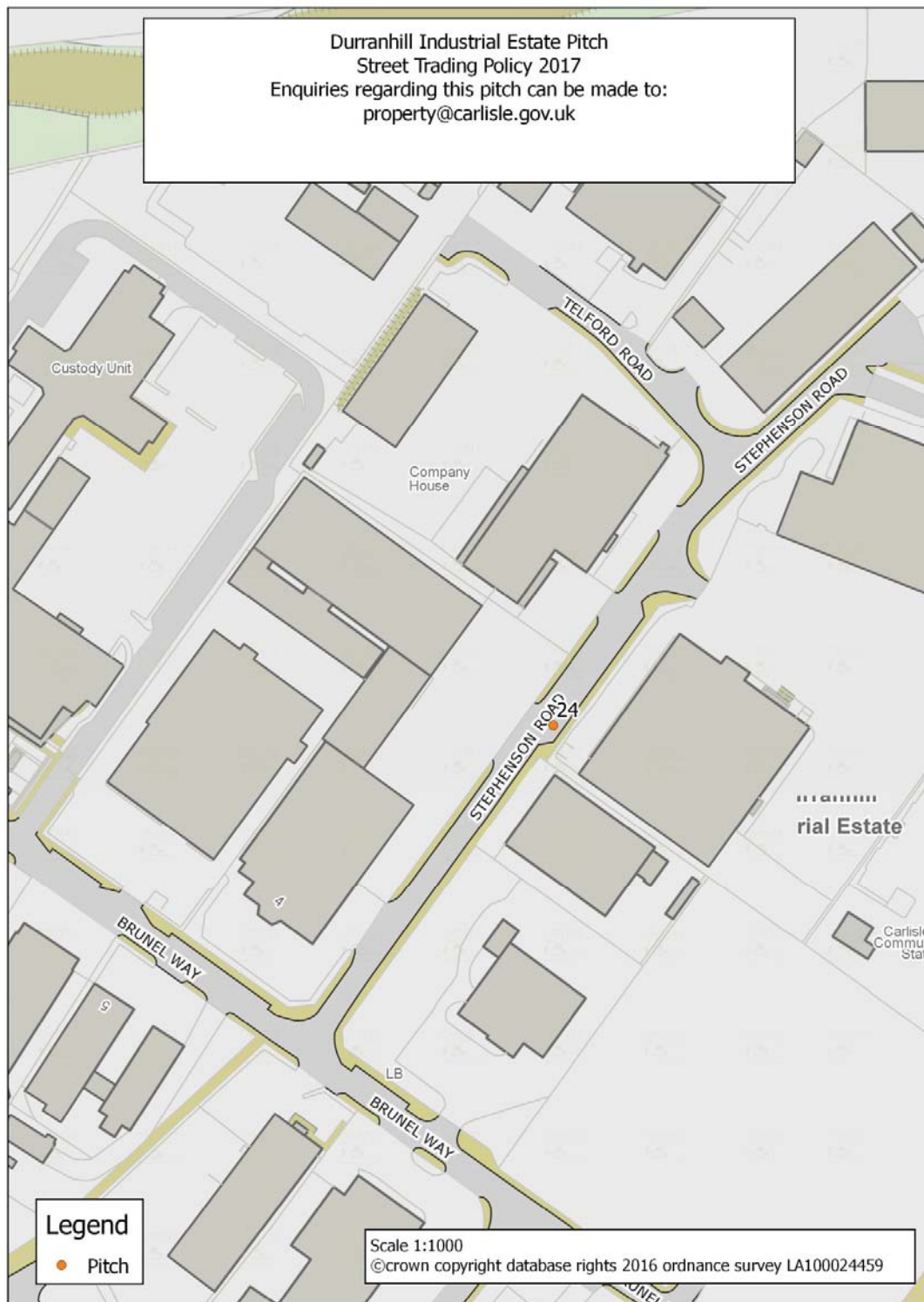
This Order shall come into operation on the *(day)* day of *(date)*

6.2 Appendix B: Maps of potential pitches for consent









6.3 Appendix C: Street Trading Consent: Example of Conditions

CITY OF CARLISLE

LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1982

TERMS AND CONDITIONS ATTACHED TO A CERTIFICATE OF STREET TRADING CONSENT

1. This Street Trading Consent is issued to cover a stationary van/portable stall/barrow or other vehicle.
2. Street Trading Consent Certificates are granted for a maximum of 12 months only but may be revoked at any time. The Council also reserves the right to vary these conditions at any time by serving notice in writing.
3. Trading is only permitted in streets designated as "Consent Streets". Permission shall be sought from the land owner before trading.
4. Trading is not permitted which gives rise to an obstruction on the street or danger to persons using it, or causes nuisance or annoyance (whether to persons using the street or otherwise).
5. All vehicles covered by this certificate are to be mechanically sound and hold a current MOT Certificate and Motor Insurance Policy. The trader should also be covered by a Public Liability Insurance.
6. All vehicles and storage premises must be inspected and approved by the Council's Food and Public Protection Team under the relevant statutory provisions and all personnel should comply with the relevant code of practice regarding personal hygiene.
7. The vehicle and storage premises must be maintained at all times in the same conditions as when inspected and passed. Failure to comply with this directive will result in the Street Trading Consent Certificate being instantly revoked.
8. No musical chimes or horn may be used to advertise wares after 1900 hours or before noon and at any other time only in accordance with the relevant code of practice.

9. No street trading is allowed 50 metres of any school or place of education between the hours of 0730 and 1700 Monday to Friday except on the days designated by the Director of Education as school holidays.
10. The Council must be advised, in writing, within seven days of any conviction for motoring or other offences. Failure to comply may result in the certificate being revoked.
11. Street trading is only permitted during hours allowed by law for the sale of the intended wares. The vehicle will cease to trade once the hour has been reached that it becomes illegal to sell any of the intended wares.
12. Vehicles and storage premises are to be made available for inspection on the request of an officer of the City Council or an officer of the law in the execution of their duties.
13. Trade waste shall be stored and disposed of responsibly and in compliance with trade waste legislation. Failure to correctly dispose of trade waste may result with any costs incurred by the Council being recharged to the trader.
14. Any applicant found to have given false information, or does so after a Certificate of Street Trading Consent has been granted, may have his certificate suspended or revoked.
15. The Certificate of Street Trading Consent plate, issued by the Council, must be clearly displayed on the rear or near side of the vehicle.
16. The trader may at any time surrender this consent to the Council and it shall then cease to be valid.
17. The trader may employ any other person to assist them in their trading without a further consent being required.
18. Any person, who in connection with an application for a Street Trading Consent, makes a false statement which he knows to be false in any material respect, or which he does not believe to be true, shall be guilty of an offence.
19. Where this consent is granted for a trailer, the towing vehicle shall remain with the trailer at all times when positioned on the highway.

6.4 Appendix D: Application form and guidance



Application for street trading

How will we use your information?

We will use the information you supply to provide an appropriate, timely and effective service. We may share the personal information between our services and partner organisations, such as the police and other government bodies. We will do so when it is of benefit to individuals or for the purpose of preventing and detecting fraud. Read our privacy notice at www.carlisle.gov.uk

Application details:

Type of application	<input type="checkbox"/> New	<input type="checkbox"/> Renewal
---------------------	------------------------------	----------------------------------

Applicant's full name	
Applicant's permanent address	
Phone number	
Email address	

Trading details:

Site address for trading	For renewals, this must be the existing site address:
--------------------------	---

During which hours do you intend to trade on each day?	Monday	Tuesday
	Wednesday	Thursday
	Friday	
	Saturday	Sunday

Articles to be sold	
----------------------------	--

Vehicle details:

Make and model			
Registration number			
Will vehicle be moved between trading periods?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

Enclosed with this application

The following **must** be enclosed with this application – please confirm each item is enclosed:

Photograph of the applicant	<input type="checkbox"/>
Photograph of the vehicle	<input type="checkbox"/>
Site location plan, for Category A traders only	<input type="checkbox"/> - see guidance notes
Consent from the land owner	<input type="checkbox"/>
Copy of the vehicle's current MOT certificate	<input type="checkbox"/>
Copies of electrical and gas safety records, as applicable	<input type="checkbox"/>
Public Liability Insurance	<input type="checkbox"/>
Correct fee	<input type="checkbox"/> - see guidance notes

Guidance notes can be found at www.carlisle.gov.uk

Incomplete applications will be returned and not processed.

Street trading consents are not transferable and they cannot be sold or sublet. The hours of trading, location of trading and products sold cannot be changed during the course of the consent. Consent is only valid for the applicant and the vehicle specified on the application.

The applicant for consent must also be the food business operator.

Declaration

I agree to comply with the “Conditions for Street Trading Consents” included within the “Street Trading Policy” published at www.carlisle.gov.uk

I have enclosed all required photographs and documents, as indicated above.

I agree that if I change vehicle during the course of this consent, I will notify Carlisle City Council’s licensing team and apply to transfer the consent to my new vehicle.

I understand that if I do not comply with the terms and conditions of any consent issued, the consent may be revoked or not renewed.

I understand that if any of the above factors change, my street trading consent will be revoked immediately and I may be prosecuted for trading without a valid consent.

Applicant’s signature	
Print name	
Date	

Form to be returned to:

licensing team, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG

Carlisle City Council - street trading consent

Application guide for mobile street traders

Street trading is selling, exposing or offering for sale any article or living thing in a street.

Mobile street traders must apply for and be granted street trading consent by us before they trade in Carlisle. Traders without consent will be liable to prosecution.

We cannot grant a pitch or a particular trading space. It is the street trader's responsibility to get permission or consent from the landowner before applying for street trading consent from us.

Guidelines

The guidelines below set out our standards for deciding and enforcing street trading in Carlisle.

They are not a full statement of the law on street trading consent.

You should refer to legislation or seek legal advice for further information.

In relation to trading, the law defines:

- **street trading** as "the selling or exposing or offering for sale of any article (including a living thing) in a street"
- **a street** as "any road, footway, beach or other area to which the public have access without payment" and "an area of land adjoining, or in the vicinity of, a special road, being an area in which there are, or are to be, provided service stations or other buildings or facilities to be used in connection with the use of the special road"
- **consent** as giving the holder permission to trade at a specified location, providing the vehicle is legally parked.

Categories

Category	Description
A	Static vehicle operating 1 to 7 days a week, between 7am and 5pm
B	Mobile vehicle remaining on any one site for less than one hour in any 24 hour period
	Replacement vehicle plate during consent period

Go to www.carlisle.gov.uk to check the current fee for each consent category.

For Category A consents, your application must include a site plan - scale 1/500 - showing where the vehicle is situated in relation to other premises.

Payment

Payment must be in full at the time of application. You can pay by:

- credit or debit card - call 01228 817200; or

Advertising your application

Applications for new street trading consents must be advertised as part of the application process. We will display a notice at the location giving details of your application.

Who we consult

We will invite the following to comment on your application:

- Cumbria Police
- Cumbria Fire and Rescue Service
- Highways England
- Ward councillors
- Cumbria County Council's highways team
- Environmental Health
- Any other potentially affected party.

Planning permission

You may need planning permission if you wish to trade from a particular plot of land. It is your responsibility to check with our planning department before applying for a street trading consent.

Parking restrictions

Traffic orders such as waiting restrictions must be complied with at all times. We may give consent for a vehicle to trade from a specific site but this does not give staff or customers permission to park or use the road in breach of any waiting or traffic restrictions.

If you have chosen a site close to double yellow lines or a parking permit zone, you, your staff and your customers must park your vehicles legally elsewhere and walk to the trading vehicle.

If new traffic restrictions are applied to your trading site during the period of your Street Trading Consent, you will be given prior notice wherever possible.

Traffic restrictions will always take precedence over street trading consents. If new restrictions such as waiting or parking limits are introduced, you may apply to have your consent transferred to a new location.

Street Trading Policy

The full policy can be found at www.carlisle.gov.uk

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STREET TRADING ORDER
CARLISLE CITY COUNCIL
LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1982
SCHEDULE 4 RESOLUTION

The Council of the City of Carlisle hereby makes the following Order:

1. That all streets within the District of Carlisle City Council be designated under the above provisions. The Wards to which this order applies are specified in Schedule.
2. That the streets within the District of Carlisle be designated as “consent streets” meaning streets in which street trading is prohibited without the consent of the City Council.

SCHEDULE.

THE WARDS TO WHICH THIS ORDER APPLIES

The following Wards of the City:-

- Belah
- Stanwix Urban
- Stanwix Rural
- St Aidan’s
- Botcherby
- Harraby
- Upperby
- Currock
- Denton Holme
- Castle
- Morton
- Yewdale
- Belle Vue
- Longtown and Rockcliffe
- Burgh
- Brampton
- Hayton
- Dalston
- Wetheral
- Great Corby and Geltsdale

- Lyne
- Irthing

This Order shall come into operation on the xx day of xx xxxx

EXCERPT FROM THE MINUTES OF THE EXECUTIVE HELD ON 8 MAY 2017

EX.33/17 STREET TRADING POLICY
(Key Decision – KD.10/17)

Portfolio Finance, Governance and Resources

Relevant Overview and Scrutiny Panel Resources

Subject Matter

The Deputy Leader, and Finance, Governance and Resources Portfolio Holder reported (GD.20/17) that the Local Government (Miscellaneous Provisions) Act 1982 allowed the City Council to adopt powers in respect of restricting street trading in its area. The former Environmental Health Committee had adopted the street trading powers under the Act on 17 October 1984. The first street trading order prohibited trading in most of the streets and Wards of the urban area within the City, two further Orders were approved in 1994 and 1998 prohibiting trading in Brampton's Market Place and Kingstown Industrial Estate respectively. The remaining streets which were not specifically designated prohibited streets by the three orders were consent streets, meaning that consent had to be given by the City Council for street trading. An application, fee and permit process was operated by the City Council through the Licensing Team.

The original decision to adopt the street trading powers was due to complaints about litter, noise and smells from mobile vendors in the City Centre, around schools, Brampton Town Centre, and the Industrial Estate. Concerns had also been raised about traffic obstructions and from businesses operating out of fixed premises regarding the unfairness of competition as mobile vendors did not pay business rates.

More recently concerns had been expressed that the existing street trading orders were too restrictive and did not offer flexibility by which to encourage business opportunities. It was proposed that some street trading could be beneficial in the prohibitive areas and that adequate controls could still be maintained.

The Deputy Leader referred Members to Appendices 1 and 2 which proposed a Street Trading Policy for the District, together with a revised Order.

The Order designated all streets in the District as Consent Streets, meaning that street trading was prohibited without a valid Consent Permit issued by the City Council's Licensing Team. Section 4 of the Policy detailed the criteria to be used in assessing street trading consent applications. Appendix B to the Policy detailed consent areas within the previously prohibited City Centre and Industrial Estates

where street trading was deemed acceptable.

He added that the Street Trading Policy required proof that permission had been given from the landowner, including Highways, before an application would be considered. The Policy also gave examples of typical conditions that may be attached to a Consent Permit.

The Deputy Leader, and Finance, Governance and Resources Portfolio Holder concluded by formally moving the recommendations which were seconded by the Leader.

Summary of options rejected none

DECISION

That the Executive:

1. Had given consideration to the proposed Street Trading Policy 2017 and the revised Street Trading Order, attached at Appendices 1 and 2 to Report GD.20/17.
2. Requested that the Corporate Director of Governance and Regulatory Services undertake a full consultation on the proposed Street Trading Policy and revised Street Trading Order.

Reasons for Decision

The revised Street Trading Order brought three former Orders, approved at three different times, together into one simpler Order. The revised Order allowed flexibility to consider Street Trading as all areas would now be covered by the Consent Street resolution; however, controls would remain in both the discretion to issue consents and through the conditions which may be attached to any permit. The Street Trading Policy provided guidance on where street trading may be acceptable and on the process of application.

EXCERPT FROM THE MINUTES OF THE REGULATORY PANEL HELD ON 24 MAY 2017

RP.25/17 STREET TRADING POLICY

The Licensing Manager submitted report GD.28/17 which introduced the revised Street Trading Policy 2017.

The Licensing Manager set out the definitions of streets with regard to street trading and explained that Carlisle District had a mixture of prohibited and consent streets. The former Environmental Health Committee had adopted the street trading powers under the Act on 17 October 1984. The first street trading order prohibited trading in most of the streets and Wards of the urban area within the City, subsequent Orders were approved in 1994 and 1998 prohibiting trading in Brampton's Market Place and Kingstown Industrial Estate respectively.

It was timely to review the Street Trading Policy due to the length of time since the last review and concerns raised that the existing orders were too restrictive and did not offer flexibility to encourage business opportunities.

The Licensing Team worked alongside Legal Services, green Spaces, City Centre Management and Property services and consulted with Brampton Parish Council in order to prepare the new Policy and Order. In summary the order would make all streets in the Carlisle District consent streets and it was believed that some street trading could be beneficial in the current prohibitive areas and adequate controls would continue to be maintained..

The Order designated all streets in the District as Consent Streets, meaning that street trading was prohibited without a valid Consent Permit issued by the City Council's Licensing Team. Section 4 of the Policy detailed the criteria to be used in assessing street trading consent applications. Appendix B to the Policy detailed consent areas within the previously prohibited City Centre and Industrial Estates where street trading was deemed acceptable.

She added that the Street Trading Policy required proof that permission had been given from the landowner, including Highways, before an application would be considered. The Policy also gave examples of typical conditions that may be attached to a Consent Permit.

The Executive had considered the matter on 8 May 2017 (EX33/17 refers) and resolved

"That the Executive:

1. Had given consideration to the proposed Street Trading Policy 2017 and the revised Street Trading Order, attached at Appendices 1 and 2 to Report GD.20/17.
2. Requested that the Corporate Director of Governance and Regulatory Services undertake a full consultation on the proposed Street Trading Policy and revised Street Trading Order.”

In response to a Member’s question the Licensing Manager detailed the increase in income targets as a result of increased fees.

RESOLVED – That the Regulatory Panel support the proposed Street Trading Policy as set out in report GD.28/17.

Resources Overview and Scrutiny Panel

Agenda
Item:

A.4

Meeting Date: 13th JUNE 2017
Portfolio: CROSS CUTTING
Key Decision: No
Within Policy and Budget Framework YES
Public / Private Public

Title: CORPORATE PROGRAMME BOARD
Report of: TOWN CLERK & CHIEF EXECUTIVE
Report Number: CE 07/17

Purpose / Summary:

The Transformation Board has subsumed the work of the Corporate Programme Board. Its role is to ensure that there are effective governance arrangements in place for the projects that the Council undertakes. This report provides an update on the work of the Transformation Board and projects currently being undertaken in the Council.

Recommendations:

The Panel is asked to note and comment on the most recent summary of projects and governance arrangements in place as contained in Appendix One, and the actions being taken to support projects with issues. At Appendix Two is a summary of the standalone IT projects and their current status.

Tracking

Executive:	
Overview and Scrutiny:	
Council:	

1. BACKGROUND

- 1.1** The Transformation Board has a high level advisory and monitoring role in relation to the projects delivered by Carlisle City Council. As requested by the Panel, a six monthly progress update on projects has been provided by the Transformation Board.

2. PROPOSALS

2.1 Project progress in the last six months

A summary of the status of current projects within the Council is detailed in Appendix 1. This contains a summary of current project status. The majority of Council projects are progressing to schedule. Those that have issues are indicated with an amber rating, indicating that there are some issues which require attention. There are no projects experiencing major issues, which would have required a red rating.

The key achievements and achievements per project in the last six months are set out below:

Local Plan

Adoption of the Carlisle District Plan was agreed at a meeting of the full Council on 8th November 2016. No challenge through the Judicial Review process received to the Plan in the 6 week period post adoption. This project is now considered to be complete and as such will be removed from the Project Status report.

Public Realm Improvements

The County Council advised that a consultation exercise with both the neighbours of the proposed signage and the County Council as Highways Authority be undertaken. The process for this has been agreed and documentation prepared. Key activities for the next period include securing consent from the County Council to “dig” in the highway and ultimately look to commence installation of signage.

Durranhill Industrial Estate – Environmental Improvements

On site works are now complete apart from minor snagging. The project is almost complete and final reconciliation is pending. The project status report will be updated in due course. It is not anticipated that the final cost of the project will be in excess of the grant funding awarded, however, this is not known for certain until the final account is agreed.

Affordable Housing Programme

Colleagues are working on reviewing the proposed changes set out in the Housing White Paper, in respect of Starter Homes. However, the revised Starter Home proposals (10% on new sites with discounts repayable for 15 years) are now less onerous than originally anticipated and can be accommodated within Local Plan policy.

Rethinking Waste

The formal TUPE process for the green box contract started on 6th January 2017.

New split back vehicles have been used to collect green box materials (paper, glass and cans) since 1st March 2017. Another fleet of vehicles arrived in May. The green box service will be merged with the green bag service from June 2017 and all materials will be collected in a single pass. Residents and members will receive details on the revised schemes including a general leaflet and a new collection calendar. This should help aid a smooth transition to the new arrangements.

There is further work to be done to enable a review of the rounds to be completed. This will be done in full consultation with operational staff. The Panel will be kept informed.

Mitigating actions are in place to address risks associated with the project.

E-Purchasing/ Ledger Upgrade

Software has been installed on servers and the system has been upgraded to support this. An upgrade to the Financials software will enable the installation and rollout of e-purchasing to begin in June 2017.

Digital & Information Services projects

A number of standalone IT projects are now complete. The majority of IT project work will be focussed on the delivery of the Council's ICT Strategy. Attached at Appendix Two.

Public Realm Caldewgate

Hazel Reeves Sculpture has been awarded the contract to produce a "Cracker Packer" figurative bronze sculpture. The contract for the work has been signed and sealed. The artist is to progress the public engagement with the current and past workers of the McVities factory. There are no significant risks identified at present with the project.

Crindledyke Cycleway

Some planning issues have been raised by the County Council which have been responded to and planning permission has been granted. There had been some delay by Electricity North West around the installation of cables, this work is now complete.

PRISM

The decision not to further develop Project Server 2013 or roll it out for service planning means that the PRISM project can now be closed. The Project Status report will be updated to reflect this.

Power BI is operational and will continue to be developed outwith of this project.

Asset Recovery Programme

Reinstatement of the City Council's flood affected property assets are on track and within budget. Details are contained in Appendix One.

Castleway Crossing

At a meeting of the full Council on 8th November 2016, a decision was made to progress with the construction of the scheme to construct a Toucan Crossing over Castle Way, Carlisle. Recent project activity in this regard includes:

- The Section 278 agreement is completed
- Tenders have been invited and 2 returned. The contract was awarded to Thomas Armstrong
- Design of raised table has been amended to both reduce costs and minimise the disruption to road users.

Members of the Panel are asked to note that the successful tender exceeds the available budget. Discussions have taken place with colleagues in Financial Services to identify additional funding sources to resolve this.

Work commenced on site on 13th March 2017 with an anticipated completion date of 30th June 2017. Much of the work will take place overnight so as to minimise disruption.

European General Data Protection Regulation (GDPR)

The European General Data Protection Regulation is a major refresh of data protection law which will apply to the UK despite its exit from the European Union.

The Transformation Board were made aware of this project at its meeting in April 2017 where the Project Initiation Document and business case were approved. Key milestones in this project include the appointment of a Data Protection Officer. Elected members will be briefed as the project progresses.

Carlisle South Masterplan

Carlisle City Council received notice of inclusion within the Government's Locally Led Garden Village programme. Allocation of the funding to take this forward is allocated within the Medium Term Financial Plan for 2017/18. Consultants have been appointed to undertake key aspects of the evidence base including a landscape and townscape assessment. Project risks continue to be monitored and reviewed, there are none that require reporting at the current time.

Community Infrastructure Levy

This project has only recently been initiated. However, it has been requested that the project be paused to enable a full assessment of the potential movement from Community Infrastructure Levy to Local Infrastructure tariff in order for colleagues to obtain best value for the Council. This request for change will be considered at the next meeting of the Transformation Board in June 2017. There is a risk of potential slippage to the programme but mitigating actions are in place.

3. CONSULTATION

- 3.1** The Transformation Board met on 18th April and considered the Project Status report at this meeting.

4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 4.1** The Panel is asked to note the most recent summary of projects, as contained within Appendix 1 and 2 and the actions being taken to progress projects.

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

The Transformation Board works to ensure quality assurance, alignment to key objectives and sound risk management arrangements in the delivery of the Carlisle Plan.

Contact Officer: Jason Gooding

Ext: 7001

**Appendices
attached to report:**

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**

CORPORATE IMPLICATIONS/RISKS:

Community Services -

Corporate Support and Resources –

Economic Development –

Governance and Regulatory Services –

Corporate Programme Board Project status report February 2017								
Key to Status Red Overdue; Significant issues Amber Some issues Green On schedule; In progress								
	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
1	Local Plan The emerging Carlisle Local Plan sets out a planning framework for guiding the location and level of development in the District up to 2030, as well as a number of principles that will shape the way that Carlisle will develop between now and then. Once adopted it will replace the Council's existing development plan – the Carlisle District Local Plan (2001 - 2016) – and in this regard will constitute the primary document against which future planning applications for development within the District will be assessed. A new Local Plan is necessary in response to revised national legislation, policies and guidance. Delivery is fundamental in order to ensure that local control is regained with regards to the factors which will influence future growth within the District of Carlisle. The project will conclude with the formal adoption of the new Local Plan.	Garry Legg	Economic Development	24 th February 2017 <ul style="list-style-type: none"> Plan Adopted by Full Council 8th November 2016 No challenge through the Judicial Review process received to the Plan in the 6 week period post adoption. Project Completed 		None	None	Request to Close Project
2	Public Realm Improvements Develop and deliver a programme of public realm improvements in key areas of the City; Phase 1 Development of a comprehensive signage and interpretation package. Phase 2 - Public Realm interventions including cultural trails.	Mark Walshe	Governance and Regulatory Services	3 rd February 2017 <ul style="list-style-type: none"> Process for consultation agreed and documentation prepared Hub copy complete 		The County Council has, after several months of chasing, revised the consent process and advised that we need to undertake a consultation process with both neighbours of the proposed signage and the County Council as Highways Authority. We are currently undertaking the consultation process and seeking the consent of the County to “dig” in the highway. We hope that this will be the end of the formalities required and that we can commence installation.	<ul style="list-style-type: none"> Complete consultation exercise Secure consent from County Council to “dig” in the highway Install signage 	
3	Durranhill Industrial Estate - Environmental improvements Regeneration of Durranhill Industrial Estate. Funding has been secured from Cumbria LEP (£2m) to improve the road infrastructure on the estate. The Homes & Communities Agency funding (£225,000), will enable environmental improvements to be undertaken to assist with the disposal of the former Border TV site acquired through funding received from the former North West Development Agency (£1.8m).	Mark Walshe	Governance and Regulatory Services	3 rd February 2017 <ul style="list-style-type: none"> On site works complete apart from minor snagging 		Failure to complete the project could result in the HCA requesting repayment of the £2.05m grant funding allocated to date. By completing the project this risk will be significantly reduced. Delays to the project have led to compensation events however at this stage there is no expectation that the final cost of the project will be in excess of the grant funding awarded, however, we will not know for certain until the final account is agreed.	<ul style="list-style-type: none"> Complete snagging. Complete final reconciliation. 	
4	Affordable Housing Programme The Affordable Housing Programme aims to increase the supply of new affordable homes for rent. This programme is funded through HCA grant through a partnership between the City Council, builder and registered provider. The registered provider will buy and manage the properties and let them at affordable rents (80% market rent).	Jeremy Hewitson	Economic Development	13 th February 2017 <ul style="list-style-type: none"> Old Brewery Residences (Impact HA) – proposal to convert under-utilised student accommodation to 37 affordable rented homes approved by DC Committee on 10.2.17. Two Castles have been awarded £660k to deliver 20 affordable homes in mark waCarlisle (10 shared ownership & 10 Build to Rent) following a successful bid to the HCA – this is an ‘indicative’ bid, so the site is yet to be determined. 		We will review the proposed changes to the NPPF, set out in the Housing White Paper, in respect of Starter Homes. However, the revised Starter Homes proposals (10% on new sites with discounts repayable for 15 years) are now less onerous than originally anticipated, and can be accommodated within Local Plan policy HO4 (Affordable Housing). Increase in build costs, partly due to the impact of the weak pound post-BREXIT on imported construction materials. This has viability implications.	Work with Riverside and Carlisle College to progress the ‘Demonstration Project’ - Riverside are in the process of appointing a main development contractor following a tender on <i>The Chest</i> . They are hopeful they can achieve planning permission in the summer and start on site by the end of 2017.	
5	Rethinking Waste A review of the whole waste and recycling collection service, any future procurement of waste vehicles/services and consideration of depot location. The aim is to deliver a more efficient, joined up and convenient service within the	Colin Bowley	Community Services	21 st February 2017 TUPE transfer The formal TUPE process for the green box contract started 06 January 2017. This has included meetings with our staff, FCC staff, trade unions, and arranging training and		No new issues emerging at this time. There are risks to resolve with the transfer of the ‘green box’ service in house to minimise impact for residents and staff. FCC staff also need to	A specification for in-cab vehicle systems is being prepared. This needs to be compatible with Sales Force to improve service	

Corporate Programme Board Project status report February 2017

Key to Status

- Red Overdue; Significant issues
- Amber Some issues
- Green On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
	constraints of budget and statutory requirements. The project will also address the declining recycling performance.			<p>occupational health assessments ready for the start date of 1st March. Negotiations continue (RAG rated below) but as it stands at present there are potentially up to 12 FCC employees that may transfer to Carlisle City Council:</p> <ul style="list-style-type: none">o GREEN 5 x loaderso GREEN 1 x Clerk (part-time)o GREEN 1 x supervisoro AMBER 5 x driver / loaders (likely to be 4) <p>One driver has indicated that he will not transfer and negotiations with the drivers and GMB continue on changes to their terms and conditions. Service continuity for residents will be the priority to ensure a smooth transition. In addition to the employees transferring we are also likely to engage some agency staff on a short term basis for the immediate weeks only.</p> <p>Vehicles The new split back recycling vehicles which will be used to collect the green box materials (paper, glass and cans) are at the local dealership and will be in service from 01 March. New refuse vehicles are also due to arrive in May. The smaller 16t vehicle to support rear lane bin collections in narrow lanes arrived November 2016. This is not fully in service yet due to some ongoing 'teething' problems.</p> <p>Round Review The green box service will be merged with the green bag service from June 2017 and all materials will be collected in a single pass. This service can then be extended to more rural and new build properties. New refuse and garden waste rounds are almost finalised. New recycling rounds are complete subject to refining. All rounds have been developed in consultation with operational staff.</p> <p>Communications A general leaflet, FAQs and a collection calendar have been designed for the new service. These will form part of the information packs for councillors and will be distributed to residents towards the end of May 2017.</p> <p>Sale of Materials The sale of materials contract has been out to tender. Discussions are being held with the successful bidder.</p> <p>Health & Safety The entrance to Bousteads was re-surfaced on 2nd February ready for the new motorised vehicle gate to be installed from 23 February 2017.</p> <p>A review of high risk collections is also being carried out to ensure our services remain safe.</p>		operate to Carlisle City Council standards in terms of customer service, quality and safe working; this will be monitored.	responsiveness. Complete round review Finalise calendars, leaflets etc Promote the new apprenticeship opportunities	

Corporate Programme Board Project status report February 2017								
Key to Status Red Overdue; Significant issues Amber Some issues Green On schedule; In progress								
	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
				Performance Waiting times for delivery of containers has reduced to within 2 weeks which has seen a reduction in the number of people chasing delivery of their container. Almost 60% of boxes, bags, gull sacks are now collected from the civic centre rather than being delivered. All refuse and garden waste bins require delivery. 114 food waste digesters were sold in December following promotion of our Focus magazine (November edition). A review is taking place to reduce the number of properties with more than one refuse bin. This should reduce the amount of refuse people are placing out and improve recycling rates.				
6	E-Purchasing / Ledger upgrade The project will implement E-purchasing throughout the authority which will streamline the ordering of goods and services and streamline with payment of invoices. The web enabled Financials Ledger system front end is required to utilise automatic alerts and process information through system workflow. This will also allow further system enhancements to be undertaken in the future, such as the Civica Fixed Asset module, transparency reporting module and e-budgeting and contract management.	Steven Tickner	Corporate Support and Resources	10 th January 2017 Software installed on servers and system upgraded to latest version. Client software installed on test pc and interface testing in progress. Financials upgrade to go Live in February. Installation and roll out of e-purchasing will not begin until June due to year end commitments		Year-end commitments means that e-purchasing implementation and roll out will not begin until June but following successful upgrade of servers and financials system the infrastructure is now in place.	Testing and interfaces and implementation	
7	Digital Information Services projects Standalone projects Security strategy projects IT strategy projects	Michael Scott	Corporate Support and Resources	See separate document detailing individual projects dated May 2017				
8	Public Realm Caldewgate Section 106 money from Sainsbury's to improve hard landscaping in Caldewgate - Church Street, Bridge Street and Shaddongate corridor.	Zoe Sutton.	Economic Development	23 rd February 2017 <u>Cracker Packer Statue</u> <ul style="list-style-type: none"> Through a tender process, Hazel Reeves Sculpture has been awarded the contract to produce a 'Cracker Packer' figurative bronze sculpture. Contract has been signed and sealed. Planning Permission has been applied for. 		No significant risks at present - 23 rd February 2017	<ul style="list-style-type: none"> Artist to progress the public engagement with the current and past workers of the McVities Factory. Press release on 8th March, International Women's Day Draw down funding from Pladis/McVities and Hunter Davies. 	
9	Crindledyke Cycleway Construction of part of the proposed Connect2 Kingmoor - Caldew cycleway along the former Waverly line between Kingmoor and Carlisle city centre (Eden Bridge). S106 funding £281,000. The planning agreement specifies that the funding must be spent within 5 years of receipt of the money (26/07/2013).	Luke Leathers	Community Services	17 th February 2017 <ul style="list-style-type: none"> Work in nature reserve out to tender (Due back 20/02/17) Planning issues raised by the County have been responded to and planning permission granted Delayed Electricity North West cable installation work complete and re-instatement settlement agreed 		Cumbria County Council has not formally agreed to adopt all the sections in Belah (Disputing if new sections and lighting are required). Taking report to the Highways Working Group and then to the Highways Committee if required to get a steer. The route can be adapted if required to still meet requirements of the S106 agreements	<ul style="list-style-type: none"> Complete work in Nature Reserve Take report on adoption to Highways Working Group 	
10	PRISM (Projects Risks Issues Service Performance and Management Information) The project will develop and roll out a corporate system called PRISM to manage resource allocation for projects and other Council activities and to create a management	Gary Oliver	Community Services	10 th February 2017 The decision not to further develop Project Server 2013 or roll it out for service planning (24/1/17) means that PRISM project can now be closed. The administration and governance of corporate projects and risk management				

Corporate Programme Board Project status report February 2017

Key to Status

Red Overdue; Significant issues

Amber Some issues

Green On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
	information system (MIS) that can be queried to answer complex questions. The organisation's risks, issues and other performance information will also be managed. The software will provide the appropriate views and reports. The three strands to the PRISM project: 1. Implementation of Microsoft Project Server 2. Development of a Management Information System (MIS) 3. Development of a new Carlisle City Council performance framework with the possibility of incorporating a balanced scorecard approach.			within Project Server now comes under the remit of the PA Support Team. Power BI is operational and will continue to be developed outwith of the project.				
11	Asset Recovery Programme To recover the Council's flood-affected services through the reinstatement of property assets, in the most cost effective, resilient, and timely way, having regard to the resources available and identified priorities. Significant redesign projects will report to CPB. Other projects by exception only.	Darren Crossley	Community Services	31 st May 2017 <ul style="list-style-type: none"> Recovery works programme is ongoing. Completed buildings are: <ul style="list-style-type: none"> Old Fire Station Warwick Street residential properties Shaddongate Resource Centre John Street Homelessness Accommodation (partial completion, further non flood related decoration works are now close to completion) Buildings in works phase: <ul style="list-style-type: none"> Botcherby Community Centre (granted an extension to accommodate minor amendments to original specification) Sheepmount Athletics and Football (contract awarded to Thomas Armstrong works start delayed to accommodate athletics club request) Stoney Holme Golf Course (works underway) Adrianos restaurant (delayed opening due to contractor kitchen design issues. Now being rectified) Buildings in design phase <ul style="list-style-type: none"> Civic Centre (insurance settlement agreed and initial design underway) Bitts Park Lodge, Depot and Pavilion (new design for Lodge extension now being developed) 		Key issues: <ul style="list-style-type: none"> Minor issues relating to building completion are being managed via the contract for each site (Adrianos, Botcherby) Design of the Civic Centre has been delayed due to insurance / budget settlement. Design now underway with consultation phase to begin early June Design for Bitts Park has been delayed due to difficulties in obtaining an insurance settlement. Design now underway. Works phase for Sheepmount Athletics facilities has been delayed due to difficulties in agreeing an insurance settlement. Value engineering and mobilisation with Thomas Armstrong is now underway. 		
12	Castleway Crossing Construction of staggered toucan crossing for Castleway, linking the Castle and city centre. Budget is £300k, funded by Sainsbury's S106. Public consultation 8 July for 21 days (County notice) Feedback to Highway and Transport Working Group 26 August. Recommendation to Local Committee decision on 15 September. Planning approval sought mid August. Tender of works by October. Proposed completion date 17 February 2017.	Keith Poole	Governance and Regulatory Services	14 th February 2017 <ul style="list-style-type: none"> Section 278 Agreement completed, ready for signature. Tenders invited, 2 tenders returned, contract awarded to Thomas Armstrong. Design of raised table amended to reduce costs and minimize disruption to road users. 		Successful tender exceeds budget available, discussions have taken place with Financial Services to identify additional funding sources. County Council Local Committee approval to be sought at 12 th April meeting to delete footway paving on Castle Way from scheme due to high tender cost for this work .	Contract start date 13 th March 2017, with anticipated completion 30 th June 2017. Much of work to take place at night to minimize traffic delays. Night time resurfacing of Castle Way by County Council, 11 TH May for 6 days. Site compound to be located on Castle Car Park. Discussions to take place with frontagers affected by works. Section 278 Agreement to be signed and bond deposited with County Council.	
13	European General Data Protection Regulation (GDPR) The European General Data Protection Regulation (GDPR) is a major refresh of data protection law which will apply to	Clare Liddle	Governance and Regulatory Services	16 th February 2017 <ul style="list-style-type: none"> Formal approval of project from Corporate Programme Board 		Lack of resources Lack of corporate buy in Inability to recruit Data Protection Officer	<ul style="list-style-type: none"> Ongoing information audit Make decision about appointing Data Protection 	

Corporate Programme Board Project status report February 2017

Key to Status

Red Overdue; Significant issues

Amber Some issues

Green On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
	the UK whether or not it leaves the EU. The council will need to comply with the new law and be able to evidence that it complies.			<ul style="list-style-type: none"> PID and business case completed Project set up in Project Server Letter drafted to send to IT system suppliers re ongoing compliance 			<ul style="list-style-type: none"> Officer Management briefing presentation (March or April) Portfolio holder briefing Discussion with other local councils 	
14	Carlisle South Masterplan	Garry Legg	Economic Development	9 th March 2017 <ul style="list-style-type: none"> Successfully awarded Garden Village status through inclusion in the Government's Locally Led Garden Village MTFP allocation for 17/18 confirmed following bid Presentation given to JMT and approval forthcoming on next steps to progress the project. Consultants appointed to undertake key aspects of the evidence base: <ul style="list-style-type: none"> Growth sectors and locational and land requirements study; and Landscape and townscape assessment. 		Inclusion within the Government's Locally Led Garden Village programme necessitates an adjustment of time scales and scope of the project i.e. now much more than just a 'planning' exercise. Overall however these are positive issues. Project risks continue to be monitored and reviewed. No risk warrants being reported at the current time.	<ul style="list-style-type: none"> Secure Executive Approval for: <ul style="list-style-type: none"> Outline programme of work activities across the next 12 months Expenditure profile covering the next 12 months Governance arrangements Commencing stakeholder / public engagement Appointment of consultants and commencement of Southern Link Road Phase 2 Preferred Route works. Completion of growth sectors study and landscape / townscape assessment.	
15	Community Infrastructure Levy	Garry Legg	Economic Development	27 th February 2017 <ul style="list-style-type: none"> Project initiated Initial research and collection of data has been completed. 		<ul style="list-style-type: none"> Potential change from CIL to LIT If progress with CIL without giving due regard to the government's statement may result in avoidable costs being incurred and time delays depending on any transition rules. Possible slippage to programme and adoption of a CIL Charging Schedule. 	<ul style="list-style-type: none"> Analyse the information collated to date. Review the recent government statement to review CIL in light of independent recommendations to move to a simplified system of Local Infrastructure Tariff (LIT). The government expect to make a further announcement in the Autumn Budget Statement. Continued attendance at quarterly CIL northern working group to share best practice. 	The project to be paused to enable a full assessment of the potential movement from CIL to LIT and how we can obtain best value for the Council.

ICT Services Programme and Project Status Report

Business As Usual - Applications Projects

Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)
RBSS	P0400	eClaim	MK		Completed	✓	Install and configure eClaim for al 3 Councils	Capita are doing the install, config and training with RBSS staff. We will be providing technical support.	N/A		
HR & Payroll	P0401	iTrent Recruitment	MK		Not Started	N/A	Move to iTrent Recruitment away for old Acess db.	Eileen Reid establishing funding for Midland consultant to complete the work - this will require very little resources from us. To be included in the 2017/18 Programme of Work for ICT Services.	Mar.-2018		
Planning	P0402	Establish a Test environment	MK		In-progress	●	Establish a test environment for all the planning systems.	Acolaid is complete. Awaiting supplier dates for DMS and PS but also need 2 new servers to put the system on.	Jul.-2017		
Finance	P0403	ePurchasing and Intelligent scanning	MK		Not Started	N/A	Work to configure and release a joined up full epurchasing and intelligent scanning systems.	Will not start until the rollout of v17 of Civica Financials project. To be included in the 2017/18 Programme of Work for ICT Services.	Mar.-2018	P0404	
	P0404	Upgrade to version 17	MK		Completed	✓	Upgrade live and test environments to version 17.	User acceptance testing underway	N/A		P0403

ICT Services Programme and Project Status Report

Business As Usual - Infrastrcuture Projects

Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)
WAN Replacement		Connect Council Sites	DS	MS	Completed	✓	Replace all existing network connections with new British Telecom connections following tender process.	Community Centres installations completed by 31/10/16	N/A		
		Extend Wi-Fi Provision	DS	MS	Completed	✓	Extend the provision of BT and council wi-fi to community centres.	Wifi Survey carried out at Currock/Greystone	N/A		
		Migrate Councillors and direct Broadband from Vodafone to BT	DS	CL	In-progress	✓	Vodafone want all project access circuits ceased	Scoping email sent to affected parties with a view to move them by end of November 2016	N/A		
LAN Upgrade		Replace Network Core in Civic Centre	DS	MS	In-progress	✓	Upgrade council's main network core to new Cisco 3750 switches	Switch over scheduled for 12/11/16	N/A		
		Replace Network Edge Switches	DS	MS	Not Started	N/A	Upgrade council's edge network switches in Civic Centre, Bousteads, Tullie House	Switches EOL Nov 2017 - also covers PCI-DSS compliance	Dec. 2017		
Telephony		Mobile Phone Contract	DS	CL	Not Started	N/A	The council's mobile contract expires in March 2017 so need to look to tender for a new agreement/supplier	Need to scope what the council needs in terms of mobile devices - data ect before a tender process. Likelihood that costs will increase on a new contract given the services we may need to use.	Oct. 2017		
								Current contract to be extended on a month by month basis with no increase in costs.			
		Cisco Call Manager Maintenance	DS	CL	Not Started	N/A	Licensnes and maintenance can be exteded but need to scope our telephony requirements and alternatives	Also investigating Intrinsic hosting our call managers for resilience	Nov. 2017		
		IPCC options with Alan Kerr/Customer services for call queueing	DS	CL	In-progress	●	Alan Kerr would like a call queueing system similar to the contact centre and contact centre wish to investigate call back on queued calls	discussing options with Alan and customer services	Nov. 2017		
Computer Room Infrastructure Refresh		Upgrade or Replace Netapp SAN	DS	CL	In-progress	✓	SAN is End of Support 31st March 2017	Currently investigating options	N/A		
		Upgrade or Replace Vmware Hosts	DS	CL	Not Started	N/A	VMware hosts need replaced or move to hosted solution	Technology meetings started to cover this	N/A		
		Remove Unsupported Servers and PC's from Network	DS	CL	In-progress	●	Several Servers are running unsupported OS which is a security risk as identified in PSN healthcheck	Technology review meetings will formalise time scales but need to get departments on board to upgarde/ decommission systems	Jul-17		
Reinstatement of Old Firestation		Reinstate IT Provision after flooding	DS	CL	Completed	✓	Re-instate IT and Wi-Fi at Old Firestation following flooding		N/A		
Multi Functional Printers		MFP Contract expires Oct 2016	DS	CL	In-progress	●	Maintenance contract expires October 2016	Spoken with account manager and awaiting his response since September regarding continuing support	Nov. 2017		
New Passport Office within Civic Centre		Passport Office move to Civic Centre Interview Room	DS	CL	In-progress	✓	Passport office moving into an interview room in November	Server to rack mount in 1st floor comms cabinet along with their router switch and broadband	N/A		
Cumbria CVS Office Move		Moving to Technology Centre Shaddongate	DS	CL	Completed	✓	Cumbria CVS are moving the Penrith and Carlisle offices to The technology centre in Shaddongate	Awaiting completion of flood recovery work and re-instatement and CVS to decide which rooms to occupy	N/A		
Revenue and Benefits Server OS Upgrade		RedHat upgrade	MK	CL	Completed	✓	Move Academy to new redhat servers for all 3 Councils	Capita are doing the redhat and system migration but not the interfaces. Awaiting go live confirmation of dates from Capita.	N/A		
Firewall Replacement			DS	CL	Completed	✓	Replace existing corporate firewall.		N/A		

ICT Services Programme and Project Status Report

Security Strategy Projects










Programme	Programme Manager	Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)
Policy, Procedures and Training	MS	Development of New Policies	P0200		MS	MS	Completed	✓	This is the over arching project for the full review of IT security. This includes policies, training and infrastructure within Council	New PCI-DSS policies need to be integrated into policy web site.	N/A		P0201
		User Awareness Campaign and Training	P0201		MS	CL	Paused	●	Design and implement new IT security awareness campaign alongside user training and certification.	Need to identify resource to develop and deliver user training.	Dec.-2017	P0200	
Security Infrastructure	MS	PCI-DSS Compliance	P0202		DS	CL	Paused	●	Ensure the council retains its PCI-DSS compliance	Compliance plan developed and report to SMT being produced to fund compliance. Sub-projects will be added once agreement is reach on the way forward.	Oct.2017		
		PSN CoCo Compliance	P0203	Decommission Cisco ASA	DS	CL	In-progress	●	Replace existing Cisco ASA with Foritgate solution for VPN and site to Site connection	Quote received for new solution awaiting approval	Jun.-2017	P0019	
			P0204	Decommission Citrx Farm	DS	CL	Completed	✓			N/A		
			P0205	Domain Administrator Password Hardening and Change	DS	CL	Not Started	✓	Password needs changed	need to scope systems that use this username still	N/A		
			P0206	Apply Software patches to PCs and Servers	DS	CL	Not Started	✓	Apply missing patches to identified PCs and servers		N/A		
			P0207	Incorporate recommended settings into Windows standard build	DS	CL	Not Started	✓	Incorporate recommended Windows settings into our standard Windows build		N/A		
			P0208	GCF Replacement	DS	CL	In-progress	✓	GCF Framework ends March 2017 and new framework connection is required including a hosted PSN email solution	Email sent to Vodafone extending our current agreement from December 16 to March 17 and awaiting Vodafone's response on new contract	N/A		

ICT Services Programme and Project Status Report

Technology Strategy Projects

Programme	Programme Manager	Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)
Office 365	MS	Migrate to Email Service into the Cloud	P0001	Migrate to Exchange Online	DS	MS	Completed	✓	Migrate user's mailboxes to Microsoft's hosted email service		N/A		
			P0002	Implement email and document archiving	DS	CL	Completed	✓	Implement a service to archive user's email and documents.		N/A	P0001	
			P0003	Implement Email filtering and virus checking	DS	CL	Completed	✓	Implement Barracuda Filtering service with Archive for emails		N/A	P0001	
			P0004	Email Relay server	DS	CL	Completed	✓	Migrate from old websense email relay server to 2012 IIS version	Currently looking at options	N/A	P0001	
			P0005	Review mailbox and licensing requirements	DS	CL	Completed	✓			N/A	P0001	
		Windows and Office Upgrades	P0006	Create Windows 10 deployment environment	DS	CL	In-progress	N/A	Need a Windows 10 deployment environment as new devices no longer supporting Windows 7	Scoping exercise with Risual	Aug.-2017		P0008
			P0007	Create Windows Update Environment	DS	CL	Completed	✓	Need an newer Windows update environment to cover latest versions of windows	Scoping exercise with Risual	N/A		P0008
			P0008	Upgrade to Windows 10 and Office 2016	DS	CL	Completed	✓			N/A	P0006, P0007	
			P0009	Office 2010 Outlook update	DS	CL	Completed	✓	All windows 7 machines running office 2010 need KB2965295 update for outlook 2010 to support exchange 2016 in EOL (EOL 2016 date unknown) - alternative is mass roll-out of office 2013/16	Currently scoping roll-out options	N/A		
		Active Direction Upgrade	P0010	AD Health check and migration to a 2016 Forest	DS	CL	In-progress	●	Need to look at upgrading our 2003 Domain to a 2016 AD forest	Scoping exercise with Risual	Jun. 2017		
			P0011	ADFS Environment in Azure	DS	MS	In-progress	●	Have a hosted AD server in azure that Office 365 authenticates against so we aren't reliant on datacentre Domain controller	Building and testing underway	Dec. 2017		
		Implement Office 365 Services	P0012	Migrate to OneDrive for Business	DS	CL	In-progress	●	Migrate the contents of user's H: and K: drives to Microsoft's hosted file storage service.	Development of technical infrastructure design underway.	Aug.-2017		
			P0013	Implement Yammer	DS	CL	In-progress	●	Implement Yammer (internal social network) and Skype for Business (telephone/video calls and conferences.	Development of technical infrastructure design underway.	Oct.-2017		
			P0014	Implement Skype for Business	DS	CL	In-progress	●		Development of technical infrastructure design underway.	Aug.-2017		
			P0015	Implement SharePoint Online	DS	CL	In-progress	●	Migrate the Intranet and Project Portal to Microsoft's hosted service.	Development of technical infrastructure design underway.	Dec.-2017		
			P0016	Implement Office 365 Tools	DS	CL	In-progress	●	Implement Sway, Delve, Flow, PowerApps, etc.	Development of technical infrastructure design underway.	Mar. 2018		
		Implement Corporate Project Management and Risk Tool	P0017	Project Server	MS	CL	In-progress	✓	Potential redesign of Project	Agreed with DCE to migrate to Project Online. Detailed planning underway	N/A		
Cloud Services		Document Classification and Control	P0018	Implement Digital Rights Management	DS	CL	Not Started	N/A	Implement a service to control the distribution and management of user's documents.	Development of technical infrastructure design underway.	Nov.-2017		
		User Identification and Authentication	P0019	Dual Factor Authentication	DS	CL	Not Started	N/A	Implement Dual Factor Authentication into office 365		Nov.-2017		P0203
		End Point Security	P0020	Implement Enterprise Mobility Suite	DS	CL	In-progress	●	Ensure all devices connected to our network meet a minimum security standard.	Rescheduled to early next year to allow for completion of policy review so as to be able to implement any new requirements.	Nov.-2017		
		Remote Access	P0042	Implement a remote access solution to support mobile working	DS	CL	Not Started	✓			N/A		P0203
Cloud Hosting	CL	Application Delivery	P0021	Application Delivery Proof of Concept	DS	MS	Completed	✓	Identify most appropriate solution for providing access to line of business applications over the Internet.		N/A		
			P0022	Application Hosting Proof of Concept	DS	MS	Completed	✓	Identify most appropriate platform to host our applications.		N/A		
			P0023	Implement application delivery solution	DS	MS	Not Started	N/A			Nov.-2017		P0204
		Application Hosting	P0024	Personnel/HR Applications	MK	CL	Not Started	N/A	Migrate personnel/HR applications to chosen platform.		May. 2018		
			P0025	Planning Applications	MK	CL	Not Started	N/A	Migrate planning application to chosen platform.		Dec.-2018		
Salesforce Platform	MS	Implement Core CRM Functions	P0027	Phase 1 of Salesforce Roadmap	MK	CL	Completed	✓	Implement the core functions of the Salesforce CRM and replicate the functionality of Qmatic into Salesforce.		N/A		P0028
			P0028	Phase 2 of Salesforce Roadmap	MK	CL	Completed	✓	Environmental Health is the focus.	Development underway for phase 2.	N/A	P0027	P0029

ICT Services Programme and Project Status Report

Programme	Programme Manager	Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)
			P0029	Phase 3 of Salesforce Roadmap	MK	CL	In-progress		Green Spaces and Waste Services are the focus.		Jul.-2017	P0028	
			P0030	Garage Database	MK	MS	Not Started	N/A	Develop Salesforce based app for the management of the council garage and fleet of vehicles/equipment.	Business case completed	To be agreed		
			P0031	Salesforce CRM for Comms	MK	CL	Completed		Development of a CRM applications for the Communications team.	Application delivered to users for testing	N/A		
			P0032	RemedyForce	MK	CL	Completed		Phase 1 - Replace Sostenuto for D&IS staff.	Self Service is being revamped so can't launch until after Winter 2017	N/A		
					MK	CL	In-progress		Phase 2 - Provide end user self service.		Mar. 2017		
		Web Site Development	P0033	Phase 1	BR	CL	Completed		Redesign of council web site.	New web site well received	N/A		
			P0034	Phase 2	BR	CL	Completed		Enhancement to council web site and extension of author/publisher role to users.		N/A		
			P0035	Brampton Community Centre		CL	in progress		Phase 2 of development		Jan. 2017		
Master Data Management	CL	Spatial (GIS)	P0036	Dataset Rationalisation	MS	CL	In-progress		Rationalise spatial data and introduce processes to manage that data.	options appraised to deliver corporate GIS via cloud services	Oct. 2017		
			P0043	Migrate GIS service to the cloud	CL	CL	Not Started	N/A			Oct.-2017		
			P0044	Carlisle District Local Plan 2015-2030 Interactive Map	CL	CL	Completed		Development of interactive map for Carlisle District Local Plan 2015-2030.		N/A		
		Property and Things	P0037		MS	CL	Not Started	N/A	Rationalise data relating to property and things and introduce processes to manage that data.				
		People and Businesses	P0038		MS	CL	Not Started		Rationalise data relating to people and businesses and introduce processes to manage that data.				
		Employees	P0039		MS	CL	Not Started		Rationalise data relating to employees and introduce processes to manage that data.				
Business Intelligence	MS	PRISM (Proof of Concept)	P0040		SO	MS	Paused		Develop proof of concept for the design and implementation of a range of management dashboards and balanced scorecards	Training organise for GO on Microsoft Power BI			
External Clients	CL	Migrate 3rd sector organisations to their own tenancy	P0041		DS	CL	Not Started	N/A	Move Tullie, CVS, ACT, Deaf Vision to their own Microsoft tenancy to enable them to take advantage of cheaper license costs	needs further investigation as Microsoft may or may not approve an organisation only after you have done the transfer (no indication beforehand they will be accepted) so this may increase costs above what we pay as a council.	May. 2018	P0001	

ICT Services Programme and Project Status Report

Service Improvement Plan

Programme	Programme Manager	Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)

Resources Overview and Scrutiny Panel

Agenda
Item:

A.5

Meeting Date: 13 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: No
Within Policy and Budget Framework: No
Public / Private: Public

Title: 2016/17 SICKNESS ABSENCE END OF YEAR
Report of: Chief Executive
Report Number: CE 06/17

Purpose / Summary:

This report sets out the authority's sickness absence levels for the period April 2016 to March 2017 and other sickness absence information.

Recommendations:

- 1. Consider and comment on the information on sickness absence provided in the report.**

Tracking

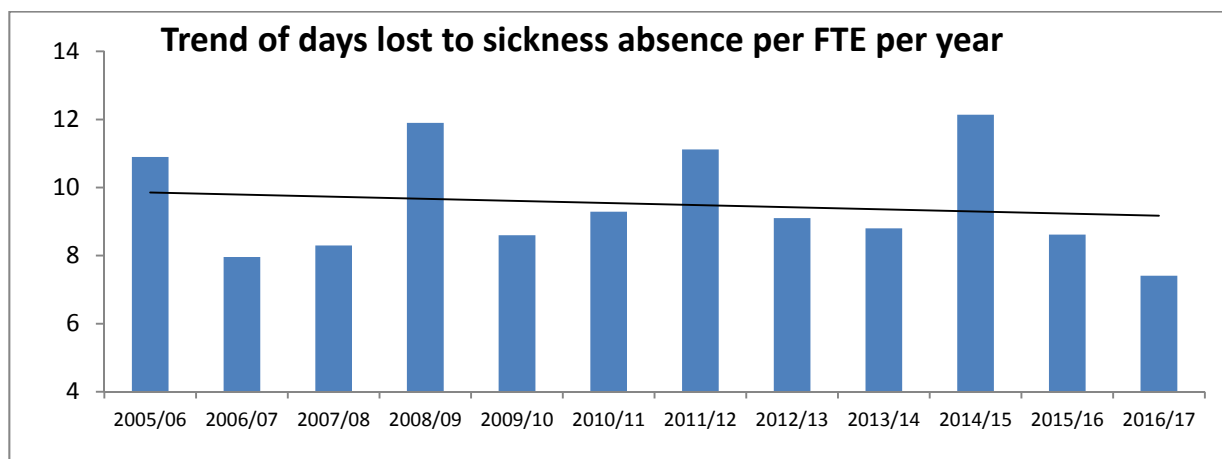
Executive:	N/A
Overview and Scrutiny:	Resources 13 June 2017
Council:	N/A

1. BACKGROUND

2015/16 levels of sickness absence decreased by approximately 29% to 8.6 days lost per Full Time Equivalent (FTE) employee compared to 2014/15. The percentage of sickness which was long-term also decreased as Human Resources (HR) worked with managers to ensure the support for their staff was available and accessible.

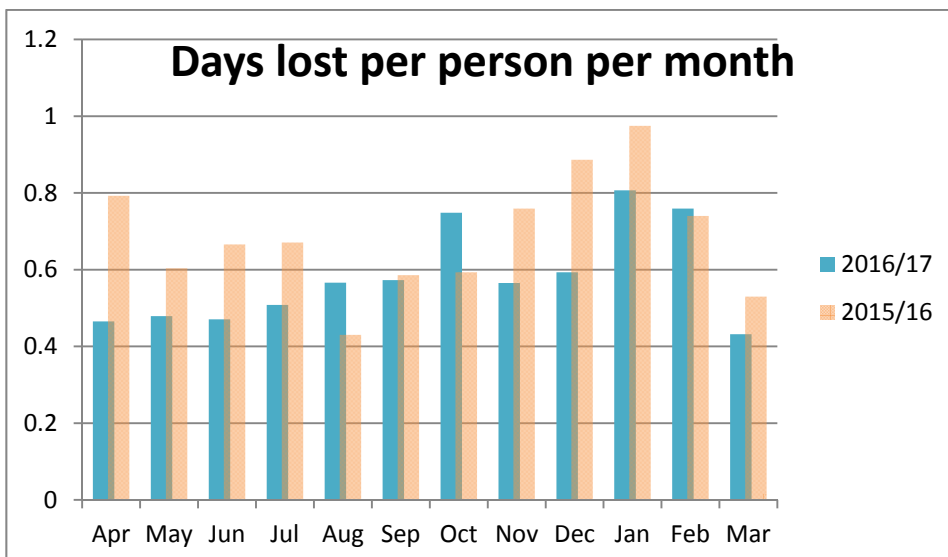
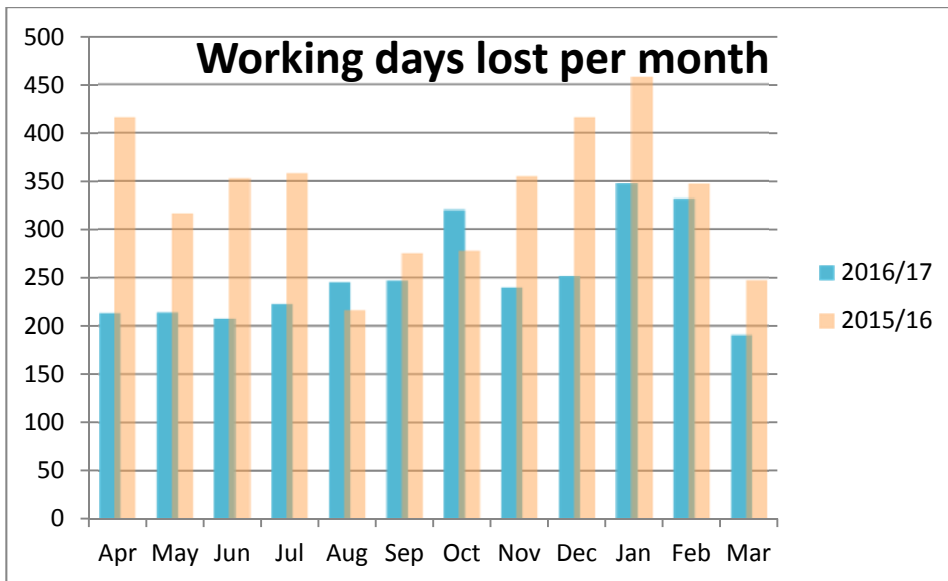
2. 2016/17 Performance

The table in Appendix 1 towards the end of the report provides sickness absence levels split by the new directorates in the last six months of 2016/17. The new structure took effect from 1 October 2016 so it is not yet possible to carry out any directorate level analysis. However, Authority-wide, compared to 2015/16, 2016/17 levels have decreased by 14% to 7.4 days lost per FTE employee. This is the City Council's lowest level of sickness absence for over twelve years. The blue bars in the graph below show how absenteeism has fluctuated but the black line shows how we're experiencing an improving trend.



The number of 'long-term' absences has also fallen. Forty employees were absent for over twenty-eight days in 2016/17 compared to sixty in the previous year.

The following two graphs compare the months of 2015/16 with those of 2016/17. The first graph provides the number of days lost per month and the second graph the number of days lost per person per month. As the organisation shrinks it would be expected that the numbers of days lost to absenteeism also reduces – as shown in the first graph. What is more pleasing is the second graph shows a year-on-year improvement in nine out of the twelve months.



Sickness Absence Reasons

The reasons for sickness absence are shown in the table below. The table shows the days lost due to each reason for the sickness absence and is split by directorate. This is the last report that will include the 'old' directorates. The reason "Stress, depression, mental health, fatigue syndromes" was the biggest contributor to sickness absence in 2015/16 and was a close second to "Stomach, liver, kidney & digestion (incl. gastroenteritis)" in 2016/17.

Days lost by reason and directorate	Comm. Servs	CS & Res	Gov & Reg Servs	ED	OLD CE & DCE Teams	OLD Gov	OLD LE	OLD Res	Total
01 Back and neck problems	53	43	15	1	1	7	250	8	378
02 Other musculo-skeletal problems	202	119	52	25	14	7	95	4	517
03 Stress, depression, mental health, fatigue syndromes	83	32	73	54	19	5	94	145	505
04 Infections (incl. colds and flu)	76	72	57	66	43	10	20	27	369
05 Neurological (incl. headaches and migraine)	14	33	17	6	4	13	12	11	110
06 Genito-urinary / gynaecological	4		21	11	6		20	10	71
07 Pregnancy related (not maternity leave)	1		6						7
08 Stomach, liver, kidney & digestion (incl. gastroenteritis)	194	67	71	32	10	7	89	68	537
09 Heart, blood pressure & circulation	39			2			1	1	43
10 Chest & respiratory (incl. chest infections)	47	34	21	8	2	1	30	5	148
11 Ear, eye, nose & mouth / dental (incl. sinusitis)	8	8	4	5	14	6	30	20	95
12 Other	42	85	23	4	35		69	3	260

Comment from HR Advisory Services Team Leader

The end of year report confirms the ongoing reduction in sickness absence. The 2016/17 figure of 7.4 working days lost per FTE compares well to that of the 2015/16 figure of 8.6 and much improved to that of the 2014/15 figure which was 12.1.

Long term absence as a proportion of total days lost has also reduced from 62% for 2014/15 and 56% for 2015/16 to 48% and continues to drop. As of 25th April 2017 no individual is classed as being on long term absence.

The absence reason has finally seen a reduction in stress related absences and this year stomach related conditions has been the main reason for absence. The top three reasons are: stomach, muscular-skeletal and stress related absences. The reduction in stress related conditions coincides with an improved awareness of the conditions and the introduction of intervention and wellbeing initiatives.

<u>Absence reason</u>	<u>Year 2014/15</u>	<u>Year 2015/16</u>	<u>Year 2016/17</u>
08 Stomach	14.8%	13.4%	17.9%
02 Muscular-skeletal	15.7%	14.3%	17.4%
03 Stress/Depression	19.8%	19.3%	16.9%

4.0 Return to Work Interviews

In 2016/17, 100% of return to work interviews (RTW) were completed. 100% were also completed in 2015/16. The time taken to complete the interviews and the proportion completed within five working days has also been included in the table below.

Directorate	% of RTW conducted	Average time taken to complete RTW (working days)	Proportion of RTW completed within 5 working days
Community Services	100	5.8	82%
Corporate Support & Resources	100	4.7	80%
Economic Development	100	6.6	71%
Governance & Regulatory Services	100	4.7	80%
All Directorates	100	5.4	79%

5. PROPOSALS

The authority continues to monitor sickness absence levels.

6. CONSULTATION

The initial report was reviewed by Senior Management Team on 9/5/17.

7. CONCLUSION AND REASONS FOR RECOMMENDATIONS

The Panel are asked to comment on the sickness absence information with a view to driving continuous improvement.

8. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

Monitoring sickness absence to help ensure the staff resources available to deliver the Carlisle Plan are maximised.

Contact Officer:	Jason Gooding	Ext: 7114
	Gary Oliver	7430

Appendices **Appendix A: Sickness Absence by Directorate.**
attached to report:

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**

Appendix 1: Directorate Sickness Absence Levels 2016/17 (New Council structure in place with effect from 1 October 2016)

1. All Directorates (448 head count/392 Full-Time Equivalents (FTE))

Indicator	2013/14	2014/15	2015/16	2016/17
Working days lost due to sickness absence per FTE	8.8	12.1	8.6	7.4
Number of working days lost due to sickness absence	4913	6268	4046	3037
Proportion of sickness absence that is long term (over 28 days)	54%	62%	56%	48%

2. Economic Development (37 head count/34 FTE)

Indicator	2013/14	2014/15	2015/16	2016/17 Oct – Mar 2017
Working days lost due to sickness absence per FTE	-	-	-	2.1
Number of working days lost due to sickness absence	-	-	-	72
Proportion of sickness absence that is long term (over 28 days)	-	-	-	0%

3. Governance and Regulatory Services (105 head count/84 FTE)

Indicator	2013/14	2014/15	2015/16	2016/17 Oct – Mar 2017
Working days lost due to sickness absence per FTE	-	-	-	3.9
Number of working days lost due to sickness absence	-	-	-	359
Proportion of sickness absence that is long term (over 28 days)	-	-	-	46%

4. Community Services (173 head count/166 FTE)				
Indicator	2013/14	2014/15	2015/16	2016/17 Oct – Mar 2017
Working days lost due to sickness absence per FTE	-	-	-	4.8
Number of working days lost due to sickness absence	-	-	-	761
Proportion of sickness absence that is long term (over 28 days)	-	-	-	54%

5. Corporate Support and Resources (133 head count/108 FTE)				
Indicator	2013/14	2014/15	2015/16	2016/17 Oct – Mar 2017
Working days lost due to sickness absence per FTE	-	-	-	4.4
Number of working days lost due to sickness absence	-	-	-	493
Proportion of sickness absence that is long term (over 28 days)	-	-	-	47%

Report to Resources Overview and Scrutiny Panel

Agenda
Item:

A.6

Meeting Date: 13 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: No
Within Policy and Budget Framework YES
Public / Private Public

Title: END OF YEAR PERFORMANCE REPORT 2016/17
Report of: Policy and Communications Manager
Report Number: PC 09-17

Purpose / Summary:

This report contains the fourth quarter performance against the current service standards and a summary of the Carlisle Plan 2015-18 actions as defined in the 'plan on a page'. Details of the service standard are in the table in Section 1. The table illustrates the annual figure, a quarterly breakdown of performance and an actual service standard baseline that has been established locally. Only the service standard relevant to the Panel is included in this report.

The updates against the actions in the Carlisle Plan follow on from the service standard information in Section 2.

Recommendations:

1. Consider the performance of the City Council presented in the report with a view to seeking continuous improvement in how the Council delivers its priorities.

Tracking

Executive:	3/7/17
Overview and Scrutiny:	Community Overview & Scrutiny 1/6/17 Resources Overview & Scrutiny 13/6/17 Environment and Economy Overview & Scrutiny 15/6/17
Council:	N/A

1. BACKGROUND

Service standards were introduced at the beginning of 2012/13. They provide a standard in service that our customers can expect from the City Council and a standard by which we can be held to account. The measures of the standard of service are based on timeliness, accuracy and quality of the service we provide in areas that have a high impact on our customers.

Regarding the information on the Carlisle Plan, the intention is to give the Panel a brief overview of the current position without duplicating the more detailed reporting that takes place within the Overview and Scrutiny agendas and Portfolio Holder reports. Only the actions within the remit of the Panel are included in this report.

2. PROPOSALS

None – Performance reporting options workshop for Members planned for 20 June 2017

3. CONSULTATION

The report was reviewed by the Senior Management Team on 9 May 2017 and will be/was considered at the other Overview and Scrutiny Panels on the following dates:

Community Overview & Scrutiny 1/6/17

Environment and Economy Overview & Scrutiny 15/6/17

4. CONCLUSION AND REASONS FOR RECOMMENDATIONS

1. The Panel are asked to comment on the End of Year Performance Report prior to it being submitted to Executive.

5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

Detail in the report.

Contact Officers: **Steven O’Keeffe**
 Gary Oliver

Ext: **7258**
 7430

Appendices

attached to report:

None

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**

CORPORATE IMPLICATIONS/RISKS:

Corporate Support and Resources – Responsible for monitoring customer satisfaction, financial management and for managing high level projects.

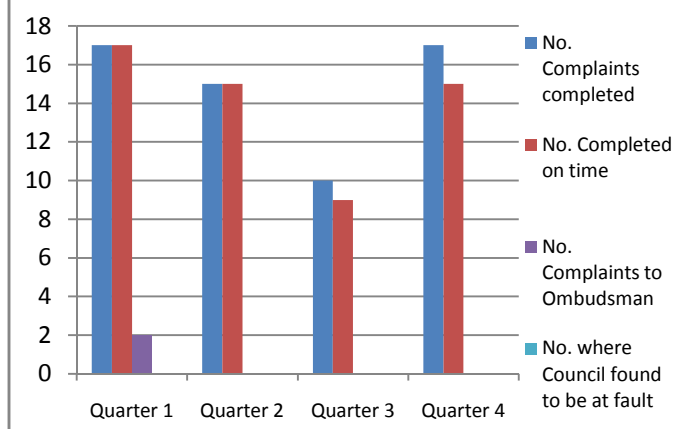
Community Services– Responsible for monitoring and reporting on service standards, progress in delivering the Carlisle Plan and for working with teams to develop team service standards for operational use.

Economic Development – Responsible for managing high level projects and team level service standards on a day-to-day basis.

Governance and Regulatory Services – Responsible for corporate governance and managing team level service standards on a day-to-day basis.

SECTION 1: 2016/17 SERVICE STANDARDS

Service Standard: Percentage of Corporate Complaints dealt with within timescale

Service Standard	2016/17	Performance by Quarter																									
A full response issued to the customer within 15 days of receipt at each stage.	95% (2015/16: 78%)	 <table><caption>Performance by Quarter Data</caption><thead><tr><th>Quarter</th><th>No. Complaints completed</th><th>No. Completed on time</th><th>No. Complaints to Ombudsman</th><th>No. where Council found to be at fault</th></tr></thead><tbody><tr><td>Quarter 1</td><td>17</td><td>17</td><td>2</td><td>0</td></tr><tr><td>Quarter 2</td><td>15</td><td>15</td><td>0</td><td>0</td></tr><tr><td>Quarter 3</td><td>10</td><td>9</td><td>0</td><td>0</td></tr><tr><td>Quarter 4</td><td>17</td><td>15</td><td>0</td><td>0</td></tr></tbody></table>	Quarter	No. Complaints completed	No. Completed on time	No. Complaints to Ombudsman	No. where Council found to be at fault	Quarter 1	17	17	2	0	Quarter 2	15	15	0	0	Quarter 3	10	9	0	0	Quarter 4	17	15	0	0
Quarter	No. Complaints completed	No. Completed on time	No. Complaints to Ombudsman	No. where Council found to be at fault																							
Quarter 1	17	17	2	0																							
Quarter 2	15	15	0	0																							
Quarter 3	10	9	0	0																							
Quarter 4	17	15	0	0																							

Contextual Information:

59 complaints were received during 2016/17 compared to 60 in 2015/16. So far only two have reached Ombudsman stage in 2016/17 compared to eight last year.

Carlisle Plan on a Page Nov 16 – Mar 18 Delivery (ROSP Actions)

Priority	Key Action/Project	Directorate	Progress in Quarter 4 2016/17
Support business growth and skills development to improve opportunities and economic prospects for the people of Carlisle	<i>Business Property & Infrastructure</i>		
	Promote development opportunities for City Council property assets at Caldew Riverside and English Street, with Cumbria County Council (ongoing).	Economic Development	Discussions with the County Council and other interested parties are continuing regarding the redevelopment potential of these sites.

Priority	Key Action/Project	Directorate	Progress in Quarter 4 2016/17
Further develop sports, arts and cultural facilities to support the health and wellbeing of our residents	<i>Service & Facilities Development</i>		
	Develop and deliver the proposed new leisure contract to improve facilities at The Sands Centre in line with the City Sports Facilities Development Plan and enhance the leisure services across the city (November 2017)	Community Services	Initial proposals have been received from interested bidders, they have been reviewed and feedback has been provided. Refined requirements have been issued to bidders and they are currently working up their detailed solutions. We remain on schedule to have a preferred bidder in place in the Summer and to complete the retender on time.

Report to Resources Overview And Scrutiny Panel

Agenda
Item:
A.7
(a)

Meeting Date: 13th June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD.06/17
Within Policy and Budget Framework YES
Public / Private Public

Title: PROVISIONAL GENERAL FUND REVENUE OUTTURN 2016/17
Report of: CHIEF FINANCE OFFICER
Report Number: RD03/17

Purpose / Summary: This report summarises the 2016/17 provisional outturn for the General Fund revenue budget considered by the Executive on 5 June 2017.

Questions for / input required from Scrutiny:

To scrutinise and provide feedback on the options available to the Council as set out in the report relating to the carry forward requests, noting the implications on Council Reserves and 2017/18 Directorate budgets.

Recommendations:

Members of the Resources Overview and Scrutiny Panel are asked to consider this report.

Tracking

Executive:	5 June 2017
Overview and Scrutiny:	ROSP 13 June 2017
Audit Committee:	14 July 2017
Council:	11 July 2017

Report to Executive

Agenda
Item:

Meeting Date: 5th June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD.06/17
Within Policy and Budget Framework YES
Public / Private Public

Title: PROVISIONAL GENERAL FUND REVENUE OUTTURN 2016/17
Report of: CHIEF FINANCE OFFICER
Report Number: RD 03/17

Purpose / Summary: This report summarises the 2016/17 provisional outturn for the General Fund revenue budget and gives reasons for the variances.

The outturn position shows a net underspend of £441,832 for Council services as at 31 March 2017, once items to be carried forward/transferred to reserves totalling £800,300 and accounting treatment changes of £1,202,906 are taken into account.

It should be noted that the information contained in this report is provisional, subject to the formal audit process. The Draft Statement of Accounts for 2016/17 will be presented to the Audit Committee on 14 July, with final approval of the audited accounts on 31 July.

Recommendations:

The Executive is asked to:

- (i) Note the net underspend as at 31 March 2017 of £441,832 after carry forwards as set out in (ii) below and net transfers to/from earmarked reserves as noted in (iii) below;
- (ii) Note the committed expenditure totalling £393,000 to be met in 2017/18 which has been approved by the Chief Finance Officer under delegated powers, and the release of £393,000 in 2017/18 from the General Fund Reserve, for recommendation to Council;
- (iii) Approve for recommendation to Council, the creation of new reserves and transfers into the new and existing reserves of £407,300 as detailed in paragraph 4.3 and 5.1 and Appendix C2 of the report;

- (iv) Approve for recommendation to Council, the creation of new reserves and transfers into the new reserves of £1,202,906 in relation to accounting treatment amendments as set out at paragraph 5.2.

Tracking

Executive:	5 June 2017
Overview and Scrutiny:	ROSP 13 June 2017
Audit Committee:	14 July 2017
Council:	11 July 2017

1. BACKGROUND

- 1.1 In accordance with the City Council's Financial Procedure Rules, the Chief Finance Officer is required to report to the Executive on the overall budget position, the monitoring and control of expenditure against budget allocations and the exercise of virement on a regular basis. Further details of virements processed can be found in **Appendix A**. It is the responsibility of individual Chief Officers to control income and expenditure within their service areas and to monitor performance, taking account of financial information provided by the Chief Finance Officer.
- 1.2 This report shows the provisional outturn position for the General Fund Revenue budgets for 2016/17.
- 1.3 A summary of the overall position is shown in paragraph 2. Further details for each directorate are included in **Appendices B1 – B6** as follows:
- (i) A comparison of the outturn position against the budget.
 - (ii) An analysis of the major variances relating to both income and expenditure, with comments from the Chief Officer.
 - (iii) The items of carry forwards to cover committed expenditure to be expended in line with the original purpose. These requests follow the procedure agreed by Council with every form being signed off by the relevant Chief Officer after discussion with the Portfolio holder, and the Chief Finance Officer.
 - (iv) Reserves to be established and/or increased to support possible future funding obligations.
- 1.4 Members should note that the information contained in this report is provisional and subject to the formal audit process. The formal Statement of Accounts for 2016/17 will be presented to the Audit Committee on 14 July, with formal approval of the audited accounts on 31 July. Any significant changes required following the approval of the 2016/17 accounts will, if necessary, be reported to a future Executive meeting.
- 1.5 Please note that throughout this report:
- (i) the use of a bracket represents a favourable position i.e. either an underspend or additional income received,
 - (ii) the term 'underspend' is taken to include both reduced expenditure and/or increased income,
 - (iii) the term 'overspend' includes both spending above budget and/or reduced income levels.

2. SUMMARY REVENUE OUTTURN 2016/17

- 2.1 The following table shows the revised 2016/17 budget for the General Fund:

2016/17 Revenue Budget	£
Approved Budget (Council resolution – February 2016)	13,091,300
Carry forward requests (2015/16 out-turn)	528,000
Council Resolution 2016/17	13,619,300
Non-Recurring Expenditure	
IT Renewals Reserve (Enterprise Licences & ICT Strategy)	287,800
Leisure Reserve (Market Engagement & Retender Advisor)	37,600
Economic Investment Reserve (Project officer, match funding & other project based work)	101,400
Cremator Replacement Reserve	(112,600)
Energy Efficiency Advice Reserve (Homelife)	42,000
General Carry Forward Reserve	124,400
Transformation Reserve (VR/ER costs)	197,900
Conservation Reserve (Emergency Works Central Plaza)	116,700
Car Park Enhancement Reserve (Ticket machine upgrades)	48,200
Carry forward request into 2017/18 (approved in year)	(97,000)
Updated Budget 2016/17	14,365,700

- 2.2 The provisional outturn position for the General Fund is summarised below and explanations for the main variances are provided in the appendices. The significant variances and key issues are highlighted in paragraph 3:

Directorate / Appendix	Annual Net Budget (£)	Total Spend (£)	Net Variance at 31/03/17 (£)	Carry Forwards (£)	Reserves (£)	Adjusted Variance (£)
Community Services B1	8,932,200	8,447,559	(484,641)	42,400	288,800	(153,441)
Corporate Support & Resources B2	3,589,900	3,094,037	(495,863)	0	0	(495,863)
Economic Development B3	1,345,600	1,354,025	8,425	8,100	36,000	52,525
Governance & Regulatory Services B4	434,200	352,653	(81,547)	148,800	82,500	149,753
Corporate Management (excl flood settlements) ⁽¹⁾ B5	63,800	(350,536)	(414,336)	193,700	0	(220,636)
Sub Total	14,365,700	12,897,738	(1,467,962)	393,000	407,300	(667,662)
DRF Flood Settlements	2,644,700	1,937,246	(707,454)	713,500	0	6,046
Flood Expenditure (net) (2) B6	(2,644,700)	(1,711,416)	933,284	(713,500)	0	219,784
Net position on Flood	0	225,830	225,830	0	0	225,830
Net position on Revenue Fund	14,365,700	13,123,568	(1,242,132)	393,000	407,300	(441,832)

2.3 The above table details the net Council budget. The Council's original gross budget for 2016/17 was £59.06m and although there are many individual variances as detailed by directorates in **Appendices B1 – B6**, the net underspend equates to 0.76% of this budget.

3. EXPLANATION OF SIGNIFICANT VARIANCES & KEY ISSUES

3.1 The provisional outturn position for 2016/17 is an underspend of £441,832 after taking into account carry forward requests of £393,000 as set out in paragraph 4, transfers to earmarked reserves totalling £407,300, as set out in paragraph 5 and transfers to earmarked reserves due to changes in accounting treatment of £1,202,906 as set out in paragraph 5.

3.2 Some of the **significant** service expenditure and income variances are set out below. Many of these have been reported throughout the year in budget monitoring reports and further explanations are provided in the appendices.

Under achieved Income

- Shortfall on Development Control income of £70,600.

- Shortfall on income from Tourist Information Centre of £50,900 (partly offset by underspends on expenditure of £38,700).
- Shortfall on income from Lanes of £415,200. £269,700 relating to a head rent adjustment for 2015/16 after completion of the detailed reconciliation of Head Rent calculation for 2015/16. This was received too late to be included within the outturn position for 2015/16. Revised Head Rent Projections for 2016/17 have been estimated at a further shortfall of £145,500.
- Underachieved income of £61,800 due to the change in accounting treatment and duplication of the Homelessness Prevention Grant.

Over achieved Income/Grants & Contributions

- Improved levels of income from property rent reviews of £148,800. These are in advance of the £1m additional income from the Council's assets to be achieved from 2018/19 onwards.
- Improved levels of income across the Industrial Estates, mainly from a further backdated rent review of £77,500 (this is non-recurring).
- Improved Crematorium income of £125,400.
- Improved income levels from Garden Waste of £51,800 and Plastic & Card Recycling of £36,900.
- Improved income levels from Off Street Parking of £56,000. This is partly offset by increased costs.
- Improved levels of Building Control income of £48,500.
- Net underspend in Revenues and Benefits of £136,200.

Under budget Expenditure

- Underspend on Minimum Revenue Provision of £156,700 due to a lower Capital Financing Requirement (CFR) at 31st March 2016.
- Additional salary turnover saving achieved of £114,700.
- Savings on previous year inflation of £57,900.
- Additional transformation savings of £66,400.
- Net underspend on Building & Facilities of £242,600, including under budget expenditure at Civic Centre of £110,400 mainly from credits for previous year energy costs.

Over budget Expenditure

- Overspend of £76,500 in relation to NNDR payments for properties earmarked for demolition. The demolition has now been completed so there is no further NNDR liability going forward.

- 3.3 A subjective analysis of the summarised outturn position excluding flood related items is shown below:

Subjective Analysis	Annual Budget (£)	Actual to date (£)	Adjusted Variance (£)
Employee Related	15,404,400	15,044,200	(360,200)
Premises Related	3,862,300	3,883,481	21,181
Transport Related	1,319,900	1,252,471	(67,429)
Supplies and Services	5,741,600	6,835,676	1,094,076
Third Party Payments	3,255,200	3,320,905	65,705
Other e.g. Housing Benefits	30,232,500	29,886,774	(345,726)
Total Expenditure	59,815,900	60,223,507	407,607
Grants and Contributions	(5,509,200)	(7,238,430)	(1,729,230)
Specific Grants e.g. Housing Benefits	(28,388,800)	(28,456,314)	(67,514)
Customer & Client Receipts	(11,280,400)	(11,317,651)	(37,251)
Other Income	(271,800)	(313,374)	(41,574)
Total Income	(45,450,200)	(47,325,769)	(1,875,569)
Total	14,365,700	12,897,738	(1,467,962)

- 3.4 The reallocation of central departments' balances to service areas still has to be carried out, which explains many of the small balances held on some management and support service centres. This reallocation will be completed before the Statement of Accounts is prepared, but has no impact on the overall out-turn position.
- 3.5 Members are regularly updated on the budget position throughout the year, with quarterly reports being considered by the Executive and scrutinised by Resources Overview and Scrutiny Panel. Many of the variances shown in the Appendices have previously been reported with any necessary steps to mitigate the impact on the future budget position dealt with as part of the 2017/18 budget. However, some pressures may have an ongoing impact which must be addressed during the forthcoming 2018/19 budget process.

4. CARRY FORWARD REQUESTS

- 4.1 In accordance with the Council's Constitution, any net underspending/savings on service estimates under the control of the Chief Officer may be carried forward. This is to facilitate the achievement of more strategic five year budgeting which requires

greater flexibility of budgets between years as set out in the Medium Term Financial Plan. Approval of carry forwards is subject to the following as contained in the Council's Constitution:

- *the authorisation of the Chief Finance Officer where the request relates to a specific committed item of expenditure where, due to external or other factors, the Chief Officer has been unable to spend the approved budget by 31 March. The use of the resource will be restricted to the purpose for which the estimate was originally intended. The carry forward will only be approved by the Chief Finance Officer if the expenditure is within both the Directorate's and the Authority's budget as approved for that year. Any carry forward which would result in an over-spend for the Authority will require authorisation by the Council.*
- *any overspending on service estimates in total on budgets under the control of the Chief Officer must be carried forward to the following year, and will constitute the first call on service budgets in the following year, unless the Council determines otherwise by way of a supplementary estimate. The Chief Finance Officer will report the extent of overspending carried forward to the Executive, Resources Overview and Scrutiny Panel and to the Council.*

The delegated power applies only in so far as the carry forwards do not take the Council into an overspend position.

- 4.2 Details of the carry forward requests, which itemise committed expenditure, are contained within **Appendix C1**. The requests have been subject to the scrutiny of the relevant Chief Officer and Portfolio Holder prior to formal consideration by SMT and the Chief Finance Officer, who is satisfied that budgets of £393,000 should be carried forward into 2017/18. Although some Directorates have expended in excess of their budgets, or have suffered reduced income as detailed in the individual appendices, once the committed expenditure is taken into account there is an overall underspend across the whole authority. These amounts have therefore been included in the carry forward. The relevant Chief Officer will be able to give further details of carry forward requests if required at the meeting.
- 4.3 As well as requests of £393,000 to be carried forward a further £151,700 of requests were also submitted (see table at paragraph 5.1). Given there is a net underspend position and that many of the additional requests are uncommitted or have existing budgets in 2017/18, it is again proposed to hold the budgets for these requests centrally in a general carry forward reserve which will only be released once evidence has been provided that expenditure is to be incurred in line with the original request **and** the 2017/18 base budgets would be overspent. This list of

requests will be monitored as part of the quarterly budget monitoring throughout 2017/18.

- 4.4 For information, the table below provides details of the outturn position (excluding funding) and level of carry forward requests over the last five years for illustrative purposes:

	2016/17 Provisional £	2015/16 £	2014/15 £	2013/14 £	2012/13 £
Variance at 31 March	(1,242,132)	(2,612,443)	(3,517,344)	(1,331,125)	(1,021,350)
Carry forward requests	393,000	593,900	671,600	767,600	696,400
Final Variance	(849,132)	(2,018,543)	(2,845,744)	(563,525)	(324,950)
Less Transfers	<u>407,300</u>	<u>1,993,500</u>	<u>1,411,000</u>	<u>480,943</u>	<u>249,703</u>
Service Expenditure variance	(441,832)	(25,043)	(1,434,744)	(82,582)	(75,247)
Percentage variance on service expenditure of original gross budget	(0.76)%	(0.04)%	(2.39)%	(0.14)%	(0.11)%

5. RESERVES AND PROVISIONS

- 5.1 Details of transfers into new/existing reserves and provisions requested as part of the outturn process are contained within **Appendix C2** and are summarised below.

	Approval Requested £
Carry Forward Reserve (para 4.3):	
Community Services	83,700
Economic Development	6,000
Governance & Regulatory Services	62,000
Total Transfer to Carry Forward Reserve	151,700
Prosecution Reserve Fund (new)	20,500
Promoting Carlisle Reserve (new)	30,000
Cremator Reserve	163,100
Car Parking Reserve	42,000
Total Transfers to Reserves (Outturn)	407,300

- 5.2 As a result of a change in accounting treatment and in order to recognise income in the correct accounting period, it has been necessary to establish further reserves totalling £1,202,906. This relates to income received both in 2016/17 and in prior years which has been accounted for as either Income in Advance of other Provisions. Currently contained within the 'total spend' figure for each Directorate, the income should be recognised on the balance sheet as a Reserve rather than a provision/income in advance and it is therefore recommended to set up specific reserves and transfer balances into these reserves as detailed in the table below and Appendix C2. The use of this reserve will be subject to the approval of the Chief Finance Officer in consultation with the relevant Chief Officer.

	Approval Requested £
Revenues and Benefits Reserve	338,385
Revenue Grants Reserve	864,521
Total Transfers to Reserves (Outturn)	1,202,906

- 5.3 The outturn position includes some uninsured flood costs such that are not covered by insurance or other external funding sources. As part of the 2015/16 outturn, a Flood Reserve was established and a balance of £500,000 transferred in; however, it is proposed to fund the balance of uninsured flood costs (£225,830) from the general revenue underspend and leave the full balance in the Flood Reserve to cover any further costs that are not recoverable from insurers in future years.
- 5.4 In accordance with statutory requirements any surplus generated by the Building Control function is required to be held as an identified earmarked reserve and can only be utilised for Building Control. In 2016/17 the required amount to be transferred to the Building Control Reserve is £49,961.
- 5.5 The level of Council reserves was approved by Council in February. Due to the level of underspend identified within this report after all carry forward requests are approved and transfers to/from earmarked reserves, approximately £1,029,000 will be returned to the General Fund Reserve.

	31/03/2017 £'000s	31/03/2018 £'000s	31/03/2019 £'000s	31/03/2020 £'000s	31/03/2021 £'000s	31/03/2022 £'000s
Prudent Level of Reserves	(2,000)	(2,000)	(2,000)	(2,000)	(2,000)	(2,000)
Council Resolution General Fund Reserve	(1,570)	(1,997)	(2,395)	(2,469)	(2,927)	(2,943)
Underspend position returned to Reserves	(1,242)	0	0	0	0	0
Additional Funding from Business Rates	(637)					
Transfer (from)/to earmarked reserves & provisions: ⁽¹⁾						
- see paragraph 5.1	407					
- see paragraph 5.4	50					
Committed Carry Forwards	0	393	0	0	0	0
Revised Reserves Balance	(2,992)	(3,026)	(3,424)	(3,498)	(3,956)	(3,972)

Note 1: Transfers to/(from) earmarked reserves subject to approval

- 5.6 The Carry Forward Reserve is retained as a general reserve rather than an earmarked reserve as budgets will be released back into the General Fund Reserve if the expenditure incurred in line with the original requests can be met from within base budgets.

6. BAD DEBT PROVISION

- 6.1 The Council's bad debt provision has been increased in respect of housing benefit overpayments and sundry debtors, and reduced in respect of penalty charge notices, and this has been allocated directly to the services. Further details can be found in report RD06/17 elsewhere on the agenda.

7. BALANCE SHEET

- 7.1 In line with suggested best practice, information relating to significant items on the Council's balance sheet has been reported regularly to Members during the course of the year. The Council's balance sheet as at 31 March 2017 forms part of the annual Statement of Accounts that will be considered by the Audit Committee on 14 July, with final approval of the audited accounts on 31 July.
- 7.2 The VAT partial exemption calculation has been finalised for 2016/17 resulting in 2.97% for the year which is well below the 5% limit set by HMRC.
- 7.3 The 2016/17 Council Tax Collection Fund projected surplus has increased from £1,242,496 to £1,708,288 (Council share increased from £159,180 to £217,388).

- 7.4 2016/17 is the fourth year of the Business Rate Retention Scheme and new Collection Fund Accounting Regulations and the third year the Council has participated in the Cumbria Pooling arrangement.
- 7.5 The detailed figures for Business rates are considered elsewhere on the agenda in report RD06/17. The Council budgeted for additional income of £660,000, and the outturn shows that an additional £637,000 has been achieved in 2016/17. This surplus on the budget will be an additional contribution to General Fund Reserves.

The Council Tax and NNDR Provisional outturn report provides further details and is considered elsewhere on the agenda (RD06/17).

8. CONSULTATION

- 8.1 Consultation to date.
Portfolio Holders and SMT have considered the issues raised in this report.
- 8.2 Consultation Proposed.
Resources Overview and Scrutiny Panel will consider the report on 13 June 2017.

9. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 9.1 The Executive is asked to:
- (i) Note the net underspend as at 31 March 2017 of £441,832 after carry forwards as set out in (ii) below and net transfers to/from earmarked reserves as noted in (iii) below;
 - (ii) Note the committed expenditure totalling £393,000 to be met in 2017/18 which has been approved by the Chief Finance Officer under delegated powers, and the release of £393,000 in 2017/18 from the General Fund Reserve, for recommendation to Council;
 - (iii) Approve for recommendation to Council, the creation of new reserves and transfers into the new and existing reserves of £407,300 as detailed in paragraph 4.3 and 5.1 and Appendix C2 of the report;
 - (iv) Approve for recommendation to Council, the creation of new reserves and transfers into the new reserves of £1,202,906 in relation to accounting treatment amendments as set out at paragraph 5.2.

10. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

- 10.1 The Council's budget is set in accordance with the priorities of the Carlisle Plan and the 2016/17 outturn shows the delivery of these priorities within budget.

Contact Officer: Emma Gillespie

Ext: 7289

Appendices A, B1 to B6 and C1 to C2.
attached to report:

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**

CORPORATE IMPLICATIONS/RISKS: SMT and JMT have been involved in the preparation of this report. Risks to future years' budget and development of ongoing impact of issues identified will be monitored carefully in budget monitoring reports and appropriate action taken.

Community Services – N/A

Corporate Support & Resources – Financial implications are contained within the main body of the report.

Economic Development – N/A

Governance & Regulatory Services – The Council has a fiduciary duty to manage its finances properly and the proper reporting of the outturn figures is part of this process. Approval of full Council is required for the additional use of revenue reserves to fund expenditure commitments as set out in the report.

REVENUE BUDGET MONITORING 2016/17

VIREMENTS PROCESSED FOR PERIOD JANUARY TO MARCH 2017

Date	Virement Details	Permanent/ Temporary	Value	Authorised By
Requested by Officers (under £35,000 or delegated authority)				
10/01/2017	Appointment of Leisure Contract Retender Advisor (up to £125,000)	Temporary	19,700	OD 184/15 Deputy Chief Executive
20/02/2017	Release of funds from Carry Forward Reserve to fund security gate installation at Bousteads Grassing.	Temporary	30,000	Chief Finance Officer 20/02/17
13/02/2017	Funding to commence work on CIL from Economic Investment Reserve	Temporary	15,000	OD 37/17 Chief Executive
01/03/2017	Funding Local Plan Examination costs from General Carry Forward Reserve	Temporary	6,800	Director of Resources (email 01/09/16)
31/03/2017	Provision of budget from Community centres to part fund increased Community Centre ICT costs	Permanent	3,300	Deputy Chief Executive
31/03/2017	Funding Citadel/English Street Feasibility Appraisal from Economic Investment & Policy Reserve	Temporary	23,000	OD 053/17 Chief Executive
31/03/2017	To provide match funding to support delivery of ERDF 2014-20 Business Start-Up support & Cumbria Growth Hub programmes from the Economic Investment Reserve	Temporary	50,000	OD 050/17 Chief Executive
Approved by Executive (£35,000 to £70,000)				
31/03/2017	Release of budget from the Repair & Renewals Reserve to fund ICT Strategy implementation	Temporary	198,900	RD57/15 Executive 08/02/16
Approved by Council (over £70,000)				
	Increase salary grades for Corporate Directors	Permanent	6,100	CE11/16 Council 08/11/16

REVENUE BUDGET MONITORING 2016/17

COMMUNITY SERVICES	Gross Expenditure	Gross Income	Recharges	Carry Forwards Awaiting Approval	Reserves / Provisions	Total
Position as at 31st March 2017	£	£	£	£	£	£
Annual Budget	17,284,100	(5,595,400)	(2,756,500)			8,932,200
Budget to date	17,284,100	(5,595,400)	(2,756,500)			8,932,200
Total Actual	17,172,169	(6,020,575)	(2,704,035)			8,447,559
Variance	(111,931)	(425,175)	52,465			(484,641)
Carry Forwards/Reserves & Provisions				42,400	288,800	331,200
Adjusted Variance	(111,931)	(425,175)	52,465	42,400	288,800	(153,441)

Analysis of Variances		Expenditure Variance	Income Variance	Recharges Variance	Carry Forwards Awaiting Approval	Reserves / Provisions (A)	Adjusted Variance
Service	Note	£	£	£	£	£	£
Bereavement Services	1	(22,294)	(140,827)	(38)	0	163,100	(58)
Garage Services	2	(19,167)	(7,968)	49,532	0	0	22,397
Green Spaces	3	(17,403)	(44,737)	0	0	7,500	(54,640)
Parking	4	38,464	(81,567)	(0)	0	30,300	(12,804)
Tourist Information Centres	5	(38,656)	50,903	0	0	0	12,246
Waste Services	6	(43,035)	(85,485)	0	33,200	41,000	(54,321)
Miscellaneous	7	(9,839)	(115,493)	2,971	9,200	46,900	(66,262)
Total Variance to date		(111,931)	(425,175)	52,465	42,400	288,800	(153,441)

REVENUE BUDGET MONITORING 2016/17

Note	Community Services - Comments
1.	Various minor underspends including energy costs; increased cremation fee income. Balance requested to be transferred into Cremator Replacement Reserve.
2.	Under budget employee costs; shortfall on job recharges partly offset by increased external income.
3.	Various minor underspends & additional income across the service.
4.	Over budget NNDR costs; offset by additional permit income, rental income and PCN income. Transfer to Car Parking Reserve requested for future improvements.
5.	Under budget employee costs offset by shortfall in income from sale of goods & accommodation bookings.
6.	Under budget employee costs, transport costs & supplies & services; surplus income from Garden Waste & Plastics and Card Recycling.
7.	Various minor underspends & additional income across the service.

REVENUE BUDGET MONITORING 2016/17

CORPORATE SUPPORT AND RESOURCE	Gross Expenditure	Gross Income	Recharges	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Total
Position as at 31st March 2017	£	£	£	£	£	£
Annual Budget	39,366,000	(29,740,300)	(6,035,800)			3,589,900
Budget to date	39,366,000	(29,740,300)	(6,035,800)			3,589,900
Total Actual	40,311,368	(31,173,705)	(6,043,626)			3,094,037
Variance	945,368	(1,433,405)	(7,826)			(495,863)
Carry Forwards/Reserves & Provisions				0	0	0
Adjusted Variance	945,368	(1,433,405)	(7,826)	0	0	(495,863)

Analysis of Variances		Expenditure Variance	Income Variance	Recharges Variance	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Variance
Service	Note	£	£	£	£	£	£
Treasury and Debt Management	1	(160,085)	(15,969)	3,749	0	0	(172,305)
Revenues and Benefits	2	1,213,025	(1,349,198)	0	0	0	(136,173)
Miscellaneous	3	(107,572)	(68,238)	(11,575)	0	0	(187,385)
Total Variance to date		945,368	(1,433,405)	(7,826)	0	0	(495,863)

Note	Corporate Support & Resources - Comments
1.	Under budget on Minimum Revenue Provision, over achieved market deposit investment interest.
2.	Overspend in relation to S31 Flood Grants matched by increased income.
3.	Various minor underspends, and increased levels of income.

REVENUE BUDGET MONITORING 2016/17

ECONOMIC DEVELOPMENT	Gross Expenditure	Gross Income	Recharges	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Total
Position as at 31st March 2017	£	£	£	£	£	£
Annual Budget	3,150,100	(1,402,500)	(393,900)			1,353,700
Budget to date	3,142,000	(1,402,500)	(393,900)			1,345,600
Total Actual	3,273,864	(1,525,939)	(393,900)			1,354,025
Variance	131,864	(123,439)	0			8,425
Carry Forwards/Reserves & Provisions				8,100	36,000	44,100
Adjusted Variance	131,864	(123,439)	0	8,100	36,000	52,525

Analysis of Variances		Expenditure Variance	Income Variance	Recharges Variance	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Variance
Service	Note	£	£	£	£	£	£
Development Control	1	(2,161)	70,621	0	0	6,000	74,460
Building Control	2	(49,343)	(48,577)	0	0	0	(97,920)
Miscellaneous	3	183,368	(145,483)	0	8,100	30,000	75,985
Total Variance to date		131,864	(123,439)	0	8,100	36,000	52,525

Note	Economic Development - Comments
1.	Shortfall in income from fees and charges.
2.	Underspend on employee costs; surplus fee income received to date.
3.	Various net minor overspends and surplus income across the service.

REVENUE BUDGET MONITORING 2016/17

GOVERNANCE AND REGULATORY	Gross Expenditure	Gross Income	Recharges	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Total
Position as at 31st March 2017	£	£	£	£	£	£
Annual Budget	10,449,300	(6,592,800)	(3,273,500)			583,000
Budget to date	10,300,500	(6,592,800)	(3,273,500)			434,200
Total Actual	10,351,179	(6,689,315)	(3,309,211)			352,653
Variance	50,679	(96,515)	(35,711)			(81,547)
Carry Forwards/Reserves & Provisions				148,800	82,500	231,300
Adjusted Variance	50,679	(96,515)	(35,711)	148,800	82,500	149,753

Analysis of Variances		Expenditure Variance	Income Variance	Recharges Variance	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Variance
Service	Note	£	£	£	£	£	£
Buildings and Facilities	1	(74,802)	(2,421)	(31,869)	0	0	(109,091)
Civic Centre	2	(110,449)	(23,102)	0	0	30,500	(103,050)
Municipal Elections	3	153,575	(169,279)	0	0	0	(15,704)
Homeless Accommodation	4	(77,376)	(8,141)	0	85,500	0	(16)
Homeless Prevention & Welfare	5	156,020	(143,616)	0	63,300	0	75,705
Industrial Estates	6	105,830	(77,536)	0	0	13,100	41,394
The Lanes	7	(6,466)	415,225	0	0	0	408,759
Asset Review Income	8	(148,800)	0	0	0	0	(148,800)
Property Services	9	93,295	(4,360)	(0)	0	0	88,935
Miscellaneous	11	(40,150)	(83,286)	(3,842)	0	38,900	(88,378)
Total Variance to date		50,679	(96,515)	(35,711)	148,800	82,500	149,753

Note	Governance & Regulatory Services - Comments
<ol style="list-style-type: none"> 1. 2. 3. 4. 5. 6. 7. 8. 9. 10. 	<p>Underspend on employee, transport, supplies & services & third party payments; surplus income from job recharges.</p> <p>Underspend on energy costs due to credit for previous year.</p> <p>Increased expenditure offset by additional income for election costs.</p> <p>Lower expenditure levels due to temporary closure of John Street.</p> <p>Underspend on supplies & services, overspend due to Domestic Abuse grant payments to partners; underachieved income due to the change in accounting treatment and duplication of the Homelessness Prevention Grant.</p> <p>Overspend on NNDR in relation to properties earmarked for demolition; surplus rent income due to rent reviews and backdated rent income.</p> <p>Underspend on third party payments; underachieved rent income due to a head rent adjustment relating to 2015/16 & estimated shortfall for 2016/17.</p> <p>Additional income generated from rent reviews being set aside as savings in advance of a future year's saving target.</p> <p>Overspend on premises costs at John Street Resource Centre & in relation to asset disposal costs & Chancerygate costs.</p> <p>Various net minor overspends and surplus income across the service.</p>

REVENUE BUDGET MONITORING 2016/17

CORPORATE MANAGEMENT	Gross Expenditure	Gross Income	Recharges	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Total
Position as at 31st March 2017	£	£	£	£	£	£
Annual Budget	2,522,600	(2,458,800)	0			63,800
Budget to date	2,522,600	(2,458,800)	0			63,800
Total Actual	2,121,892	(2,472,428)	0			(350,536)
Variance	(400,708)	(13,628)	0			(414,336)
Carry Forwards/Reserves & Provisions				193,700	0	193,700
Adjusted Variance	(400,708)	(13,628)	0	193,700	0	(220,636)

Analysis of Variances		Expenditure Variance	Income Variance	Recharges Variance	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Variance
Service	Note	£	£	£	£	£	£
Direct Revenue Financing (excluding Flood)	1	(197,934)	0	0	193,700	0	(4,234)
Non Distributed Costs	2	51,194	0	0	0	0	51,194
Other Financial Costs	3	(252,240)	(13,627)	0	0	0	(265,867)
Miscellaneous	4	(1,728)	(1)	0	0	0	(1,729)
Total Variance to date		(400,708)	(13,628)	0	193,700	0	(220,636)

Note	Corporate - Comments
1.	Underspend on RBS ICT Upgrades, property improvements, Market Hall Roof & DIS Strategy. Carry forward to fund continuing capital schemes.
2.	Overspend on shared service pension costs.
3.	Improvements in savings for Salary Turnover (£114,700), Inflation savings (£57,900) & transformation savings (£66,400); additional grant income received.
4.	Various minor underspends.

REVENUE BUDGET MONITORING 2016/17

REVENUE FLOOD RECOVERY	Gross Expenditure	Gross Income	Recharges	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Total
Position as at 31st March 2017	£	£	£	£	£	£
Annual Budget	2,662,300	(2,662,300)	0			0
Budget to date	2,662,300	(2,662,300)	0			0
Total Actual	5,239,416	(5,013,586)	0			225,830
Variance	2,577,116	(2,351,286)	0			225,830
Carry Forwards/Reserves & Provisions				0	0	0
Adjusted Variance	2,577,116	(2,351,286)	0	0	0	225,830

Analysis of Variances		Expenditure Variance	Income Variance	Recharges Variance	Carry Forwards Awaiting Approval	Reserves / Provisions	Adjusted Variance
Service	Note	£	£	£	£	£	£
Flood Damage Recovery	1	868,791	66,124	0	(713,500)	0	221,415
Flood Government Grant	2	2,401,125	(2,401,125)	0	0	0	0
Bellwin Scheme	3	14,654	(16,284)	0	0	0	(1,630)
Direct Revenue Financing (Flood Related)	4	(707,454)	0	0	713,500	0	6,046
Total Variance to date		2,577,116	(2,351,286)	0	0	0	225,830

Note	Flood - Comments
1.	Additional costs incurred as a result of the floods which will be recoverable through Insurance in full or in part. Variance shown is the balance required to be funded from revenue reserves as this is not covered by insurance.
2.	Flood grants paid out; fully recoverable through government grants.
3.	Initial response expenditure fully recoverable by Bellwin Claim.
4.	Direct Revenue Financing from Insurance settlements to fund capitalised flood reinstatement costs .

2016/17 REVENUE CARRY FORWARD REQUESTS

APPENDIX C1

Directorate/Section	Description	Requests into			Total
		2017/18 £	2018/19 £	2019/20 £	
<u>Corporate Support & Resource</u>					0
		0	0	0	0
<u>Corporate Management</u>					
Direct Revenue Financing	Budgets allocated to fund capital programme where expenditure has slipped into 2017/18 and resources are required to be carried forward	193,700			193,700
					0
		193,700	0	0	193,700
<u>Community Services</u>					
Apprenticeships	To fund the appointment of 5 apprentices for 2 years which covers 3 financial years (Jun 17 to Jun 19)	33,200			33,200
Small Scale Community Projects	Project to install alleygates in Denton Holme is ongoing and cannot be completed until after a consultation period.	3,000			3,000
Downagate Community Centre grant	Executive members agreed to consolidated the grant payment for the next 3 years into a single payment in 2017/18.	6,200			6,200
		42,400	0	0	42,400
<u>Economic Development</u>					
Community Infrastructure Levy	Balance of £15,000 released from the Economic Investment Reserve. Spend has been delayed to ensure a clearer indication of the Government's intentions for a new approach for developer contributions is achieved.	8,100			8,100
		8,100	0	0	8,100
<u>Governance & Regulatory</u>					
John Street Refurbishment	To provide budget to cover additional refurbishment costs at John Street that are not covered by insurance.	85,500			85,500
Homelessness Prevention Funding	Homelessness prevention grant to deliver and support Homeless Prevention Services in line with legislative/strategic requirements and objectives.	63,300			63,300
		148,800	0	0	148,800
<u>Flood</u>					
Flood Insurance Settlements	Negative carry forward to match capital and balance off against when insurance settlements received, OR debtor lists to be input to increase the debtors to the contract values (contract values are the budget values)	(713,500)			(713,500)
Direct Revenue Financing	Budgets allocated to fund capital programme where expenditure has slipped into 2017/18 and resources are required to be carried forward	713,500			713,500
					0
		0	0	0	0
Total General Fund Carry Forward Requests		393,000	0	0	393,000

Reserve/Provision	Purpose	Management of the Reserve	Approval to Release Funds	2017/18 £	Total £
NEW					
Prosecution Fund	To establish a reserve for future anticipated Barrister & legal fees in 2017/18 funded from surplus in Food Safety budget	Management of the Reserve rest with the Corporate Director of Governance & Regulatory Services	Approval to release funds from the reserve can only be given by an Officer Decision Notice by the Corporate Director of Governance & Regulatory Services in consultation with the Chief Executive, Portfolio Holder & Chief Finance Officer.	20,500	20,500
Promoting Carlisle	Promoting Carlisle / Economic Development Initiatives	Management of the Reserve rest with the Corporate Director of Economic Development	Approval to release funds from the reserve can only be given by a Portfolio Holder Decision Notice by the Leader in consultation with the Corporate Director of Economic Development & Chief Finance Officer.	30,000	30,000
EXISTING					
Car Parking Reserve	To provide additional funding into the Car Parking Reserve for future car park improvements from surplus income received in Pedestrianisation & car parking	Management of the Reserve rests with Deputy Chief Executive	Approval to release funds from the reserve can only be given by an Officer Decision Notice by the Chief Executive in consultation with the Deputy Chief Executive, Portfolio Holder & Chief Finance Officer.	42,000	42,000
Cremator Reserve	To build up resources to replace cremators when required.	Management of the Reserve rests with Deputy Chief Executive	Approval to release funds from the reserve can only be given by the Executive of the Council	163,100	163,100
General Carry Forward Reserve	A reserve to hold carry forward budgets. Any expenditure in relation to a carry forward listed below will if possible be funded from base budgets, but can be called from this reserve if the section is likely to be in an overspend position at year end.	Management of the Reserve rests with Chief Finance Officer	Approval to release funds from the reserve only be given by the Chief Finance Officer.		151,700
Community Services	Neighbourhood Services: Webaspx In-cab purchases			41,000	
Community Services	Grounds: To improve security to all Grounds Maintenance stores at Bousteads			7,500	
Community Services	Events: To provide budget for 2017/18 Food Event			7,000	
Community Services	Policy & Communications: To provide budget to assist the implementation of SharePoint			2,400	
Community Services	Tullie House: Planned & Reactive Maintenance			25,800	
Economic Development	Development Control: To retain additional funds generated through the Planning Performance Agreement for the National Infrastructure Project			6,000	
Governance & Regulatory Services	Municipal Maintenance: Planned & Reactive Maintenance			48,900	
Governance & Regulatory Services	Industrial Estates: For major repairs/improvements that will be required in future for our roads and estate infrastructure			13,100	
TOTAL RESERVE REQUESTS				407,300	407,300
Revenues & Benefits Reserve	To hold funds received by the Council from DCLG and DWP which have not yet been utilised to assist the Council in meeting its costs for future changes to Revenues and Benefits Services.	Management of the Reserve rest with the Chief Executive	Approval to release funds from the reserve can only be given by an Officer Decision Notice by the Chief Executive in consultation with the Portfolio Holder & Chief Finance Officer.	338,385	338,385
Revenues Grants Reserve	To hold grant funds received by the Council which have not yet been utilised.	Management of the Reserve rest with the Chief Finance Officer	Approval to release funds from the reserve only be given by the Chief Finance Officer in consultation with the relevant Chief Officer.	864,521	864,521
TOTAL RESERVE REQUESTS DUE TO ACCOUNTING TREATMENT CHANGES				1,202,906	1,202,906

Report to Resources Overview and Scrutiny Panel

Agenda
Item:
**A.7
(b)**

Meeting Date: 13 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD.06/17
Within Policy and Budget Framework YES
Public / Private Public

Title: PROVISIONAL CAPITAL OUTTURN 2016/17 AND REVISED CAPITAL PROGRAMME 2017/18
Report of: CHIEF FINANCE OFFICER
Report Number: RD 04/17

Purpose / Summary:

This report summarises the 2016/17 provisional out-turn for the Council's capital programme and provides details of the revised capital programme for 2017/18. This report was considered by Executive on 5 June 2017.

Questions for / input required from Scrutiny:

Members are asked to scrutinise the outturn position including the approved slippage of schemes and the resulting impact on the 2017/18 capital programme.

Recommendations:

Members of the Resources Overview and Scrutiny Panel are asked to consider this report.

Tracking

Executive:	5 June 2017
Overview and Scrutiny:	ROSP 13 June 2017
Audit Committee:	14 July 2017
Council:	11 July 2017

Report to Executive

Agenda
Item:

Meeting Date: 5th June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD.06/17
Within Policy and Budget Framework YES
Public / Private Public

Title: PROVISIONAL CAPITAL OUTTURN 2016/17 AND REVISED CAPITAL PROGRAMME 2017/18
Report of: CHIEF FINANCE OFFICER
Report Number: RD 04/17

Purpose / Summary:

This report summarises the 2016/17 provisional out-turn for the capital budget and provides details of the revised capital programme for 2017/18. The out-turn shows that the net underspend for Council Services as at 31 March 2017 once committed expenditure totalling £4,406,000 is taken into account is £2,475.

It should be noted that the information contained in this report is provisional subject to the formal audit process. The draft Statement of Accounts for 2016/17 will be presented to the Audit Committee on 14 July, with final approval of the audited accounts on 31 July.

Recommendations:

The Executive is asked to:

- (i) Note the net underspend as at 31 March 2017 of £2,475 which includes committed expenditure to be met totalling £4,406,000, which has been approved under delegated powers by the Chief Finance Officer;
- (ii) Note adjustments to the 2017/18 capital programme for Harraby Cycle Track Development, Disabled Facilities Grants, Castle Way S106 and Cracker Packer S106 to account for all external funding available towards the projects as detailed in paragraph 5 and Appendix B of the report;

- (iii) Consider the revised programme for 2017/18, together with the proposed methods of financing, as detailed at paragraph 5 and Appendix B, for recommendation to Council on 11 July.

Tracking

Executive:	5 June 2017
Overview and Scrutiny:	ROSP 13 June 2017
Audit Committee:	14 July 2017
Council:	11 July 2017

1. BACKGROUND

- 1.1 This report sets out the summarised financial out-turn for the Council's Capital Programme as follows:
- (i) the out-turn for individual schemes for 2016/17, summarised in **Appendix A**
 - (ii) the revised programme for 2017/18, and the provisional programme for 2018/19 to 2021/22, summarised in **Appendix B**.
- 1.2 The report sets out the financial implications arising from the out-turn including the impact on capital resources for 2017/18. Members should note that the information contained in this report is provisional and subject to the formal audit process. Any significant changes required following the approval of the 2016/17 accounts will, if required, be reported to a future Executive meeting.
- 1.3 Please note that throughout this report the use of brackets indicates a favourable variance i.e. either an underspend or additional income received.

2. SUMMARY CAPITAL OUTTURN 2016/17

- 2.1 The original capital programme of £4,595,000 for 2016/17 was approved in February 2016. Since then, a review of the capital programme has been undertaken and the capital funding has been revised. In accordance with proper accounting practices it has been necessary to gross up the expenditure budgets to properly reflect the total cost of the schemes including those fully funded from external grant/contributions.

The revised programme for 2016/17 of £12,073,400 is a result of the following funding streams:

2016/17 Capital Budget	£
Original 2016/17 Programme (approved Feb 2016)	4,595,000
Agreed Carry Forwards from 2015/16 (RD55/15 Council 08/03/16)	1,447,000
Agreed Carry Forwards from 2015/16 (RD07/16 Council 19/07/16)	3,347,200
Increase to programme funded from revenue carry forwards (RD07/16 Council 19/7/16)	212,500
Increase to programme for insurance settlements (RD07/16 Council 19/7/16)	259,300
Minor Works Grants from capital grant unapplied (ED09/16 Executive 04/04/16)	73,300
Section 106 for Play Areas & Open Space Improvements (LE10/16 Executive 04/07/16 & LE15/16 Executive 30/08/16)	199,400
Broadband Connection Vouchers (OD.075/15 29/06/15)	2,600
EA Central Plaza (RD33/16 Executive 21/11/16 & RD55/16 Executive 13/02/17)	116,700
Agreed carry forwards into 2017/18 (RD55/16 Council 07/03/17)	(1,164,300)
Release of funding from reserve for ICT Strategy (CE01/17 13/02/17)	40,900
Increase for schemes funded from insurance settlements	2,644,700
External contributions/grants/receipts	515,400
Schemes funded by Revenue budgets	163,700
Revised 2016/17 Capital Programme	12,453,400
Less Capital Reserves to be released by Executive	(380,000)
Revised 2016/17 Capital Programme (released)	12,073,400

2.2 The provisional out-turn position for the 2016/17 capital programme is shown below:

Directorate	Revised Annual Budget	Total Expenditure	Variance	Carry Forwards (Committed)	Revised Variance
	£	£	£	£	£
Community Services	3,861,400	2,423,596	(1,437,804)	1,437,300	(504)
Corporate Support & Resources	385,600	250,037	(135,563)	135,600	37
Economic Development	1,893,600	1,491,327	(402,273)	398,200	(4,073)
Governance & Regulatory Services	2,983,000	1,637,607	(1,345,393)	1,341,400	(3,993)
Total	9,123,600	5,802,567	(3,321,033)	3,312,500	(8,533)
Capital Flood Recovery	2,949,800	2,242,358	(707,442)	713,500	6,058
Total	12,073,400	8,044,925	(4,028,475)	4,026,000	(2,475)
Reserves to be released	380,000	0	(380,000)	380,000	0
Total	12,453,400	8,044,925	(4,408,475)	4,406,000	(2,475)

Schemes still to be released by the Executive have been removed from the budget monitoring process until the budgets have been released. The £380,000 relates to Old Town Hall/Greenmarket schemes.

- 2.3 The position for 2016/17 after committed carry forwards have been taken into account is an underspend of £2,475.
- 2.4 There main variances after carry forwards are summarised below:
- An overspend of £11,564 on Central Plaza Emergency Works.
 - An underspend of £15,754 of the Old Town Hall Phase 2 project.
 - The slight overspend on flood related expenditure is in relation to reinstatement costs that were not covered by insurance settlements. These are to be funded from the overall underspend in the revenue fund.
- 2.5 Otherwise schemes are progressing within budget, although some schemes have not been completed to the original timescales which has resulted in the request for carry forwards.
- 2.6 Further details for each directorate are included in **Appendices A1-A5**.
- 2.7 The 2016/17 programme has been kept to a level that takes account of the Council's ability to deliver schemes with regard to capacity and available resources. Work has been carried out throughout the year to monitor the profiling of budgets and these have been adjusted to reflect progress in current capital schemes. The year end position for the capital programme is improved from previous years due to the implementation of the corporate reserves procedure and the improved profiling.

3. CARRY FORWARD REQUESTS

- 3.1 In accordance with the Council's Constitution, any net underspending/savings on service estimates under the control of the Chief Officer may be carried forward. This is to facilitate greater flexibility of budgets between years as set out in the Medium Term Financial Plan. Approval of carry forwards is subject to the following as contained in the Council's Constitution:
- *the authorisation of the Chief Finance Officer where the request relates to a specific committed item of expenditure where, due to external or other factors, the Chief Officer has been unable to spend the approved budget by 31 March. The use of the resource will be restricted to the purpose for which the estimate was originally intended. The carry forward will only be approved by the Chief Finance Officer if the expenditure is within both the Directorate's and the*

Authority's budget as approved for that year. Any carry forward which would result in an over-spend for the Authority will require authorisation by the Council.

- any overspending on service estimates in total on budgets under the control of the Chief Officer must be carried forward to the following year, and will constitute the first call on service budgets in the following year, unless the Council determines otherwise by way of a supplementary estimate. The Chief Finance Officer will report the extent of overspending carried forward to the Executive, Resources Overview and Scrutiny Panel and to the Council.*

The delegated power applies only in so far as the carry forwards do not take the Council into an overspend position.

- 3.2 Carry forwards at the end of the year have been analysed to assess the year of potential expenditure to enable better profiling of budgets for future years. Of the committed carry forwards shown in paragraph 2.2, it is estimated that the full £4,406,000 will be spent in 2017/18.

4. FINANCING OF CAPITAL PROGRAMME 2016/17

- 4.1 Utilisation of resources to fund the 2016/17 Capital Programme in light of the out-turn is provisionally estimated as follows:

	Revised Budget £	Provisional Out-turn £
Capital Programme expenditure in year	12,453,400	8,044,925
<u>Financed by:</u>		
Capital Receipts (including PRTB receipts) (note 1)	2,355,000	916,232
Capital Grants		
• Disabled Facilities Grant	1,467,300	1,467,316
• General	2,029,200	1,315,067
Reserves & Balances (note 2)		
• Earmarked Reserves	9,800	0
• Direct Revenue Financing	4,913,700	4,008,312
Contributions from other bodies incl S106 (note 3)	879,300	284,896
Borrowing Requirement (in Year)	799,100	53,102
Total Financing	12,453,400	8,044,925

Notes:

1. There were no usable capital receipts carried forward from 2015/16. Capital receipts generated during the year amount to £916,232 compared to the

revised estimate figure of £2,355,000, a shortfall of £1,438,768. This is mainly due to slippage of the sale of assets into future years and the budget for these (£1,500,000) will be carried forward into 2017/18.

The total sum available, £916,232 has been used to fund the Capital Programme in 2016/17, with the balance of funding required (£53,102) being financed from an internal borrowing requirement that is significantly lower than anticipated.

2. The use of capital receipts has been optimised in order to fund 2016/17 capital expenditure. Direct revenue funding, S106 receipts and earmarked reserves and provisions specifically set up to fund capital expenditure have also been used to fund capital expenditure in 2016/17. Capital receipts are the last source of funding applied to finance the capital programme, external funding is always applied first.
3. Additional contributions were received towards vehicle replacements (£3,000), and the use of Section 106 receipts towards Castle Way, Crindledyke Cycleway, Public Realm Improvements and Play Areas & Open Spaces was less than budgeted. £597,500 has been carried forward into 2017/18 to allow the schemes to complete.

5. FIVE YEAR CAPITAL PROGRAMME

- 5.1 A five-year Capital Programme for 2017/18 to 2021/22 is detailed in **Appendices B1-B2**.
- 5.2 The programme for **2017/18** totalling £9,010,700 is based upon the programme as agreed by Council in February 2017 of £3,182,100, the commitments brought forward from 2016/17 as identified above of £4,406,000, the commitments brought forward from 2016/17 already approved of £1,164,300 and an increase of £258,300 for additional external contributions/grants received for projects as detailed in the table below.

	£
Harraby Cycle Track	67,000
Disabled Facilities Grants	146,600
Cracker Packer	15,000
Castle Way	29,700
Total Additional External Funding	258,300

- 5.3 The 2017/18 programme will be continually reviewed to ensure the Council has the capacity to deliver this level of programme.
- 5.4 It is suggested that the revised programme for 2017/18 as detailed in Appendix B1 is financed as follows:

	<u>Original Budget</u> £	<u>Revised Budget</u> £
Original Programme	3,182,100	3,182,100
Add: Carried forward from 2016/17 (in Year)	0	1,164,300
Add: Carried forward from 2016/17 (Year End)	0	4,406,000
Add: Additional external funding	0	258,300
Total Expenditure to be financed	3,182,100	9,010,700
<u>Financed by:</u>		
Capital Grants		
• DFG	1,467,300	1,613,900
• General	0	1,144,100
Capital Receipts	944,700	3,344,000
Contributions from other bodies	0	679,200
Direct Revenue Financing	770,100	1,774,300
Reserves	0	9,800
Borrowing Requirement (In Year)	0	445,400
Total Financing	3,182,100	9,010,700

- 5.5 The 2017/18 capital programme does not yet include provision for Council assets still to be reinstated following the flooding in December 2015. These will be subject to further reports once settlement and the necessary procurement processes have been finalised.
- 5.6 The proposed programme for **2018/19** to **2021/22** as detailed in Appendix B2 is based on the programme agreed by Council in February 2017 and the recommendations made in this report.

6 CONSULTATION

- 6.1 Consultation to Date.
Portfolio Holders and SMT have considered the issues raised in this report.
- 6.2 Consultation Proposed.
Resources Overview and Scrutiny Panel will consider the report on 13 June 2017.

7 CONCLUSION AND REASONS FOR RECOMMENDATIONS

7.1 The Executive is asked to:

- (i) Note the net underspend as at 31 March 2017 of £2,475 which includes committed expenditure to be met totalling £4,406,000, which has been approved under delegated powers by the Chief Finance Officer;
- (ii) Note adjustments to the 2017/18 capital programme for Harraby Cycle Track Development, Disabled Facilities Grants, Castle Way S106 and Cracker Packer S106 to account for all external funding available towards the projects as detailed in paragraph 5 and Appendix B of the report;
- (iii) Consider the revised programme for 2017/18, together with the proposed methods of financing, as detailed at paragraph 5 and Appendix B, for recommendation to Council on 11 July.

8 CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

8.1 The Council's capital programme supports the current priorities in the Carlisle Plan.

Contact Officer: Emma Gillespie

Ext: 7289

Appendices A1 to A5 and B1 to B2.
attached to report:

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

CORPORATE IMPLICATIONS/RISKS: SMT and JMT have been involved in the preparation of this report. Individual capital schemes have different risks attached.

Community Services – Not applicable

Corporate Support & Resources – Financial implications are contained in the main body of the report.

Economic Development – Not applicable

Governance & Regulatory Services – The Council has a fiduciary duty to manage its finances properly and the proper reporting of the outturn figures is part of this process. Approval of full Council is required for the additional use of capital reserves to fund expenditure commitments as set out in the report.

COMMUNITY SERVICES

Scheme	Revised Annual Budget £	Expenditure to date £	Variance to date £	Carry Forwards £	Adjusted Variance £	Details of major variance
Art Centre	47,900	634	(47,266)	47,300	34	Project build completed and venue opened May 2015. Carry forward required to provide funding for any residual uninsured costs associated with the rebuild after the floods.
Harraby School and Community Campus Contribution	500,000	500,000	0	0	0	Budget released by Executive 11/3/13 (SD02/13). Phased payments released as per agreement and project now complete.
Cycle Track Developments	650,000	0	(650,000)	650,000	0	Approved by Executive 27/07/15 (SD13/15). Project has been delayed due to a number of factors. Works started early 2017/18 with completion due in the year. Fully funded by external contributions.
Vehicles & Plant	2,097,500	1,680,019	(417,481)	417,500	19	Approved by Executive 07/04/15 (LE09/15). Replacement of vehicle purchases in 2016/17 under budget. Carry forward required for replacements in 2017/18.
Play Area Developments	213,000	211,064	(1,936)	10,900	8,964	Approved by Executive 04/07/16 (LE10/16) & 30/08/16 (LE15/16) funded by S106 monies, external grant and direct revenue financing. A few schemes have slipped into 2017/18. Carry forward of external funding required to complete schemes.
Open Space Improvements	72,000	19,595	(52,405)	42,900	(9,505)	Approved by Executive 04/07/16 (LE10/16) & 30/08/16 (LE15/16) funded by S106 monies, external grant and direct revenue financing. A few schemes have slipped into 2017/18. Carry forward of external funding required to complete schemes.
Crindledyke Cycleway (S106)	281,000	12,284	(268,716)	268,700	(16)	Approved by Executive 01/06/15 (LE10/15). Funded by Section 106 monies. Various factors have delayed the project. Carry forward of S106 funding required to complete project.
Grand Total	3,861,400	2,423,596	(1,437,804)	1,437,300	(504)	

CORPORATE SUPPORT & RESOURCES

Scheme	Revised Annual Budget £	Expenditure to date £	Variance to date £	Carry Forwards £	Adjusted Variance £	Details of major variance
ICR Infrastructure	340,400	250,037	(90,363)	90,400	37	Part of ICT Strategy Business Case. Budgets released as per approved Strategy. Carry forward required to accommodate contracts and orders placed to upgrade IT infrastructure, network & equipment.
Revenues and Benefits ICT Upgrades	45,200	0	(45,200)	45,200	0	Funded from revenue carry forward (Direct Revenue Financing). Carry forward required as part of ICT strategy.
Grand Total	385,600	250,037	(135,563)	135,600	37	

ECONOMIC DEVELOPMENT

Scheme	Revised Annual Budget £	Expenditure to date £	Variance to date £	Carry Forwards £	Adjusted Variance £	Details of major variance
Public Realm Work	261,300	18,128	(243,172)	243,200	28	Budget released by Executive 10/03/14 (ED10/14). Additional budget released by Executive 07/04/15 (ED15/15). Project progressing. Carry forward required to complete scheme.
Broadband Connection Vouchers	2,600	2,640	40	0	40	OD.075/15 (29/06/15) approved participation in this initiative which is fully funded by external grant. Project complete.
Old Town Hall Phase 2	40,800	25,046	(15,754)	0	(15,754)	Budget carried forward to cover outstanding contractual payments. Project complete.
Durranhill Industrial Estate	1,362,800	1,257,399	(105,401)	105,400	(1)	Approved by Executive 15/01/14 (ED02/14). Revised programme of works approved by Executive 7/04/15 (ED14/15) & nearing completion. Funded from external grants and ring fenced receipts.
Public Realm (S106)	62,100	12,550	(49,550)	49,600	50	Approved by Executive 3/9/12 (RD34/12). Funded by Section 106 monies. Tender awarded and work progressing.
EA Central Plaza	164,000	175,564	11,564	0	11,564	Implementation of work under the Corporate Director of Economic Development's emergency powers with reference to the Building Act 1984 S78 Dangerous building - emergency measures (OD.104/16).
Grand Total	1,893,600	1,491,327	(402,273)	398,200	(4,073)	

GOVERNANCE & REGULATORY SERVICES

Scheme	Revised Annual Budget £	Expenditure to date £	Variance to date £	Carry Forwards £	Adjusted Variance £	Details of major variance
Planned Enhancements to Council Property	282,400	213,294	(69,106)	65,000	(4,106)	Individual projects progressing. Slippage due to flood recovery work.
Market Hall Roof	460,000	0	(460,000)	460,000	0	Budget released by Executive 26/09/16 (GD51/16). Negotiations ongoing regarding the Council's contribution towards the works.
Asset Management Plan	992,900	789,308	(203,592)	203,600	8	Budget carried forward in relation to remaining payments from Escrow account & demolition costs.
Kingstown Industrial Estate Roads	9,800	0	(9,800)	9,800	0	Remaining budget required for additional public realm signage on the estate.
Castle Way (S106)	329,700	93,467	(236,233)	236,300	67	Approved by Executive 11/4/12 (RD01/12). Funded by Section 106 monies. Revised scheme being progressed and work has now commenced. Completion expected early 2017/18.
Disabled Facilities Grants	834,400	520,937	(313,463)	313,500	37	Mandatory Grants. The take up of DFGs is reduced. The position is being closely monitored. £400,000 is now being earmarked for discretionary funds as approved by Council 10/01/17 (GD04/17). £667,300 carried forward into 2017/18 already approved by Council (RD55/16 07/03/17)
Minor Works Grants	73,800	20,601	(53,199)	53,200	1	Budget approved by Executive 04/04/16 (ED09/16) funded from external grant. Carry forward required to honour existing commitments.
Grand Total	2,983,000	1,637,607	(1,345,393)	1,341,400	(3,993)	

FLOOD RELATED CAPITAL EXPENDITURE

Scheme	Revised Annual Budget £	Expenditure to date £	Variance to date £	Carry Forwards £	Adjusted Variance £	Details of major variance
IC Buildings Flood Capital	2,506,700	1,799,086	(707,614)	713,500	5,886	Capitalisation of building improvements as a result of the flood. Some costs not covered by insurance settlements.
IC Computers Flood Capital	10,800	10,829	29	0	29	Capitalisation of computer purchases as a result of the flood.
IC Equipment Flood Capital	255,800	255,924	124	0	124	Capitalisation of equipment purchases as a result of the flood.
IC All Risk Flood Capital	176,500	176,519	19	0	19	Capitalisation of items purchased under the all risk insurance policy as a result of the flood.
Grand Total	2,949,800	2,242,358	(707,442)	713,500	6,058	

2017/18 CAPITAL PROGRAMME
APPENDIX B1

Scheme	Original Capital Programme 2017/18 £	Carry Forwards from 2016/17 £	Carry Forwards from 2016/17 £	Other Adjustments £	Revised Capital Programme 2017/18 £
<u>Current non-recurring commitments</u>					
Play Area Green Gyms	25,000	0	0	0	25,000
Public Realm/Cracker Packer (S106)	0	0	49,600	15,000	64,600
Castle Way (S106)	0	0	236,300	29,700	266,000
Arts Centre	0	0	47,300	0	47,300
Tennis Facilities	0	497,000	0	0	497,000
Cycle Track Development	0	0	650,000	67,000	717,000
Market Hall Roof	0	0	460,000	0	460,000
Crindledyke Cycleway	0	0	268,700	0	268,700
Durranhill Industrial Estate	0	0	105,400	0	105,400
Play Area Developments	0	0	10,900	0	10,900
Open Space Improvements	0	0	42,900	0	42,900
Kingstown Industrial Estate	0	0	9,800	0	9,800
Public Realm Improvements	0	0	243,200	0	243,200
IC Buildings Flood Reinstatement	0	0	713,500	0	713,500
Revenues & Benefits ICT Upgrades	0	0	45,200	0	45,200
Asset Review	0	0	203,600	0	203,600
	25,000	497,000	3,086,400	111,700	3,720,100
<u>Recurring commitments</u>					
Planned Enhancements to Council Property	150,000	0	65,000	0	215,000
Vehicles, Plant & Equipment	0	0	417,500	0	417,500
ICT Infrastructure	0	0	90,400	0	90,400
	150,000	0	572,900	0	722,900
<u>Housing Related Grants</u>					
Private Sector Grants	1,467,300	667,300	313,500	146,600	2,594,700
Minor Works Grants	0	0	53,200	0	53,200
	1,467,300	667,300	366,700	146,600	2,647,900
TOTAL	1,642,300	1,164,300	4,026,000	258,300	7,090,900
<u>Capital Reserves to be released</u>					
ICT Infrastructure	100,000	0	0	0	100,000
Vehicles, Plant & Equipment	1,439,800	0	0	0	1,439,800
Old Town Hall / Greenmarket	0	0	380,000	0	380,000
	1,539,800	0	380,000	0	1,919,800
REVISED TOTAL	3,182,100	1,164,300	4,406,000	258,300	9,010,700

Scheme	Proposed Capital Programme 2018/19 £	Original Capital Programme 2019/20 £	Original Capital Programme 2020/21 £	Original Capital Programme 2021/22 £
Private Sector Grants	1,467,300	1,467,300	1,467,300	1,467,300
Planned Enhancements to Council Property	150,000	150,000	150,000	150,000
Vehicles, Plant & Equipment	721,000	861,000	629,000	1,531,000
ICT Infrastructure	100,000	0	0	0
Play Area Green Gyms	25,000	0	0	0
Leisure Facilities	5,000,000	0	0	0
TOTAL	7,463,300	2,478,300	2,246,300	3,148,300

Resources Overview and Scrutiny Panel

Agenda
Item:
A.7
(c)

Meeting Date: 13 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref: KD06/17
Within Policy and
Budget Framework YES
Public / Private Public

Title: TREASURY MANAGEMENT OUTTURN 2016/17
Report of: CHIEF FINANCE OFFICER
Report Number: RD.05/17

Summary:

This report provides the annual report on Treasury Management (Appendix A), as required under both the Financial Procedure rules and the CIPFA Code of Practice on Treasury Management. Also included is the regular report on Treasury Transactions (Appendix B) that was considered by Executive on 5 June 2017.

Questions for / input required from Scrutiny:

Members are asked to scrutinise the outturn position for Treasury Management in 2016/17.

Recommendations:

Members of the Resources Overview and Scrutiny Panel are asked to consider this report.

Tracking

Executive:	05 June 2017
Overview and Scrutiny:	13 June 2017
Council:	11 July 2017

Report to Executive

Agenda
Item:

Meeting Date: 5 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD06/17
Within Policy and Budget Framework YES
Public / Private Public

Title: TREASURY MANAGEMENT OUTTURN 2016/17
Report of: CHIEF FINANCE OFFICER
Report Number: RD05/17

Purpose / Summary:

This report provides the annual report on Treasury Management (Appendix A), as required under both the Financial Procedure rules and the CIPFA Code of Practice on Treasury Management. Also included is the regular report on Treasury Transactions (Appendix B).

Recommendations:

- 1 That this report be received and recommended to Council for approval.

Tracking

Executive:	05 June 2017
Overview and Scrutiny:	13 June 2017
Council:	11 July 2017

1. BACKGROUND

- 1.1 The purpose of this report is to inform Members on various Treasury Management issues.
- 1.2 Appendix A1 to this report sets out a final report on Treasury Management in 2016/17 as required by the CIPFA Code of Practice on Treasury Management. Appendix A2 highlights some performance measures and Appendix A3 shows the final prudential indicators for 2016/17.
- 1.3 Appendices B1-B3 details the schedule of Treasury Transactions for the period 1 January 2017 – 31 March 2017.

2. CONSULTATION

- 2.1 Resources Overview and Scrutiny Panel will consider the report on 13 June 2017 and the Audit Committee will do so on 14 July 2017.

3. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 3.1 That this report be received and recommended to Council for approval.

4. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

- 4.1 To ensure that the Council's investments are in line with appropriate policies including the Treasury Management Strategy Statement.

Contact Officer: Steven Tickner **Ext:** 7280

Appendices attached to report:

- Appendix A1 – Treasury Management 2016/17**
- Appendix A2 – Performance Statistics**
- Appendix A3 – Prudential Code and Prudential Borrowing**
- Appendix B1 – Treasury Transactions**
- Appendix B2 – Investment Transactions**
- Appendix B3 – Outstanding Investments**

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

CORPORATE IMPLICATIONS/RISKS:

Economic Development – n/a

Governance & Regulatory Services– Treasury Management activities are delegated to the Chief Finance Officer and Financial Procedure Rule 3.19 requires that she prepare an annual report on the topic. This Report fulfils that obligation.

Community Services– n/a

Corporate Support & Resources–Included in the report

TREASURY MANAGEMENT 2016/1716

1. INTRODUCTION

- 1.1 The CIPFA Code of Practice on Treasury Management (2011) requires that full Council should receive both a mid-term and an annual report on treasury management activities during the year. This report on the treasury function during 2016/17, while being first presented to the Executive, is therefore required to have the approval of full Council in order to comply with the CIPFA Code.
- 1.2 Regular reports on treasury transactions are presented to the Executive while an interim report on treasury management in 2016/17 was presented in November 2016 (RD34/16). The purpose of this report is to complete the process of accounting for the treasury function in the last financial year in compliance with the Code. Any funding and other financing transactions are detailed and placed in the context of money market conditions in 2016/17 while the City Council's investment activities are also discussed. Separate papers (A2 and A3) provide information on performance in 2016/17 and on the Prudential Code on local authority borrowing.

2. MONEY MARKET CONDITIONS

- 2.1 The following table sets out the levels of bank base rate in 2016/17

	%	
1 April 2016	0.50	Average = 0.33%
31 March 2017	0.25	(2014/15= 0.50%)

- 2.2 The financial year began with bank rate remaining at 0.50% however, following the Brexit referendum vote in June the rate was reduced to 0.25% in August 2016 and has remained at this level for the rest of 2016/17.
- 2.3 The pattern of long term borrowing rates in 2016/17 can be gauged by the following table of Public Works Loans Board (PWLb) fixed rate maturity loans during the year. These are the rates cited in the regular Treasury Transactions reports and relate to the type of loan that historically has most usually been taken up by the City Council.

	1 Yr %	10 Yr %	25 Yr %
1 April 2016	1.33	2.51	3.34
31 March 2017	1.03	2.11	2.80
Highest Rate in 2016/17	1.40	2.71	3.48
Lowest Rate in 2016/17	0.96	1.62	2.28
Span of Rates	0.44	1.09	1.20

3. LONG TERM FUNDING

- 3.1 The Prudential Code on local authority borrowing came into operation on 1 April 2004. The principal effect of the Code was to abolish most central government control of local authority borrowing, a principle that has been a cornerstone of local government finance for over a century. Instead, authorities must follow the guidance laid down in the Code and they will be expected to comply with its requirements. These cover not just borrowing but any decision that determines whether the capital investment plans of an authority are affordable, prudent and sustainable. The Code is discussed in more detail in Appendix A3.
- 3.2 The revenue support grant system still provides for an element of support towards each authority's estimated borrowing needs. It may be noted that the Council does still receive an element of revenue grant support for the costs of its borrowing in previous years.
- 3.3 The City Council did not, therefore, draw down any external long term loans in 2016/17. The capital programme was funded internally by drawing from the authority's own resources, principally its stock of capital receipts, and from external grants and contributions.

4. DEBT RESCHEDULING

- 4.1 The City Council's long-term loans portfolio now consists entirely of the £15m stock issue, placed in 1995 and not due to mature until 2020. While there is a possibility that these funds could be repaid prior to that date, this is unlikely to be in the near future although the issue is regularly reviewed in conjunction with our treasury advisers. In the current financial climate, the cost of the premium that would be required to effect the early repayment remains prohibitive.

5. LOANS OUTSTANDING

5.1 Set out below is a schedule of outstanding external loans as at 31 March 2017.

	£
Public Works Loans Board	NIL
Secured Loan Stock	15,000,000
Short Term Loans	<u>12,800</u>
Total Loans Outstanding	<u>£15,012,800</u>

6. INVESTMENT TRANSACTIONS

- 6.1 As is apparent from the regular 'Treasury Transactions' reports, the City Council continues to be a frequent investor in the short-term money market and the interest earned from these transactions makes a valuable contribution to the overall level of the Council's revenue budget. Investments are placed only with the institutions that fall within the guidelines of the Council's approved Investment Strategy and a full schedule of investments at 31 March 2017 is set out in Appendix B3. It should be noted that the Council's level of short term investment reaches its lowest point each year on 31 March when any benefits accruing from positive annual cash flow are, by definition, extinguished.
- 6.2 The total at that date (£14.730m) can be compared with an average figure in 2016/17 of over £25.8m and a peak amount of over £31.981m. The closing balance in 2015/16 was £16.1m.
- 6.3 The Investment Strategy for 2016/17 embraced a mixture of longer term investments and monies lent out for shorter periods to meet anticipated cash flow needs e.g. grant and precept payment dates. Investment limits with both Lloyds Group and RBS Group banks were reduced to £6million to reflect that these institutions are being removed from Government control. Investments made with these banks were placed on shorter dates reflecting the uncertainty about further plans for re-privatisation .
- 6.4 Investment income in 2016/17 at £272,000 was slightly above the original estimate of £255,700. Actual investment rates obtained from banks and building society investments in 2016/17 were generally below expectations when the budget was framed due to the interest rate cut in August; however this factor was mitigated by the outturn on average cash balances being slightly better than expected and also the return achieved from the CCLA property fund was higher than anticipated when the budget was set. The average yield on the Council's investments held excluding the property fund in 2016/17 was 0.49%. This is still a favourable return considering the position of bank base rates and compares well against other local authorities. This performance was assisted by a significant proportion of investments being placed for longer terms of up to a year and the use of deposit accounts for shorter dated cash requirements. At 31 March the investment in the CCLA Property Fund was yielding a return of 4.58%. Dividends received in 2016/17 totalled £152,704. The investment has also grown in capital value since the

investment was placed in July 2014 from £2,836,000 (After entry costs of £163,106) to £3,229,873 (an increase of £393,873). The capital value for 2016/17 actually decreased by £51,307. This can be attributed to the market fluctuations following the Brexit vote. This overall increase in value offsets the initial entry costs, but is still subject to fluctuations in the overall performance of the fund. However, the fund is continuing to grow with more local authorities taking the decision to invest.

7 INVESTMENT STRATEGY 2017/18

- 7.1 The Investment Strategy must be agreed before the start of each financial year and the 2017/18 Strategy was approved by Council on 7 February 2017. While the principles of the Strategy remain fundamentally sound, any amendments to the current schedule of investments, if agreed by the Executive, must be approved by Council.

8. PERFORMANCE MANAGEMENT

- 8.1 The CIPFA Code places an increased emphasis on performance monitoring in an attempt to measure the efficiency of the treasury function. With treasury management, the difficulty in assessing performance arises from the very different circumstances of each authority and the fact that, for example, a long term borrowing decision can affect an authority's measured performance for many years to come. In the case of the City Council, this is particularly the case with the £15m stock issue which will affect our average borrowing rate until 2020. Equally, borrowing decisions invariably impact on investment decisions since, in cash flow terms, one can be the mirror image of the other.
- 8.2 Appendix A2 sets out some performance indicators in respect of both loans and investments outturn for 2016/17 and 2015/16.

9. TREASURY CONSULTANCY SERVICE (TCS)

- 9.1 The City Council continues to employ Capita Asset Services as its treasury management consultants. Capita provide daily bulletins on both borrowing and investment issues and these help advise both the investment and funding decisions that are taken by the Council.

10 CONCLUSIONS

- 10.1 The City Council has only one substantial long term loan i.e. the £15m stock issue, which is likely to remain on the books for some time yet as the cost of making a premature repayment would be very prohibitive in the present climate, particularly with interest rates being at such depressed levels. In addition, there are no plans to undertake any prudential or other borrowing in this financial year however the Medium Term Financial Plan does anticipate external borrowing to fund leisure facilities in 2018/19 however this will be further assessed during future planning of the MTFP. The focus of the authority's treasury management activities therefore remains very much on the investment aspect of the function.

- 10.2 Investment conditions were very similar to as they were in 2015/16. Although the effect on the City Council's investment interest was slightly down on the previous year, the performance achieved was significantly better than bank base rate levels. For this authority, as indeed for most others, the reduction in investment income poses a very significant financial challenge. This has been alleviated somewhat by the decision to invest in the CCLA property fund which has performed well since initial investment.
- 10.3 The outlook for interest rates in the UK remains uncertain but there is a general expectation that bank base rates will not start to rise again until well into 2018.

CITY OF CARLISLEPERFORMANCE MEASUREMENT STATISTICS1. LOANS MANAGEMENT

	2016/17 %	2015/16 %
Average External Debt Rate - Carlisle	8.78	8.78

Comment

Average loan debt statistics tend to reflect borrowing decisions taken over a period of many years. The City Council's only substantial remaining external debt is the £15m stock issue which carries a high coupon (8.75% excluding management fee).

2. INVESTMENT MANAGEMENT (Excl. Property Fund)

	2016/17 %	2015/16 %
Average Return in Year - Carlisle	0.49	0.71
Average Bank Base Rate in Year	0.33	0.50
Average 7 Day LIBID Rate	0.20	0.36

Comment

The City Council's rate of return in 2016/17 on its investments was below that obtained in 2015/16 and was lower than anticipated when the budget was originally set. This is due to the reduction in the bank base rate in August 2016 from 0.50% to 0.25%.

THE PRUDENTIAL CODE AND PRUDENTIAL BORROWING

1. Introduction

- 1.1 The Local Government Act 2003 brought about a new borrowing system for local authorities known as the Prudential Code (the Code). This gives to Councils much greater freedom and flexibility to borrow without government consent so long as they can afford to repay the amount borrowed.
- 1.2 The aim of the Code is to support local authorities when making capital investment decisions. These decisions should also be in line with the objectives and priorities as set out in the Council's Corporate Plan.
- 1.3 The key objectives of the Code are to ensure, within a clear framework, that the capital investment plans of the Council are affordable, prudent and sustainable, or if appropriate to demonstrate that they may not be. A further key objective is to ensure that treasury management decisions are taken in accordance with good professional practice and in a manner that supports prudence, affordability and sustainability. These objectives are consistent with and support local strategic planning, local asset management planning and proper option appraisal. They also encourage sound treasury management decisions.

2. Prudential Indicators

- 2.1 To demonstrate that the Council has fulfilled these objectives, the Code sets out indicators that must be used. It is for the Council itself to set any indicative limits or ratios. It is also important to note that these indicators are not designed to be comparative performance figures indicators but to support and record the Council's decision making process.
- 2.2 The final performance indicators for the current year, as compared to those reported in during the budget cycle are set out below. The compilation and monitoring of these indicators is central to the operation of the Code.

	2016/17 Provisional Outturn £	2015/16 Outturn £
(i) Capital Expenditure	8,044,925	7,968,845
(ii) Financing Costs		
Interest Payable - Re Borrowing	1,318,015	1,318,225
Minimum Revenue Provision	516,000	372,000
Investment Income	(271,669)	(321,861)
Total Financing Costs	1,562,346	1,340,483
(iii) Net Revenue Stream		
Funding from Govt Grants/Local Taxpayers	12,411,000	12,411,000
(iv) Ratio of Financing Costs to Net Revenue Stream	12.59%	11.03%
The figures monitor financing costs as a proportion of the total revenue stream from government grants and local taxpayers. The increase in the ratio of financing costs is mainly attributable to the forecast reduction in investment income.		
(v) Incremental Impact on Council Tax	9.60	9.60
This indicator allows the effect of the totality of the Council's capital investment decisions to be considered at budget setting time.		
(vi) Authorised Borrowing Limit	37,600,000	37,600,000
Maximum Level of Borrowing and Other Long term Liabilities	15,012,800	15,013,300
The authorised borrowing limit is determined by Council prior to the start of the financial year. The limit must not be altered without agreement by Council and should not be exceeded under any foreseeable circumstances.		

	2016/17 Provisional Outturn £	2015/16 Outturn £
(vii) Operational Borrowing Limit	32,600,000	32,600,000
Maximum Level of Borrowing and Other Long term Liabilities	15,012,800	15,013,300
The operational borrowing limit is also determined by Council prior to the start of the financial year. Unlike the authorised limit, it may be breached temporarily due to cashflow variations but it should not be exceeded on a regular basis.		
(viii) Capital Financing Requirement (CFR)	12,423,832	12,898,000
As at 31 March		
The CFR is a measure of the underlying borrowing requirement of the authority for capital purposes.		

(a) Prudence and Sustainability

	2016/17 £
(i) Target New Borrowing to Date	0
No Long Term Borrowing has been taken in 2016/17	0
(ii) Target Percentage of Fixed Rate Long Term Borrowing	100%
Actual as at 31 March 2017	100%
(iii) Target Percentage of Variable Rate Long Term Borrowing	100%
Actual as at 31 March 2017	0%
Prudent limits for both fixed and variable rate exposure have been set at 100%. This is due to the limited flexibility available to the authority in the context of its overall outstanding borrowing requirement.	
(iv) Target Minimum Level of Investments Classified as Specified	50.00%
Actual Level of Specified Investments as at 31 March 2017	100.00%
As part of the Investment Strategy for 2016/17, the Council set a minimum level of 50% for its specified as opposed to non specified investments. The two categories of investment were defined as part of the Strategy but for the City Council non specified investments will presently refer mainly to either investments of over one year in duration or investments placed with building societies that do not possess an appropriate credit rating. These tend to be the smaller building societies.	

TREASURY TRANSACTIONS
1 JANUARY 2017 TO 31 MARCH 2017

1. LOANS (DEBT)

1.1 Transactions 1 January 2017 to 31 March 2017

	Raised		Repaid	
	£	%	£	%
P.W.L.B	0	0	0	0
Local Bonds	0	0	0	0
Short Term Loans	0	0	0	0
Overnight Borrowing	0	0	0	0
	0		0	

This provides a summary of loans that have been raised or repaid, analysed by type, since the previous report.

1.2 Loans (Debt) Outstanding at 31 March 2017

	£
City of Carlisle Stock Issue	15,000,000
Short Term Loans	12,800
	15,012,800

1.3 Loans Due for Repayment

	PWLB £	Overnight £	Total £
Short Term Debt at 31 March 2017	0	0	0
			0

Shown here is a calendar of future loan repayments which can be a useful aid to cash flow management. Following the repayment of the City Council's remaining PWLB debt in July 2004, no major debt repayments are anticipated.

1.4 Interest Rates

Date	PWLB Maturity		
	1 Year %	10 Years %	25 Years %
04 January 2017	1.04	2.36	2.99
11 January 2017	1.08	2.38	3.01
18 January 2017	1.10	2.37	3.01
25 January 2017	1.08	2.45	3.07
01 February 2017	1.07	2.49	3.10
08 February 2017	1.03	2.31	2.98
15 February 2017	1.04	2.35	3.04
22 February 2017	1.03	2.25	2.96
01 March 2017	1.01	2.15	2.86
08 March 2017	1.01	2.17	2.89
15 March 2017	0.98	2.20	2.93
22 March 2017	1.04	2.20	2.89
29 March 2017	1.05	2.17	2.86
31 March 2017	1.03	2.11	2.80

2. INVESTMENTS

	Made		Repaid	
	£	%	£	%
Short Term Investments	24,175,000	0.20 - 0.55	34,575,000	0.24 - 0.80
	24,175,000		34,575,000	

A full schedule of investment transactions is set out in appendix B2. Appendix B3 shows outstanding investments at 31 March 2017.

3. REVENUES COLLECTED

	Collected £	% of Amount Collectable %
Council Tax	52,134,094	97.50
NNDR	44,527,817	98.27
2016/17	96,661,911	97.86
Council Tax	49,735,075	97.38
NNDR	42,342,331	97.13
2015/16	92,077,406	97.26
Council Tax	48,667,449	97.67
NNDR	41,773,465	98.57
2014/15	90,440,914	98.08

Final collection levels were very similar to those of the previous two years.

4. BANK BALANCE

5. At 31 March 2017 £1,595,339.44 in hand

This simply records the Council's bank balance at the end of the last day covered by the report.

6. OUTTURN ON TREASURY MANAGEMENT IN 2016/17

	Revised Estimate £000	Actual £000	Variance £000
Interest Receivable	(256)	(272)	(16)
Interest Payable	1,320	1,318	(2)
Less Rechargeable	(18)	(14)	4
	1,302	1,304	2
Principal Repaid	673	516	(157)
Debt Management	16	12	(4)
NET BALANCE	1,735	1,560	(175)

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Outstanding Investments as at 31 March 2017

Appendix B3

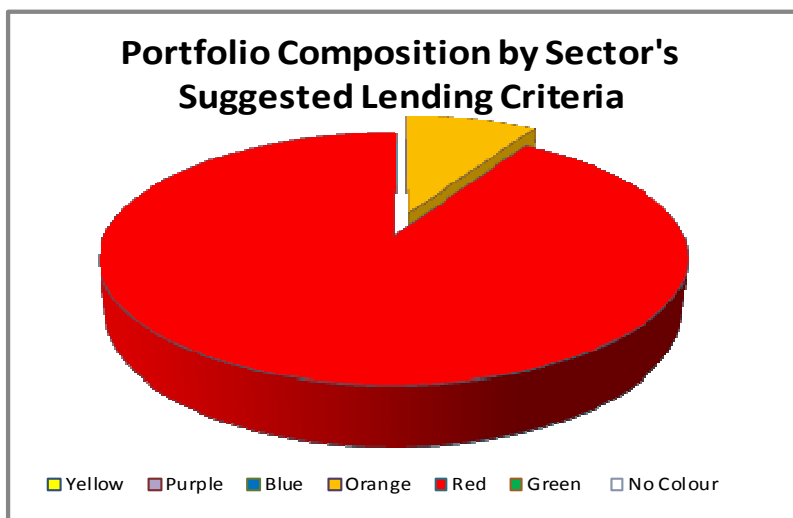
Category	Borrower	Principal (£)	Interest Rate	Start Date	Maturity Date	Current Days to Maturity	Days to maturity at execution	Total Interest Expected (£)
	Svenska Handelsbanken	1,000,000	0.20%					0
	Bank of Scotland PLC	1,500,000	0.65%	14/10/2016	13/04/2017	13	181	4,835
	Barclays Bank PLC	1,000,000	0.31%	03/01/2017	28/04/2017	28	115	977
	Nationwide Building Society	1,000,000	0.42%	21/11/2016	19/05/2017	49	179	2,060
	Standard Chartered Bank	1,000,000	0.30%	06/03/2017	25/05/2017	55	80	658
	Goldman Sachs International Bank	2,000,000	0.51%	03/01/2017	26/05/2017	56	143	3,996
	Bank of Scotland PLC	1,000,000	0.60%	30/11/2016	30/05/2017	60	181	2,975
	Barclays Bank PLC	1,000,000	0.47%	28/11/2016	31/05/2017	61	184	2,369
	Bank of Scotland PLC	1,000,000	0.55%	20/03/2017	20/09/2017	173	184	2,773
	Goldman Sachs International Bank	1,000,000	0.77%	30/03/2017	29/09/2017	182	183	3,861
	Total Investments	£11,500,000	0.48%			75	159	£24,503
	Borrower	Current Market Value (£)	Current Yield	Start Date	Initial Investment (£)	Entry Cost (£) ¹	Initial Market Value (£)	Unrealised Growth (£)
	CCLA Property Fund	3,229,873	4.58%	31/07/2014	3,000,000	(163,104)	2,836,896	229,873
	1. Entry Costs were charged against Treasury Management Budget in 2014/15							

N.B Interest is recognised in the appropriate financial year in which it is due. The category colour represents the duration of investment recommended by Capita Asset Services, the Council's Treasury Advisors. Those investments with No colour, are still within the Council's investment Strategy and are therefore deemed suitable for investing.

Investments Summary Sheet

	% of Portfolio	Amount	% of Colour in Calls	Amount of Colour in Calls	% of Call in Portfolio	Weighted Average Rate of Return WARoR	Weighted Average Days to Maturity WAM	Weighted Average Days to Maturity from Execution WAM at Execution
Yellow	0.00%	-	0.00%	-	0.00%	0.00%	0	0
Purple	0.00%	-	0.00%	-	0.00%	0.00%	0	0
Blue	0.00%	-	0.00%	-	0.00%	0.00%	0	0
Orange	8.70%	1,000,000	100.00%	1,000,000	8.70%	0.20%	0	0
Red	91.30%	10,500,000	0.00%	-	0.00%	0.52%	70	158
Green	0.00%	-	0.00%	-	0.00%	0.00%	0	0
No Colour	0.00%	-	0.00%	-	0.00%	0.00%	0	0
	100.00%	11,500,000	8.70%	1,000,000	8.70%	0.48%	64	145

Weighted Average Risk				
Risk Score for Colour (1 = Low, 7 = High)	Mar 2017	Dec 2016	Sep 2016	Jun 2016
1	0.0	0.1	0.0	0.3
2	0.0	0.0	0.0	0.0
3	0.0	0.0	0.0	0.0
4	0.3	0.0	0.8	0.0
5	4.6	3.7	4.0	0.9
6	0.0	1.0	0.0	3.2
7	0.0	0.0	0.0	0.0
	4.9	4.7	4.8	4.2



	Sector's Suggested Criteria
Y	Up to 5 Years
P	Up to 2 Years
B	Up to 1 Year
O	Up to 1 Year
R	Up to 6 months
G	Up to 3 months
N/C	No Colour

Normal' Risk Score	3.5	3.5	3.5	3.5
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Resources Overview and Scrutiny Panel

Agenda
Item:
A.7
(d)

Meeting Date: 13 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD06/17
Within Policy and
Budget Framework YES
Public / Private Public

Title: PROVISIONAL OUTTURN FOR COUNCIL TAX AND NATIONAL
NON DOMESTIC RATES 2016/17
Report of: Chief Finance Officer
Report Number: RD06/17

Summary:

This report summarises the provisional outturn and performance position for Council Tax, NNDR and was considered by Executive on 5 June 2017.

Questions for / input required from Scrutiny:

Members are asked to scrutinise the outturn position for Council Tax and NNDR and note the performance and position with regard to write offs and bad debts.

Recommendations:

Members of the Resources Overview and Scrutiny Panel are asked to considered this report.

Tracking

Executive:	5 June 2017
Overview and Scrutiny:	13 June 2017
Council:	11 July 2017

Report to Executive

Agenda
Item:

Meeting Date: 5 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref:KD06/17
Within Policy and Budget Framework YES
Public / Private Public

Title: COUNCIL TAX & NNDR PROVISIONAL OUTTURN 2016/17
Report of: CHIEF FINANCE OFFICER
Report Number: RD06/17

Purpose / Summary:

This report summarises the 2016/17 provisional outturn and performance position for Council Tax and NNDR.

Recommendations:

Members are asked to note the provisional outturn position at 31 March 2017 for Council Tax and NNDR and also note the position with regard to write offs and bad debt trends.

Tracking

Executive:	5 June 2017
Overview and Scrutiny:	13 June 2017
Council:	11 July 2017

1. BACKGROUND

1.1 The aim of this report is to:

- i) Advise Members of the current position on the 2016/17 Council Tax and Business Rates Accounts i.e. the total value of accounts raised and how much has been collected in the 2016/17 financial year.
- ii) Highlight and explain any variances against the expected (or budgeted) position.

2. COUNCIL TAX PROVISIONAL OUTTURN AS AT 31 MARCH 2017

2.1 **Appendix 1** details the provisional outturn position for Council Tax for 2016/17.

2.1.1 Collection Fund (Council Tax)

The Council Tax Collection Fund records all the entries in relation to income and expenditure in relation to Council Tax. For budgeting purposes, the Collection Fund position is estimated on 15th January each year and it is this figure that forms the basis of the following year's budget.

2.1.2 For 2016/17, the estimated position on the collection fund for 2015/16 was a surplus of £718,247, with the Council's share being £92,824.29.

2.1.3 When the actual position was calculated at the end of 2015/16 the surplus on the Council Tax Collection Fund was £1,242,496.48 of which the Council's share was £159,180.30. This increase in the surplus is then redistributed in the estimate for 2017/18 for budgeting purposes.

2.1.4 The actual collection fund position for 2016/17 has been calculated and the surplus has again increased, now standing at £1,708,288. The current position on the Council Tax Collection Fund is shown below:

Carlisle City Council	£000
Balance Brought Forward (Surplus)	(1,242)
Council Tax Income (Net)	(54,588)
Precepts from Major Preceptors	
Cumbria County Council	40,121
Police & Crime Commissioner for Cumbria	7,057
Carlisle City Council	6,933
Impairment of Debts / Bad Debt Provision	(82)
Contribution towards previous years surplus	93
In Year Surplus	(466)
Total Carried Forward Surplus	(1,708)
Distributed to preceptors:	
Cumbria County Council	(1,272)
Police & Crime Commissioner for Cumbria	(219)
Carlisle City Council	(217)

This surplus on the Collection fund is carried forward on the Balance Sheet and will be distributed as part of the budget process in 2018/19.

3. COUNCIL TAX COLLECTION PERFORMANCE

- 3.1 The Council's Council Tax collection performance for 2016/17 was 97.5% (2015/16 - 97.4%).

4. NNDR PROVISIONAL OUTTURN AS AT 31 MARCH 2017

- 4.1 2016/17 is the fourth year of the Business Rate Retention Scheme (BRRS) and new Collection Fund Accounting Regulations and the third year the Council has participated in the Cumbria Pooling arrangement.
- 4.2 For 2016/17, the BRRS baseline for the Council of £3.052m was used as its budget estimate for income to be retained from Business Rates and an additional £660,000 was estimated to be generated from additional business rate income over the baseline level and from the effects of participating in the Cumbria Pool.
- 4.3 Under normal circumstances any additional income over and above the baseline level is shared 50/50 between the Council and Central Government in what is known as a 'levy'. However, local areas can form combined pools, where the net position of top ups and tariffs result in the pool being a net top-up authority. The benefit of forming the pool is that 100% of additional income is kept within that pool

and not paid over to central government, meaning the local area benefits from growth in business rate income. However, there are also potential risks as the pool has to deal with any fall in business rates itself as the Government will not pay any safety net payments when income falls below 92.5% of the baseline.

- 4.4 The County Council are the administering body for the pool, with all Districts in Cumbria apart from Copeland participating in the arrangement. Each district pays the 50% levy that would have gone to Central Government into the Pool. This is then distributed amongst the members on an agreed formula. The distribution is as follows:

Gross Retained Levies

- Administration Costs by County Council
- = Net Retained Levy

40% distributed on basis of spending baseline proportions

40% distributed on basis of gross levy proportions (i.e. how much each authority pays into the pool)

20% retained as a volatility reserve for any future decline in income

4.5 2016/17 Outturn

There are three elements to the 2016/17 outturn, firstly the performance of the City Council's Business Rate Retention, secondly the performance of the Pool and finally the performance of the Collection Fund.

4.6 Business Rate Retention & Pooling

The table below shows the outturn for the Council's Business Rate Retention Scheme.

Carlisle City Council	£000
Income due from Rates Retention	(17,641)
Tariff payable	13,558
	(4,083)
Section 31 Grants for Small Business Rate Relief	(558)
Section 31 Grants Funded Reliefs	(141)
Total Net Retained Income	(4,782)
Baseline Funding	(3,052)
Total Additional Income	(1,730)
Levy Payable	(865)
Income Retained	(865)

Therefore, the Council retains £865,000 and pays £865,000 into the pool. The table below shows the total performance of the pool and the redistribution the Council will receive.

Cumbria Business Rate Pool	Levies	Spending Baseline Proportions	Gross Levy Proportions	Total Retained levy	Share of Volatility Reserve
	£	£	£	£	£
Allerdale	670,664	33,661	264,912	298,573	73,480
Barrow	55,556	28,816	21,945	50,761	12,492
Carlisle	864,897	30,710	341,634	372,344	91,636
Eden	236,516	15,798	93,424	109,222	26,880
South Lakeland	571,904	20,710	225,902	246,612	60,692
Cumbria		818,121	0	818,121	208,727
	2,399,537	947,816	947,817	1,895,633	473,907
Less Admin Cost	(30,000)				
Net Retained levy	2,369,537				

The Council has therefore benefited from the Pool by £372,344 and for 2016/17 the Pool has taken the decision not to increase the volatility reserve as income is growing and the risk of approaching the safety net by any partner is extremely low. Therefore, the retained shares that would normally be set aside in each authority's Volatility reserve will be retained in each Authority's General Fund. Therefore the total income from pooling for 2016/17 is £463,980. The benefit of participating in the pool has effectively reduced the levy rate from 50% to 23.1% i.e. the Council gains £1,329,000 out of £1,730,000 growth, as opposed to £865,000 without pooling.

4.6.1 2016/17 Budget

The budget for funding from Business Rates was set at the baseline level which is set by Government. However, actual income credited to the general fund is based on the 'NNDR1' estimate produced at the end of January 2016 and includes the estimate of Business Rate Income, the estimate for grant funding (Section 31 Grants) and the actual position on the Collection Fund. Therefore, the position **against the budget for retained income** is as follows:

Carlisle City Council	£000
Business Rate Baseline	(3,052)
Budgeted Growth/Pooling	(660)
Total Budgeted Funding	(3,712)
Income due from Rates Retention per NNDR1	(17,662)
Deficit on Collection Fund Brought Forward	158
Tariff payable	13,558
Section 31 Grants for Funded reliefs	(776)
Income due from Renewables Rate Growth	(28)
Levy Payable	865
Pooling Redistribution	(464)
Total Net Retained Income against Budget	(4,349)
Total Additional Income to be returned to Reserves	(637)

The amount to be returned to reserves highlighted in report RD03/17 will therefore increase by the £637,000 identified above.

4.6.2 Collection Fund

The final aspect of Business Rate Retention relates to the position on the Collection Fund. The Business Rates Collection Fund records all the entries in relation to income and expenditure in relation to Business Rates. In 2015/16 the deficit on the Business Rates Collection Fund was £967,442 of which the Council's share was £386,977.

The current position on the Business Rates Collection Fund is shown below:

Carlisle City Council	£000
Balance Brought Forward (Deficit)	967
Net Rates Payable	(44,175)
Transition payments	61
Cost of Collection	181
Shares to Major Preceptors	43,759
Renewables	53
Appeals Settled Provided for in 2015/16	(659)
New Appeals to be provided for 2016/17	354
Losses on Collection	82
In Year Deficit	(344)
Total Carried Forward Deficit	623
Carlisle City Council Share	249
Cumbria County Council Share	62
Central Government Share	312

The deficit on the Collection fund of £622,928 is carried forward on the Balance Sheet and will be recovered as part of the redistribution in 2018/19. The deficit on the Collection Fund for business Rates is primarily a legacy of establishing a large provision for potential repayment of amounts due to appeals. As more appeals are settled, the requirement of the provision reduces and hence the deficit has reduced.

4.7 Summary Business Rates

4.7.1 Business Rates income has performed well in 2016/17 and has exceeded budgeted expectations by £637,000. The Council has achieved additional income from Retained Business Rates income of £1,730,000 in 2016/17 and by participating in the Cumbria Pool has managed to retain £1,329,000. The Council's business rates collection performance for 2016/17 was 98.27% compared with 97.13% in 2015/16.

4.8 Overall Summary

4.8.1 In summary, the position on the Council Tax and Business Rates Collection Funds are as follows:

	Council Tax	Business Rates	Total
	£000	£000	£000
Balance Brought Forward (Surplus)/Deficit	(1,242)	967	(275)
In Year (Surplus)/Deficit	(466)	(344)	(810)
Total Carried Forward Deficit	(1,708)	623	(1,085)
Carlisle City Council Share	(217)	249	32
Cumbria County Council Share	(1,272)	62	(1,210)
Police & Crime Commissioner Share	(219)		(219)
Central Government Share		312	312

5. BAD DEBT WRITE-OFFS FOR NNDR, COUNCIL TAX AND DEBTORS (INCLUDING PENALTY CHARGE NOTICES)

- 5.1 In accordance with the Chief Finance Officer's delegated authority for the write-off of outstanding debts, without limit, the Executive is asked to note that debts totalling £91,849.89 have been written off for the period 1st January 2017 to 31st March 2017; such bad debts are summarised for the Executive's information in Table 1 of this report. The total amount written off in 2016/17 of £459,039.32 (mainly due to Business Rates written off) compares to total write-offs in 2015/16 of £819,023.79.
- 5.2 The 'write-ons' itemised in Table 1 totalling £11,178.10 are in respect of balances originally written off that have since been paid and credit write-offs for the period 1st January 2017 to 31st March 2017.
- 5.3 Also noted in Table 1 are the cumulative write offs and write ons 1st April 2016- 31st March 2017. Total write ons for 2016/17 were £117,303.28 compared to £54,300.81 in 2015/16.

Table 1

<u>Type of Debt</u>	Write offs 01/04/16 - 30/06/16 Quarter 1				Write offs 01/07/16 - 30/09/16 Quarter 2				Write offs 01/10/16 - 31/12/16 Quarters 3				Write offs 01/01/17 - 31/03/17 Quarter 4				Total Write offs 2016-17			
	No	Write Offs	No	Write Ons	No	Write Offs	No	Write Ons	No	Write Offs	No	Write Ons	No	Write Offs	No	Write Ons	No	Write Offs	No	Write Ons
NNDR					54	176,140.69	11	95,085.73					27	28,859.42	23	7,364.27	81	205,000.11	34	102,450.00
NNDR (PSC)																	0	0.00	0	0.00
Council Tax	83	42,173.27	7	2293.86	39	27,364.82	6	2626.47	23	7,315.16	18	4,908.45	66	38,747.88	19	3,806.96	211	115,601.13	50	13,635.74
Debtors																	0	0.00	0	0.00
Private Tenants													1	468.29			1	468.29	0	0.00
Housing Benefit	56	37,120.69	4	589.84	136	44,720.64	6	552.85	84	25,504.31			80	23,020.50			356	130,366.14	10	1,142.69
Overpayments																	0	0.00	0	0.00
General Fund	15	556.34	3	60.58	8	504.47	3	6.97	20	720.31	3	0.43	12	641.80	2	6.87	55	2,422.92	11	74.85
Penalty Charge																	0	0.00	0	0.00
Notices																	0	0.00	0	0.00
On Street 16	9	828.00							47	4,158.73			1	112.00			57	5,098.73	0	0.00
Off Street 3									1	82.00							1	82.00	0	0.00
																	0	0.00	0	0.00
TOTAL	163	80,678.30	14	2,944.28	237	248,730.62	26	98,272.02	175	37,780.51	21.00	4,908.88	187	91,849.89	44	11,178.10	762	459,039.32	105	117,303.28

6. OUTTURN POSITION ,WRITE OFFS / WRITE ONS VIA DEBTOR TYPE

6.1 The outturn position in respect of 2016/17 on a cumulative basis by fund indicates total debts written off of £459,039.32.

6.2	Council Tax (Collection Fund)	-	£115,601.13
	NNDR Pool	-	£205,000.11
	General Fund	-	<u>£138,438.08</u>
	Total	-	£459,039.32

6.3 'Write-ons' were credited as follows:

Council Tax (Collection Fund)	-	£13,635.74
NNDR Pool	-	£102,450.00
General Fund	-	<u>£ 1,217.54</u>
Total	-	£ 117,303.28

6.4 In the case of General Fund, the write-offs will be charged against provisions made for bad debts (except for PCN's which are accounted for on a cash basis). However VAT which has been separately identified will be recouped in future VAT returns. Write-off/Write on of Council Tax will fall against the Collection Fund provisions within those accounts. Any Council Tax Court Costs written off will be charged against the costs 'Bad Debt' provision within the General Fund.

	General Fund	Council Tax	NNDR	Total
Opening Bad Debt Provision	1,467,500	1,273,430	362,010	3,102,940
Write Offs in Year	(137,723)	(103,646)	(102,543)	(343,913)
Additional Charge to Collection Fund	0	114,646	81,445	196,091
Additional Charge to General Fund	200,988	0	0	200,988
Closing Bad Debt Provision	1,530,765	1,284,430	340,912	3,156,107

The overall increase in the Bad Debt Provision is mainly due to the continued growth in housing benefit overpayments.

7. CONSULTATION

7.1 Resources Overview and Scrutiny Panel will consider the report on 13June 2017.

8. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 8.1 The provisional outturn position and comments on performance will feed into the overall Revenue accounts for 2016/17.
- 8.2 Members are asked to note the provisional outturn position at 31 March 2017 for Council Tax and NNDR and also note the position with regard to write offs and bad debt trends.

9. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

- 9.1 The collection of Council Tax and NNDR directly affects all residents receiving services from Carlisle City Council.

Contact Officer: Steven Tickner **Ext:** 7280

Appendices Appendix 1 – Council Tax Outturn
attached to report:

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

CORPORATE IMPLICATIONS/RISKS:

Economic Development – n/a

Governance& Regulatory Services – The Council has a statutory obligation to collect Council Tax (Local Government Finance Act 1992 and Council Tax (Administration and Enforcement) Regulations 1992 and NNDR (Local Government Finance Act 1988).

Community Services – n/a

Corporate Support & Resources–Included within this report

COUNCIL TAX OUTTURN 2016/17**1993/94 to 2015/16**

	<u>Council Tax</u>	<u>Costs</u>	
	<u>£</u>	<u>£</u>	
Arrears b/f at 01.04.2016	2,370,286.99	238,250.89	2,608,537.88
Net changes in Debit	-71,912.48		
Costs Raised (Net of Write Offs)		45,105.82	
Net Debit	<u>2,298,374.51</u>	<u>283,356.71</u>	
Write Offs	-78,913.02		
Cost Write off Adjustment			
Payments Net of Refunds	-1,057,917.82	-129,909.23	
Payments posted after 01/04/2017 (received in 16-17)	-1,595.01		
Arrears c/f 1993/94 to 2015/16	<u>1,159,948.66</u>	<u>153,447.48</u>	1,313,396.14

2016/17

Opening Debit	68,929,909.01		
MOD Contributions in Lieu	40,824.00		
<u>Changes in Liability</u>			
Costs Raised (Net of Write Offs)		197,654.65	
General	720,836.80		
Exemptions	-1,568,031.29		
Disabled Relief	-54,328.75		
Discounts	-6,781,617.42		
Flood Discount	-1,268,445.34		
Flood Discount - Empty/Second Homes	-17,196.04		
Empty Premium	111,475.59		
Net Debit	<u>60,113,426.56</u>	<u>197,654.65</u>	
<u>Income</u>			
Rebates	-6,644,805.08		
Payments Net of Refunds	-52,201,323.77	-122,463.88	
MOD Contributions in Lieu	-40,824.00		
Payments posted after 01/04/2017 (prepayments)	-64,923.61		
Prepayments 2016-17	-775,009.05		
Prepayments 2017-18	829,779.41		
Prepayments 2017-18 - posted after 01/04/2017	64,923.61		
Payments posted after 01/04/2017 (received in 16-17)	-11,386.96		
Total Income	<u>-58,843,569.45</u>	<u>-122,463.88</u>	
Write Offs	-24,733.26	0.00	
Arrears c/f	<u>1,245,123.85</u>	<u>75,190.77</u>	1,320,314.62
Total arrears c/f 1993/94 to 2016/17	2,405,072.51	228,638.25	2,633,710.76

Council Tax Bad Debt Provision

Bad Debt Provision as at 15.01.2017 calculated on arrears of	1,218,961 b/f 2,834,791 current <hr/> 4,053,752	Bad Debt Provision as at 31.03.2017 calculated on arrears of	1,159,949 b/f 1,245,124 current <hr/> 2,405,073
Bad Debt provision was plus	975,168 b/f 811,583 current <hr/> 1,786,751	Bad Debt provision plus *	927,958 b/f 356,471 current <hr/> 1,284,429
Net Collectable after bad debt provision	<hr/> £2,267,001		<hr/> £1,120,643

Report to Resources Overview and Scrutiny Panel

Agenda
Item:
A.7
(e)

Meeting Date: 13 June 2017
Portfolio: Finance, Governance and Resources
Key Decision: Yes: Recorded in the Notice Ref: KD06/17
Within Policy and Budget Framework: Yes
Public / Private: Public

Title: ELECTED MEMBERS' ALLOWANCES - PROVISIONAL
OUTTURN REPORT FOR 2016/17
Report of: Chief Finance Officer
Report Number: RD02/17

Purpose / Summary:

This report sets out the amount of allowances paid to Members as part of the Elected Members' Allowances Scheme for 2016/17.

Questions for / input required from Scrutiny:

Members are asked to scrutinise the outturn position for Members Allowances.

Recommendations:

Members of the Resources Overview and Scrutiny Panel are asked to consider this report.

Tracking

Executive:	05 June 2017
Overview and Scrutiny:	13 June 2017
Council:	Not applicable

Report to Executive

Agenda
Item:

Meeting Date: 5th June 2017
 Portfolio: Finance, Governance and Resources
 Key Decision: Yes: Recorded in the Notice Ref: KD.06/17
 Within Policy and Budget Framework: Yes
 Public / Private: Public

Title: ELECTED MEMBERS' ALLOWANCES - PROVISIONAL
 OUTTURN REPORT FOR 2016/17
 Report of: Chief Finance Officer
 Report Number: RD02/17

Purpose / Summary:

This report sets out the amount of allowances paid to Members as part of the Elected Members' Allowances Scheme for 2016/17.

Recommendations:

The Executive is asked to receive the report and note the overall under-spend of £4,023 on allowances for 2016/17.

Tracking

Executive:	05/06/2017
Overview and Scrutiny:	13/06/2017
Council:	Not applicable

1. DETAILS

- 1.1 Set out in the attached **Appendix 1** are the amounts paid directly to individual Members as part of the Elected Members' Allowances Scheme for 2016/17 as required under paragraph 15 of the Local Authority (Members Allowances) (England) regulations 2003.
- 1.2 The detail in respect of Travel and Subsistence for Members collectively is provided in 1.8 overleaf.
- 1.3 The overall position is summarised as follows:

	Budget	Outturn	Variance
	£	£	£
Basic Allowance	255,900	249,692	(6,208)
Special Responsibility allowance	89,300	87,530	(1,770)
Dependent Carers' Allowance	0	0	0
Travel – General	14,000	19,291	5,291
Travel – Relating to Members' training	2,300	117	(2,183)
Subsistence General	1,500	2,929	1,429
Subsistence – Relating to Members' training	600	18	(582)
Total	363,600	359,577	(4,023)

- 1.4 There is an under-spend overall of £4,023.
- 1.5 The Basic Allowance budget is under-spent because budgets are allocated for a full year from April and there were vacancies on the Council for part of the year.
- 1.6 The Special Responsibility Allowance budget is slightly under-spent. This is partly due to committees not sitting until later in the year and therefore allowances only being paid for part of the year only. In addition, Members are only entitled to receive one Special Responsibility Allowance and therefore if they hold two positions that attract an allowance only one will be paid.
- 1.7 There has been an over spend in respect to Travel and Subsistence largely due to a bill received from HM Revenues & Customs for tax and NI totalling £10,106 on

Member's home to Civic Centre travel for previous 6 years. The legislation in this matter has now changed so this should be viewed as a one-off payment.

1.8 Details of Travel and Subsistence:

	Budget £	Outturn £
Public Transport		
Public transport costs in respect of attendance at committee meetings and other approved duties	900	1,762
Planning Site visits and other approved duties	1,100	975
MLDP* – Public Transport	2,300	
Members' training - Executive group		0
Members' training - Labour group		23
Members' training - Conservative group		77
Members' training - Independent		17
	4,300	2,854
Mileage Expenses		
Mileage costs in respect of attendance at committee meetings and other approved duties	12,000	6,448
HMRC settlement agreement		10,106
MLDP – Mileage	0	0
	12,000	16,554
Subsistence Expenses		
Subsistence costs in respect of attendance at committee meetings and other approved duties	1,500	2,929
MLDP – Subsistence	600	
Members' training - Conservative group		6
Members' training - Independent group		12
	2,100	2,947

* MLDP = Members' Learning & Development Programme

Please note that subsistence covers items such as

- Accommodation
- Car parking charges
- Out of pocket expenses
- Meals

2. CONCLUSION AND REASONS FOR RECOMMENDATIONS

- 2.1 The Executive is asked to receive the report and note the overall under-spend of £4,023 with the Members' Allowances Scheme for 2016/17.

3. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

- 3.1 Members allowances form part of the Council's revenue budget and there is a requirement to report the outturn against the budget as part of the overall Council outturn position.

Contact Officer: Eileen Reid

Ext: 7272

Appendices **Appendix 1 – Members' Allowances Summary 2016/17**
attached to report:

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

CORPORATE IMPLICATIONS/RISKS:

Community Services – not applicable

Corporate Support & Resources – Contained within the report

Economic Development – not applicable

Governance & Regulatory Services – As stated within the body of the Report, the details herein are required to be reported by virtue of Regulation 15 of the Local Authorities (Members' Allowances) (England) Regulations 2003.

MEMBERS' ALLOWANCES SUMMARY 2016/17

APPENDIX 1

Init	Surname	Basic	Became or ceased to be a councillor	SRA	Travel	Accommodation & Subsistence	Notes
R	Alcroft	4,427.20	05/05/2016				
T	Allison	4,887.00					
K	Atkinson	472.94	05/05/2016				
J	Bainbridge	4,887.00					
J	Bell	4,887.00		1,128.00	29.10		
R	Betton	4,887.00					
R	Bloxham	4,887.00		1,131.03	933.34		
M	Boaden	472.94	05/05/2017				
J	Bomford	4,427.20	05/05/2016				
S	Bowditch	4,887.00					
C	Bowman	4,887.00			307.46		
M	Bowman	4,887.00			352.88		
H	Bradley	4,887.00		6,735.00	145.22	152.09	
R	Burns	4,887.00		4,497.00			
G	Caig	499.21	07/05/2016				
D	Cape	472.94	05/05/2016				
N	Christian	4,887.00					
J	Coleman	4,427.20	05/05/2016				
J	Collier	4,887.00		773.23			
T	Dodd	2,850.75	15/03/2017				received allowance up to 31/10/16
B	Earp	4,887.00		1,128.00	312.15		
G	Ellis	4,887.00					
J	Franklin	4,887.00					
A	Glendinning	2,660.70	15/09/2016				
C	Glover	4,887.00		17,967.00	1,176.08	1,528.16	
W	Graham	472.94	05/05/2016		68.90		
A	Harid	4,887.00					
S	Higgs	4,887.00					
J	Layden	4,887.00			1,043.43		
E	Mallinson	4,887.00					
J	Mallinson	4,887.00		4,497.00	157.49	552.32	
E	Martlew	472.94	05/05/2016	1,086.68	34.97		
H	McDevitt	4,887.00					
M	McDonald	4,427.20	05/05/2016				
A	McKerrell	4,887.00					
N	McNulty	4,427.20	05/05/2016				
M	Mitchelson	4,887.00					
D	Morton	4,887.00			16.60		
N	Nedved	4,887.00		4,497.00			
B	Osgood	2,402.78	27/09/2016				
D	Parsons	4,887.00			1,167.19		
J	Paton	4,887.00					
L	Patrick	4,887.00		4,497.00			
A	Quilter	4,887.00		6,735.00			
J	Riddle	4,887.00		959.56	44.89		
F	Robson	4,887.00			70.30	6.49	
D	Shepherd	4,887.00			935.95		
L	Sherriff	4,887.00		5,775.44	1,070.22	157.21	
S	Sidgwick	1,724.03	24/11/2016				
T	Sidgwick	4,427.20	05/05/2016		123.71		
C	Southward	4,887.00		5,775.44			
J	Southward	472.94	05/05/2016				
E	Stevenson	472.94	05/05/2016				
G	Stothard	4,887.00					
L	Tickner	4,887.00		10,588.73	325.62	552.32	
R	Tinnion	4,427.20	05/05/2016		253.59	12.00	
P	Vasey	4,887.00					
A	Warwick	4,887.00		4,497.00			
R	Watson	4,887.00		4,497.00			
J	Williams	4,887.00					
D	Wilson	4,887.00					
STANDARDS COMMITTEE				765.00			
PLANNING VISITS					975.00		
HMRC SETTLEMENT					10,106.00		
VAT					-242.00	-13.00	
Sum:		249,692.45		87,530.11	19,408.09	2,947.59	