

# AGENDA

## Executive

**Monday, 14 December 2020 AT 16:00**

**This meeting will be a virtual meeting and therefore will not take place in a physical location.**

### **Virtual Meeting - Link to View**

This meeting will be a virtual meeting using Microsoft Teams and therefore will not take place at a physical location following guidelines set out in Section 78 of the Coronavirus Act 2020.

### **Register of Attendance and Declarations of Interest**

A roll call of persons in attendance will be taken and, at the same time, 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.

### **Apologies for Absence**

To receive apologies for absence.

### **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.

## **PART A**

**To be considered when the Public and Press are present**

## **A.1 BUDGET PROCESS 2021/22**

(Key Decision - KD.25/20)

### **(a) Budget Update - Revenue Estimates 2021/22 to 2025/26 9 - 26**

Pursuant to Minute EX.122/20, the Corporate Director of Finance and Resources to submit a report providing an update to Report RD.32/20, with a summary of the Council's revised revenue base estimates for 2020/21, base estimates for 2021/22 and forecasts up to 2025/26 for illustrative purposes. Potential new spending pressures, bids and savings are also considered; and an update on the key budget considerations provided.

(Copy Report RD.42/20 herewith)

### **(b) Revised Capital Programme 2020/21 and Provisional Capital Programme 2021/22 to 2025/26 27 - 38**

Pursuant to Minute EX.127/20, the Corporate Director of Finance and Resources to submit a report providing an update to Report RD.33/20 and setting out the proposed capital programme for 2021/22 to 2025/26 in the light of new capital proposals identified; and summarising the estimated capital resources available to fund the programme.

(Copy Report RD.43/20 herewith)

### **(c) Draft Treasury Management Strategy Statement, Investment Strategy and Minimum Revenue Provision Strategy 2021/22 39 - 72**

Pursuant to Minute EX.129/20, the Corporate Director of Finance and Resources to submit a report setting out the Council's draft Treasury Management Strategy Statement for 2021/22 in accordance with the CIPFA Code of Practice on Treasury Management. Also incorporated are the Investment Strategy; Minimum Revenue Provision Strategy for 2020/21; and Prudential Indicators as required within the Prudential Code for Capital Finance in Local Authorities.

(Copy Report RD.44/20 herewith)

<b>(d)</b>	<b><u>Charges Reviews</u></b>	<b>73 - 80</b>
	Pursuant to Minutes EX.123/20, EX.124/20, EX.125/20 and EX.126/20, the Executive will consider feedback from Scrutiny Panels on the Charges Reviews and make decisions on the level of charges to be applied as not yet resolved for Community Services; Economic Development; Governance and Regulatory Services; and Licensing.  (Copy Scrutiny Panel Minute Excerpts herewith / to follow)	
<b>(i)</b>		<b>81 - 112</b>
	Executive Members are asked to refer to the Charges Review Reports contained within the Budget Book circulated on 30 October 2020 - CS.30/20 and Addendum issued separately; ED.38/20; and GD.54/20  Copy Report GD.48/20 (amended) herewith  Background Papers – various financial reports being considered as part of the Budget process are available on the Council’s website – <a href="https://carlisle.cmis.uk.com/">https://carlisle.cmis.uk.com/</a>	
<b>A.2</b>	<b><u>EXECUTIVE DRAFT BUDGET PROPOSALS FOR CONSULTATION</u></b>	
	(Key Decision - KD.25/20)  The Executive to table the draft Budget for consultation.	
<b>A.3</b>	<b><u>BITTS PARK INTERACTIVE WATER FEATURE</u></b>	<b>113 - 116</b>
	(Key Decision - KD.26/20)  The Deputy Chief Executive to submit a report seeking approval for the release of the capital allocation for full mechanical and electrical reinstatement of the children's interactive water feature in Bitts Park, following flood damage in February 2020.  (Copy Report CS.33/20 herewith)	
<b>A.4</b>	<b><u>REVIEW OF PUBLIC SPACE PROTECTION ORDERS</u></b>	<b>117 - 138</b>

(Key Decision - KD.27/20)

The Deputy Chief Executive to submit a report seeking Executive review of the content of Public Space Protection Orders.

(Copy Report CS.36/20 herewith)

#### **A.5 TOWN DEAL CAPITAL ACCELERATED FUND**

(Key Decision - KD.30/20)

The Corporate Director of Economic Development to submit a report providing Members with a background to the £1,000,000 grant awarded to the City Council from the Ministry of Housing, Communities and Local Government through the Towns Fund initiative to accelerate the delivery of capital projects in the city.

(Copy Report to follow)

#### **A.6 AIR QUALITY ACTION PLAN CONSULTATION AND ADOPTION**

**139 -  
148**

(Key Decision - KD.31/20)

The Corporate Director of Governance and Regulatory Services to submit a report, the purpose of which is to put forward a summary of the Local Authorities Air Quality Action Plan whilst also undertaking consultation with key stakeholders.

(Copy Report GD.60/20 herewith)

#### **A.7 ST CUTHBERT'S GARDEN VILLAGE MASTERPLAN FRAMEWORK**

**149 -  
158**

(Key Decision - KD.33/20)

The Corporate Director of Economic Development to submit a report apprising the Executive of the finalised Masterplan Framework for St Cuthbert's Garden Village. The matter was scrutinised by the Economic Growth Scrutiny Panel on 26 November 2020.

(Copy Report ED.50/20 herewith / Minute Excerpt to follow)

Background papers -

- ED.17/17 - Report to Executive - St Cuthbert's Garden Village
- ED.06/19 - Report to Executive - St Cuthbert's Garden Village Key Next Steps
- ED.28/19 - Report to Economic Growth Scrutiny Panel - St Cuthbert's Garden Village Progress Update
- ED.17/20 - Report to Leader - Key Next Steps
- ED.39/20 - Report to Executive - St Cuthbert's Garden Village Local Plan Consultation

are available on the Council's website - <https://carlisle.cmis.uk.com/>

## **A.8 NOTICE OF EXECUTIVE KEY DECISIONS 159 - 176**

(Non Key Decision)

The Notice of Executive Key Decisions, published on 13 November 2020, is submitted for information.

Subsequent to publication of the Notice, it was determined that Key Decision KD.29/20 (Carlisle Station Gateway - Phase 1) would be incorporated within a private report concerning the Borderlands Inclusive Growth Deal - Progress to Deal Update.

(Copy Notice herewith)

## **A.9 SCHEDULE OF DECISIONS TAKEN BY THE LEADER AND PORTFOLIO HOLDERS 177 - 184**

(Non Key Decision)

A Schedule detailing decisions taken by the Leader and Portfolio Holders under delegated powers is attached for information.

(Copy Schedule herewith)

Background papers - as detailed within the Schedule

## **A.10 SCHEDULE OF DECISIONS TAKEN BY OFFICERS 185 - 190**

(Non Key Decision)

A Schedule detailing decisions taken by Officers under delegated powers is attached for information.

(Copy Schedule herewith)

Background papers - as detailed within the Schedule

**A.11 JOINT MANAGEMENT TEAM**

**191 -  
192**

(Non Key Decision)

The Minutes of the meeting of the Joint Management Team held on 9 November 2020 are submitted for information.

(Copy Minutes herewith)

**A.12 QUARTER 2 PERFORMANCE REPORT 2020/21**

**193 -  
218**

(Non Key Decision)

The Policy and Communications Manager to submit the Quarter 2 2020/21 performance against the current Service Standards and a summary of the Carlisle Plan 2016-19 actions as defined in the 'plan on a page'. Performance against the 2020/21 Key Performance Indicators is also included.

(Copy Report PC.30/20 herewith / Minute Excerpts to follow)

**A.13 DATES AND TIMES OF MEETINGS 2021/22**

**219 -  
236**

(Non Key Decision)

The Corporate Director of Governance and Regulatory Services to submit a report on the dates and times of meetings for the 2021/22 Municipal Year prior to submission to Council.

(Copy Report GD.61/20 herewith)

Background papers - Carlisle City Council's Constitution; Report GD.25/20 (Dates and Times of Meetings 2020/21 from Council on 14 July 2020) are available on the Council's website - <https://carlisle.cmis.uk.com/>

**PART B**

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

## **B.1 TULLIE HOUSE BUSINESS PLAN 2021/22**

- Information relating to the financial or business affairs of any particular person (including the authority holding that information);

## **B.2 BORDERLANDS INCLUSIVE GROWTH DEAL**

(Non Key Decision)

*This report is not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972, as the report contains exempt information relating to the financial or business affairs of any particular person (including the authority holding that information)*

The Corporate Director of Economic Development to submit a report providing a progress to deal update regarding the Borderlands Inclusive Growth Deal.

(Copy Report to follow)

### **Members of the Executive**

Councillor J Mallinson (Leader's Portfolio)

Councillor G Ellis (Deputy Leader, and Finance, Governance and Resources Portfolio Holder)

Councillor N Christian (Environment and Transport Portfolio Holder)

Councillor S Higgs (Culture, Heritage and Leisure Portfolio Holder)

Councillor Mrs E Mallinson (Communities, Health and Wellbeing Portfolio Holder)

Councillor P Nedved (Economy, Enterprise and Housing Portfolio Holder)

Enquiries, requests for reports, background papers, etc to: Morag Durham, Democratic Services Officer - [morag.durham@carlisle.gov.uk](mailto:morag.durham@carlisle.gov.uk)

### **Notes to Members:**

Decisions made at this meeting, if not subject to call-in, will normally become live on 24 December 2020





# Report to Executive

Agenda  
Item:

**A.1(a)**

Meeting Date: 14 December 2020  
Portfolio: Finance, Governance and Resources  
Key Decision: Yes: Recorded in the Notice Ref: KD.25/20  
Within Policy and Budget Framework YES  
Public / Private Public

Title: BUDGET UPDATE – REVENUE ESTIMATES 2021/22 TO 2025/26  
Report of: CORPORATE DIRECTOR OF FINANCE & RESOURCES  
Report Number: RD 42/20

## Purpose / Summary:

This report provides an update to RD32/20, with a summary of the Council's revised revenue base estimates for 2020/21, together with base estimates for 2021/22 and forecasts up to 2025/26 for illustrative purposes.

Potential new spending pressures, bids and savings are also considered in this report. It should be noted that the figures in this report are indicative and the final position is subject to decisions being taken further in the budget process.

The report also provides an update on the key budget considerations.

## Recommendations:

The Executive is requested to:

- (i) note the revised base estimates for 2020/21 and base estimates for 2021/22;
- (ii) note that the estimates in the report are draft and will be subject to the confirmation of Local Government Finance Settlement in December 2020;
- (iii) note the current MTFP projections, which will continue to be updated throughout the budget process as key issues become clearer and decisions are taken;
- (iv) note the budget pressures, bids and savings which need to be taken into account as part of the 2021/22 budget process;
- (v) note the Statutory Report of the S.151 Officer outlining the risks associated with the draft budget figures and that minimum reserves may need to be reviewed in the future depending upon the outcome of the Local Government Finance review.

**Tracking**

Executive:	<b>14 December 2020</b>
Scrutiny:	<b>BTSP 07 January 2021</b>
Council:	<b>2 February 2021 (Budget Resolution)</b>

## **1. INTRODUCTION**

- 1.1. This report considers the revised base estimates for 2020/21 together with the estimates for 2021/22. The report also sets out any known revisions to the Medium-Term Financial Plan (MTFP) projections.
- 1.2. The base estimates have been prepared in accordance with the guiding principles for the formulation of the budget over the next five-year planning period as set out in the following Policy documents that were approved by Council on 8 September 2020:
  - ◆ Medium Term Financial Plan and Charging Policy
  - ◆ Capital Strategy
  - ◆ Asset Management Plan
- 1.3. Members should be aware that there are a number of significant factors affecting the budget that are currently unresolved. In particular, the following are key to the budget process and details on these will be considered as the budget process progresses:
  - Ongoing impact of COVID-19;
  - Local Government Finance Settlement – announcement due by December 2020;
  - Further expected changes in government grant e.g. New Homes Bonus, Housing Benefit Admin Grant;
  - Future borrowing requirements;
  - Commercial and investment opportunities.
- 1.4. The report draws on information contained in a number of reports that are either considered elsewhere on this agenda or have been considered previously by the Executive.
- 1.5. Decisions will need to be made to limit budget increases to unavoidable and high priority issues, together with maximising savings and efficiencies, and potential use of reserves, to enable a balanced budget position to be recommended to Council in February 2021.

## **2. SUMMARY OF BASE BUDGET ESTIMATES**

- 2.1. The base estimates are calculated on the assumption that core services will continue at approved levels incorporating decisions agreed by Council as part of the previous year's budget process and including all subsequent decisions made by Council.
- 2.2. The table below sets out the base level General Fund requirement for 2020/21 and 2021/22 with projections to 2025/26. The 2020/21 variance reflects the use of

earmarked reserves approved since the MTFP was approved in September.

Table 1 – Base Budget Summary

	2020/21 Original £000	2020/21 Revised £000	2021/22 Original £000	2022/23 Proj £000	2023/24 Proj £000	2024/25 Proj £000	2025/26 Proj £000
Net Base Budget Parish Precepts (PP)	14,653 688	17,532 688	12,753 705	12,594 723	12,960 741	13,183 760	13,670 779
<b>Total</b>	<b>15,341</b>	<b>18,220</b>	<b>13,458</b>	<b>13,317</b>	<b>13,701</b>	<b>13,943</b>	<b>14,449</b>
Original MTFP Projections	15,341	17,972	13,176	13,205	13,494	13,707	13,949
<b>Variance</b>	<b>0</b>	<b>248</b>	<b>282</b>	<b>112</b>	<b>207</b>	<b>236</b>	<b>500</b>
<b>Analysis of Variance:</b>							
Sands Project			282	112	207	153	345
Developer Contributions			0	0	0	83	155
Non-Recurring:							
Planning Services Reserve		(23)					
Revenue Grants Reserve		286					
Cremator Reserve		(24)					
Building Control Reserve		9					
<b>Total Variance</b>	<b>0</b>	<b>248</b>	<b>282</b>	<b>112</b>	<b>207</b>	<b>236</b>	<b>500</b>

2.3. Members will be aware from the revenue monitoring reports that there are a number of income streams that are reporting variances against projected levels in the current financial year and there may be other cost pressures or savings which may have a recurring impact; many of these are in relation to the ongoing COVID-19 pandemic and the impact it is having on Council services. These shortfalls are being reported to MHCLG on a monthly basis to ensure that government is aware of the losses being incurred. It is likely some or all of these pressures may continue into 2021/22, but these are being closely monitored and dialogue is ongoing with MHCLG to ensure that any losses are recovered where possible through grant or compensation from central government.

### 3. OUTSTANDING KEY ISSUES

#### 3.1. Government Settlement Funding Assessment

The Council receives core funding allocations from the Government in relation to Business Rates Baseline Funding and other specific grants. 2020/21 saw a one-year

settlement so the figures incorporated into this report for 2021/22 onwards are only estimations of the government funding that the Council may receive. Due to the COVID-19 pandemic, reform to the local government funding model (Fair Funding Review & Business Rates Retention) has been delayed and the Chancellor has recently announced his Spending Review (SR) for 2021/22 in order to prioritise the response to COVID-19 and to focus on supporting jobs. This will, therefore, provide departmental resources for 2021/22 only. In terms of public services, the SR focused on “giving enhanced support to continue to fight against the virus alongside delivering first class frontline services”. The SR also confirmed multi-year capital spending for key programmes. This one-year settlement makes it extremely difficult for the Council to undertake any medium to long term financial planning, with the allocations for 2021/22 expected in mid-December.

### **3.2. Retained Business Rates and Council Tax**

The Business Rate Baseline figure is assumed at an inflationary increase for 2021/22 with reduced projections for growth and pooling built into the MTFP from 2021/22 on the basis that the Business Rates Reforms would be implemented in 2021/22. However, as mentioned above, the reforms of the Retained Business Rates Retention Scheme have again been deferred and as a result of this deferral, the MHCLG has decided not to revoke the existing legislation governing pooling arrangements, and therefore the Council is able to continue to be a member of the Cumbria Business Rates Pool for 2021/22, subject to the agreement of all participating members. The financial aspects of continuing with the Pooling arrangements for 2021/22 are set out further in this report.

It is expected that the referendum limit will remain for Council Tax increases, however, District Councils are usually given the option of raising Council Tax by the greater of 3% or £5. This will be confirmed in mid-December.

### **3.3. Pay Award 2021/22**

The MTFP currently assumes a 2% pay award increase from 2021/22 onwards; with the agreed pay award for 2020/21 being 2.75%. However, the Spending Review in November 2020 outlined plans to freeze public sector pay for public sector workers earning over £24,000. Those earning below this threshold will be guaranteed at least a £250 increase. There is also an exemption from the freeze for doctors and nurses. Therefore, there is likely to be a small saving on the amounts included in the MTFP. A decrease of 0.75% equates to a saving of £100,000 per annum.

### 3.4. Resource Assumptions

Contributions from balances include all approvals to date but make no assumptions on further contributions from balances to support the budget from 2021/22 onwards. The current resources projections assume:

- A £5 (Band D equivalent) Council Tax increase for 2021/22 onwards.
- A Council Tax Surplus for 2021/22 onwards of £50,000. The actual figure for 2021/22 will be available in January.
- Retained business rates are assumed at the Baseline level with an inflationary increase, with an additional sum to be achieved through growth/section 31 grants and from the benefits of Pooling in 2021/22;
- An assumed tax base of 34,911.93 for 2021/22. The final tax base for 2021/22 will not be available until January.
- Parish Precepts are currently being collated but the estimate for 2021/22 is for a total of £705,000. The actual Parish Precept requirement for each Parish will be reported to the Executive in December.

For information, broadly:

- Each 1% (£1.95) movement in Council Tax impacts on the Council by £67,000
- Each £35,000 increase or decrease in expenditure impacts on the Council Tax requirement by £1.

## 4. POTENTIAL NEW SPENDING PRESSURES/BIDS

- 4.1 In light of the current position in the MTFP, there are some potential new spending pressures and bids that need to be considered.

**There may be other pressures on the revenue budget as highlighted within the revenue monitoring reports, which may have a recurring impact; however, officers are reviewing the existing base budget provisions to ensure that the services can be provided within these budgetary provisions and also contribute towards the savings target.**

Detail		2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000	2025/26 £000
<b>Recurring</b>						
Leisure Contract	4.2	617	198	2	2	2
Energy Monitoring System	4.3	3	3	3	3	3
Replacement of Flare Data Management System	4.4	0	16	16	16	16
Industrial Estate Income	4.5	55	55	55	55	55
Pay Award	4.6	93	93	93	93	93
Project Officer Post	4.7	132	132	132	132	132
<b>Total Recurring Pressures</b>		<b>900</b>	<b>497</b>	<b>301</b>	<b>301</b>	<b>301</b>
<b>Non Recurring</b>						
City Centre Properties Income	4.8	190	190	190	190	0
Digital Marketing Officer	4.9	27	0	0	0	0
<b>Total Non Recurring Pressures</b>		<b>217</b>	<b>190</b>	<b>190</b>	<b>190</b>	<b>0</b>

#### 4.2 Leisure Contract Variation – Additional Expenditure - £617,000 recurring bid reducing to £2,000

This relates to additional subsidy to the Leisure provider agreed as part of the Sands project by Council in July 2019.

#### 4.3 Energy Monitoring System – Additional Expenditure - £3,000 recurring bid

This is the annual maintenance cost of a new energy monitoring system that is included as a new capital project in RD43/20. The system will allow the Council to monitor and manage its energy usage across its properties and will help to deliver commitments around becoming carbon neutral as well as generating a recurring saving of approximately £20,000 per year.

#### 4.4 Replacement of Flare Data Management System – Additional Expenditure - £16,000 recurring bid

This is the annual cost associated with a new Data Management system to be used by Regulatory Services. The capital costs are included in the Capital report (RD43/20) considered elsewhere on this agenda.

#### 4.5 Industrial Estate Income – income shortfall £55,000 recurring

To recognise the shortfall of income from industrial estates in line with the Council's asset disposal programme.

**4.6 Pay Award – Additional Expenditure - £93,000 recurring**

The 2020/21 pay award was higher than that included in the Medium-Term Financial Plan. This pressure recognises the increased cost of the 2020/21 pay award on the overall wage bill.

**4.7 Project Officer Post – Additional Expenditure - £132,000 recurring**

The Council has some significant capital schemes in the pipeline, e.g. new leisure facilities, civic centre refurbishment, Borderlands projects etc. This pressure is therefore to provide dedicated experienced officers who can manage these projects.

**4.8 City Centre Property Income – Income Shortfall - £190,000 reducing to £0 non-recurring bid**

To recognise the loss of rental income from City Centre properties; with the assumption that this funding gap will be replaced by funding received from the Borderlands Project.

**4.9 Digital Marketing Officer – Additional Expenditure - £27,000 non-recurring**

This is to create a fixed term role with the use of a capacity funding bid (£20,000) to lead on engagement through social media and digital channel. The role will continue to develop innovate approaches to engagement and consultation for the key strategic projects and new strategies/policies.

**4.10 COVID-19 Income and Budget Monitoring Shortfalls**

The on-going pressures as a result of COVID-19 are being closely monitored and dialogue is ongoing with MHCLG to ensure that any losses are recovered where possible through grant or compensation from central government.

**4.11 Climate Change**

The Council's update Local Environment (Climate Change) Strategy will be subject to a report to full Council in the Spring of 2021 following the usual consultation process; the Strategy will be supported by an action plan for addressing climate change issues as well individual actions required by the Council for reducing the its own carbon footprint. The Council is committed to becoming carbon neutral in the future and there may be a requirement for significant investment in achieving this goal, with recovery through the achievement of efficiency savings and/or by maximising any external grants and contributions available to support the strategy and action plan through the Council's Funding Strategy. However, any carbon reducing schemes will initially have to be funded from resources currently contained with the Council's existing Revenue and Capital budgets; with any new climate change initiatives, following the formal adoption and approval of the Local Environment (Climate



Change) Strategy, being supported by robust business cases with a cost benefit analysis provided.

As well as the base budgets used to support the Environmental Quality function (£232,700), the revenue budget also includes a proposal in relation to an Energy Monitoring System outlined at 4.3 above which will enable the Council to have closer scrutiny of the energy it uses which should help to reduce its climate footprint. The Council has also introduced a concept of fleet challenge, with all vehicle replacements being subject to a review and options undertaken on the type of replacement vehicle, currently within existing budgets.

## 5. SAVINGS AND ADDITIONAL INCOME PROPOSALS

5.1 Further savings/additional income have been identified in the budget process for 2021/22 as follows:

Detail	Note	2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000	2025/26 £000
<b>Changes to Funding</b>						
Business Rate Income	5.2	(1,200)	0	0	0	0
<b>Total Changes to Funding</b>		<b>(1,200)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Savings Proposed</b>						
Capacity Funding Bid	5.3	(20)	0	0	0	0
Energy Savings	5.4	(20)	(20)	(20)	(20)	(20)
Treasury Management	5.5	(315)	(280)	(355)	(327)	(317)
Budget Savings	5.6	(200)	(200)	(200)	(200)	(200)
<b>Total of Savings</b>		<b>(555)</b>	<b>(500)</b>	<b>(575)</b>	<b>(547)</b>	<b>(537)</b>
<b>Total Recurring</b>		<b>(535)</b>	<b>(500)</b>	<b>(575)</b>	<b>(547)</b>	<b>(537)</b>
<b>Total Non-Recurring</b>		<b>(20)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

### 5.2 Business Rates Pooling

It is recommended that the Council continue to be part of the Cumbria Pooling arrangements in 2021/22 now that the MHCLG has agreed not to revoke the current legislation, and all participating members have initially agreed that the pool continues in its current format. A potential additional sum of £1,200,000 may be factored into the budget as a result on a non-recurring basis.

### 5.3 Digital Marketing Officer – Additional Income - £20,000 non-recurring

This is the use of a Capacity Funding bid to support the creation of the Fixed Term post for a Digital Marketing Officer as outlined in 4.9 above.

#### 5.4 **Energy Monitoring System – Saving - £20,000 recurring**

This is the annual expected saving from the installation of a new energy monitoring system that is included as a new capital project in RD43/20.

#### 5.5 **Treasury Management**

Treasury Management projections have been updated to include updates to the Capital programme (contained elsewhere on this agenda) and updated for interest rate forecasts. This projection includes the potential impact on reserves for all the pressures and savings contained in this report together with the updated borrowing costs for the capital programme.

#### 5.6 **Budget Savings – Saving - £200,000 recurring**

The current MTFP includes a recurring savings requirement to be found by 2021/22 of £1million rising to £1.850million in 2023/24. This additional saving requirement will increase the savings needed for 2021/22 to £1.2million and the total savings required being £2.050million by 2023/24. Savings will need to be identified by a combination of reviewing:

- base budgets and specifically, non-staffing budgets such as transport costs, supplies and services costs;
- reviewing recurring grants receivable that aren't base budgeted;
- reviewing discretionary services and payments to third parties;
- service and efficiency reviews

### 6. **PROJECTED IMPACT ON REVENUE BALANCES**

6.1 It should be noted that if all of the potential new Savings and Spending Pressures were accepted then reserves may fall below acceptable minimum levels over the five-year period.

6.2 The general principles on each of the Reserves are set out in the Medium-Term Financial Plan. In terms of meeting ongoing revenue expenditure, the general guiding principle which Council approved is that:

*'Wherever possible, reserves should not be used to fund recurring expenditure, but that where it is, this should be made explicit, and steps taken to address the situation in the following years'.*

6.3 The Council's current levels of balances are set out in **Appendix A** and include any impact of the proposed pressures and savings outlined in this report. The Projects Reserve will be used as a first call for any projected revenue budget deficit however, maintaining the current level of reserves is dependent upon the achievement of the

transformation savings. A risk-based review of reserve levels has been undertaken and shows that the minimum level of General Fund Reserves should be £3.1million due to uncertainties around future funding from Business Rates; however, this level will be reviewed during this budget process.

Summarised Position	2020/21 Original £000	2020/21 Revised £000	2021/22 Original £000	2022/23 Proj £000	2023/24 Proj £000	2024/25 Proj £000	2025/26 Proj £000
Total Projected Expenditure	14,653	17,532	12,753	12,594	12,960	13,183	13,670
Total Projected Resources	(14,653)	(17,532)	(12,220)	(12,544)	(12,874)	(13,210)	(13,552)
<b>Projected (Surplus) / Shortfall <u>excluding</u> savings and new spending</b>	<b>0</b>	<b>0</b>	<b>533</b>	<b>50</b>	<b>86</b>	<b>(27)</b>	<b>118</b>
<b>Less:</b>							
New Saving Proposals							
- Recurring	0	0	(535)	(500)	(575)	(547)	(537)
- Non Recurring	0	0	(20)	0	0	0	0
- Business Rates	0	0	(1,200)	0	0	0	0
<b>(See Para 6)</b>							
<b>Add:</b>							
New Spending Pressures							
- Recurring	0	0	900	497	301	301	301
- Non Recurring	0	0	217	190	190	190	0
<b>(See Para 5)</b>							
<b>Potential Budget (Surplus) / Shortfall</b>	<b>0</b>	<b>0</b>	<b>(105)</b>	<b>237</b>	<b>2</b>	<b>(83)</b>	<b>(118)</b>
Potential (Surplus) / Shortfall Analysis:							
- Recurring	0	0	(336)	92	(188)	(273)	(118)
- Non Recurring	0	0	231	145	190	190	0

## 7. SUMMARY FINANCIAL OUTLOOK AND BUDGET DISCIPLINE 2021/22 to 2025/26

- 7.1 The current budget projections for the next five-year period are challenging and continue to show the requirement for substantial savings to be achieved in order to enable the Council to contain its ongoing commitments, notwithstanding the on-going impact of COVID-19, within available resources over the lifetime of the MTFP.
- 7.2 Notification of Government general and specific grants is received on an individual basis late in the budget process which makes forward planning difficult. The impact

of a further one-year settlement for 2021/22 also adds to the challenges of securing a balanced MTFP.

- 7.3 In terms of expenditure pressures, again notwithstanding the impact of COVID-19 on the Council's budgets and economic recovery in general, the significant issue affecting the budget is the uncertainty regarding local government funding in terms of business rate retention and any burdens which may transfer as a result.
- 7.4 The deferral of the Fair Funding Review and the Business Rate Retention Reviews increases the uncertainty in terms of future funding especially from 2022/23 onwards; however, the scope to remain within the Cumbria Pooling arrangements for 2021/22 (if all participating authorities agree) may provide an opportunity, albeit temporary, in terms of increased financial support to the revenue budget from pooling and growth.
- 7.5 The City Council needs to establish as part of its budgetary process the financial discipline to be followed by member and officers in the ensuing financial years, and the Executive will make recommendations in this respect in December.
- 7.6 Under section 25 of the Local Government Act 2003 the Council's S.151 Officer is required to prepare a statutory report which considers the robustness of the estimates and the adequacy of reserves and which determines levels of borrowing. A full report will be prepared and included within the Executive's draft budget proposals for consultation purposes.

## **8. RISKS**

- 8.1 As outlined above the Council has a statutory responsibility to set a balanced budget and failure to do this could lead to unfunded financial pressures on the Council.

## **9. CONSULTATION**

- 9.1 The Business and Transformation Scrutiny Panel will consider this report on 7 January 2021, and their views fed back to the Executive on 13 January. Public consultation will take place between 15 December and 12 January and the budget resolution will then be issued by the Executive on 13 January.

## **10 RECOMMENDATIONS**

- 10.1 The Executive is requested to:
- (i) note the revised base estimates for 2020/21 and base estimates for 2021/22;
  - (ii) note that the estimates in the report are draft and will be subject to the confirmation of Local Government Finance Settlement in December 2020;

- (iii) note the current MTFP projections, which will continue to be updated throughout the budget process as key issues become clearer and decisions are taken;
- (iv) note the budget pressures, bids and savings which need to be taken into account as part of the 2021/22 budget process;
- (v) note the Statutory Report of the S.151 Officer outlining the risks associated with the draft budget figures and that minimum reserves may need to be reviewed in the future depending upon the outcome of the Local Government Finance review.

## **11 CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

11.1 To ensure that a balanced budget is set.

<b>Contact Officer:</b>	<b>Alison Taylor</b>	<b>Ext: 7290</b>
	<b>Appendix A – Council Reserves</b>	
<b>Appendices attached to report:</b>	<b>Appendix B – Draft Statutory Report of S.151 Officer</b>	

**Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:**

- None

### **CORPORATE IMPLICATIONS:**

**Legal** – The Council has a fiduciary duty to manage its resources properly and for the benefit of its community. In doing so it is required to take account of the advice it receives from its Corporate Director of Finance and Resources. The Council must have a balanced budget to deliver its services and also achieve and sustain an appropriate level of reserves.

**Property Services** – There are no Property implications

**Finance** – contained within the body of the report

**Equality** – This report raises no explicit issues relating to the public sector Equality Duty.

**Information Governance** – There are no information governance implications.

**COUNCIL RESERVES**

Analysis of Council Reserves	Outturn 31 March 2020 £000	Projected 31 March 2021 £000	Projected 31 March 2022 £000	Projected 31 March 2023 £000	Projected 31 March 2024 £000	Projected 31 March 2025 £000	Projected 31 March 2026 £000
<b>Revenue Reserves</b>							
General Fund Reserve	(3,100)	(2,502)	(2,607)	(2,370)	(2,368)	(2,451)	(2,569)
Projects Reserve	(907)	0	0	0	0	0	0
Carry Forward Reserve	(654)	(632)	(632)	(632)	(632)	(632)	(632)
	<b>(4,661)</b>	<b>(3,134)</b>	<b>(3,239)</b>	<b>(3,002)</b>	<b>(3,000)</b>	<b>(3,083)</b>	<b>(3,201)</b>
Flood Reserve	(1,948)	(4)	(4)	(4)	(4)	(4)	(4)
Building Control Reserve	(100)	(91)	(91)	(91)	(91)	(91)	(91)
Cremator Reserve	(1,080)	(1,135)	(785)	115	115	115	115
City Centre Reserve	(5)	(5)	(5)	(5)	(5)	(5)	(5)
Revenue Grants Reserve	(1,939)	(1,209)	(1,209)	(1,209)	(1,209)	(1,209)	(1,209)
Planning Services Reserve	(196)	(205)	(205)	(205)	(205)	(205)	(205)
Apprentices Reserve	(78)	(78)	(78)	(78)	(78)	(78)	(78)
Waverley Viaduct Reserve	(30)	(30)	(30)	(30)	(30)	(30)	(30)
Prosecutions Reserve	(36)	(36)	(36)	(36)	(36)	(36)	(36)
<b>Total Revenue Reserves</b>	<b>(10,073)</b>	<b>(5,927)</b>	<b>(5,682)</b>	<b>(4,545)</b>	<b>(4,543)</b>	<b>(4,626)</b>	<b>(4,744)</b>
<b>Capital Reserves</b>							
Usable Capital Receipts	0	0	0	0	0	0	0
Unapplied capital grant	(136)	(112)	(112)	(112)	(112)	(112)	(112)
Lanes Capital Reserve	(75)	(90)	(105)	(120)	(135)	(150)	(165)
<b>Total Capital Reserves</b>	<b>(211)</b>	<b>(202)</b>	<b>(217)</b>	<b>(232)</b>	<b>(247)</b>	<b>(262)</b>	<b>(277)</b>
<b>Total Usable Reserves</b>	<b>(10,284)</b>	<b>(6,129)</b>	<b>(5,899)</b>	<b>(4,777)</b>	<b>(4,790)</b>	<b>(4,888)</b>	<b>(5,021)</b>
<b>Other Technical Reserves (i)</b>	<b>(90,488)</b>						
<b>Total All Reserves</b>	<b>(100,772)</b>						

(i) These reserves are of a technical nature and are not cash backed (i.e. they are not available either to fund expenditure or to meet future commitments.)

**DRAFT STATUTORY REPORT OF S.151 OFFICER**

1. In setting its Budget Requirement, the Council is required under the Local Government Act 2003 (Section 25) to consider:
  - (i) The formal advice of the statutory responsible financial officer (Corporate Director of Finance and Resources) on the robustness of the estimates included in the budget and the adequacy of the reserves for which the budget provides;
  - (ii) The Council has to determine what levels of borrowing, if any, it wishes to make under the Prudential Code that governs local authority borrowing.

2. **Robustness of the Estimates**

Whilst relevant budget holders are responsible for individual budgets and their preparation, all estimates are scrutinised by Financial Services staff, the Senior Management Team and the Strategic Financial Planning Group prior to submission to members.

The Council's revenue and capital budgets are integrated in that the financial impact of the proposed capital programme is reflected in the revenue estimates.

The Council has no history of overspending against budget, indeed, there has tended to be a degree of underspending. However improved budget monitoring backed up by specific action where appropriate and base budget procedures have proven effective in addressing this issue.

There are risks however involved in projecting budgets particularly over the medium term and the year-end position will never exactly match the estimated position in any given year. Areas of specific risk in the current five-year period under consideration are:

- The Savings programme was expected to achieve savings of £1million by 2021/22, increasing by £0.850million to £1.850million in 2023/24 in order to meet the expected cuts in grants from central government and other budgetary pressures identified in the previous budget process. However, based upon the pressures and savings identified within this draft budget, a further savings requirement of £0.200million will be required increasing the overall target to £1.200million by 2021/22, and to £2.050million in 2023/24. This will ensure that a balanced budget is produced and where Council reserves are replenished over the longer term.
- The level of interest receipts and return on Treasury Management activities are subject to market rates. Members are advised of this risk every year and it should be noted that in the current economic climate with low and relatively static base rates, investment income returns in the medium term continue to prove challenging. The Council is also having to deal with a reduced number of counterparties it is able to place deposits with.

**The main risk to the robustness of the estimates is the uncertainty regarding the Fair Funding Review and how, and when, the 75% retention of business rates will be implemented, and the outcome of one-year spending review and financial support for the on-going impact of COVID-19.**

**There will be a requirement to use reserves in the short term; however, the proposals put in place show that reserves will rise over the following 5-year period to minimum levels.**

**The delivery of the savings proposals identified and continuing work to deliver further savings will also be important to maintaining reserves at prudent levels. Regular budget monitoring, particularly in the area of the Savings programme is imperative during this period. The level of the Council's future Capital Programme in taking account of a significant reduction in capital receipts is fully funded but includes a borrowing requirement over the five-year period. The Capital Programme includes plans to sell further assets that can be utilised to reduce the overall borrowing requirement for future capital investment decisions.**

- Central contingencies – there have been no contingency budgets built into the existing estimates. This means that any unforeseen expenditure that cannot be contained within existing budgets will require a supplementary estimate to cover any costs. The budget proposals will significantly limit the capability to deal with any of these events and these may have to be found from within other budgets and reserves should the need arise.

2. Adequacy of Reserves

The level and usage of the Council's Reserves is undertaken annually as part of the Medium-Term Financial Plan.

The appropriateness of the level of reserves can only be judged in the context of the Council's longer-term plans and an exercise has been undertaken to review the level of reserves through the use of a risk assessment matrix. The findings of this exercise suggested that the minimum level should be set at £3.1million as a prudent level of General Fund Reserves which will be required as a general working capital/ contingency to cushion the Council against unexpected events and emergencies.

The Council's policy on reserves is that wherever possible reserves should not be used to fund recurring expenditure, but that where it is, this should be made explicit and steps taken to address the situation in the following years. The Executive sets out in its Budget Discipline and Saving Strategy on how it expects Officers to address the 2021/22 budget pressures in setting the 2021/22 budget and principles to be adopted when preparing the 2022/23 budget cycle.

**Based on current projections, Council Reserves will be maintained at prudent levels. It is accepted that the level of reserves is reliant on the delivery of the transformation savings and achievement of income targets and government funding.**

**Minimum reserve levels will continue to be monitored closely and will be dependent upon the final outcome of the devolvement of 75% business rates to local authorities and the fair funding review and any risks associated with this devolvement.**

3. Determination of Borrowing

The new Prudential Accounting regime enables the Council to borrow subject to meeting criteria of affordability. The draft Prudential Indicators have been established and these will be finalised for Council approval once decisions on the overall Capital Programme have been made.

**For the period under review the need for borrowing will be kept under consideration and will be dependent on the level of capital receipts being generated and the potential of future capital projects. Due to projects currently under consideration, the capital programme for 2021/22 to 2025/26 will require the use of Prudential Borrowing (including internal borrowing) to sustain levels depending on the levels of**



**capital receipts that can be generated in the future. If borrowing is required, full option appraisals will be carried out.**



## Report to Executive

Agenda  
Item:

**A.1(b)**

Meeting Date: 14 December 2020  
Portfolio: Finance, Governance and Resources  
Key Decision: Yes: Recorded in the Notice Ref: KD.25/20  
Within Policy and Budget Framework YES  
Public / Private Public  
Title: REVISED CAPITAL PROGRAMME 2020/21 AND PROVISIONAL CAPITAL PROGRAMME 2021/22 TO 2025/26  
Report of: CORPORATE DIRECTOR OF FINANCE AND RESOURCES  
Report Number: RD 43/20

### Purpose / Summary:

The report provides an update to RD33/20 and sets out the proposed capital programme for 2021/22 to 2025/26 in the light of new capital proposals identified and summarises the estimated capital resources available to fund the programme.

### Recommendations:

The Executive is asked to:

- (i) Note the revised capital programme and relevant financing for 2020/21 as set out in Appendices A and B, for recommendation to Council;
- (ii) Give initial consideration and views on the proposed capital spending for 2021/22 to 2025/26 given in the report in the light of the estimated available resources, for recommendation to Council;
- (iii) Note that any capital scheme for which funding has been approved by Council may only proceed after a full report, including business case and financial appraisal, has been approved.

### Tracking

Executive:	<b>14 December 2020</b>
Overview and Scrutiny:	<b>BTSP 07 January 2021</b>
Council:	<b>2 February 2021 (Budget Resolution)</b>

## **1. BACKGROUND**

- 1.1 This report details the revised capital programme for 2020/21 together with the proposed methods of financing as set out in paragraph 3 and **Appendix A and B**.
- 1.2 The report also details the capital spending proposals for 2021/22 to 2025/26, together with the potential resources available to fund the programme. Members are asked to give initial consideration to the spending proposals.
- 1.3 The guiding principles for the formulation of the capital programme over the next five-year planning period are set out in the following policy documents that were approved by Council on 8 September 2020:
  - Capital Investment Strategy 2021-22 to 2025-26 (Report RD26/20)
  - Asset Management Plan (Report GD43/20)
- 1.4 A Corporate Programme Board of senior officers, (the SMT Transformation sub-group) continues to take the lead on the prioritisation of investment and the monitoring and evaluation of schemes. This is to improve performance monitoring and business case analysis of capital projects.

## **2. CAPITAL RESOURCES**

- 2.1 There are several sources of capital resources available to the Council to fund capital expenditure, the main ones being:
  - Borrowing (Prudential Code - see paragraph 6.2)
  - Capital Grants e.g. DFG, specific capital grants
  - Capital Receipts e.g. proceeds from the sale of assets
  - Council Reserves e.g. Projects Reserve
- 2.2 In accordance with the Capital Investment Strategy, the Corporate Director of Finance and Resources will make recommendations on the most effective way of financing the Capital Programme to optimise the overall use of resources.
- 2.3 It should be noted that capital resources can only be used to fund capital expenditure and cannot, with the exception of the Council's own Reserves, be used to fund revenue expenditure. There are strict definitions of what constitutes capital expenditure.
- 2.4 It should also be noted that the resources available to support the capital programme can only be estimated during the year. The final position is dependent in particular on how successful the Council has been in achieving Capital Receipts

from the sale of assets against its target i.e. the more capital receipts generated, the less is required to be taken from Borrowing and Council Reserves (and vice versa).

- 2.5 The cost of externally borrowing £1m to fund the capital programme will result in a charge to the revenue account in the next full year of approximately £47,000. This is made up of £17,000 for the cost of the interest payable (1.7% of £1m equates to £17,000) and a principal repayment provision of 3% of the outstanding sum (3% of £1m equates to £30,000).

### 3. REVISED CAPITAL PROGRAMME 2020/21

- 3.1 The capital programme for 2020/21 totalling £29,915,800 was approved by Council on 14 July 2020 as detailed in the 2019/20 out-turn report (RD14/20).
- 3.2 The revised capital programme for 2020/21 now totals £19,390,400 as detailed in **Appendix A** subject to the relevant approvals by Executive and Council for the changes.
- 3.3 **Appendix B** details the revised anticipated resources available and their use to fund the capital programme. These have been revised to take account of revised projections and valuations of asset sales.
- 3.4 A summary of the revised programme for 2020/21 is shown below:

Summary Programme	£	Appx
<b>2020/21 Original Capital Programme</b>	29,915,800	<b>A</b>
Other adjustments	(10,525,400)	
<b>Revised Capital Programme (Sept 2020)</b>	<b>19,390,400</b>	<b>A</b>
Estimated Capital Resources available	(20,474,013)	<b>B</b>
<b>Surplus Capital Resources</b>	<b>(1,083,613)</b>	

### 4. CAPITAL SPENDING PROPOSALS 2021/22 TO 2025/26

- 4.1 The existing and capital spending proposals are summarised in the following table.

Capital Scheme	App/ Para	2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000	2025/26 £000
<b><u>Current Commitments:</u></b>						
Vehicles & Plant	4.2	1,215	1,159	976	1,851	1,003
Planned Enhancements to Council Property	4.3	250	250	250	250	250
Disabled Facilities Grants	4.4	1,467	1,467	1,467	1,467	1,467
ICT Infrastructure	4.5	101	76	131	101	101
Leisure Facilities	4.6	15,237	3,450	0	0	0
Recycling Containers	4.7	45	45	45	45	45
Civic Centre	4.8	1,021	0	0	0	0
Savings to Fund Civic Centre	4.8	(200)	0	0	0	0
Carlisle Southern Link Road	4.9	0	5,000	0	0	0
<b>Total Existing Commitments</b>		<b>19,136</b>	<b>11,447</b>	<b>2,869</b>	<b>3,714</b>	<b>2,866</b>
<b><u>New Spending Proposals:</u></b>						
Vehicles and Plant	4.2	(960)	62	795	(171)	163
Crematorium Infrastructure	4.10	350	900	0	0	0
Flare Data Management System	4.11	0	150	0	0	0
Energy Monitoring System	4.12	12	0	0	0	0
Future High Street Fund - Market Square	4.13	100	2,670	0	0	0
<b>Total New Spending Proposals</b>		<b>(498)</b>	<b>3,782</b>	<b>795</b>	<b>(171)</b>	<b>163</b>
<b>Total Potential Programme</b>		<b>18,638</b>	<b>15,229</b>	<b>3,664</b>	<b>3,543</b>	<b>3,029</b>

- 4.2 The anticipated budgets for replacement of the Council's vehicle fleet. An initial review of the current replacement plan has been undertaken and the revised figures are included in the table above.
- 4.3 The allocation for planned enhancements to council properties is retained at the current level of £250,000.
- 4.4 Disabled facilities grant allocation will not be known until early into 2021/22, although it has been assumed for the purpose of this report that the grant will be protected at the 2016/17 levels. This grant will be awarded via the County Council's Better Care Fund.
- 4.5 This is the current allocation for improvements and developments to the Council's ICT infrastructure.

- 4.6 This is the updated profile for the renovation and new build of the Sands Centre as previously agreed by Council in October 2020.
- 4.7 An allocation for the replacement of the Council's stock of recycling and waste containers.
- 4.8 Funding to be identified and vired to support the reinstatement of the Civic Centre Ground floor project from within the overall Capital Programme.
- 4.9 The Council's contribution to the Carlisle Southern Link Road project.
- 4.10 To provide new infrastructure for the crematorium including replacement cremators. The project is funded from the amounts set aside in the Cremator Replacement Earmarked Reserve.
- 4.11 An allocation to provide for a new data management system that is used in Environmental Health and Private Sector Housing.
- 4.12 An allocation to provide for an Energy Management System to be installed to monitor energy usage across Council owned property. This scheme is linked to a revenue saving in the Revenue Budget update report considered elsewhere in the agenda (RD42/20).
- 4.13 This project is part of the funding application to the Future High Streets Fund and seeks to redevelop and improve the area around the Greenmarket and Market Square in Carlisle City Centre. The project is part funded through the FHSF grant, with a funding requirement from the Council of £390,000.

As the budget process progresses, there may be further bids that come to light once full business cases are developed.

#### 4.14 **Climate Change**

The Council's update Local Environment (Climate Change) Strategy will be subject to a report to full Council in the Spring of 2021 following the usual consultation process; the Strategy will be supported by an action plan for addressing climate change issues as well individual actions required by the Council for reducing the its own carbon footprint. The Council is committed to becoming carbon neutral in the future and there may be a requirement for significant investment in achieving this goal, with recovery through the achievement of efficiency savings and/or by maximising any external grants and contributions available to support the strategy and action plan

through the Council's Funding Strategy. However, any carbon reducing schemes will initially have to be funded from resources currently contained within the Council's existing Revenue and Capital budgets; with any new climate change initiatives, following the formal adoption and approval of the Local Environment (Climate Change) Strategy, being supported by robust business cases with a cost benefit analysis provided.

Specific schemes included within the current capital programme includes investing over £400,000 in LED street lighting; provision of electric car charging points (Appendix A); Energy Monitoring System outlined at 4.12 above which will enable the Council to have closer scrutiny of the energy it uses which should help to reduce its climate footprint.

## 5. POTENTIAL CAPITAL RESOURCES AVAILABLE

5.1 The table below sets out the estimated revised resources available to finance the capital programme for 2021/22 to 2025/26.

Source of Funding	Para	2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000	2025/26 £000
<b>Capital Grants:</b>						
• Disabled Facilities Grant	5.2	(1,467)	(1,467)	(1,467)	(1,467)	(1,467)
• General Grants/Contributions	5.3	0	(2,446)	0	0	0
<b>Capital Receipts:</b>						
• Generated in year – Asset Business Plan	5.4	(1,011)	(3,573)	(200)	(200)	(445)
receipts used to fund resources		112	112	0	0	0
Direct Revenue Financing / Invest to Save	5.5	(1,337)	(1,887)	(987)	(987)	(987)
<b>TOTAL RESOURCES</b>		<b>(3,703)</b>	<b>(9,261)</b>	<b>(2,654)</b>	<b>(2,654)</b>	<b>(2,899)</b>

5.2 Disabled facilities grant allocation will not be known until early 2021/22, although it has been assumed for the purpose of this report that the grant will be protected at the 2016/17 levels. However as mentioned earlier this grant will be awarded via the County Council's Better Care Fund and there is still some uncertainty as to what the allocation will be.

5.3 General grants and contributions identified as funding streams for projects. The main element of this relates to the Future High Street Fund project for Market Square/Greenmarket (£2.380million).



5.4 Capital receipts from the sale of fixed assets. A review of the asset disposal programme has been undertaken and a reprofiling of disposals between 2021/22 and 2025/26 has been incorporated into the table above.

5.5 Direct revenue financing in relation to invest to save schemes and use of earmarked reserves.

## 6. SUMMARY PROVISIONAL CAPITAL PROGRAMME 2021/22 TO 2025/26

6.1 A summary of the estimated resources compared to the proposed programme year on year is set out below:

Source of Funding	2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000	2025/26 £000
Estimated in year Resources available (para 5.1)	(3,703)	(9,261)	(2,654)	(2,654)	(2,899)
Proposed Programme (para 4.1)	18,638	15,229	3,664	3,543	3,029
<b>Projected (Surplus)/Deficit</b>	<b>14,935</b>	<b>5,968</b>	<b>1,010</b>	<b>889</b>	<b>130</b>
Cumulative surplus/deficit b/fwd	<b>(1,084)</b>	<b>13,851</b>	<b>19,819</b>	<b>20,829</b>	<b>21,718</b>
Cumulative year end surplus/deficit	<b>13,851</b>	<b>19,819</b>	<b>20,829</b>	<b>21,718</b>	<b>21,848</b>
Borrowing undertaken previously	<b>14,000</b>	<b>14,000</b>	<b>14,000</b>	<b>14,000</b>	<b>14,000</b>
Cumulative deficit i.e. overall borrowing needed to support the capital programme	<b>27,851</b>	<b>33,819</b>	<b>34,829</b>	<b>35,718</b>	<b>35,848</b>

6.2 The Prudential Code gives authorities freedom to borrow to fund capital schemes subject to the over-riding principles of Affordability, Prudence and Sustainability. Whilst these freedoms could significantly impact on the capital resources available to the Authority, the principles referred to in effect mean that the Council is limited by the ongoing cost of any borrowing (i.e. the cost of prudential borrowing falls to be met from the General Fund recurring expenditure). The Prudential Code requires authorities to develop their own programmes for investment in fixed assets, based upon what the authority and local taxpayers can afford, and subject to a full Business Case and Options appraisal process. Further details on the Code can be found elsewhere on the agenda in the Treasury Management Report (RD43/20).

The table above shows that there continues to be a borrowing requirement from 2021/22. In order to reduce the exposure of the council to a borrowing requirement the following steps could be examined during the course of this budget process:

- Continuous review of the asset disposal programme;
- Fundamental review of existing capital programme to ensure schemes are still required and are accurate;
- Maximisation of the use of grants and contributions from external sources;
- Providing a additional recurring revenue contribution to the capital programme;
- Invest to save schemes that can repay the capital investment over a period of time.

## **7. RISKS**

- 7.1 The ongoing impact of issues raised will be monitored carefully in budget monitoring reports and appropriate action taken.

## **8. CONSULTATION**

- 8.1 Scrutiny Panels have considered the requests for their areas of responsibility at their meetings in November and December. Feedback of any comments on the proposals have been made to the Executive in December prior to the Executive issuing their draft budget proposals for wider consultation.

## **9. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

The Executive is asked to:

- (i) Note the revised capital programme and relevant financing for 2020/21 as set out in Appendices A and B;
- (ii) Give initial consideration and views on the proposed capital spending for 2021/22 to 2025/26 given in the report in the light of the estimated available resources;
- (iii) Note that any capital scheme for which funding has been approved by Council may only proceed after a full report, including business case and financial appraisal, has been approved.

## **10. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

- 10.1 The capital programme includes a range of positive projects that will directly benefit the people of Carlisle.

**Contact Officer:** Emma Gillespie

**Ext:** 7289

**Appendices  
attached to report:**

**Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:**

- None

**CORPORATE IMPLICATIONS:**

**LEGAL** - The Council has a fiduciary duty to manage its resources properly and for the benefit of its community. In doing so it is required to take account of the advice it receives from its Corporate Director of Finance and Resources. The Council must have a balanced budget to deliver its services and also achieve and sustain an appropriate level of reserves.

**PROPERTY** – The Council has a significant property portfolio which assists in the management of its resources as detailed in the Asset Management Plan.

**FINANCE** – Financial implications are contained within the body of the report.

**EQUALITY** – This report raises no explicit issues relating to the public sector Equality Duty.

**INFORMATION GOVERNANCE** – There are no information governance implications.

<b>Scheme</b>	<b>Original Capital Programme 2020/21 £</b>	<b>Other Adjustments £</b>	<b>Proposed Savings &amp; Carry Forwards £</b>	<b>Revised Capital Programme 2020/21 £</b>
Sands Centre Redevelopment	16,679,300	(10,644,100)	0	6,035,200
On Street Charging Points Infrastructure	203,700	0	0	203,700
Gateway 44 Development	4,621,900	0	0	4,621,900
Civic Centre Development	2,581,400	0	0	2,581,400
Open Space Improvements	80,700	0	0	80,700
Play Area Improvements	47,800	38,000	0	85,800
Cemetery Infrastructure	5,700	0	0	5,700
Central Plaza	12,300	0	0	12,300
Affordable Homes (S106)	0	50,700	0	50,700
Planning Software	150,000	0	0	150,000
Flood Reinstatement Projects	21,900	0	0	21,900
LED Footway Lighting Installation	203,100	11,700	0	214,800
Rough Sleeping Initiative		50,000	0	50,000
Planned Enhancements to Council Property	396,800	(31,700)	0	365,100
Vehicles, Plant & Equipment	1,532,400	0	0	1,532,400
Recycling Containers	45,000	0	0	45,000
ICT Infrastructure	311,000	0	0	311,000
Disabled Facilities Grants	2,864,600	0	0	2,864,600
Empty Property Grants	23,200	0	0	23,200
<b>SUB-TOTAL</b>	<b>29,780,800</b>	<b>(10,525,400)</b>	<b>0</b>	<b>19,255,400</b>
<b><u>Capital Reserves to be released</u></b>				
Play Area Improvements	35,000	0	0	35,000
Cemetery Infrastructure	30,000	0	0	30,000
Skew Bridge Deck	70,000	0	0	70,000
	<b>135,000</b>	<b>0</b>	<b>0</b>	<b>135,000</b>
<b>REVISED TOTAL</b>	<b>29,915,800</b>	<b>(10,525,400)</b>	<b>0</b>	<b>19,390,400</b>

**REVISED CAPITAL PROGRAMME 2020/21 – PROPOSED FINANCING**

Source of funding	2020/21 Original £	2020/21 Revised £	Notes
<b>Capital Grants:</b>			
• DFG	1,899,800	1,899,800	
• General	2,256,900	2,470,900	1
<b>Capital Receipts:</b>			
• B/fwd from previous year	(2,711,187)	(2,711,187)	
• Generated in year (Asset Review)	2,078,000	1,388,000	2
• Borrowing undertaken	0	14,000,000	
<b>Capital Contributions</b>			
• General	96,700	203,400	3
Direct Revenue Financing	3,223,100	3,223,100	4
<b>TOTAL FINANCE AVAILABLE</b>	<b>6,843,313</b>	<b>20,474,013</b>	
<b>TOTAL PROGRAMME (SEE APP A)</b>	<b>29,895,800</b>	<b>19,390,400</b>	
<b>PROJECTED (SURPLUS)/DEFICIT IN CAPITAL RESOURCES AVAILABLE</b>	<b>23,052,487</b>	<b>(1,083,613)</b>	

**Notes:**

1. Capital grant include revised funding for Sands Centre Development (£2,134,000), Empty Property Grants (£23,200), Play Area Improvements (£60,000), On-Street Charging Infrastructure (£203,700) and Rough Sleeping Initiative (£50,000).
2. Asset Review Receipts have been reprofiled into future years.
3. General contributions relate to Open Space Improvements (£80,700), Play Area Developments (£24,000), Affordable Homes S106 (£50,700) and Sands Centre (£48,000).
4. There are no changes to Direct Revenue Financing.



# Report to Executive

Agenda  
Item:

**A.1(c)**

Meeting Date: 14 December 2020  
Portfolio: Finance, Governance and Resources  
Key Decision: Yes: Recorded in the Notice Ref: KD.25/20  
Within Policy and Budget Framework YES  
Public / Private Public

Title: DRAFT TREASURY MANAGEMENT STRATEGY STATEMENT,  
INVESTMENT STRATEGY AND MINIMUM REVENUE  
PROVISION STRATEGY 2021/22  
Report of: CORPORATE DIRECTOR OF FINANCE AND RESOURCES  
Report Number: RD 44/20

## Purpose / Summary:

This report sets out the Council's draft Treasury Management Strategy Statement for 2021/22, in accordance with the CIPFA Code of Practice on Treasury Management. The Investment Strategy and the Minimum Revenue Provision (MRP) Strategy for 2021/22 are also incorporated as part of the Statement. So too are the Prudential Indicators as required within the Prudential Code for Capital Finance in Local Authorities.

## Recommendations:

The Executive is asked to note the draft Treasury Management Strategy Statement for 2021/22, which incorporates the Investment Strategy and the MRP Strategy, together with the Prudential Indicators for 2021/22 as set out in Appendix A and the Treasury Management Policy Statement as set out at Appendix D, and to seek comments from the Business and Transformation Scrutiny Panel in January 2021.

## Tracking

Executive:	<b>14 December 2020, 13 January 2021</b>
Scrutiny:	<b>BTSP 7 January 2021</b>
Audit Committee:	<b>18 December 2020</b>
Council:	<b>2 February 2021</b>

## **1. BACKGROUND**

- 1.1 The CIPFA Code of Practice on Treasury Management in Local Authorities was first issued in 1992 and updated in 1996, 2001, 2011 and 2017. The City Council formally adopted this Code in March 2002 and adopted the 2017 revision in February 2018.
- 1.2 Under the requirements of the revised Code, the Council will receive each year the following reports:
- Annual strategy and plan in advance of the year
  - A mid-year review
  - Annual report after its close.

## **2. TREASURY MANAGEMENT STRATEGY STATEMENT**

- 2.1 As required under the Code, the Treasury Management Strategy Statement (TMSS) for 2021/22, which also incorporates both the Investment Strategy for that year and the Minimum Revenue Strategy, is set out in **Appendix A**. The schedule of approved investment vehicles is contained in **Appendix B** and **Appendix C** includes a summary of current economic forecasts on interest rates that have been utilised in preparing the Strategy.
- 2.2 Also included within Appendix A are the **Prudential Indicators** that must be determined under the requirements of the CIPFA Prudential Code for Capital Finance in Local Authorities. These requirements came into operation on 1 April 2004 under the provisions of the Local Government Act 2003. Part 1 of the Act allows a local authority to borrow money for any purpose that is within its control or for the purposes of the prudent management of its financial affairs. The main purpose for borrowing money is to fund capital expenditure although some short-term borrowing is permitted to cover temporary cash flow needs.
- 2.3 Since 1 April 2004 there has been no statutory limit to the amount that can be borrowed. There is, however, a requirement for full compliance with CIPFA's Prudential Code; the key objectives of which are to demonstrate that the proposed capital investment plans have been assessed by the Council as affordable, prudent and sustainable. Section 3(1) of the Act puts a duty on the Council to determine before the start of the financial year and keep under review the maximum amount that it can afford to borrow. This amount is called the **Authorised Limit** and is discussed in **Appendix A**.
- 2.4 The Prudential Indicators are monitored via the quarterly Treasury Management monitoring reports.



- 2.5 The council recognises its responsibilities in terms of climate change and environmental sustainability and that consideration of these responsibilities may form part of its Investment Portfolio; however, consideration must also be given to ensure the security of principal, portfolio liquidity and return on investment when making investment decisions. Work continues to review the Investment Strategy in line with these recognised responsibilities and this will involve ensuring that counterparties have a relevant environmental strategy that sets out their position on climate responsibilities.

### **3. CONSULTATION**

- 3.1 The Council has appointed Link Asset Services Treasury Services as its Treasury Advisers and they have been involved in the Strategy and proposals contained within this report.

### **4. RISKS**

- 4.1 The Treasury Management function must ensure the security of Council funds at all times over the yield that is gained. It must also ensure it follows the key principles as outlined in the Treasury Management Code of Practice and the Prudential Code.
- 4.2 There is a risk that interest rates could change over the period of the Treasury Management Strategy Statement, particularly in respect of BREXIT and the recovery from the COVID-19 pandemic, but close monitoring of the situation will be maintained, particularly if there are forecast changes to interest rates that could have an impact on borrowing decisions or reduce the availability of counterparties with which the Council can invest its funds.

### **5. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

- 5.1 The Executive is asked to note the Treasury Management Strategy Statement for 2021/22, which incorporates the Investment Strategy and the MRP Strategy, together with the Prudential Indicators for 2021/22 as set out in **Appendix A**, and the Treasury Management Policy Statement as set out at **Appendix D**.

### **6. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

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

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

**Appendices attached to report:** Appendix A – Treasury Management Strategy Statement  
Appendix B – Approved Investment Instruments  
Appendix C – Interest Rate Forecasts  
Appendix D – Treasury Management Policy Statement

**Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:**

- None

#### **CORPORATE IMPLICATIONS:**

**LEGAL** – The Council has a fiduciary duty to manage its resources effectively for the benefit of its area and the delivery of its services. Treasury Management is an important part of this function and it is appropriate that the Council has a strategy and takes account of the available specialist internal and external advice. The Treasury Management Strategy forms part of the Budget and Policy framework and, therefore, ultimately requires approval by Council.

#### **PROPERTY -**

**FINANCE** – contained within the report.

**EQUALITY** – not applicable

**INFORMATION GOVERNANCE** – There are no information governance issues in this report

# **Draft Treasury Management Strategy Statement**

## Minimum Revenue Provision Policy Statement and Annual Investment Statement

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Carlisle City Council  
2021/22

## **1. INTRODUCTION**

- 1.1 It is a statutory requirement under Section 33 of the Local Government Finance Act 1992, for the Council to produce a balanced budget. In particular, Section 32 requires a local authority to calculate its budget requirement for each financial year to include the revenue costs that flow from capital financing decisions. This, therefore, means that increases in capital expenditure must be limited to a level whereby increases in charges to revenue from: -
- increases in interest charges caused by increased borrowing to finance additional capital expenditure, and
  - any increases in running costs from new capital projects are limited to a level which is affordable within the projected income of the Council for the foreseeable future
- 1.2 The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity initially before considering investment return.
- 1.3 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer-term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer-term cash may involve arranging long or short-term loans or using longer-term cash flow surpluses. On occasion, when it is prudent and economic, any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.4 The contribution the treasury management function makes to the authority is critical, as the balance of debt and investment operations ensure liquidity or the ability to meet spending commitments as they fall due, either on day-to-day revenue or for larger capital projects. The treasury operations will see a balance of the interest costs of debt and the investment income arising from cash deposits affecting the available budget. Since cash balances generally result from reserves and balances, it is paramount to ensure adequate security of the sums invested, as a loss of principal will in effect result in a loss to the General Fund Balance.
- 1.5 Whilst any commercial initiatives or loans to third parties will impact on the treasury function, these activities are generally classed as non-treasury activities, (arising

usually from capital expenditure), and are separate from the day to day treasury management activities.

- 1.6 CIPFA defines treasury management as:  
*“The management of the local authority’s borrowing, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”*
- 1.7 Revised reporting was required for the 2019/20 reporting cycle due to revisions of the MHCLG Investment Guidance, the MHCLG Minimum Revenue Provision (MRP) Guidance, the CIPFA Prudential Code and the CIPFA Treasury Management Code. The primary reporting changes included the introduction of a capital investment strategy, to provide a longer-term focus to the capital plans, and greater reporting requirements surrounding any commercial activity undertaken under the Localism Act 2011. The capital investment strategy has been reported separately.
- 1.8 The suggested strategy for 2021/22 in respect of the following aspects of the treasury management function is based upon officers’ views on interest rates, supplemented with leading market forecasts provided by the Council’s treasury consultants. The strategy covers the following issues:
- Treasury limits in force that will limit the treasury risk and activities of the Council;
  - Prudential and Treasury Indicators;
  - Current treasury position;
  - Borrowing requirement;
  - Prospects for interest rates;
  - Borrowing strategy considerations;
  - Debt rescheduling opportunities.
  - Investment Strategy
  - Minimum Revenue Provision Strategy
  - Capital Investment Strategy

## **2. CAPITAL INVESTMENT STRATEGY**

- 2.1 The CIPFA revised 2017 Prudential and Treasury Management Codes requires all local authorities to prepare a Capital Investment Strategy report, which will provide the following:
- a high-level long-term overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of services
  - an overview of how the associated risk is managed

- the implications for future financial sustainability
- 2.2 The aim of the Capital Investment Strategy is to ensure that all elected members fully understand the overall long-term policy objectives and resulting capital strategy requirements, governance procedures and risk appetite.
- 2.3 The Capital Investment Strategy is reported separately from the Treasury Management Strategy Statement alongside the Medium-Term Financial Plan with non-treasury investments being reported through this document. This ensures the separation of the core treasury function under security, liquidity and yield principles, and the policy and commercialism investments usually driven by expenditure on an asset. The Capital Investment Strategy will show:
  - The corporate governance arrangements for these types of activities;
  - Any service objectives relating to the investments;
  - The expected income, costs and resulting contribution;
  - The debt related to the activity and the associated interest costs;
  - The payback period (MRP policy);
  - For non-loan type investments, the cost against the current market value;
  - The risks associated with each activity.
- 2.4 Where a physical asset is being bought, details of market research, advisers used, (and their monitoring), ongoing costs and investment requirements and any credit information will be disclosed, including the ability to sell the asset and realise the investment cash.
- 2.5 Where the Council has borrowed to fund any non-treasury investment, there should also be an explanation of why borrowing was required and why the MHCLG Investment Guidance and CIPFA Prudential Code have not been adhered to.
- 2.6 If any non-treasury investment sustains a loss during the final accounts and audit process, the strategy and revenue implications will be reported through the same procedure as the Capital Investment Strategy.

### **3. TREASURY LIMITS 2021/22 TO 2023/24**

- 3.1 It is a statutory duty, under S3 of the Local Government Act 2003 and supporting regulations, for the Council to determine and keep under review how much it can afford to borrow. The amount determined is termed the 'Affordable Borrowing Limit'.
- 3.2 The Council must have regard to the Prudential Code when setting its Affordable Borrowing Limit. This essentially requires it to ensure that total capital investment remains within sustainable limits and in particular, that the impact upon its future council tax levels is 'acceptable'. It is important to understand, however, that the

Indicators themselves, which are set out in paragraph 6, do not have an inherently right or wrong answer. They are not intended as comparator information between different authorities but are designed to support and record local decision making.

#### 4. **USE OF TREASURY CONSULTANTS**

- 4.1 The authority has, like most other authorities, employed treasury advisers for specialist advice and assistance for many years. In the case of this authority, this role has long been fulfilled by Link Asset Services.
- 4.2 Link Asset Services provide specialist advice on both borrowing and investment matters. They also supply other relevant information and hold regular client seminars which help provide up to date training in what is an important and continually changing field. That said, it is important to recognise that responsibility for all treasury matters lies solely with the City Council and this responsibility is not delegated to Link Asset Services or any other third party. The Council has regard to the advice and information supplied by Link Asset Services along with advice and information from a variety of other sources. Such advice is valued and the authority is in frequent contact with Link Asset Services but this does not lessen the ultimate responsibility of the City Council in dealing with treasury matters and taking relevant decisions.

#### 5. **CURRENT PORTFOLIO POSITION**

The Council's treasury portfolio position at 18 November 2020 comprised:

Table 1		Principal £m	£m	Ave Rate %
Fixed Rate Funding	PWLB Market	13.5 0.0	13.5	1.63
Variable Rate Funding	PWLB Market	0 0	0	0.00
Other Long Term Liabilities			0	0.00
<b>Gross Debt</b>			<b>13.5</b>	<b>1.63</b>
<b>Total Investments</b>			<b>24.2</b>	<b>0.83</b>

#### 6. **PRUDENTIAL AND TREASURY INDICATORS 2021/22 – 2023/24**

- 6.1 The Prudential and Treasury Indicators have been based on current projections for capital spending and resources in 2021/22 to 2023/24. The Council has ensured that future years' capital programmes have been set in accordance with the

principles contained within the City Council's Capital Strategy and Asset Management Plan.

PRUDENTIAL INDICATOR AFFORDABILITY INDICATORS	2019/20 actual £000	2020/21 revised estimate £000	2021/22 estimate £000	2022/23 estimate £000	2023/24 estimate £000
Capital Expenditure	8,111	19,390	18,638	15,229	3,664
Ratio of financing costs to net revenue stream	2.97%	4.47%	5.15%	8.28%	13.40%
Net borrowing requirement in year (Internal & External)	1,025	2,431	8,565	14,923	5,731
Capital Financing Requirement as at 31 March	16,113	24,678	39,601	45,332	45,344
Annual change in Cap. Financing Requirement	(1,026)	8,565	14,923	5,731	12
<b>Incremental impact of capital investment decisions</b>					
Increase in council tax (band D) per annum (£)	0.71	7.45	12.82	4.88	0.01

6.2 The estimates of financing costs include both current capital commitments and the capital programme. In the case of this authority, it is assumed that any support from central government towards the costs of capital expenditure programmes in the next three years will be by means of a capital grant e.g. Disabled Facilities Grant.

### 6.3 **The Council's Borrowing Need (Capital Financing Requirement)**

6.3.1 The Capital Financing Requirement (CFR) is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is a measure of the Council's indebtedness and so its underlying borrowing need. Any capital expenditure above, which has not immediately been paid for from capital grants, capital receipts or revenue contributions, will increase the CFR as it will be funded from borrowing.

6.3.2 The CFR does not increase indefinitely. The Minimum Revenue Provision (MRP) is a statutory annual charge to the revenue budget which reduces the CFR in line with each asset's life, and so charges the economic consumption of capital assets as they are used.



PRUDENTIAL INDICATOR TREASURY MANAGEMENT INDICATORS	2019/20 actual £000	2020/21 revised estimate £000	2021/22 estimate £000	2022/23 estimate £000	2023/24 estimate £000
<b>Authorised Limit for External Debt:</b>					
- Borrowing	44,000	44,000	45,000	50,000	50,000
- Other Long Term Liabilities	100	100	100	100	100
<b>TOTAL</b>	<b>44,100</b>	<b>44,100</b>	<b>45,100</b>	<b>50,100</b>	<b>50,100</b>
<b>Operational Boundary for external debt:</b>					
- Borrowing*	32,500	39,000	40,000	45,000	45,000
- Other Long Term Liabilities	100	100	100	100	100
<b>TOTAL</b>	<b>32,600</b>	<b>39,100</b>	<b>40,100</b>	<b>45,100</b>	<b>45,100</b>
<b>Upper Limit for fixed interest rate exposure:</b>					
- Net principal re. Fixed rate borrowing/investments	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
<b>Upper Limit for variable rate exposure</b>					
- Net principal re. Variable rate borrowing/investments	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
<b>Upper Limit for total principal sums invested for over 1 year</b>	<b>50%</b>	<b>50%</b>	<b>50%</b>	<b>50%</b>	<b>50%</b>

**Notes:**

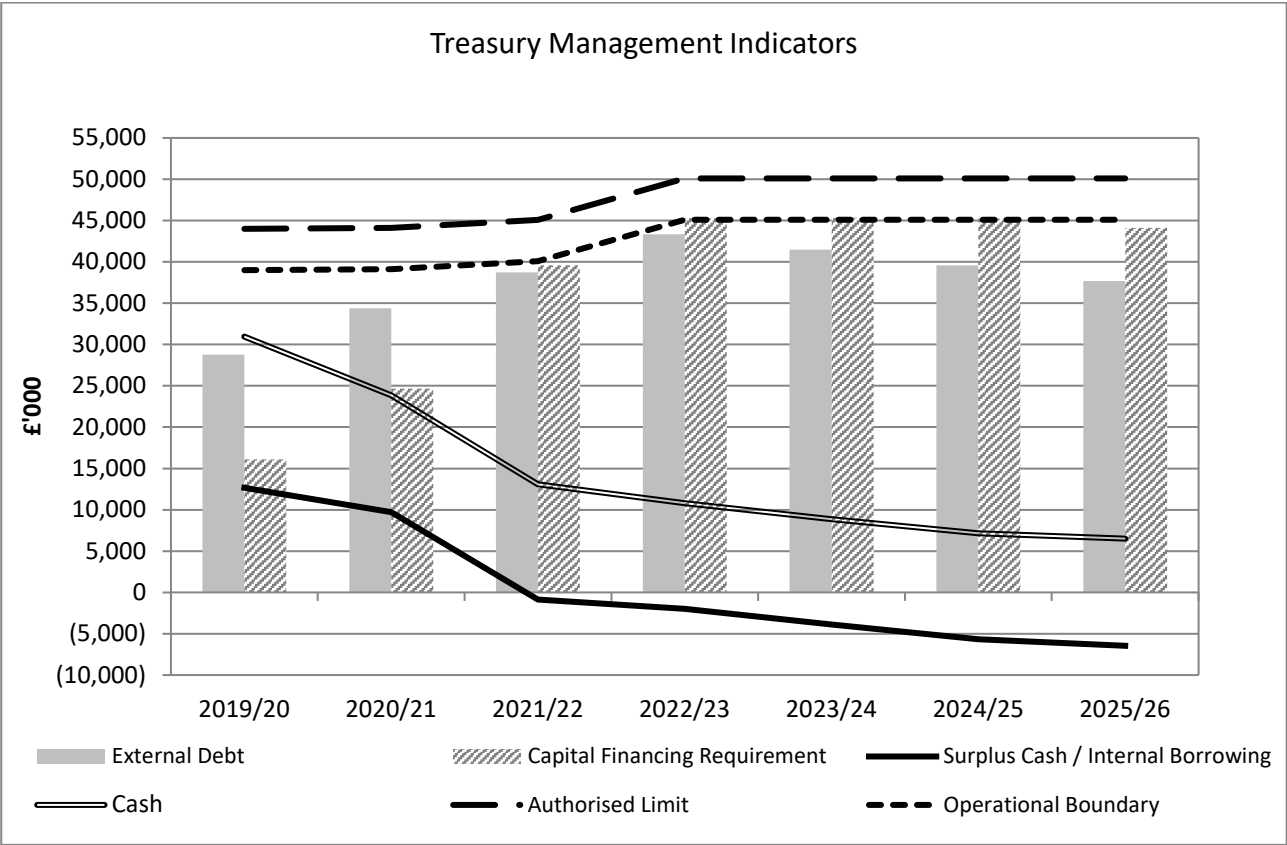
**The authorised limit for external debt.** This is a key prudential indicator and represents a control on the maximum level of borrowing. This represents a legal limit beyond which external debt is prohibited, and this limit needs to be set or revised by the full Council. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

**The operational boundary.** This is the limit beyond which external debt is not normally expected to exceed. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt and the ability to fund under-borrowing by other cash resources.

PRUDENTIAL INDICATOR TREASURY MANAGEMENT INDICATORS	2019/20 actual £000	2020/21 revised estimate £000	2021/22 estimate £000	2022/23 estimate £000	2023/24 estimate £000
External Debt B/Fwd	<b>15,000</b>	<b>28,775</b>	<b>34,380</b>	<b>38,745</b>	<b>43,357</b>
New External Debt (Actual & Planned)	14,000	22,000	6,000	6,507	0
External Debt Repaid	(225)	(16,395)	(1,635)	(1,895)	(1,895)
<b>External Debt C/fwd</b>	<b>28,775</b>	<b>34,380</b>	<b>38,745</b>	<b>43,357</b>	<b>41,462</b>

6.3.3 The graph below shows the level of external debt currently forecast against the Capital Financing Requirement. This chart makes assumptions included in the Executive's budget regarding the use of external borrowing. However, funding of capital expenditure could change, for example, if additional assets are sold

generating capital receipts or expenditure requirements change. Therefore, this chart could be subject to change in the future. This shows that external debt is not forecast to rise above the authorised limit over the next five years. However, this is predicated on the assumption that capital receipts can be generated that will be used to fund some of the capital expenditure requirements identified. Should these receipts not be achieved, then the use of borrowing will need to be re-examined. The Medium-Term Financial Plan assumes that external borrowing will be undertaken to support expenditure on major capital schemes such as the leisure development, Gateway 44 and the Southern Relief Road project. These areas will be closely monitored prior to any further external borrowing being undertaken.



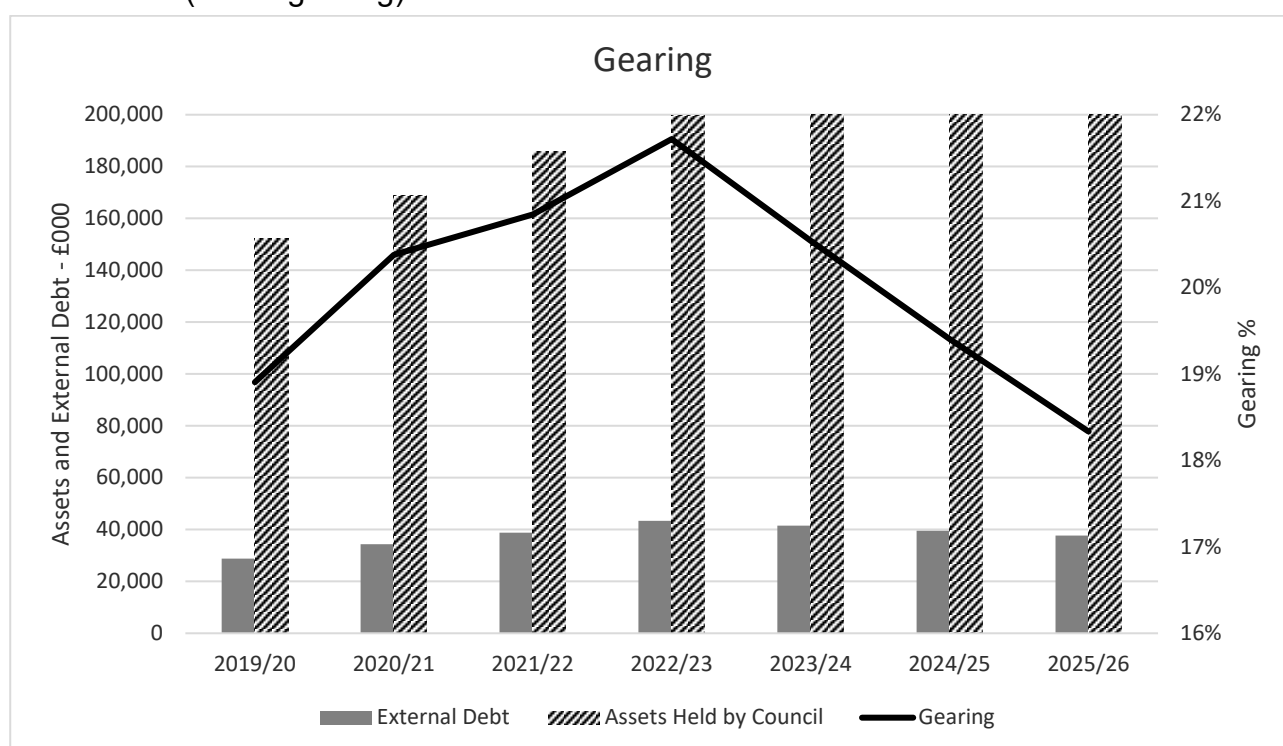
Maturity structure of any fixed rate borrowing during 2020/21	Upper limit	Lower limit
Under 12 months	100%	0%
12 months and within 24 months	100%	0%
24 months and within 5 years	100%	0%
5 years and within 10 years	100%	0%
10 years and above	100%	0%

6.3.4 In respect of its external debt, it is recommended that the Council approves the authorised limits as outlined above for its total external debt, gross of investments, for the next three financial years. The limit separately identifies borrowing from other long-term liabilities such as finance leases. The Council will be asked to

approve these limits and to delegate authority to the Corporate Director of Finance and Resources, within the total limit for any individual year, to effect movement between the separately agreed limits for borrowing and other long-term liabilities in accordance with option appraisal and best value for money. Any such change would be reported to the next available Council meeting.

6.3.5 The authorised limit is consistent with the authority's current commitments, plans and proposals for capital expenditure and it's financing. **However, the overall authorised limit is not to be exceeded without prior Council approval.**

6.3.6 In setting the Authorised Limit consideration should be made to the chart below which demonstrates the level of indebtedness against the Council's overall asset base (i.e. its gearing).



6.3.7 The operational boundary is based upon the same estimates as the authorised limit but without the headroom included within the authorised limit to allow for unusual cash movements. As with the authorised limit, the Council is asked to delegate authority to the Corporate Director of Finance and Resources to effect movement between the separately agreed limits for borrowing and other long-term liabilities. The operational boundary can be exceeded in exceptional circumstances without prior Council approval providing that it remains within the authorised limit.

6.3.8 The City Council's current limits for maximum levels of fixed and variable rate funding are both 100% and this is as recommended by the treasury advisers.

## 7. **PROSPECTS FOR INTEREST RATES**

- 7.1 The Council has appointed Link Asset Services as its treasury adviser and part of their service is to assist the Council to formulate a view on interest rates. The following table gives the Link Asset Services view although it should be noted that there are some differing views among the various economic forecasters regarding the future pattern of these rates:

	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Bank Rate	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%

- 7.2 The coronavirus outbreak has done huge economic damage to the UK and economies around the world. After the Bank of England took emergency action in March to cut Bank Rate to first 0.25%, and then to 0.10%, it left Bank Rate unchanged at its subsequent meetings up to 5th November, although some forecasters had suggested that a cut into negative territory could happen. However, the Governor of the Bank of England has made it clear that he currently thinks that such a move would do more damage than good and that more quantitative easing is the favoured tool if further action becomes necessary. As shown in the forecast table above, no increase in Bank Rate is anticipated as economic recovery is expected to be only gradual and, therefore, prolonged.

### 7.3 **Bond yields/PWLB rates**

There was much speculation during the second half of 2019 that bond markets were in a bubble which was driving bond prices up and yields down to historically very low levels. The context for that was a heightened expectation that the US could have been heading for a recession in 2020. In addition, there were growing expectations of a downturn in world economic growth, especially due to fears around the impact of the trade war between the US and China, together with inflation generally at low levels in most countries and expected to remain subdued. Combined, these conditions were conducive to very low bond yields. While inflation targeting by the major central banks has been successful over the last 30 years in lowering inflation expectations, the real equilibrium rate for central rates has fallen considerably due to the high level of borrowing by consumers. This means that central banks do not need to raise rates as much now to have a major impact on consumer spending, inflation, etc. The consequence of this has been the gradual lowering of the overall level of interest rates and bond yields in financial markets over the last 30 years. Over the year prior to the coronavirus crisis, this has seen many bond yields up to 10 years turn negative in the Eurozone. In addition, there

has, at times, been an inversion of bond yields in the US whereby 10 year yields have fallen below shorter term yields. In the past, this has been a precursor of a recession. The other side of this coin is that bond prices are elevated as investors would be expected to be moving out of riskier assets i.e. shares, in anticipation of a downturn in corporate earnings and so selling out of equities.

7.4 Gilt yields had therefore already been on a generally falling trend up until the coronavirus crisis hit western economies during March 2020. After gilt yields spiked up during the financial crisis in March, we have seen these yields fall sharply to unprecedented lows as investors panicked during March in selling shares in anticipation of impending recessions in western economies, and moved cash into safe haven assets i.e. government bonds. However, major western central banks took rapid action to deal with excessive stress in financial markets during March, and started massive quantitative easing purchases of government bonds: this also acted to put downward pressure on government bond yields at a time when there has been a huge and quick expansion of government expenditure financed by issuing government bonds. Such unprecedented levels of issuance in “normal” times would have caused bond yields to rise sharply. Gilt yields and PWLB rates have been at remarkably low rates so far during 2020/21.

7.5 As the interest forecast for PWLB rates shows, there is expected to be little upward movement in PWLB rates over the next two years as it will take economies, including the UK, a prolonged period to recover all the momentum they have lost in the sharp recession caused during the coronavirus shut down period. From time to time, gilt yields, and therefore PWLB rates, can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis, emerging market developments and sharp changes in investor sentiment, (as shown on 9th November when the first results of a successful COVID-19 vaccine trial were announced). Such volatility could occur at any time during the forecast period.

## 7.6 **Brexit**

The interest rate forecasts provided by Link in paragraph 7.1 are predicated on an assumption of a reasonable agreement being reached on trade negotiations between the UK and the EU by 31 December 2020. However, as the differences between a Brexit deal and a no deal are not as big as they once were, the economic costs of a no deal have diminished. The bigger risk is that relations between the UK and the EU deteriorate to such an extent that both sides start to unravel the agreements already put in place. So, what really matters now is not whether there is a deal or a no deal, but what type of no deal it could be.

## 7.7 Investment and borrowing rates

- Investment returns are likely to remain low during 2021/22 with little increase in the following two years.
- Borrowing interest rates fell to historically very low rates as a result of the COVID crisis and the quantitative easing operations of the Bank of England: indeed, gilt yields up to 6 years were on negative yields during most of the first half of 2020/21. The policy of avoiding new borrowing by running down spare cash balances has served local authorities well over the last few years. However, the unexpected increase of 100 bps in PWLB rates on top of the then current margin over gilt yields of 80 bps, required an initial major rethink of local authority treasury management strategy and risk management. However, in March 2020, the Government started a consultation process for amending the margins over gilt rates for PWLB borrowing for different types of local authority capital expenditure. *(Please note that Link has concerns over this approach, as the fundamental principle of local authority borrowing is that borrowing is a treasury management activity and individual sums that are borrowed are not linked to specific capital projects.)*
- On 25 November 2020, the Chancellor announced the conclusion to the review of margins over gilt yields for PWLB rates; the standard and certainty margins were reduced by 1% but a prohibition was introduced to deny access to borrowing from the PWLB for any local authority which had purchase of assets for yield in its three year capital programme. The new margins over gilt yields are as follows: -
  - **PWLB Standard Rate** is gilt plus 100 basis points (G+100bps)
  - **PWLB Certainty Rate** is gilt plus 80 basis points (G+80bps)
  - **Local Infrastructure Rate** is gilt plus 60bps (G+60bps)
- While this authority will not be able to avoid borrowing to finance new capital expenditure and to replace maturing debt, there will be a cost of carry, (the difference between higher borrowing costs and lower investment returns), to any new short or medium-term borrowing that causes a temporary increase in cash balances as this position will, most likely, incur a revenue cost.

## 8. BORROWING STRATEGY

- 8.1 The Link Asset Services forecast for the PWLB new borrowing rate (repayment at Maturity) is as follows:

	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23
5 Yr PWLB	0.80%	0.80%	0.80%	0.80%	0.80%	0.80%	0.80%	0.80%	0.80%	0.80%	0.80%
10Yr PWLB	1.10%	1.10%	1.10%	1.10%	1.10%	1.10%	1.10%	1.10%	1.10%	1.10%	1.10%
25Yr PWLB	1.50%	1.50%	1.60%	1.60%	1.60%	1.60%	1.70%	1.70%	1.70%	1.70%	1.80%
50Yr PWLB	1.30%	1.30%	1.40%	1.40%	1.40%	1.40%	1.50%	1.50%	1.50%	1.50%	1.60%

8.2 The Council is, as stated above, expecting to have to borrow externally between 2020 and 2023 to finance significant capital expenditure on new leisure facilities and other assets. Approval was given as part of the Capital Investment Strategy approved in September 2016, for the Section 151 Officer to undertake external borrowing at a time it was felt to be most appropriate to be used for the repayment or refinancing of the £15million stock issue and/or to fund the capital programme where a borrowing requirement has been identified, taking into account forecasts for potential rises in interest rates and utilising any favourable borrowing rates. It is anticipated that although a combination of capital grants and internal resources will be used to meet most capital commitments in the new financial year there will be a requirement to borrow externally. Nevertheless, the use of external borrowing is planned for in future years. The Corporate Director of Finance and Resources will therefore continue to monitor the interest rate market as regards borrowing opportunities as well as in respect of investment policy.

8.3 Against this background and the risks with the economic forecast, caution will be adopted with the 2021/22 treasury operations. The Corporate Director of Finance and Resources will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:

- *If it was felt that there was a significant risk of a sharp FALL in long term and short-term borrowing rates (e.g. due to a marked increase in the risks around relapse into recession or of risks of deflation), then long term borrowings will be postponed, and potential rescheduling from fixed rate funding into shorter term borrowings will be considered.*
- *If it was felt that there was a significant risk of a much sharper RISE in long and short-term rates than that currently forecast, perhaps arising from an acceleration in the rate of increase in central rates in the USA and UK, an increase in world economic activity, or a sudden increase in inflation risks, then the portfolio position will be re-appraised. Most likely, fixed rate funding will be drawn whilst interest rates are lower than they are projected to be in the next few years.*

#### 8.4 Policy on borrowing in advance of need

8.4.1 The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in

advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds. As part of the Capital Investment Strategy approved by Council in September 2016, approval in principle was given to the Council's S.151 Officer to borrowing in advance of need for the re-financing of the stock issue loan and/or to fund the capital programme where a borrowing requirement has been identified, if interest rates were favourable and would be cost effective over the term of any new loan.

## 8.5 External v. Internal Borrowing

- 8.5.1 This Council currently has differences between gross debt and net debt (after deducting cash balances). This is shown in the graphs at 6.3.3.
- 8.5.2 The general aim of this Treasury Management Strategy is to reduce the difference between the two debt levels over the next three years in order to reduce the credit risk incurred by holding investments. However, measures taken in the last year have already reduced substantially the level of credit risk (see paragraph 10.2) so another factor which will be carefully considered is the difference between borrowing rates and investment rates to ensure the Council obtains value for money once an appropriate level of risk management has been attained to ensure the security of its investments.
- 8.5.3 The next financial year will likely be one of continued low Bank Rates. This provides a continuation of the current window of opportunity for local authorities to fundamentally review their strategy of undertaking new external borrowing.
- 8.5.4 Over the next three years, investment rates are expected to continue to be below long term borrowing rates and so value for money considerations would indicate that value could best be obtained by avoiding new external borrowing by using internal cash balances to finance new capital expenditure or to replace maturing external debt (this is referred to as internal borrowing). This would maximise short term savings.
- 8.5.5 However, short term savings by avoiding new long-term external borrowing in 2021/22 will also be weighed against the potential for incurring additional long-term extra costs by delaying unavoidable new external borrowing until later years when PWLB long term rates are forecast to be significantly higher. By utilising internal cash balances consideration will also need to be given to the availability of cash to service the day-to-day cash flow of the Council. This could require the Council to undertake short-term borrowing to cover cash-flows.



8.5.6 Against this background caution will be adopted with the 2021/22 treasury operations. The Corporate Director of Finance and Resources will monitor the interest rate market and adopt a pragmatic approach to changing circumstances, reporting any decisions to the appropriate decision-making body at the next available opportunity.

## **9. DEBT RESCHEDULING**

9.1 There is unlikely to be much scope for debt rescheduling in either the current financial year or in 2021/22.

## **10. INVESTMENT STRATEGY**

### **10.1 Principles**

10.1.1 The MHCLG and CIPFA have extended the meaning of ‘investments’ to include both financial and non-financial investments. This report deals solely with financial investments, (as managed by the treasury management team). Non-financial investments, essentially the purchase of income yielding assets (e.g. property), are covered in the Capital Investment Strategy.

10.1.2 The Council’s investment policy has regard to the following: -

- MHCLG’s Guidance on Local Government Investments (“the Guidance”)
- CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes 2017 (“the Code”)
- CIPFA Treasury Management Guidance Notes 2018

10.1.3 The Council’s investment priorities will be security first, portfolio liquidity second and then yield, (return).

10.1.4 The Council will also endeavour to achieve the optimum return on its investments commensurate with proper levels of security and liquidity. Security of principal will always be the primary consideration. The risk appetite of this Council is low in order to give priority to security of its investments.

10.1.5 The above guidance from the MHCLG and CIPFA place a high priority on the management of risk. This authority has adopted a prudent approach to managing risk and defines its risk appetite by the following means (Further details of limits and timescales for all approved investments are shown at **Appendix B**): -

- Minimum acceptable **credit criteria** are applied in order to generate a list of highly creditworthy counterparties. This also enables diversification and thus

avoidance of concentration risk. The key ratings used to monitor counterparties are the short term and long-term ratings.

- Credit ratings will be used as one means of assessing the credit quality of rated counterparties although it is recognised that reliance should not be placed on credit rating alone. The minimum short-term rating for a bank will be either F1 (Fitch) or P1 (Moody's). For a rated UK building society, a similar rating would be anticipated although the proposed criteria do give authority to the Corporate Director of Finance and Resources to approve, if considered appropriate, the addition of other building societies with both a F2 (Fitch) and a P2 rating (Moody's). This is still a high-quality credit rating but recognises the very strong record of the UK building society movement over many years in protecting the capital of all depositors. The Strategy already allows discretion to the Corporate Director of Finance and Resources to include as counterparties non-credit rated building societies whose assets total at least £1bn. Any such investment would be subject to an assessment of such a society as a suitable counterparty. There are, for example, good reasons why many building societies do not have a credit rating but there are other means of making an appropriate financial judgment.
- **Other information:** ratings will not be the sole determinant of the quality of an institution; it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To achieve this consideration the Council will engage with its advisors to maintain a monitor on market pricing such as “**credit default swaps**” and overlay that information on top of the credit ratings.
- **Other information sources** used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
- This authority has defined the list of **types of investment instruments** that the treasury management team are authorised to use. There are two lists in Appendix B under the categories of ‘specified’ and ‘non-specified’ investments.
  - **Specified investments** are those with a high level of credit quality and subject to a maturity limit of one year.
  - **Non-specified investments** are those with less high credit quality, may be for periods in excess of one year, and/or are more complex

instruments which require greater consideration by members and officers before being authorised for use.

- **Non-specified investments limit.** The Council has determined that it will limit the maximum total exposure to non-specified investments as being 50% of the total investment portfolio.
- **Lending limits**, (amounts and maturity), for each counterparty are set. Total investments with any one counterparty or group currently will not exceed £10m to ensure a reasonable spread of investments in terms of counterparties. Investments with Money Market Funds and investments in overseas banks with a sovereign rating of not less than the UK sovereign rating will not exceed £4m.
- **Transaction limits** are set for each type of investment are set.
- This authority will set a limit for the amount of its investments which are invested for **longer than 365 days**.
- Investments will only be placed with counterparties from countries with a specified minimum **sovereign rating**.
- This authority has engaged **external consultants**, (see paragraph 4), to provide expert advice on how to optimise an appropriate balance of security, liquidity and yield, given the risk appetite of this authority in the context of the expected level of cash balances and need for liquidity throughout the year.
- All investments will be denominated in **sterling**.
- As a result of the change in accounting standards for 2019/20 under **IFRS 9**, this authority will consider the implications of investment instruments which could result in an adverse movement in the value of the amount invested and resultant charges at the end of the year to the General Fund. (The Ministry of Housing, Communities and Local Government [MHCLG], have recently issued a statutory override for Local Authorities so that the impact of IFRS9 does not affect a Council's General Fund. This override is currently in place for 5-years from 1<sup>st</sup> April 2018.)
- Due care will be taken to consider the country, group and sector exposure of the Council's investments. In addition:  
Country limits:

- where the country of registration of an institution has an average credit rating (i.e. an average sovereign credit rating) equal to, or better than that of the UK; it will enable the Council to consider the placement of investments on the same basis applied for UK-registered institutions (i.e. subject to the overarching counterparty criteria as set out at **Appendix B**; and
- where an institution meets the approved counterparty status\* but the country of registration has an average credit rating below that of the UK; limit such investments in total to such rated non-UK countries to be no more than £2m of the portfolio.  
i.e. it meets the overarching counterparty criteria as set out at **Appendix B**.
- sector limits will be monitored regularly for appropriateness.

10.1.6 Following approval in 2014/15, the Council now makes use of the CCLA Property Fund for longer term investments, and at present has invested £3m into this fund. The anticipated yield from this investment is assumed to be 4.00% in the MTFP.

10.1.7 Any investments with institutions that do not have a credit rating e.g. many smaller building societies or investments for periods over one year would be classed as non-specified investments. **However, it is important to stress that both the specified and non-specified investments in Appendix B are perfectly legal instruments in which the City Council may invest.** This includes for example many building societies as only the larger societies have an individual credit rating although there are other criteria by which a judgement can be made as to their credit quality.

## 10.2 Creditworthiness Policy

10.2.1 This Council applies the creditworthiness service provided by Link Asset Services. This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moody's and Standard & Poor's. The credit ratings of counterparties are supplemented with the following overlays:

- credit watches and credit outlooks from credit rating agencies;
- CDS spreads to give early warning of likely changes in credit ratings;
- sovereign ratings to select counterparties from only the most creditworthy countries.

10.2.2 This modelling approach combines credit ratings, credit Watches and credit Outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the suggested duration for investments. The

Council will therefore have consideration to using counterparties within the following durational bands:

Yellow	5 Years *
Dark Pink	5 years for Ultra-Short Dated Bond Funds with a credit score of 1.25
Light pink	5 years for Ultra-Short Dated Bond Funds with a credit score of 1.5
Purple	2 years
Blue	1 year (only applies to nationalised or semi nationalised UK Banks)
Orange	1 year
Red	6 months
Green	100 Days
No Colour	Not to be used

*\*The Council does not usually invest for longer periods than 2-years, however if it were to it would follow the same creditworthiness policy provided by Link Asset Services*

10.2.3 The Link Asset Services' creditworthiness service uses a wider array of information other than just primary ratings. Furthermore, by using a risk weighted scoring system, it does not give undue preponderance to just one agency's ratings.

10.2.4 All credit ratings will be monitored weekly. The Council is alerted to changes to ratings of all three agencies through its use of the Link Asset Services' creditworthiness service.

- if a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
- in addition to the use of credit ratings the Council will be advised of information in movements in credit default swap spreads against the iTraxx benchmark and other market data on a daily basis via its Passport website, provided exclusively to it by Link Asset Services. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.

10.2.5 Sole reliance will not be placed on the use of this external service. In addition, this Council will also use market data and market information, information on any external support for banks to help support its decision-making process.

### 10.3 Investment Strategy

10.3.1 With bank base rate forecast to remain at 0.1% until 2023 and with no expectation of significant rises beyond then, investment conditions will continue to be difficult. The view of Link Asset Services is that bank rate will be at the following levels:

	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Bank Rate	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%	0.10%

10.3.2 The Council has historically outperformed bank rates in its investment returns.

Therefore, the suggested budgeted average investment earnings currently included in the MTFP projections are as follows:

	Investment Balances	CCLA Property Fund
2021/22	0.30%	4.00%
2022/23	0.30%	4.00%
2023/24	0.30%	4.00%

10.3.3 Clearly, these projections can only be best estimates at this stage and the risk is to the downside i.e. if the economic recovery is slower than expected, then interest rates are likely to rise more slowly. At this stage, the budget for 2021/22 has assumed an average yield of 0.30% on its investments (excluding CCLA Property Fund) in the next financial year. This allows for the fact that there are some higher value, longer term investments placed and there will be some shorter dated instant access investments placed. This forecast will, however, be reviewed further during the budget cycle. The anticipation of interest yielded from investing in the Property Fund is estimated at 4.00% in the MTFP.

10.3.4 In this situation, the authority will continue to try and seek value in its investments by placing them out for longer periods where possible e.g. six months to one year, to meet future cash flow needs, subject to retaining some sums for shorter periods to meet liquidity requirements and also to take advantage of any particular investment opportunities. Much of the basic framework of the authority's cash flows is already known for the next financial year and use will be made of this information in determining investment periods. The money market is monitored daily and use will be made of a plurality of sources of financial information in determining investment opportunities. All investments will be placed only with institutions that conform to the criteria set out in the Investment Strategy. However, should the council use internal cash balances to support the capital programme rather than undertaking external borrowings this will have a significant impact on the investment returns achieved, but will be offset by reduced costs of borrowing.

10.3.5 The investment income budget will, as ever, be carefully monitored in the coming financial year and reported to members via the regular Treasury Transactions reports.

#### 10.4 End of Year Investment Report

In line with current practice, the Council will receive a report on its investment activity as part of the Annual Treasury Report at the end of the financial year. It should also be noted that best practice now requires a mid-year report on the treasury function. This has long been the practice within the City Council where quarterly reports are presented to the Executive. In addition, the Audit Committee has taken on the role of the 'strategic committee' that oversees treasury matters.

### 11. **THE MINIMUM REVENUE PROVISION STRATEGY**

11.1 The Council implemented the new Minimum Revenue Provision (MRP) guidance in 2008/09 and will assess their MRP for 2020/21 in accordance with the main recommendations contained within the guidance issued by the Secretary of State under section 21(1A) of the Local Government Act 2003. Furthermore, the Council revised its MRP Policy in 2017/18 to provide for MRP on a 3% straight Line basis going forward.

11.2 The Council is currently forecasting to undertake additional external borrowing in 2021/22 to facilitate the delivery of its capital programme. Current estimates include this borrowing on a principal and interest repayment basis. Any principal repaid would be a cash outflow for the Council and cash would be replenished through the charging of MRP from the General Fund to reduce the underlying borrowing requirement.

11.3 The Council is obliged to make proper provision for the repayment of its outstanding debt liabilities. Capital expenditure is generally expenditure on assets which have a life expectancy of more than one year e.g. land, buildings, vehicles etc. It would usually be impractical to charge the entirety of such expenditure, which is often funded by borrowing, to the revenue account in the year it was incurred. Instead, this is spread over a longer period to try and match the years over which these assets will benefit the community. The manner of spreading these costs is through the Minimum Revenue Provision (MRP). Until recently, the MRP was calculated according to detailed and complex regulations. It is now determined under Guidance.

11.4 The only statutory duty that a local authority has under the new MRP regime is '*to determine for the current financial year an amount of minimum revenue provision that it considers to be prudent*'. The Guidance, which authorities must 'have regard

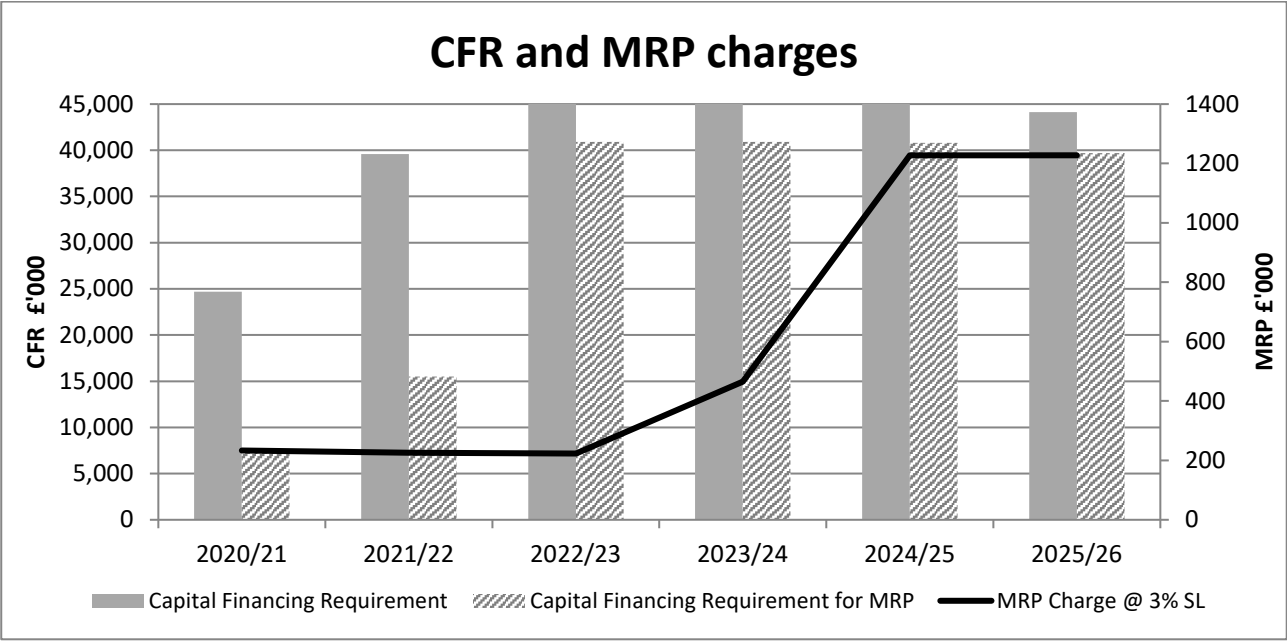
to' provides four options for calculating the MRP. It is important to realise, however, that there is no obligation to follow any of these options and that it is up to each authority to decide upon the most appropriate method of making a prudent provision, having had regard to the Guidance.

- 11.5 Using the 3% Straight Line method for calculating the MRP charge more reflects an average life of Council assets of 33 years and since it has a mix of short life assets such as vehicles (typical life 5-10 years) and long-life assets such as land and buildings (typical life 40-50+ years) this is still deemed to be a prudent approach to take.
- 11.6 In 2020/21, the opening CFR was £16.113million.
- 11.7 In 2018/19 the Council implemented a recommendation from Link Asset Services to review its CFR for MRP purposes in relation to what is known as 'Adjustment A'. The purpose of Adjustment A was to ensure that the starting point for calculating MRP under the new system in 2004 did not significantly vary the level of liability that would have arisen had the previous system of capital controls remained unchanged.
- 11.8 The MRP review undertaken by (then) Capita Asset Services identified a misstatement in the basis of calculation of Adjustment A which indicated that the value originally assessed in 2004/05 to be understated. The Council's reassessed Adjustment A figure is £4.426 million. This misstatement related to the inclusion of revenue expenditure (premiums on the early repayment of debt) being included in the original Adjustment A calculation which the Code states should be excluded from the calculation.
- 11.9 Therefore when calculating MRP for future years, the actual Capital Financing requirement should be reduced by this Adjustment A figure and then MRP charged at 3% of the reduced figure.
- 11.10 The CFR and MRP charges currently included in the MTFP and budget projections are as follows (The MRP charge calculated for 2021/22 is chargeable in 2022/23 and so on):



	2021/22 £000	2022/23 £000	2023/24 £000
Opening CFR	24,678	39,601	45,332
<b>Closing CFR</b>	<b>39,601</b>	<b>45,332</b>	<b>45,344</b>
Adjustment A	4,426	4,426	4,426
Adjustment Assets Under Construction	19,655	0	0
<b>CFR for MRP Purposes</b>	<b>15,520</b>	<b>40,906</b>	<b>40,918</b>
<b>MRP Charge @ 3%</b>	<b>466</b>	<b>1,227</b>	<b>1,228</b>
Adjustments to MRP for historical Overpayments	(241)	(241)	(241)
<b>Actual MRP charge</b>	<b>225</b>	<b>986</b>	<b>987</b>
Voluntary MRP	0	0	0
<b>Actual MRP charge</b>	<b>225</b>	<b>986</b>	<b>987</b>

- 11.11 MRP is a statutory requirement for local authorities to charge to their revenue account for each financial year a prudent amount for the principal cost of their debt in that financial year. It impacts upon the CFR, one of the Council's prudential indicators.
- 11.12 The CFR is a measure of the Council's underlying debt liability, resulting from historic capital expenditure which has been financed from borrowing. Amending the MRP as proposed will lead to an increase in the short to medium term CFR compared to current projections. This is because the MRP reduces the CFR each year, so a decrease in the amount of reduction causes an increase in the current projected CFR.
- 11.13 When an amount previously set aside for debt liability in the budget is released and then used for another revenue purpose the Authority will have less cash. This is likely to lead to a reduction in external investments and with thus lead to a reduction in interest income.
- 11.14 The regulations allow the Authority to review its policy every year and set a policy that it considers prudent at that time. The impact of a revised MRP policy will be kept under regular review in order to ensure that the annual provision is prudent.
- 11.15 As the MRP policy has to be considered by the Executive and approved by Council each year there will be an opportunity to revisit any decision at least annually or make additional voluntary payments.
- 11.16 The chart below shows the anticipated CFR in future years as well as the CFR for MRP Calculation purposes.



**APPROVED INVESTMENT INSTRUMENTS**

**Specified Investments**

All such investments will be sterling denominated, with **maturities up to maximum of 1 year**, meeting the minimum 'high' rating criteria where applicable.

- All UK banks and building societies with a minimum specified 'high' credit rating shall have a **maximum of £6m** as the counterparty limit (**individual Transaction Limit for fixed term investments £2m, for instant access and call accounts £6m**).
- Investments with Lloyds Group banks, HSBC, Santander and Goldman Sachs shall have a maximum of **£10m** as the counterparty limit.
- All overseas banks with a sovereign rating of not less than the UK sovereign rating and a minimum individual credit rating, shall have a **maximum of £4m** as the counterparty limit (**individual Transaction Limit for fixed term investments £2m, for instant access and call accounts £4m**).
- Where an institution meets the approved counterparty status but the country of registration has an average credit rating below that of the UK; limit such investments in total to such rated non-UK countries to be no more than **£2m** as the counterparty limit. (**individual Transaction Limit for fixed term investments £2m, for instant access and call accounts £2m**).
- UK building societies that are not credit rated shall have a maximum of **£2m** as the counterparty limit. (**individual Transaction Limit for fixed term investments £2m, for instant access and call accounts £2m**).
- MMFs shall have a maximum counterparty limit of **£4m** (**Individual Transaction limit of £4m**).

Fixed Term Deposits with fixed rates and maturities:-	Minimum 'High' Credit Criteria	Use
Debt Management Agency Deposit Facility	Government backed	In-house
Term deposits – local authorities	--High level of security	In-house
Term deposits – U K banks**	Short-term F1 (Fitch) or P1(Moodys)	In-house
Term Deposits – UK building societies**	Short Term F1 (Fitch) or P1 (Moodys) or as determined by the Chief Finance Officer	In-house
Term Deposits – Non UK Banks	Sovereign Rating (not less than UK) Short Term F1 (Fitch) or P1 (Moodys) or as determined by the Chief Finance Officer	In-house
Fixed term deposits with variable rate and variable maturities: -	Minimum 'High' Credit Criteria	Use
Callable deposits	Short-term F1 (Fitch) or P1 (Moodys)	In-house
Certificates of deposits issued by UK banks and building societies	Short-term F1 (Fitch) or P1 (Moodys)	In-house buy and hold
UK Government Gilts	Government backed	In-house buy and hold
Bonds issued by multilateral development banks	AAA	In-house on a 'buy-and-hold' basis.

Bonds issued by a financial institution which is guaranteed by the UK government	AAA	In-house on a 'buy-and-hold' basis.
Collective Investment Schemes structured as Open Ended Investment Companies (OEICs): -	Minimum 'High' Credit Criteria	Use
1. Money Market Funds	Short-term AAA	In-house
2. Enhanced Cash Funds	Short-term AAA	In-house
3. Government Liquidity Funds	Short-term AAA	In-house

\*\* If forward deposits are to be made, the forward period plus the deal period should not exceed one year in aggregate.

## **Non-Specified Investments:**

**A maximum of 50% will be held in aggregate in non-specified investments**

### **1. Maturities of ANY period.**

	Minimum Credit Criteria	Use	Max % of total investments	Max. maturity period
Term deposits with non credit rated UK Building Societies	As approved by the S151 Officer. Minimum asset base of £1bn	In-house	50	364 days
Ultra-Short Dated Bond Funds with a credit score of 1.25	AAA	In-house	50	Liquid
Ultra-Short Dated Bond Funds with a credit score of 1.5	AAA	In-house	50	Liquid

### **2. Maturities in excess of 1 year**

	Minimum Credit Criteria	Use	Max % of total investments	Max. maturity period
Term deposits – local authorities	Any authority	In-house	50	3 Years
Term deposits – UK banks and building societies	Long-term A (Fitch) or A2 (Moody's)	In-house	50	3 Years
Fixed term deposits with variable rate and variable maturities	Minimum Credit Criteria	Use	Max % of total investments	Max. maturity period
Certificates of deposits issued by UK banks and building societies	Long-term A (Fitch) or A2 (Moody's)	In house on a 'buy and hold basis'	50	3 Years
UK Government Gilts	Government backed	In house on a 'buy and hold basis'	50	3 Years
Bonds issued by multilateral development banks	AAA	In-house on a 'buy-and-hold' basis.	50	3 Years
Bonds issued by a financial institution which is guaranteed by the UK government	AAA	In-house on a 'buy-and-hold' basis.	50	3 Years
Collective Investment Schemes structured as Open Ended Investment Companies (OEICs)	Minimum Credit Criteria	Use	Max % of total investments	Max. maturity period
1. Bond Funds	Long-term AAA	In-house	50	3 Years
2. Gilt Funds	Long-term AAA	In-house	50	3 Years

### **3. Approved Property Funds**

	Use	Max % of total investments	Max. maturity period
CCLA Property Fund	In-house as determined by the S151 Officer	50	No maximum

The Council uses Fitch (primarily) or Moody's ratings to derive its counterparty criteria. All credit ratings will be monitored monthly. The Council is alerted to changes in credit ratings through its use of the Link Asset Services creditworthiness service. If a downgrade results in

the counterparty/investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.

## INTEREST RATE FORECASTS

The data below shows a variety of forecasts published by Link Asset Services and Capital Economics. The forecast within this strategy statement has been drawn from these diverse sources and officers' own views. Revised forecasts will be provided when they become available. The rates shown below for PWLB borrowing include the 20bps reduction for the Certainty Rate.

### 1. INDIVIDUAL FORECASTS

Link Group Interest Rate View		9.11.20 (The Capital Economics forecasts were done 11.11.20)												
These Link forecasts have been amended for the reduction in PWLB margins by 1.0% from 26.11.20														
	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
BANK RATE	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
3 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
6 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
12 month ave earnings	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20
5 yr PWLB	0.80	0.80	0.80	0.80	0.80	0.90	0.90	0.90	0.90	0.90	1.00	1.00	1.00	1.00
10 yr PWLB	1.10	1.10	1.10	1.10	1.10	1.20	1.20	1.20	1.20	1.20	1.30	1.30	1.30	1.30
25 yr PWLB	1.50	1.50	1.60	1.60	1.60	1.60	1.70	1.70	1.70	1.70	1.80	1.80	1.80	1.80
50 yr PWLB	1.30	1.30	1.40	1.40	1.40	1.40	1.50	1.50	1.50	1.50	1.60	1.60	1.60	1.60
Bank Rate														
Link	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
Capital Economics	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	-	-	-	-	-
5yr PWLB Rate														
Link	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80
Capital Economics	0.90	0.90	0.90	0.90	0.90	0.90	0.90	0.90	0.90	-	-	-	-	-
10yr PWLB Rate														
Link	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10	1.10
Capital Economics	1.30	1.30	1.30	1.30	1.30	1.30	1.30	1.30	1.30	-	-	-	-	-
25yr PWLB Rate														
Link	1.50	1.50	1.60	1.60	1.60	1.60	1.70	1.70	1.70	1.70	1.80	1.80	1.80	1.80
Capital Economics	1.80	1.80	1.80	1.80	1.80	1.80	1.80	1.80	1.80	-	-	-	-	-
50yr PWLB Rate														
Link	1.30	1.30	1.40	1.40	1.40	1.40	1.50	1.50	1.50	1.50	1.60	1.60	1.60	1.60
Capital Economics	1.70	1.70	1.70	1.70	1.70	1.70	1.70	1.70	1.70	-	-	-	-	-

## **TREASURY MANAGEMENT POLICY STATEMENT**

Carlisle City Council defines treasury management as:

“The management of the organisation’s cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”

Carlisle City Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the authority, and any financial instruments entered into to manage these risks.

Carlisle City Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable performance measurement techniques, within the context of effective risk management.

### **Investment Policy**

The Council will manage its investments in line with the criteria set out in section 9 of the TMSS with the security of investment being paramount. The Council’s investments will be placed in line with those outlined in Appendix B of the TMSS.

### **Borrowing Strategy**

The Council will manage its borrowings in line with the criteria set out in section 8 of the TMSS with the emphasis being on external borrowing only being taken when absolutely necessary and ensuring it offers the best value for money.



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## EXCERPT FROM THE MINUTES OF THE HEALTH AND WELLBEING SCRUTINY PANEL HELD ON 19 NOVEMBER 2020

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### **HWSP.67/20 BUDGET 2021/22 – 2025/26**

The Corporate Director of Finance and Resources submitted the annual budget reports, noting that the Panel's consideration marked the beginning of the process for setting and approving the Council's Budget.

#### **(b) Review of Charges 2021/2022**

The Corporate Director of Finance and Resources presented the Review of Charges reports informing the Panel that there was a 3% increase on the overall level of income in line with the Corporate Charging Policy.

#### **(i) Community Services**

The report of the Deputy Chief Executive had been submitted (CS.30/20) with an addendum which set out the proposed fees and charges for 2021/22 relating to those services falling within the Community Services Directorate.

The charges highlighted within the report would result in an anticipated level of income of £2,518,400 against the MTFP target of £3,006,000 which represented a shortfall of £487,600 against the MTFP target. Details of the proposed charges in relation to those areas within the Panel's remit as detailed on the agenda, were contained within the report.

The Executive had on 9 November 2020 (EX.123/20) received the report and decided:

"That the Executive:

1. Had reviewed the proposed charges as set out in the body of Report CS.30/20, the Addendum and relevant appendices with effect from 1 April 2021, noting the impact those would have on income generation as detailed within the report.
2. Made the report of proposed charges and the Addendum available to relevant Scrutiny Panels for their review and comment."

In considering the report, Members raised the following questions or comments:

- The Panel raised a number of questions regarding enforcement action for fly tipping. In response the Neighbourhood Services Manager clarified the following:
  - there had been a slight increase in fly tipping due to Covid 19 restrictions, particularly during the time when the local Household Waste Recycling Centres were closed. The sites remained open, were operating well and the cases of fly tipping had reduced accordingly;

- there continued to be issues of fly tipping at recycling centres, however, it was treated a little different to those dumping waste. In 2019 the Council had run a successful campaign which focused on Christmas waste, the campaign would be repeated this year with additional cameras and an increase in the message that recycling must be disposed of correctly or fines would be issued;
- the maximum 'on-the-spot' fine of £400 for fly tipping was set by the Government. If the fly tipping was commercial or it was a repeat offender, Civil Enforcement Officers had the power to refer the case for prosecution through the courts. This could result in a criminal offence and unlimited fine;
- if the Council issued the fine it retained the money, if the Court issued the fine then the Court would retain the money;
- the Council offered a reduced fine if it was paid quickly to encourage payment and reduce the number of cases that had to progress to Court.

The Finance, Governance and Resources Portfolio Holder reminded the Panel that additional funds had been allocated in the 2019/20 budget to increase capacity, especially at Christmas, to ensure that the sites were emptied quickly. In addition the Council did issue fines to people who left their waste next to the recycling site.

- A Member suggested that there should be an increase in publicity for the 10% discount for monthly and annual car parking permits, in addition, she asked for more information on the removal of the early bird tariff from West Walls car park.

The Neighbourhood Services Manager agreed that there should be more promotion of the discount available, however, given the current restrictions it would be prudent to do this in the future. He added that the early bird tariff had been removed from West Walls car park given very low take-up of the offer in that individual car park. The early bird offer remained popular in other car parks.

- If the public continued to work from home or use alternative modes of transport how would the shortfall in car parking income affect the budget?

The Neighbourhood Services Manager acknowledged that there was a trend which moved away from driving. There was a core customer base which continued to use the car parks; however, some work would be required in the future to consider the supply and demand for car parking in Carlisle.

The Corporate Director of Finance and Resources clarified that a shortfall in income became a budget pressure and savings would have to be found elsewhere in the budget. She added that there was significant pressure on a number of income streams as a result of Covid-19 and they would need to be addressed as part of the budget process. She reminded the Panel that some emergency government funding had been received to address income shortfall as a direct result of Covid-19, and that any on-going impact of Covid-19 was to be addressed as part of the 2020 Spending Review.

The Environment and Transport Portfolio Holder commented that there were several car parking schemes which should be promoted better in the City and he reminded the Panel of the role the Council had regarding climate change and the cycling and walking infrastructures.

- How was Bereavement Services dealing with the increase in deaths in the City and was there a special rate for families who had been financially impacted by Covid-19?

The Health and Wellbeing Manager explained that the rates were as detailed in the charges review, there was no reduced rate. However, there was an option for a direct cremation which was lower cost, and this had become increasingly popular. He reported that the dedicated Bereavement Service staff had been under extreme pressure in April and May had worked tirelessly seven days a week to provide the service.

- A Member asked for an update on the Spending Review and Covid-19 emergency funds.

The Corporate Director of Finance and Resources informed the Panel that the outcome of the Spending Review was due on 25 November 2020 which should provide the key principles for business rate baseline funding for 2021/22, with the detailed figures expected in mid-December. Support of £1.8m had been received to date from government and monthly returns continued to be submitted to the MHCLG but there was no indication if further tranches of support would be received.

The Environment and Transport Portfolio Holder informed the Panel that the waste collection calendars would not be circulated to households in hard copy. The calendars would be published online and on social media and hard copies could be requested. The change had resulted in a reduction of paper being used and resulted in a saving of between £20,000 and £25,000. Experience from 2020 reinforced the importance of checking information on line when services were disrupted or when there were changes to bank holiday arrangements announced with limited notice.

RESOLVED – 1) That the Charges Review Report 2021/22 – Community Services had been submitted to the Panel (CS.30/20).

2) That the Panel thank the Bereavement Services Staff and the Corporate Director of Finance and Resources and her team for their dedication and hard work during such a difficult and high pressured time.

## **(ii) Economic Development**

The Corporate Director of Economic Development submitted report ED.38/20 setting out the proposed fees and charges for areas falling within the responsibility of the Economic Development Directorate.

The report set out the proposed charges in relation to Planning Services including Development Control income; Building Control income; Building Control Discretionary Charges; the Home Life Grant Scheme; Shop Mobility and Investment and Policy Income.

Acceptance of the charges highlighted within the report would result in an anticipated level of income of £595,200 against the Medium Term Financial Plan target of £637,000.

The Executive had on 9 November 2020 (EX.124/20) received the report and decided:

“That the Executive agreed for consultation the charges, as set out in Report ED.38/20 and accompanying Appendices, with effect from 1 April 2021; noting the impact those would have on income generation as detailed within the report.”

In responding to a question the Corporate Director of Economic Development confirmed that the membership offer for the Shopmobility Scheme was being addressed.

RESOLVED – That the Charges Review Report 2021/22 – Economic Development Services had been received (ED.38/20).

### **(iii) Governance and Regulatory Services**

The Corporate Director of Governance and Regulatory Service submitted report GD.48/20 which detailed the proposed fees and charges for areas falling within the responsibility of the Governance and Regulatory Services Directorate.

The report set out the proposed charges relative to Environmental Health and Housing; Homeless, Prevention and Accommodation Services; and Legal Services, and the Corporate Director noted that all the increases proposed were in-line with the Council approved, Corporate Charging Policy.

The introduction of the proposed charges was forecast to generate income of £845,300 in 2021/22 as summarised in the table at paragraph 5.9.1 of the report.

The Executive had on 9 November 2020 (EX.125/20) received the report and decided:

“That the Executive agreed for consultation the charges as detailed within Report GD.48/20 and accompanying Appendices, with effect from 1 April 2021; noting the impact those would have on income generation as detailed within the report.”

In considering the report, Members raised the following questions or comments:

- The Panel raised a number of questions with regard to pest control charges and the Corporate Director of Governance and Regulatory Services clarified the following:
  - there was no discount scheme in place for pest control, however, the Council always sought to help residents. Should individuals find the charges expensive the Council would discuss the matter with them;
  - pest control services were discretionary; therefore it was necessary to make a charge to cover the cost of the services;
  - the introduction of a charge for rat control had been necessary to continue the service. The subsidy of the charge had impacted the other services provided by Regulatory Services;
  - it would not be possible to introduce a charge on developers for the displacement of rats during ground works as it would be difficult to prove that the rats were a result of the development;
  - along with its Enforcement Policy the Council could also use legislation to deal with households that were the cause of pest issues.

A Member commented that she felt the introduction of the charge for rat control would be detrimental at this stage due to the current issues households were facing.

- A Member was concerned that the 3% increase to Homeless Accommodation rental charges would negatively impact those on Universal Credit and Housing Benefit and asked for a breakdown of the eligible charges and ineligible charges within the increase.

The Corporate Director of Governance and Regulatory Services agreed to provide a written response to the Panel with regard the eligible and ineligible charges. He assured the Panel that the increase had been discussed and agreed as acceptable with the Revenue and Benefits Service Manager.

RESOLVED – 1) That the Charges Review Report 2021/22 – Governance and Regulatory Services (GD.48/20) had been received.

2) That the Corporate Director of Governance and Regulatory Services provide the Panel with a breakdown of the eligible and ineligible charges and the impact of the 3% increase to the Homeless Accommodation rental charges.

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## **EXCERPT FROM THE MINUTES OF THE ECONOMIC GROWTH SCRUTINY PANEL HELD ON 26 NOVEMBER 2020**

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**EGSP.59/20      BUDGET 2021/22 – 2025/26**

### **(b) Review of Charges 2021/2022**

The Corporate Director of Finance and Resources presented the Review of Charges reports informing the Panel that there was a 3% increase on the overall level of income in line with the Corporate Charging Policy.

#### **Community Services**

The Deputy Chief Executive submitted report CS.30/20 which set out the proposed fees and charges for 2021/22 relating to those services falling within the Community Services Directorate.

The charges highlighted within the report would result in an anticipated level of income of £2,518,400 against the MTFP target of £3,006,000 which represented a shortfall of £487,600 against the MTFP target. Details of the proposed charges in relation to those areas within the Panel's remit as detailed on the agenda, were contained within the report.

The Executive had on 9 November 2020 (EX.123/20) received the report and decided:

"That the Executive:

1. Had reviewed the proposed charges as set out in the body of Report CS.30/20, the Addendum and relevant appendices with effect from 1 April 2021, noting the impact those would have on income generation as detailed within the report.
2. Made the report of proposed charges and the Addendum available to relevant Scrutiny Panels for their review and comment."

In relation to car parking charges, the Neighbourhood Services Manager advised that the 3% increase in charges had been applied, in addition the charges were rounded up to the nearest 10p figure. As part of the Review of Charges parking permit prices had been standardised to provide a 10% discount, it was anticipated that the continued impact of Covid 19 would reduce the take up of permits as commuters continued to work from home. Therefore, Officers would monitor and assess levels of take up going forward.

Analysis of Paddy's Market car park demonstrated that it was principally used as an all day car park, therefore it was proposed to remove the hourly rate payment options from that facility. The Council also operated an "early bird" scheme which offered a reduced fee for all day parking, take up of that scheme had been very low in West Walls car park, which was used rather more by shoppers than commuters, therefore the early bird offer would be removed from that car park and would be replaced by a "check in – check out" systems where users would only pay for the actual time they used the facility for. A trial of that scheme had commenced but data on its usage had been limited by the impact of the second national lockdown.

In considering the report, Members raised the following questions or comments:

- Were the Council's car parks competitive with those offered by other providers in the city?

The Neighbourhood Services Manager responded that the Council's car parking fees were competitive. There were a number of providers in the city, therefore, their pricing structures needed to be taken into account when considering what level of fee to apply to the Council's facilities.

The Deputy Chief Executive added that the Council had also made improvements to its car parking sites in terms of surfacing, layout and different payment methods. He was of the view that the Council's fees were competitive, and that its sites were safe and sited in good locations.

- What was the level of admin fee associated with parking permits?

The Neighbourhood Services Manager explained that the production of permits generated an admin fee by the service provider of 92 pence per transaction that was currently charged to the Council; for an annual permit that charge was applied once, for monthly permits the Council had to pay that charge 12 times. It was proposed that the administrative fee now be incorporated into the permit price.

- A Member expressed support for the use of the "check in – check out" payment model at West Walls car park, considering it would support the economic vitality of the city centre by affording users greater flexibility.
- The report proposed to increase the cost of a parking permit at Talkin Tarn from £55 to £60, which was a 9% increase, were the number of permits for that car park still restricted?

The Deputy Chief Executive advised that the additional percentage increase was as a result of cost rounding. The permit scheme at Talkin Tarn had been in operation for several years, with 50 permits being made available on an annual basis. It was likely there was sufficient usage data available to assess effectiveness of the permit scheme. Therefore, if Members were minded to have the scheme reviewed, subject to the agreement of the relevant Portfolio Holder, Officers could undertake that work.

The Neighbourhood Services Manager noted that the scheme was significantly 'over- subscribed', moreover as existing permit holders were invited to renew permits. This effectively created a waiting list for new people to be able to access the permit, was an issue that could be considered as part of any future review of the scheme.

A Member considered that the scheme ought to be reviewed as it was an issue that caused concern for a number of residents.

RESOLVED – 1) That the Charges Review Report 2021/22 – Community Services be endorsed (CS.30/20).

2) That a review of the parking permit scheme at Talkin Tarn be carried out.

## **Economic Development**

The Corporate Director of Economic Development submitted report ED.38/20 which set out the proposed fees and charges for areas falling within the responsibility of the Economic Development Directorate.

Members were reminded that Development Control fees was set nationally and that any income from those fees was ringfenced to be spent on the service. Similarly, Building Control Fees were ringfenced and the service was not permitted to generate either a profit or a loss. However, that service operated in a commercial market, therefore, proposed fees were considered in that context.

In response to Covid 19, the annual fee for use of the Shopmobility Scheme had been replaced by a daily usage charge.

The Executive had on 9 November 2020 (EX.122/20) received the report and resolved:

“That the Executive agreed for consultation on the charges, as set out in Report ED.38/20 and accompanying Appendices, with effect from 1 April 2021; noting the impact those would have on income generation as detailed within the report.”

**RESOLVED** – That the Charges Review Report 2020/21 – Economic Development be endorsed (ED.38/20).



## Report to Executive

**Agenda  
Item:**

**A.1(d)(i)**

Meeting Date: 09 November 2020 (14 December 2020 Amended)  
 Portfolio: Cross Cutting  
 Key Decision: Yes: Recorded in the Notice Ref: KD.25/20  
 Within Policy and Budget Framework YES  
 Public / Private Public

Title: CHARGES REVIEW REPORT 2021/22 - GOVERNANCE AND REGULATORY SERVICES  
 Report of: Corporate Director of Governance and Regulatory Services  
 Report Number: GD 48/20 (Amended)

### **Purpose / Summary:**

This report sets out the proposed fees and charges for areas falling within the responsibility of the Governance and Regulatory Services Directorate:

- Environmental Health and Housing
- Homeless, Prevention and Accommodation Services
- Legal Services

The amendment relates to the discount to senior citizens for the charge for domestic rat and mice treatments as set out in Appendix C.

### **Recommendations:**

The Executive is asked to agree the charges as detailed and set out in the report and accompanying Appendices with effect from 1<sup>st</sup> April 2021 noting the impact these will have on income generations as detailed within the report.

### **Tracking**

Executive:	<b>09 November 2020, 14 December 2020</b>
Scrutiny:	<b>BTSP 01/12/20; EGSP 26/11/20; HWSP 19/11/20</b>
Council:	<b>N/A</b>

## 1. BACKGROUND

- 1.1 Each Directorate is required to carry out an annual review of fees and charges.
- 1.2 This report proposes the review of charges within Governance and Regulatory Services in respect of charges for Environmental Health and Housing, Homeless Prevention and Accommodation Services and Legal Services. This report has been prepared in accordance with the principles approved under the Council's Corporate Charging Policy.
- 1.3 The charges, which have been reviewed, are addressed separately below.
- 1.4 The attached **Appendices A - L** is an extract from the summary of charge book, which shows the current and proposed level of charge for each of these services.

## 2. CORPORATE CHARGING POLICY 2021/22 TO 2025/26

- 2.1 The Corporate Charging Policy, which is part of the Strategic Financial Framework and is attached as **Appendix L**, was approved by the Executive on 17 August 2020 and full Council on 08 September 2020 and sets out the City Council's policy for reviewing charges. The principle objective(s) of setting the charge are:
  - Recover cost of service provision;
  - Generate Surplus Income (where permitted);
  - Maintain existing service provision;
  - Fund service improvements or introduction of new service(s);
  - Manage demand for service(s)
  - Promote access to service for low-income households;
  - Promote equity or fairness;
  - Achieve wider strategic policy objective (e.g. encouraging green policies)
- 2.2 The MTFP currently assumes an income target of £882,800 for the financial year 2021/22 reflecting an increase of 3% on 2020/21 base budgets.
- 2.3 In addition, the policy recognises that each Directorate is different, and requires Chief Officers to develop specific principles for their particular service or client's groups, but within the parameters of the main principles of the Council's Corporate Charging Policy.

## 3. ENVIRONMENTAL HEALTH & HOUSING:

- 3.1 The charges detailed in **Appendices A to E** cover both the statutory charges for specified offences where the City Council has determined not to set the maximum possible charge and, in the case of private water, fees for statutory services. In most cases these charges are carried over on a yearly basis until the supporting legislation

changes. The other charges specified reflect services carried out and have, unless specified, been given a 3% increase in line with the medium-term financial plan to recover some of the costs for providing these services.

- 3.2 **Appendix A** – The Housing Act 2004 places a duty on the City Council to Licence certain types of Houses in Multiple Occupation (HMO). Councils are permitted to charge their administration costs in connection with granting or refusing an HMO licence to a landlord. The discount fee for RNLA landlords has been reduced from 10% to 5% for 2021/22 as the merger of the landlord associations makes the discount available for the larger membership base, not just accredited members.

The Housing and Planning Act 2016 amended the definition of an HMO meaning that from 1<sup>st</sup> October 2018 more types of rented properties (those below the existing 3 story criteria) are under the Licensing requirements.

The projected income for HMO licence fees for 2021/22 is set out below:

	Number of applications	Income
Projected number of new HMO licence applications (£590)	5	£2,950
Forecast of renewals of existing HMOs (£371)	15	£5,565
Expected income generation 2021/22		£8,515

- 3.3 Immigration inspections are carried out on behalf of the residents of Carlisle City Council who are applying for permission for family members, living abroad, to come and live in the district. The inspections are required to confirm that the property will not be overcrowded with the additional resident and that the property does not pose significant harm to the individual. This is a discretionary service, which the Council could choose not to deliver.

The immigration report is required by the family of the applicant, for submission to their own High Commission, for onward transmission to the British High Commission, who then consider the request for immigration. It is an integral and necessary part of the immigration application and can only be undertaken by an appropriate Council Officer or qualified surveyor.

After an application is received the Council aims to inspect the property within 10 working days.

The table below outlines the proposed charges for 2021/22:

<b>Proposed cost of application</b>	£150(inc. VAT)
<b>Option to fast track application and inspect within 5 working days</b>	£168 (inc. VAT)
<b>Expected income generation 2021/22</b>	£600 (4 visits)
<b>Income Budget 2021/22</b>	£500

- 3.4 The Council charges owners of properties if enforcement action is required under the Housing Act 2004. The formula for charging will remain the same, but the hourly cost is updated to reflect hourly rates across Regulatory Services. The hourly rate includes all the expenditure costs in providing the services. The standardised hourly rate for Regulatory Services in 2021/22 is £67.40.
- 3.5 The Housing and Planning Act 2016 allow civil penalties to be imposed by the City Council as an alternative to prosecution for certain housing standard offences. The Executive considered and agreed the civil penalty levels for Carlisle on the 25<sup>th</sup> September 2017 (GD 61/17).
- 3.6 The Housing Grants, Construction and Regeneration Act 1996 enables preliminary or ancillary services and charges in relation to the cost of a Disabled Facilities Grant (DFG) to be considered and approved as part of DFG application. The Housing Renewal Grants (Services and Charges) Order 1996 paragraph 2 specifies what services and charges the applicant is liable to pay. Charges for the delivery of the Mandatory DFGs are contained within **Appendix A**. Discretionary DFG charges are detailed in **Appendix D**. DFG charges are recovered from the DFG allocation and are included in the final DFG approval, they are not a cost that the applicant must find separate from the grant.
- 3.7 **Appendix B** – sets out the fees and charges associated with the Food & Public Protection Team. There are no proposed new charges for the 2021/22 period. The fixed penalty fines in relation to Coronavirus statutory offences have not been included in the report as the legislation which fixes these fines has been subject to regular changes.
- 3.8 **Appendix C** - sets out the proposed fees for the Council's Pest Control Service. A new fee has been introduced for the treatment of rats in domestic premises. This has previously been provided on a no-charge basis. Through its free service and sewer baiting the Council does take a proactive stance in the treatment of rats, however a noticeable increase in requested rat treatments in recent years has placed pressure on the pest control service. Although it is a desirable option not to charge for rat

treatments, the service must re-evaluate its income generation to ensure the valuable service to residents is sustainable. The proposed charge of £46.67 (£56.00 inc. VAT) for rat treatments in domestic premises will be consistent with the charges applied for the treatments of mice, wasps, ants, fleas and cockroaches. It is anticipated that this fee will allow the Council to reduce its net expenditure, thereby protecting the future of the pest control service, which is an essential part of a clean and healthy Carlisle. There is no legal obligation on the local authority to provide free rat treatments at domestic premises.

#### **4. HOMELESS, PREVENTION and ACCOMMODATION SERVICES**

##### **Proposed Homeless Accommodation Rental Charges for 2021/22:**

- 4.1 Carlisle City Council has a statutory responsibility under part 7 of the Housing Act 1996, Homeless Act 2002 and amended by the Homeless Reduction Act 2017, to provide temporary accommodation for people who are experiencing homelessness or are at risk of homelessness within 56 days; and are deemed to be vulnerable under the legislation.
- 4.2 The services are based on a pathways model of assessment and provision; delivering 24-hour emergency homeless response services, personalised support and secure temporary accommodation within a mix of provision which reflects local needs and demand in line with the current Homelessness Strategy 2015-20.
- 4.3 Eligible rent levels under the Housing Benefit Regulations are based on a tiered charging structure that reflects usage (i.e. single, shared households and families) and is in line with the council's corporate charging policy.
- 4.4 It is proposed to increase Homeless Accommodation rental charges by 3% as this reflects the actual costs of providing the services. This increase has been discussed and agreed as acceptable with the Revenue and Benefits Service Managers.

#### **5. LEGAL SERVICES**

##### **5.1 Local Land Searches**

- 5.1.1 There is a legal obligation to register local land charges. Searches of the local land charges register are carried out, most commonly as part of a house purchase, to see whether the property is affected by matters such as tree preservation orders or listed building status.
- 5.1.2 The search has two elements, namely LLC1 and CON29.
- 5.1.3 The LLC1 is the Official Certificate of Search which reveals all entries listed in the statutory Local Land Charges register.

- 5.1.4 Until April 2020, the legal obligation to maintain the statutory Local Land Charges register rested with the Council. The Infrastructure Act 2015, however, provided for a transfer of responsibility for local land charges in England and Wales from local authorities to HM Land Registry. As regards Carlisle, this transfer of responsibility completed in April 2020 so that Carlisle City Council is no longer responsible for providing the Official Certificate of Search and can no longer charge for carrying out this work.
- 5.1.5 CON29R and CON29O are forms of standard and optional enquiries that can be made of the local authority about land. The forms consist of a series of questions which relate to matters outside the statutory register, such as the planning history of the property and whether the road is publicly or privately maintained.
- 5.1.6 These enquiries are non-statutory, and responsibility remains with Carlisle City Council which will continue to charge for this service. The Council is able to add value by compiling and formatting an official report and levies a charge for this discretionary service.
- 5.1.7 A person or company may alternatively carry out a personal inspection of the land charges register. The Environmental Information Regulations 2004 ('the EIR') provide, broadly, that environmental information should be made available for inspection without charge.
- 5.1.8 The Council therefore facilitates personal inspections by allowing access through provision of an unrefined data report, which is simply an extract of information from records. No added value is given to this information, unlike the official CON29 report, and no charge is made.
- 5.1.9 The Council has to be transparent in the setting of charges. It is required to publish a statement of actual expenditure, number of requests and total income.

## **5.2 Legislation**

- 5.2.1 The Local Authorities (England) (Charges for Property Searches) Regulations 2008 ("the 2008 Regulations") provide discretion for the Council to set its own charges to recover its costs in answering enquiries about a property.
- 5.2.2 Regulation 8 of the 2008 Regulations provides that:

*8.—(1) Subject to paragraph (2), a local authority may charge a person (including another local authority) in respect of answering enquiries from that person about a property.*

*(2) Any charge made under paragraph (1) may be made at the local authority's discretion but must have regard to the costs to the local authority of answering enquiries about the property.*

5.2.3 The EIR apply to environmental information, including searches of the local land charges register. The EIR implement the provisions of the European Directive 2003/4/EC (“the Directive”) into UK law.

5.2.4 Recital 18 of the Directive provides that authorities are entitled to levy a market-based charge where the information is being provided on a commercial basis and the service would not continue to be provided if such a charge could not be levied. As the Council is not legally required to provide official CON29 searches, and because the service consists of more than simply making information available, recital 18 applies.

5.2.5 The Council is still, however, required to comply with the 2008 Regulations when setting official search fees. In other words, the Council must have regard to the cost of providing the information when setting fees.

### **5.3 VAT**

5.3.1 Since 2016, HMRC has required authorities to charge VAT on CON29 searches.

### **5.4 Calculation of Fees**

5.4.1 As the provision of CON29 searches is a discretionary service, the Council has a degree of discretion in the charges that it sets. The charges proposed are designed to maintain a market share of the property searches market. If the charge is set too high, customers will be drawn to the personal search companies. The charge needs to be set so that the Council retains or modestly increases its market share, thus generating income over and above cost, which will in turn enable better investment in the service. In particular investment in web-based access to information will improve efficiency and speed. Digital information will eventually reduce the time spent providing information to personal searchers, and in the future public access will be much more automated.

5.4.2 **Appendix H** sets out the cost of providing the local land charges service in Carlisle. It should be noted that the loss of the LLC1 service has not resulted in any consequential reduction in the costs of providing the service, therefore the cost per search is higher than previously.

5.4.3 **Appendix I** sets out the number of searches carried per month since 2016. It is always difficult to foresee the number of searches that will be submitted in the coming year as this depends entirely on the strength of the housing market. Therefore, for the purposes of setting these charges it is assumed that performance will remain relatively constant. Members will note that personal searches figures are not included, bearing in mind that no charge is levied, however, as indicated earlier, personal searches continue to be carried out.

5.4.4 Anticipated demand is based on current performance, which is set out in **Appendix J**, which indicates the number of searches carried out. Again, this does not include personal searches figures.

5.4.5 The fee for the Standard Enquiries (CON29R) is presently £79.00 for domestic properties. The fee for Standard Enquiries for commercial properties is currently £100.00. In addition, electronic search requests are received via NLIS and these are subject to a 10% deduction in fee.

## 5.5 Proposed Fees

5.5.1 It is recommended that the Council sets its fees for 2021/22 having regard to the cost of operating the service, to the Corporate Charging Policy and also with a view to maintaining competitiveness. Search volumes and differentials between local authorities and private search providers will continue to be carefully monitored.

5.5.2 The proposed fees for 2020/21, therefore, are (including the 10% discount for those searches submitted online):

	<b>Con 29R</b>
<b>Domestic Properties</b>	£90.00 (Standard Enquiry for one parcel of land) £81.00 (NLIS 10% on-line discount) £11.00 (Each extra parcel of land)
<b>Commercial Properties</b>	£110.00 (Standard Enquiry for one parcel of land) £99.00 (NLIS 10% on-line discount) £22.00 (Each extra parcel of land)

5.5.3 For information, this compares to the other Cumbrian districts as follows:

<b>Authority</b>	<b>Fee for CON29R (incl. VAT) £</b>
Allerdale	96.00



Barrow	
- Domestic properties	82.73
- Commercial properties	110.21
Copeland	102.00
Eden	90.00
South Lakeland	83.00

- 5.5.4 Budgeted income from the Land Charges service for 2020/21 was £95,100. Actual income is forecast to be approximately £60,000. The cause of this reduction in income is threefold. Firstly, the housing market, on which the service is dependent, dropped drastically during the period April – August 2020 because of the measures taken nationally to combat Covid-10. While the market has since recovered and is currently buoyant, it is unlikely that work will pick up sufficiently to compensate for income lost. Secondly, as explained in 5.1.3 above, recent changes in legislation have meant that responsibility for that part of the local search known as LLC1 transferred from local authorities to HM Land Registry and, with it, the associated income. Thirdly, as previously referenced within this report, an increasing number of customers choose to use personal search companies, against whom no charge is levied, to carry out their searches. Such companies are able to charge customers less than the Council. In 2017/18 the Council reduced CON29 charges for domestic properties, partly to reflect the lesser amount of work compared to commercial properties, but partly also to increase our competitiveness vis a vis personal search companies. An analysis as to whether this has increased our market share is ongoing. It will take time to increase our market share, particularly as the search companies remain the cheaper option
- 5.5.5 Achieving the Corporate Charging Policy increase of 3% together with the estimated search numbers in the Medium-Term Financial Plan, therefore, would result in a target income for 2021/22 of £97,900.
- 5.5.6 It must be realised, however, that in 2021/22 the Council will no longer be in receipt of any LLC1 income, post transfer to HM Land Registry. This amounts to a loss of approximately £37,900.
- 5.5.7 It is, therefore, unlikely that this target income for 2021/22 would be achievable. A revenue pressure bid is being submitted for the £37,900 lost LLC1 income.
- 5.5.8 The actual amount of net income will depend entirely on the actual volume of searches that are made together with any increase in costs, particularly in the costs of the County Council who provide highways information for search enquiries.

5.5.9 The actual amount of net income will depend entirely on the actual volume of searches that are made together with any increase in costs, particularly in the costs of the County Council who provide highways information for search enquiries.

5.5.10 Net income (after deduction of NLIS transmission fees) for the previous four years (including the current financial year) is set out at **Appendix K**.

5.5.11 The proposed charges are set out at **Appendix G**.

## **5.6 Electoral Registers**

5.6.1 The Electoral Registration Officer has a statutory duty to maintain the electoral register and to publish a revised register by 1 December each year. Under the Representation of the People Regulations 2001, the Registration Officer must on request supply a copy of the full register to government departments and credit reference agencies and the edited version of the register to any person. The fees for supply of both registers are prescribed in the Regulations and are revised from time to time. The Council has no discretion to alter them. The current fees are £10 plus £5 for each 1,000 entries for printed registers and £20 plus £1.50 for each 1,000 entries in computer data form. A limited number of companies tend to buy the register each year, so the level of income is generally static at £1,200 per annum.

5.6.2 Marked copies of electoral registers used at polling stations are available for inspection for twelve months following each local election. Under new Regulations, copies of these registers can only be purchased by those entitled to receive free copies of the full register (i.e. candidates and political parties) on payment of the prescribed fee. New fees, which came into force on 18 July 2008, are £10 plus £2 for each 1000 entries in printed format and £10 plus £1 for each 1000 entries in data format.

## **5.7 Minute Books, Room Bookings and Access to Information Requests**

5.7.1 The charge for hire of a room in the Civic Centre is currently £116.83 per session; a session comprises morning, afternoon or evening use. An increase of 3% to £120.00 is recommended from 1 April 2021. The number of room bookings has fallen because (i) the County Council, which used to regularly book rooms, now have facilities of their own, (ii) other regular users no longer book rooms because an entitlement to meeting rooms is now incorporated in their tenancy agreements and (iii) the Civic Centre has been closed since March 2020 and restrictions continue. Therefore, while there is no longer a regular stream of bookings the Council does receive a guaranteed rental income instead. It is anticipated that, following the redevelopment of the ground floor, the desirability of the facilities will increase.

- 5.7.2 The charge levied for the sale of Council Minute Books is £22.30 per copy plus VAT. A number of outside bodies continue to receive free copies of Minute Books and following the release of Council Minutes on to the Internet, there are now no companies who currently receive a chargeable copy, so there is an argument for removing this element from the charges altogether. However, in order to retain the ability to make a charge in the unlikely event of receiving a request for a paper copy, it is recommended that the charge is held at the current level of £22.30. The annual income from the sale of Council Minutes is **nil**.
- 5.7.3 Under access to information rules the Council must make copies of reports and agendas available to members of the public and the media that request the same. It should be noted that all of the reports, agenda and other documents which are subject to the new copying charge will also be available free of charge on the Council's website.
- 5.7.4 The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 directs that upon receiving a request from a member of the public or on behalf of a newspaper for the provision of copy agendas, reports or papers of the Executive, the Council must provide, if requested, a hardcopy of the same. The delivery is subject to payment being made (by the party making the request) of postage, copying or other necessary charge for such delivery. Section 100B of the Local Government Act 1972 makes similar provision in respect of the Council's other meetings.
- 5.7.5 The current charges are 2p per copied sheet for black and white and 5p per sheet per coloured sheet for the relevant documents (subject to a minimum charge for copying of £5.00) together with the cost of posting by 2<sup>nd</sup> class mail at the prevailing rate. Each Meeting will be considered a separate request. It is proposed to keep the current charge the same for 2021/22.

## **5.8 Training**

- 5.8.1 In the financial year 2014/15, the Council introduced charging for training sessions provided by the Council's Safety Health and Environment Manager. The charge is currently £425.00 plus VAT for one three-hour session (per group of 12) plus expenses if outside Carlisle District.
- 5.8.2 In the financial year 2017/18, a charge was introduced providing training in Data Protection. The charge is currently £425 plus VAT for a group of 12 delegates plus expenses if required to travel outside the District.

5.8.3 To date, no chargeable training sessions have been provided. It is proposed to increase the charge for each type of training session to £440 plus VAT for a group of 12 delegates plus expenses if required to travel outside the District.

## 5.9 Summary of Income Generated

5.9.1 The introduction of the charges proposed is forecast to generate income of £845,300 in 2021/22 which is summarised in the following table:

<b>Governance Service Area</b>	<b>Original Estimate 2020/21 £</b>	<b>MTFP Target 2021/22 £</b>	<b>Original Estimate 2021/22 £</b>	<b>Shortfall or (Excess) over MTFP £</b>
Land Charges (para 5.1 to 5.5)	95,100	97,900	60,000	37,900
Electoral Registers (para 5.6)	1,600	1,600	1,600	0
Minute Books/ Access to Information (para 5.7)	0	0	0	0
Training (para 5.8)	0	0	0	0
Environmental Protection Act	12,600	12,600	12,600	0
Pest Control	40,300	41,500	41,500	0
Food Safety	3,200	3,300	3,300	0
Housing – DFG's	62,500	62,500	62,500	0
Housing – HMO Licences	8,000	8,200	8,500	(300)
Housing – Immigration Inspections	500	500	600	(100)
Homelife Fees	43,000	34,500	34,500	0
Hostels	620,200	620,200	620,200	0
<b>Total</b>	<b>887,000</b>	<b>882,800</b>	<b>845,300</b>	<b>37,500</b>

## **6. CONSULTATION**

### **6.1 Consultation to Date**

This report has been considered by SMT and JMT and their comments have been incorporated into the report. Scrutiny Panels have considered the report as part of the budget process.

### **6.2 Conclusions and Reasons for Recommendations**

The Executive is asked to agree the charges as detailed within the report and set out in **Appendices A - L** with effect from 1 April 2021 noting the impact these will have on income generation as detailed within the report.

### **6.3 Contribution to the Carlisle Plan Priorities**

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

**Contact Officer:** Mark Lambert **Ext:** 7003

**Appendices attached to report:**

- Appendix A – Housing and Pollution Charges**
- Appendix B – Food Safety Charges**
- Appendix C – Pest Control Charges**
- Appendix D – Homelife Charges**
- Appendix E – LA Pollution Prevention Control Charges**
- Appendix F - Homeless Accommodation Charges**
- Appendix G – Governance Charges**
- Appendix H – Land Charges Costs**
- Appendix I – Land Charges Data**
- Appendix J – Anticipated Demand based on Current Performance**
- Appendix K – Land Charges Budget History**
- Appendix L – Corporate Charging Policy**

**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:

## **CORPORATE IMPLICATIONS/RISKS:**

**LEGAL** – All new charges or changes to existing charges, unless specifically approved, require the approval of the Executive in accordance with Financial Procedure Rules (D31).

**FINANCE** – The acceptance of the charges highlighted in this report will result in an anticipated level of income of £845,300 against the MTFP target of £882,800. This represents an overall shortfall of £37,500. The projected shortfall of £37,900 in respect of Land Charges income will need to be found from within existing base budgets. The slight increase in income projected from Housing fees will be retained within the service.

**EQUALITY** - None.

**INFORMATION GOVERNANCE** - The Council must ensure officers are fully informed of the charging regimes applicable to the information they process, for example, under the Freedom of Information Act and the Environmental Information Regulations, to ensure charges are applied in accordance with the correct regime.

**PROPERTY** - No Property implications

**APPENDIX A**  
**Housing and Pollution Charges**

<b><u>HOUSING AND POLLUTION</u></b> <b><u>(Inclusive – VAT not applicable)</u></b>	<b><u>2020 /</u></b> <b><u>2021</u></b>	<b><u>2021/</u></b> <b><u>2022</u></b>	<b>COMMENT</b>
Community Protection Notices**	£100.00	£100.00	Council wide Powers. Set by Legislation.
Community Protection Notices** paid within 7 days of issue	£80.00	£80.00	Council wide Powers. Set by Legislation.
<b><u>PRIVATE WATER+ (Inclusive – VAT not applicable)</u></b>			
<b>ANALYSIS CHARGES</b>			
Biological etc. (reg 10)	£25.00	£25.00	Maximum amount
Check monitoring	£100.00	£100.00	Maximum amount
Audit Monitoring (maximum)	£500.00	£500.00	Maximum amount
<b>SAMPLING CHARGES</b>			
Sampling (each visit)	£100.00	£100.00	Maximum is £100, actual cost to Council is £129.68
Risk Assessment (Domestic)	£194.52	£194.52	Maximum is £500
Risk Assessment (Commercial)	£324.20	£324.20	Maximum is £500
Other investigations (each investigation)	£64.84	£67.40	Maximum amount is £100 for each investigation
Review of Risk Assessment	£162.10	£162.10	Maximum amount £500
Granting an authorisation (each authorisation)	£64.84	£67.40	Maximum is £100 for each authorisation
<b><u>CONTAMINATED LAND (Inclusive – VAT not applicable)</u></b>			
Contaminated Land Information Request - per hour	£64.84	£67.40	Increase using consistent rates across Regulatory Services
<b><u>GENERAL ADMINISTRATION FEES (Inclusive – VAT not applicable)</u></b>			
Works in default administration costs recovery	£18.50	£19.00	
Copying documents	14p per A4 sheet	14p per A4 sheet	

<b><u>MOBILE HOMES ACT 2013<sup>+</sup> (Inclusive – VAT not applicable)</u></b>			<b>These charges are calculated with a formula and have been adjusted by the 2020/21 hourly rate.</b>
<b>Licence Fee- example of typical charge for up to 5 pitches</b>	£357.00	£370.00	
<b>Licence Fee- amendment, expansion</b>	£227.00	£236.00	
<b>Licence Fee - Transfer</b>	£276.00	£286.00	
<b>Inspection Fee- example of typical charge for up to 5 pitches</b>	£146.00	£152.00	
<b>Council hosting of site rules</b>	£65.00	£65.00	
<b>HOUSING ACT 2004, HMO LICENCE FEES</b>			<b>New formula to reflect cost of delivering service</b>
<b>Cost of new HMO Licence (per 8 letting units)</b>	£567.00	£590.00	New legislation for HMOs
<b>Cost of renewal of HMO Licence (per 8 letting units)</b>	£357.00	£371.00	New legislation for HMOs
<b>Cost of every additional unit above 8</b>	£16.21	£17.00	New legislation for HMOs
<b>Maximum licence fee</b>	£950.00	£1000.00	New legislation for HMOs
<b>Discount on HMO fee for NLA accredited Landlords</b>	10% discount	5% discount	Merger of landlord associations, wider membership.
<b>Cost of additional correspondence</b>	£32.00	£32.00	New legislation for HMOs
<b>IMMIGRATION INSPECTIONS (rates are inclusive of VAT)</b>			
<b>Fast Track Application</b>	£168.00	£168.00	
<b>Standard application</b>	£150.00	£150.00	
<b>ENFORCEMENT TIME, HOUSING ACT 2004</b>			
<b>Charged at Officer hour</b>	£64.84	£67.40	Consistent rate across Regulatory Services
<b>Empty Property Owner VAT support letter</b>	£16.00	£16.00	



<b>DISABLED FACILITY GRANTS, LOCAL AUTHORITY FEES</b>			<b>Amendments have been made to ensure consistency; prices are now inclusive of VAT.</b>
<b>Level Access Shower</b>	£728.29	£908.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Shower toilets</b>	£689.39	£787.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Ramps</b>	£728.39	£907.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Stair lifts</b>	£689.39	£787.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Door Widening</b>	£728.29	£908.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Major Adaptations</b>	£1539.56	£1655.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Smaller Adaptations and non-framework adaptations</b>	£835.63	£889.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Renovation Grant Costs</b>	£553.73	£585.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Flat rate fee for additional lots, for DFG and renovation Grants</b>	£369.58	£370.00	Increase in office hours, reflection on time spent and VAT as standard
<b>Fee Charged for abortive works, after approval (New)</b>	£466.04	£485.00	To recover fees where applications discontinued after Contractor/ Architect designs commissioned
<b>Fee Charged for basic support only (New)</b>	£486.30	£503.00	Checking and authorisation fee where applicant progresses own architects etc, but still requires guidance or significant input
<b>Hourly charge for home visits</b>	£64.84	£67.40	Increase using consistent rates across Regulatory Services

**APPENDIX B**  
**Food Safety Charges**

<b>FOOD &amp; PUBLIC PROTECTION (VAT is not included and is charged at Standard Rate unless stated)</b>	<b><u>2020 / 2021</u></b>	<b><u>2021 / 2022</u></b>	<b>COMMENT</b>
<b>Certification of unsaleable food</b>	£36.33 (£43.60 inc. VAT)	£37.50 (£45.00 inc. VAT)	
<b>Food Hygiene Training</b>	£218.52	£226.00	3 Hour Training Session (up to max of 12 people)
<b>Health and Safety Statement of Fact (per hour)</b>	£64.84	£67.40	Consistent Regulatory Services Hourly Rate
<b>Export Certificate</b>	£26.80	£28.00	3% increase
<b>FHRS Re-rating Fee</b>	£203.91	£210.00	
<b>Cost of Officer time where applicable (per hour)</b>	£64.84	£67.40	Consistent Regulatory Services Hourly Rate
<b>Health Act 2006: - Smoking in Smoke free place or vehicle</b>	£50.00	£50.00	(VAT not applicable)
	£30.00	£30.00	(VAT not applicable)
<b>Health Act 2006: - Failing to prevent smoking in a smoke free place/vehicle</b>	£50.00	£50.00	(VAT not applicable)
	£30.00	£30.00	(VAT not applicable)
<b>Health Act 2006: - Failure to display smoke free' signage</b>	£200.00	£200.00	(VAT not applicable)
	£150.00	£150.00	(VAT not applicable)

## APPENDIX C (AMENDED)

### Pest Control Charges

<b>PEST CONTROL</b> (VAT is not included and is charged at Standard Rate) - <u>Example of typical charges</u>	<b><u>2020 / 2021</u></b>	<b><u>2021 / 2022</u></b>	<b><u>Comment</u></b> Based on 3% increase
<b>Standard Commercial Contract Service</b> (Duration 12 months)	Price on application	Price on application	
<b>Standard Farm Contract Service</b> (Duration 12 months)	£388.17 (£465.80 inc. VAT)	Price on application	Price on application introduction to ensure recovery of treatment costs
<b>Wasps (Domestic)</b>	£45.58 (£54.70 inc. VAT)	£46.67 (£56.00 inc. VAT)	
<b>Wasps (Commercial)</b>	£90.21 (£108.25 inc. VAT)	£93.33 (£112.00 inc. VAT)	
<b>Over 65: Wasp Treatment (Dom)</b>	£29.25 (£35.10 inc. VAT)	£30.00 (£36.00 inc. VAT)	
<b>Ants / Standard Fleas / Cockroaches (Domestic)</b>	£45.58 (£54.70 inc. VAT)	£46.67 (£56.00 inc. VAT)	
<b>Ants / Standard Fleas / Cockroaches (Commercial)</b>	£90.21 (£108.25 inc. VAT)	£93.33 (£112.00 inc. VAT)	
<b>Over 65: Ants / Standard Fleas / Cockroaches (Domestic)</b>	£29.25 (£35.10 inc. VAT)	£30.00 (£36.00 inc. VAT)	
<b>Rats (Domestic)</b>	Free	£46.67 (£56.00 inc. VAT)	New fee – See paragraph 3.8
<b>Over 65: Rats (Domestic)</b>	Free	£30.00 (£36.00 inc. VAT)	
<b>Mice (Domestic)</b>	£45.58 (£54.70 inc. VAT)	£46.67 (£56.00 inc. VAT)	
<b>Over 65: Mice (Domestic)</b>	£29.25 (£35.10 inc. VAT)	£30.00 (£36.00 inc. VAT)	
<b>Rats and Mice (Commercial)</b>	£90.21 (£108.25 inc. VAT)	£93.33 (£112.00 inc. VAT)	
<b>Call Out Charge</b>	£29.25 (£35.10 inc. VAT)	£30.00 (£36.00 inc. VAT)	Required where advice but no treatment given. Partial recovery of officer time and travel costs.

**APPENDIX D**  
**Homelife Charges**

<b><u>HOMELIFE CHARGES</u></b>	<b><u>2020/21</u></b>	<b><u>2021/22</u></b>	<b><u>Comment</u></b>
<b>Examples of typical charges</b>			<b>Amendments have been made to ensure consistency, prices are now shown inclusive of VAT.</b>
<b>General Agency Fee</b>	15%	15%	Used for managed repair service Applicable unless funder specifies alternative acceptable rate
<b>Discretionary Housing grants under £500</b>	£90.00	£90.00	15% of £500 (£75+VAT)
<b>To administer Handy Person grants</b>	£90.00	£90.00 per case	Plus, hourly wage rate of handyperson
<b>Supply &amp; fit Key-safes</b>	£90.00	£90.00	
<b>Discretionary Housing Grants administered by Homelife</b>			Safe & Warm, Dementia & Energy Efficiency Grants (Energy Efficiency charged at reduced rate VAT as per VAT notice 708/6)
<b>Administration Fee</b>	£622.46	£627.00	Formula considers Reg. Services hourly rate and officer time.
<b>Additional quotes from contractors for works within the same grant</b>	£350.14	£364.00	Administration costs requiring liaison with multiple contractors.
<b>ADDITIONAL CHARGES</b>			
<b>Home visits</b>	£77.81	£81.00	
<b>Obtaining charity funding</b>	£155.62	£162.00	
<b>Applications Assistance</b>	£77.81	£81.00	
<b>Homelife Hourly Rate</b>	£77.81	£81.00	

## APPENDIX E

**LA Pollution Prevention Control (Part B) Charges for 2020/21 - Charges for 2021/22 should be available in February 2021 although these nationally set charges have remained the same for the last two years.**

TYPE OF CHARGE	TYPE OF PROCESS	2020/21 FEE
Application Fee	Standard process (includes solvent emission activities)	£1650
	Additional fee for operating without a permit	£1188
	PVRI, and Dry Cleaners	£155
	PVR I & II combined	£257
	VRs and other Reduced Fee Activities	£362
	Reduced fee activities: Additional fee for operating without a permit	£71
	Mobile plant**	£1650
	for the third to seventh applications	£985
	Where an application for any of the above is for a combined Part B and waste application, add an extra £310 to the above amounts	£808
Annual subsistence charge	Standard process Low	£772 (+£104)*
	Standard process Medium	£1161 (+£156)*
	Standard process High	£1747 (+£207)
	PVRI, and Dry Cleaners L/M/H	£79/£158/£237
	PVR I & II combined L/M/H	£113/£226/£341
	VRs and other Reduced Fees	£228/£365/£548
	Mobile plant, for first and second permits L/M/H**	£626/£1034/£1551
	for the third to seventh permits L/M/H	£385/£617/£924
	eight and subsequent permits L/M/H	£198/£316/£473
	Late payment Fee	£52
	*the additional amounts in brackets must be charged where a permit is for a combined Part B and waste installation	
	Where a Part B installation is subject to reporting under the E-PRTR Regulation, add an extra £104 to the above amounts	
Transfer and Surrender	Standard process transfer	£169
	Standard process partial transfer	£497
	New operator at low risk reduced fee activity (extra one-off subsistence charge – see Art 15(2) of charging scheme)	£78

	Surrender: all Part B activities	£0
	Reduced fee activities: transfer	£0
	Reduced fee activities: partial transfer	£47
Temporary transfer for mobile plant	First transfer	£53
	Repeat following enforcement or warning	£53
Substantial change	Standard process	£1050
	Standard process where the substantial change results in a new PPC activity	£1650
	Reduced fee activities	£102

\*\* Not using simplified permits

#### **LAPPC (Part B) mobile plant charges for 2021/22 (Not using simplified permits)**

Number of permits	Application fee	Subsistence fee			
		Low	Medium	High	
<b>1</b>	£1650	£646	£1034	£1506	
<b>2</b>	£1650	£646	£1034	£1506	
<b>3</b>	£985	£385	£617	£924	
<b>4</b>	£985	£385	£617	£924	
<b>5</b>	£985	£385	£617	£924	
<b>6</b>	£985	£385	£617	£924	
<b>7</b>	£985	£385	£617	£924	
<b>8 and over</b>	£498	£198	£316	£473	

**LA-IPPC (Part A2) charges for 2021/22**

NB – every subsistence charge in the table below includes the additional £104 charge to cover LA costs in dealing with reporting under the E-PRTR Regulation.

Type of charge	Local Authority element 2021/22
Application	£3363
Additional fee for operating without a permit	£1188
Annual Subsistence LOW	£1447
Annual Subsistence MEDIUM	£1611
Annual Subsistence HIGH	£2334
Late payment fee	£52
Variation	£1368
Substantial Variation (where 9 (2) (a) or 9 (2) (b) of the scheme applies)	£3363
Transfer	£235
Partial transfer	£698
Surrender	£698

## APPENDIX F

### Proposed 2021/22 Charges – Homeless Accommodation Charges

PROJECT	Proposed Charge from 05 April 2021	Current charge
<b>WATER STREET FAMILY RATE</b>	£	£
<b>Total Charge</b>	<b>£352.10</b>	£341.81
HB eligible Charge	£330.54	
Personal Charge	£21.56	
<b>WATER STREET SINGLE RATE</b>		
<b>Total Charge</b>	<b>£302.05</b>	£293.30
HB eligible Charge	£284.34	
Personal Charge	£17.71	
<b>JOHN STREET SINGLE RATE</b>		
<b>Total Charge</b>	<b>£345.80</b>	£335.79
HB eligible Charge	£330.47	
Personal Charge	£15.33	
<b>HOMESHARE FAMILY RATE</b>		
<b>Total Charge</b>	<b>£383.46</b>	£372.33
HB eligible Charge	£361.27	
Personal Charge	£22.19	
<b>HOMESHARES SINGLE RATE</b>		
<b>Total Charge</b>	<b>£351.47</b>	£341.18
HB eligible Charge	£335.23	
Personal Charge	£16.24	
<b>HOMESHARES SHARED RATE</b>		
<b>Total Charge</b>	<b>£339.92</b>	£330.05
HB eligible Charge	£325.43	
Personal Charge	£14.49	



## APPENDIX G

### Governance Charges

#### GOVERNANCE

	<u>Actual</u> <u>Charges</u> <u>2020/21</u> <u>£</u>	<u>Proposed</u> <u>Charges</u> <u>2021/22</u> <u>£</u>
<b>1. Land Charges – Search Fees (VAT Outside the Scope/ Non-Business)</b>		
<u>Part I – Standard Enquiries</u>		
Domestic Properties		
a) One parcel of land	79.00	90.00
One parcel of land (Level 2/3) (10% discount)	71.10	81.00
b) Several parcels of land		
- First parcel	79.00	90.00
- Each addition	15.00	11.00
(Fees that would exceed £100 to be fixed by arrangement)		
(10% discount to apply to searches submitted on-line via NLIS)		
Commercial Properties		
a) One parcel of land	100.00	110.00
One parcel of land (Level 2/3) (10% discount)	90.00	99.00
b) Several parcels of land		
- First parcel	100.00	110.00
- Each addition	20.00	22.00
(Fees that would exceed £100 to be fixed by arrangement)		
(10% discount to apply to searches submitted on-line via NLIS)		
<u>Part II – Optional Enquiries*</u>		
Each printed enquiry – Urban	10.00	11.00
Each printed enquiry – Rural	10.00	11.00
Question 22 on form CON290	20.00	22.00

Question 4 on form CON290	4.00	4.50
Each additional enquiry	10.50	11.00
Copy or extract of any plan or other document	£various*	

\* Charges will depend upon the type and size of document. As a guide, a copy of a section 106 Agreement or other legal agreement is likely to cost in the region of £10 depending on the number of large-scale plans.

**2. Council Minutes (VAT Standard Rate)**

Per Booklet	25.00	25.00
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**3. Access to Information Requests**

Per black and white sheet	0.02	0.02
Per colour sheet	0.05	0.05

(plus, second class postage costs at the prevailing rate)

**4. Electoral Registers (VAT - Outside/Scope)**

In Printed Form*	10.00	10.00
Plus per 1,000 entries *	5.00	5.00
Binding of Register	4.00	4.00
In Computer Data Form*	20.00	20.00
Plus per 1,000 entries *	1.50	1.50
Full Printed Register* (limited statutory availability)	410.00	410.00
Full Data Copy* (limited statutory availability)	127.50	127.50
Edited Printed Register* (60,000 entries)	310.00	310.00
Edited Data Copy* (60,000 entries)	110.00	110.00

\*These charges are set by Regulation

**5. Training**

Training Sessions in Health and Safety and Data Protection topics per three-hour session (per group of 12 max)	425.00	440.00
Travel Expenses if outside Carlisle District	+	

+ travel expenses will depend on nature of expense, mode of travel, cost of rail fare, etc

**6. Civic Centre (VAT exempt)**

Room Letting - per session	116.83	120.00
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**7. Low Cost Housing Certificates** 60.00

**APPENDIX H**  
**Land Charges Costs**

	<b>Actual 2018/19</b>	<b>Budget 2018/19</b>	<b>Actual 2019/20</b>	<b>Budget 2019/20</b>	<b>Budget 2020/21</b>	<b>MTFP Budget 2021/22</b>
Employee Related	21,361	25,200	24,418	28,300	26,400	26,400
Premises Related	268	300	297	300	300	300
Transport Related	0	0	0	0	0	0
Supplies & Services	31,787	37,700	26,788	37,700	35,200	32,700
Recharges	29,318	29,300	42,100	42,100	24,200	24,200
<b>Total Expenditure</b>	<b>82,734</b>	<b>92,500</b>	<b>93,603</b>	<b>108,400</b>	<b>86,100</b>	<b>83,600</b>
Income	(142,753)	(118,000)	(101,964)	(121,500)	(95,100)	(97,900)
<b>Total Income</b>	<b>(142,753)</b>	<b>(118,000)</b>	<b>(101,964)</b>	<b>(121,500)</b>	<b>(95,100)</b>	<b>(97,900)</b>
<b>Net Position</b>	<b>(60,019)</b>	<b>(25,500)</b>	<b>(8,361)</b>	<b>(13,100)</b>	<b>(9,000)</b>	<b>(14,300)</b>

**\*2021/22 MTFP budget for recharges is based on the 2020/21 recharge level**

# APPENDIX I

## Land Charges Data

	2016/17			2017/18			2018/19			2019/20			2020/21 <sup>1</sup>		
Month	Standard Search	LLC1 only	Personal Search	Standard Search	LLC1 only	Personal Search	Standard Search	LLC1 only	Personal Search	Standard Search	LLC1 only	Personal Search	Con29 Search	LLC1 only	Personal Search
April	80	14	0 <sup>2</sup>	77	3	0 <sup>2</sup>	64	23	0 <sup>2</sup>	60	13	0 <sup>2</sup>	14 standard searches 24 con29 only	17	
May	132	8	0 <sup>2</sup>	98	5	0 <sup>2</sup>	109	22	0 <sup>2</sup>	51	7	0 <sup>2</sup>	23	0 <sup>3</sup>	
June	115	21	0 <sup>2</sup>	116	19	0 <sup>2</sup>	100	23	0 <sup>2</sup>	95	17	0 <sup>2</sup>	38	0 <sup>3</sup>	
July	102	6	0 <sup>2</sup>	71	13	0 <sup>2</sup>	78	9	0 <sup>2</sup>	77	28	0 <sup>2</sup>	97	0 <sup>3</sup>	
August	97	4	0 <sup>2</sup>	89	14	0 <sup>2</sup>	98	8	0 <sup>2</sup>	68	52	0 <sup>2</sup>	99	0 <sup>3</sup>	
September	102	19	0 <sup>2</sup>	86	7	0 <sup>2</sup>	91	5	0 <sup>2</sup>	58	8				
October	143	18	0 <sup>2</sup>	105	15	0 <sup>2</sup>	81	13	0 <sup>2</sup>	80	28				
November	114	15	0 <sup>2</sup>	81	5	0 <sup>2</sup>	97	10	0 <sup>2</sup>	72	18				
December	83	4	0 <sup>2</sup>	49	10	0 <sup>2</sup>	100	7	0 <sup>2</sup>	43	10				
January	54	6	0 <sup>2</sup>	61	3	0 <sup>2</sup>	218*	8	0 <sup>2</sup>	64	20				
February	92	6	0 <sup>2</sup>	98	7	0 <sup>2</sup>	232*	18	0 <sup>2</sup>	62	10				
March	76	1	0 <sup>2</sup>	75	4	0 <sup>2</sup>	66	7	0 <sup>2</sup>	70	16				
<b>Total</b>	<b>1190</b>	<b>122</b>	<b>0<sup>2</sup></b>	<b>1006</b>	<b>105</b>	<b>0<sup>2</sup></b>	<b>1334</b>	<b>153</b>	<b>0<sup>2</sup></b>	<b>740</b>	<b>214</b>	<b>0<sup>2</sup></b>	<b>257</b>	<b>0</b>	

<sup>1</sup> FIGURES SHOWN ARE UP TO SEPTEMBER 2020

<sup>2</sup> FIGURES FOR PERSONAL SEARCHES ARE NOT INCLUDED IN THE TABLE. FOLLOWING CHANGES IN LEGISLATION CHARGES MAY NO LONGER BE LEVIED FOR PERSONAL SEARCHES. ACCORDINGLY, FIGURES HAVE NOT BEEN KEPT. NOTE THAT PERSONAL SEARCHES CONTINUE TO BE CARRIED OUT

<sup>3</sup> SINCE APRIL 2020, LLC1 SEARCHES ARE PROVIDED BY HM LAND REGISTRY

\*anomaly c.125% spike in number of searches processed in these months due to refinancing of significant percentage of local RSLs housing stock

**APPENDIX J**  
**Anticipated Demand Based on Current Performance**

Type of Search	Amount
Standard (Con 29)	740 (around 57.25% electronic)
<b>Total</b>	<b>740</b>

## APPENDIX K

### Land Charges Budget History

Period	Net Income	Original Budget
2017/18	£111,042	£144,200
2018/19*	£142,753	£118,000
2019/20	£101,964	£121,500
2020/21**	£60,000 est. (£29,998 to date)	£95,100 (£47,569 to date)

\* The base budget for 2018/19 was reduced by a recurring budget pressure of £30,500 as part of the 2018/19 budget process

\*\* The base budget for 2020/21 was reduced by a recurring budget pressure of £30,000 as part of the 2020/21 budget process

## **APPENDIX L**

### **Corporate Charging Policy 2021/22 TO 2025/26**

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

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

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

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

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

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

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

- Persons over the age of 65
- Unemployed
- Young persons under the age of 18
- Students in full time higher education
- Community Groups
- Armed Forces Veterans
- Those in receipt of supplementary benefits, tax credits, attendance allowance, disability living allowance and other appropriate groups

### **4. Trading:**

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

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

### **5. Value for Money:**

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



# Report to Executive

Agenda  
Item:

**A.3**

Meeting Date: 14<sup>th</sup> December 2020  
Portfolio: Communities, Health and Wellbeing  
Key Decision: KD 26/20  
Within Policy and Budget Framework: Yes  
Public / Private: Public

Title: BITTS PARK INTERACTIVE WATER FEATURE  
Report of: The Deputy Chief Executive  
Report Number: CS 33/20

## Purpose / Summary:

The purpose of the report is to seek Executive approval for the release of the capital allocation for full mechanical and electrical reinstatement of the children's interactive water feature in Bitts Park, following flood damage in February 2020.

## Recommendations:

1. That the Executive approves the addition of £73,591.50 for the reinstatement and repair of the water feature at Bitts Park, pending the finalisation and acceptance of the insurance settlement.

## Tracking

Executive:	
Scrutiny:	
Council:	

## **1. BACKGROUND**

- 1.1** Bitts Park was flooded when, as a result of Storm Ciara on 9<sup>th</sup> February 2020, the Rivers Eden and Caldew overtopped their banks. Bitts Park play area was submerged to a depth of around two metres for five days. The interactive water feature in Bitts Park play area sustained considerable damage to its electrical and mechanical systems.
- 1.2** The feature was assessed by Council staff and an outline quotation request drawn together for reinstatement of the facility. The original equipment manufacturer, Ustigate Waterplay, submitted a quote of £68,651.50 for all necessary works to reinstate the feature whilst the Council sourced quotes from local suppliers for site security fencing and adequate temporary welfare facilities for staff working on the project. These total £4,940.
- 1.3** Following the submission of an insurance claim and subsequent assessment of the facility, the Council's insurers accepted the claim and have agreed in principle to the settlement of the claim at a cost of £73,591.50.

## **2. PROPOSALS**

- 2.1** To use the settlement sum as agreed in principle by the Council's insurers in order to allow the repairs to be progressed in good time for the facility to be in full operational order for the beginning of the spring/summer 2021 season.
- 2.2** The main contractor, Ustigate Waterplay, have been advised that no site works may commence until March 2021 in order to avoid the period when the area is at highest risk of repeat flooding.
- 2.3** The water feature will be re-commissioned in late-March 2021 and operation will be in full accordance with UK Government Coronavirus restrictions in place at that time.

## **3. RISKS**

- 3.1** The risk of further flood events remains present at Bitts Park due to proximity to two main rivers and the location of the play area on the unprotected side of the city's flood defences. The Council's insurance on the facility remains unaltered as a result of this claim and therefore the financial risk to the authority should another flood occur is considered low.

- 3.2** The reputational risk to the Council for not reinstating the facility, or providing a suitable alternative in a different location, is considerable given the popularity of the water feature and the footfall it generates.
- 3.3** The water feature comprises approximately 1/3 of the total footprint of Bitts Park play area and, should it not be reinstated, the authority would have to consider the risk of locating sufficient external funding to remove the feature and replace with alternative play equipment.

#### **4. CONSULTATION**

- 4.1** The need for consultation as to whether to release these funds is not considered necessary. The insurance settlement has already been paid in full and, as the proposed works are to the mechanical and electrical componentry, there will be no material change to the external appearance and operation of the facility to users or those tasked with its' inspection and maintenance.

#### **5. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

- 5.1** The interactive water feature is an integral and universally popular component of Bitts Park play area, the authority therefore has a responsibility to ensure its continued presence on the site so long as this remains practicable and the facility is fully insured.
- 5.2** The flood damage incurred in February 2020 is repairable and the Council's insurer has already settled the resulting claim in full.
- 5.3** With the release of the capital funds, as per the recommendation of this report, the authority may progress the repair and recommissioning of the water feature in preparation for re-opening in spring 2021.

#### **6. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

- 6.1** This action directly contributes to the Council's priority to 'improve the quality of our local environment and green spaces so that everyone can enjoy living, working in and visiting Carlisle'.

- 6.2** This free to use facility additionally contributes to the improvement of the health and wellbeing of both users and their parents or carers by promoting physical activity, social interaction and imaginative play in a welcoming and attractive space.

**Contact Officer:**            **Darren Crossley**

**Ext:**    **7120**

**Appendices**

**attached to report:**

- **None**

**Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:**

- **None**

**CORPORATE IMPLICATIONS:**

**LEGAL** – There are no particular legal implications arising from the report but an appropriate contract for works should be in place for the delivery of the works.

**FINANCE** – The Council's insurers have agreed in principle to a settlement for the reinstatement and repair of the Bitts Park Water Feature up to a value of £73,591.50. The Council will engage the supplier to reinstate the water feature in Spring 2021 to minimise the risk of any additional flooding damage in preparation for re-opening in Spring 2021. This report requests that the sum agreed is added to the capital programme to allow the reinstatement to occur once the insurance claim is finalised and agreed.

**EQUALITY** –

**INFORMATION GOVERNANCE** –

## Report to Executive

Agenda  
Item:

**A.4**

Meeting Date: 14 December 2020  
Portfolio: Communities, Health and Wellbeing  
Key Decision: KD 27/20  
Within Policy and Budget Framework Yes  
Public / Private Public

Title: **REVIEW OF PUBLIC SPACE PROTECTION ORDERS**  
Report of: The Deputy Chief Executive  
Report Number: CS 36/20

### Purpose / Summary:

The report:

- Introduces the draft Local Environmental Crime, Action and Enforcement Strategy and is presented for approval by Executive.
- Proposes a revised Public Space Protection Order (PSPO) for Carlisle to come into effect from March 2021 for the next three years, subject to formal consultation.
- Proposes a combined Public Space Protection Order for alley gates.

### Recommendations:

That Executive review the contents of this report and refer these to the Health and Wellbeing Scrutiny Panel for their review and comment.

### Tracking

Executive:	14 December 2020 & 8 February 2021
Overview and Scrutiny:	Health and Wellbeing Panel 14 January 2021
Council:	N/A

## **Preface**

This report is presented in four parts:

Part A: The Local Environmental Crime, Action and Enforcement Strategy

Part B: Revised Public Space Protection Order for Carlisle

Part C: Consolidated Public Space Protection Order for alley gates.

Part D: Risks and recommendations

## PART A: LOCAL ENVIRONMENTAL CRIME, ACTION AND ENFORCEMENT STRATEGY

### 1.0 INTRODUCTION

- 1.1 Carlisle City Council is committed to maintaining a clean and safe environment for everyone. This commitment recognises the Council's statutory responsibility to keep the streets and local environment clean and free of litter, dog fouling, fly-tipping and to deal with other local environmental quality issues including working with a range of partners to tackle anti-social behaviour. This as a shared responsibility that cannot be achieved without the support of the people of Carlisle, visitors and local business in taking responsibility for their own actions.
- 1.2 This report introduces the Local Environmental Crime, Action and Enforcement Strategy that sets out the Council's approach to maintaining clean streets and neighbourhoods across the district of Carlisle and highlights the wide ranging work and powers of the Civil Enforcement Officers in raising awareness of environmental crime, including challenging unacceptable behaviour and taking robust enforcement action, when necessary as the Council works to keep Carlisle clean.

### 2.0 THE LOCAL ENVIRONMENTAL CRIME, ACTION AND ENFORCEMENT STRATEGY

- 2.1 This updates the existing strategy recognising the new powers available to the Council and highlighting the wide range of activities undertaken by our civil enforcement officers and operational teams. The activities and powers are outlined in the strategy (Appendix one) and are not detailed in this report.
- 2.2 The aim is to ensure Carlisle is a clean, safe, healthy and welcoming place to live, work and visit. Staff in Neighbourhood Services are responsible for keeping streets, town centres and residential areas clean and litter free. As the behaviour of a small minority of people falls short of acceptable standards, the Council employs a team of Civil Enforcement Officers to prevent, detect and deter enviro-crime...

**Prevent:** To prevent enviro-crime by raising awareness of the problem through education and local awareness campaigns targeted at changing people's behaviour.

**Detect:** To detect enviro-crime quickly and take swift and robust action with dedicated and responsive enforcement officers using modern technology and working in partnership with other enforcement bodies to ensure activities are intelligence led.

**Deter:** To deter enviro-crime by making sure that those who commit crimes are caught, that the action taken is proportionate and through promoting success, to deter others from committing such selfish behaviour /

offences.

2.3 The strategy covers the work of the clean neighbourhoods and enforcement teams in relation to:

#### 2.4 **Clean neighbourhoods:**

The Council's approach to maintaining streets and town centres through both a programmed and responsive service, including:

- Operational priorities
- Working in partnership with residents / shared responsibilities
- Community Payback
- Neat Streets Initiative
- Days of Action / community response
- Graffiti

#### 2.5 **Action and Enforcement:**

The strategy 'introduces' the team of Civil Enforcement Officers and the powers available to support them in performing their role effectively:

- Awareness raising, campaigns, education and advice (**Prevent**)
- Authorised action / powers / legislation

It also outlines the resources available to improve effectiveness and mitigate health and safety risks:

- Training and competency
- Working with key partners and sharing intelligence
- Deploying CCTV at key locations / fly-tipping hot spots
- Use of body worn cameras – 'Respect our staff'
- And, for 2020 – the introduction of the enforcement camera vehicle to target littering from vehicles

#### 2.7 **Enviro-crimes**

The strategy provides a definition of enviro-crime and outlines the steps the Council will take to tackle:

- Littering – including litter from businesses
- Fly-tipping of waste on public and private land
- Fly-tipping hot spots
- Waste dumped in un-adopted back streets.
- Fly-tipping at local recycling sites

The strategy also highlights other areas of concern to ensure residents and business owners are aware of and understand their responsibilities, and duty of care, in terms of managing household and commercial waste.



## **2.8 Responsible dog ownership:**

The work of the Enforcement Team in relation to encouraging responsible dog ownership and tackling issues of concern to residents is also outlined in the strategy:

- Dog Fouling
- Dogs on leads
- Dogs in restricted areas
- Stray dogs
- Identification / microchipping

## **2.9 Anti-social behaviour:**

Further information on the Public Space Protection Order is provided in part B. The strategy also highlights how the Council will work with residents to keep rear lanes clear of waste and where appropriate to install alley gates to provide safe, clean areas for residents, including children to enjoy.

## **2.10 Abandoned and nuisance vehicles**

Civil Enforcement Officers will also respond to concerns about abandoned or 'nuisance' vehicles including concerns arising from those selling or repairing vehicles on the street. The Council also has powers to challenge drivers of motor vehicles where they leave engines idling with the ability to issue fines where drivers refuse to switch off the engine after a request from an authorised officer. This is a positive step to tackle irresponsible driver behaviour and will help to reduce carbon emissions and improve local air quality.

## **2.11 Car parking enforcement**

Civil Enforcement Officers are based in the Parking and Enforcement Team, Neighbourhood Services, and work generically splitting their duties between patrolling car parks and dealing with environmental enforcement. This change was introduced in the last two years and has proved very effective in improving performance.

## **2.12 Enforcement options / actions available**

The strategy outlines the options available to the Council for dealing with enviro-crime or other issues including:

- Informal action and advice – written or oral (where appropriate)
- Anti-social Behaviour Contracts: Restorative Justice Options
- Simple Caution
- Formal statutory notice
- Execution of work in default i.e. required by a statutory notice where the recipient has not complied with a notice
- Fixed penalty notice for specific offences
- No action where there is insufficient evidence to pursue action, or where it may

- not be cost effective to continue of in the public interest
- Prosecution

In all cases the method of enforcement used should be balanced and proportionate to achieve the highest reasonable standards of compliance within the least time.

#### **2.13 Children and young people**

The Anti-social Behaviour Crime and Policing Act 2014 introduced the Community Protection Notice process. Under this process if an individual's conduct is having a detrimental effect, of a persistent or continuing nature, on the quality of life of those in the locality, and that this conduct is unreasonable, a warning letter can be served. Failure to comply with a warning letter can lead to the issuing of a Community Protection Notice, followed by a fixed penalty notice. This is the preferred process for dealing with young people aged 16 or 17 years for offences such as dog fouling and littering which ordinarily would attract an immediate fixed penalty. The expectation is that the formal warning process will encourage immediate and ongoing positive behaviour change.

#### **2.14 Promotion and awareness raising (Prevent and deter)**

To further raise awareness of enviro-crime and to encourage positive and responsible behaviour by residents and business owners, the Council will continue to promote campaigns and key times of the year or in key locations to address emerging or ongoing issues / concerns. Successful enforcement action is also highlighted through press releases and on social media to deter others and to provide reassurance / confirmation that the Council is delivering on its priorities and holding people to account for their selfish behaviour. A summarised version will also be available on the Council's website.

### **3.0 MONITORING AND EVALUATION**

- 3.1 Standards of street cleaning are monitored constantly across the year, but in addition, officers carry out local environmental quality (LEQ) surveys in key areas and streets to assess and report on the standard of appearance / cleanliness using Keep Britain Tidy's ratings for cleanliness.
- 3.2 The Council receives and welcomes reports from residents and councillors regularly for example in relation to the standard of street cleanliness or incidence of fly-tipping or dog-fouling. Information is used to target intervention as appropriate.
- 3.3 The strategy has been written in a format to avoid the need for frequent updates should legislation and powers change or as the levels of fine / penalties are increased. Where there is a more fundamental change, the strategy will be revised accordingly.

## **PART B: REVISED PUBLIC SPACE PROTECTION ORDER FOR CARLISLE**

### **4.0 PUBLIC SPACE PROTECTION ORDER (2021 TO 2024)**

- 4.1 The existing Public Space Protection Order (PSPO) for Carlisle ends on 21 March 2021. A revised PSPO is proposed for the next three years subject to consultation.
- 4.2 The PSPO provides wide ranging and flexible powers to a local authority to help tackle anti-social and nuisance behaviour. The orders do not focus on individuals or properties; rather they focus on the identified problem behaviour in a specific location and impose restrictions on behaviour that apply to everyone in that locality. Breach of a PSPO without a reasonable excuse or exemption is an offence. For example, assistance dogs would be exempt from certain elements of a PSPO related to the control of dogs.
- 4.3 PSPOs allow local areas to challenge unreasonable and persistent behaviour that affect the quality of life of its residents and support local priorities. PSPOs are a clear and visible demonstration to residents that the Council is utilising all its powers, fully supporting its partners, and taking very seriously its commitment to challenge unacceptable and unreasonable behaviour.
- 4.4 A PSPO can last for up to three years after which time it must be reviewed. The PSPO can be renewed for a further three-year period should such a review support its extension.

### **5.0 CONSULTATION AND APPROVAL**

- 5.1 The PSPO is a vital tool to support our partners to respond swiftly and effectively to anti-social and nuisance behaviour and providing flexibility to tackle emerging problems and trends. The proposed content of the revised PSPO has been informed following discussion with the Portfolio Holder, officers and partners, such as the police. The content has also been revised following discussion at JMT in November 2020.
- 5.2 The revised PSPO will require formal consultation with stakeholders and key partners such as the Chief Constable, Police and Crime Commissioner, Community Safety Partnership and health partners. It is also good practice to extend the consultation to wider stakeholders such as residents, community groups, local business owners,

landowners and occupiers. This helps form part of any defence should the Council be subsequently challenged on the Order. Any interested person can challenge the validity of a PSPO in the High Court, but the challenge must be made within six weeks. An 'interested person' is someone who lives in the restricted area or who regularly works or visits that area.

## **6.0 PROPOSED CONTENT**

- 6.1 As mentioned above, the proposed content for the revised PSPO has been developed through discussion with key partners. Whilst many of the existing elements of the PSPO continue to be effective in supporting our partners such as the Police to deal swiftly with ASB issues, there are some areas where further clarification and enhancement is needed going forward. It is accepted that the existing PSPO is not clear or robust enough to tackle some of the issues faced for example in the city centre.
- 6.2 The PSPO is not targeted at any particular groups or individuals; rather it is focussed on behaviour which in some circumstances may not always appear to be overtly anti-social or aggressive. Indeed, some of the activities the revised PSPO will help address may initially appear passive, but which may support serious organised crime and / or introduce safeguarding and child sexual exploitation risks.
- 6.3 It is very important to recognise the need to respond differently to those individuals or groups for example travelling as part of an organised crime group from other cities to Carlisle, presenting as homeless to attract sympathy and donations from the public. And, to contrast this with those who are genuinely in need and for whom the City Council and our partners will continue to offer the appropriate level of support and intervention to protect their health and wellbeing as a priority. The revised PSPO will ensure that we can effectively target the first problem, but importantly it does not reduce our ability or desire, or that of our partners, to continue to support those in genuine need of support.
- 6.4 In reviewing the current PSPO, and considering revisions for the revised Order, Executive will need to be satisfied that the following tests can be reasonably met:
- Activities that have taken place have had a detrimental effect on the quality of life of those in the locality, or, it is likely that activities will take place and that they will have a detrimental effect
  - The effect or likely effect of the activities:
    - is, or is likely to be, persistent or continuing in nature
    - is, or is likely to be, unreasonable
    - justifies the restrictions being imposed

## 7.0 TIMETABLE

- 7.1 The proposed areas of the PSPO are summarised in appendix two. Subject to agreement, this will follow the timetable below:

18 December 20	Consultation starts
14 January 21	Health and Wellbeing Scrutiny
22 January 21	Consultation ends
08 February 21	Executive - Approval of PSPO
21 March 21	New PSPO in place

## PART C: ALLEY GATES: COMBINED PUBLIC SPACE PROTECTION ORDER

### 8.0 PUBLIC SPACE PROTECTION ORDER (NO2) 2021-2024

- 8.1 The Council currently maintains a number of alley gates in Carlisle. Many of the gates were installed under separate gating orders and are now covered by separate Public Space Protection Orders. It is now proposed to consolidate all such orders under a single PSPO.
- 8.2 Alley-gates can be an effective in helping to improve the quality of life for residents by reducing both the incidence of crime and anti-social behaviour as well as reducing people's fear of crime. Alley gates can effectively reduce the incidence of burglaries, arson, fly-tipping and general nuisance behaviour.
- 8.3 Clean, gated lanes help to foster community spirit as neighbours get to know each other and enjoy the outdoor space together; traffic free lanes provide a safe space for children to play. There are also many examples where residents have worked together and installed planters introducing colour to the back-lanes and creating small nature corridors through urban areas.
- 8.4 The Council is required to consult with residents affected by the PSPO (gating order). The full list of lanes with gates is provided in appendix four.

## **PART D: RISKS AND RECOMMENDATIONS**

### **9.0 RISKS**

- 9.1 Public Space Protection Orders target anti-social and nuisance behaviour, not particular groups or individuals. An effective PSPO will send out a clear message about acceptable behaviour, helping to build public confidence that anti-social behaviour will not be tolerated and giving our partners the tools and powers to deal robustly and swiftly with emerging problems. But it is important to always balance this against the need to offer support for those genuinely in need of assistance where pursuing the enforcement route is perhaps not appropriate. In this regard, the revised content, which has been developed through discussion with our partners, provides the necessary clarity of message but reinforces the need to offer support and guidance where appropriate.
- 9.2 PSPOs should be evidenced based, tackling problems in the local area but it is also important that they provide flexibility going forward to tackle changing problems and emerging trends experienced for example in other cities to avoid Carlisle becoming an 'attractive destination' in this regard. It is also important to provide flexibility across the wider district of Carlisle, not just to limit the restrictions to say the city centre. The PSPO needs therefore to be able to deal effectively with stopping anti-social driving and gatherings in a city centre car park but should not simply move this behaviour to a car park in an industrial estate a few miles away. The PSPO therefore targets the behaviour, not the precise location.
- 9.3 Any interested person can challenge the validity of a PSPO in the High Court; the challenge must be made within six weeks. An 'interested person' is someone who lives in the restricted area or who regularly works or visits that area.

### **10.0 CONCLUSION AND RECOMMENDATIONS**

- 10.1 Executive is recommended to approve the:
- Local Environmental Crime, Action and Enforcement Strategy
  - proposed content of the revised PSPO, subject to consultation in line with the timetable outlined in this report.
  - consolidated PSPO for alley gates.

## **11.0 CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

- 11.1 Maintaining clean, safe and attractive streets, neighbourhoods, villages and towns, cuts across a number of the priorities, as outlined in the strategy.

**Contact Officer:** Helen Graham  
Team Manager, Parking and Enforcement  
**Ext:**

### **Appendices**

#### **attached to report:**

- Appendix 01: Local Environmental Crime, Action and Enforcement Strategy
- Appendix 02: Proposed content for the revised PSPO
- Appendix 03: Areas covered by the Order
- Appendix 04: PSPO - Alley gates

**Note:** in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:

- **None**

## **CORPORATE IMPLICATIONS:**

### **LEGAL**

The proposed Strategy will help and inform the Council's officers in carrying out their duties and ensure that we deliver our enforcement activities in a transparent and consistent manner.

The Orders will be made under the powers conferred on the Council pursuant to sections 59-68 of the Anti-Social Behaviour, Crime and Policing Act 2014 and published in accordance with The Anti-social Behaviour, Crime and Policing Act 2014 (Publication of Public Spaces Protection Orders) Regulations 2014.

### **FINANCE**

Any financial implications of implementing and monitoring this Local Environment Crime, Action and Enforcement Strategy and the new PSPO's can be met from within the existing base budgets under the control of the Community Services Directorate.

### **EQUALITY**

This report raises no explicit issues relating to the Public Sector Equality Duty.

## **INFORMATION GOVERNANCE**

### **PROPERTY SERVICES**

**General ASB****Current PSPO**

Challenging anti-social behaviour by groups or individuals in the City Centre, open and public spaces and car parks in the district.

**Revised PSPO**

Challenging anti-social behaviour by groups or individuals in the City Centre, open and public spaces and car parks in the district.

**Reasons / supporting comments:**

- Whilst levels of reported ASB have fallen recently, this is largely felt to be related to the 'lockdown' restrictions in place and is not a trend that is expected to continue.
- Patterns of ASB tend to repeat and although it is only a small minority of people who are responsible, retaining this in the PSPO will give authorised officers the continued ability to tackle this.
- ASB is not restricted to the city centre and its car parks but is increasingly becoming a problem in our open public spaces. Incidents and reports of ASB have increased significantly in Hammonds Pond with regular reports of concerns in Bitts Park, Sheepmount and Talkin Tarn.

**Glossary:**

- ASB Anti-social behaviour
- CPW Community Protection Warning
- CPN Community Protection Notice
- FPN Fixed Penalty Notice (fine)
- PSPO Public Space Protection Order



Alcohol related	
<p><b>Current PSPO</b></p> <p>Not specified within the PSPO.</p>	<p><b>Revised PSPO</b></p> <p>No person shall refuse to stop drinking alcohol or hand over any containers (sealed or unsealed) which are believed to contain alcohol, when required to do so by an authorised officer in order to prevent public nuisance or disorder.</p> <p>Where a Police Officer, Police Community Support Officer or a person duly authorised by the Council reasonably believes that a person has been consuming alcohol, or that a person intends to consume alcohol in circumstances in which doing so would be a breach of that prohibition, the person may be required:</p> <ul style="list-style-type: none"> <li>• Not to consume alcohol or anything reasonably believed to be alcohol</li> <li>• To surrender anything in that person's possession which is, or which may reasonably believe to be alcohol or a container for alcohol.</li> </ul> <p>Anything surrendered to him or her as a result of a requirement imposed may be disposed of by the authorised officer in whatever way he or she thinks appropriate. A Police Officer or an authorised person who imposes such a requirement must tell the person that failing without reasonable excuse to comply with the requirement is an offence. A requirement imposed by an authorised person is not valid if the authorised person is asked to show evidence of his or her authorisation but fails to do so.</p>
<p><b>Reasons / supporting comments:</b></p> <ul style="list-style-type: none"> <li>• This was previously covered under a separate 'designated public space order' – now replaced by the PSPO.</li> <li>• Alcohol related ASB can quickly escalate and have a significant and lasting impact upon communities. The street drinking PSPO would not be a ban on drinking alcohol in a public place but would provide the police with additional powers to tackle alcohol related ASB or disorder. For example, if a person was to drink beyond the legal boundary of a licensed premises and they refuse to stop drinking when asked to do so by a police officer due to ASB, then the PSPO comes into effect.</li> <li>• Carlisle continues to experience ongoing issues with 'street drinkers' and currently uses the CPW / CPN process which does not always provide a swift and effective solution. The PSPO enables more timely intervention.</li> <li>• Cumbria Constabulary is increasing the number of "Community Officers". Three officers have now been recruited at Brampton and a further three are expected to be available to assist with City issues. Such officers will be available to assist with enforcing this part of the legislation.</li> </ul>	

<b>Begging / rough sleeping</b>	
<b>Current PSPO</b>  Not specified.	<b>Revised PSPO</b>  No person shall beg.
<b>Reasons / supporting comments:</b> <ul style="list-style-type: none"> <li>• In 2019, Carlisle was hit by a number of organised crime groups who sent groups down to Carlisle usually via train to carry out begging.</li> <li>• This caused numerous issues and welfare concerns.</li> <li>• The Police continues to work through the 'Hub' with the Homelessness team and will continue to carry out checks to ascertain if such persons are officially homeless and to ascertain if any support has been offered before any consideration is given to taking action for begging (FPN).</li> <li>• There is a strong view that Carlisle has been targeted as the existing PSPO does not explicitly target begging in this way as in some other cities.</li> </ul>	
<b>Current PSPO</b>  Not specified.	<b>Revised PSPO</b>  No person shall camp or sleep overnight with or without a tent, where their behaviour, and / or the behaviour of their visitors or associates, causes or attracts anti-social behaviour and / or has a detrimental effect on the quality of life of those in the locality.
<b>Reasons / supporting comments:</b> <ul style="list-style-type: none"> <li>• This is strongly linked to begging and safeguarding issues.</li> <li>• Police will not consider issuing an FPN without carrying out due diligence work with partners and giving the person the opportunity to move on.</li> <li>• It is recognised that a financial penalty will not necessarily resolve the issue, but it would assist in obtaining injunctions or further action to remove the individual causing the concern.</li> <li>• It would also serve as a deterrent to others and reduce the incidence of associated ASB.</li> </ul>	

Busking	
<b>Current PSPO</b>  Not specified	<b>Revised PSPO</b> A code of conduct for Buskers is currently in place, therefore, no person shall breach this by causing a nuisance to nearby premises or members of the public. This includes obstructing the highway, pavement or shop entrances, or using street furniture including public seats, lamp posts and railings.
<b>Reasons / supporting comments:</b> <ul style="list-style-type: none"> <li>• A number of complaints have been received from businesses and residents regarding the repetitiveness, noise and location of buskers.</li> <li>• The PSPO will enable action to be taken swiftly against those buskers who do not follow the code of conduct.</li> </ul>	
Trading / canvassing	
<b>Current PSPO</b>  Not specified	<b>Revised PSPO</b> No selling of goods, no canvassing of services or charities (without prior written consent from the Council, this must be presented to the authorised officer upon request, failure to do so will result in a breach of the PSPO.)
<b>Reasons / supporting comments:</b> <ul style="list-style-type: none"> <li>• The City Council has received complaints relating to face to face fundraising and those selling goods.</li> <li>• Some behaviours can be intimidating to members of the public, particularly for more vulnerable members of our community who are more susceptible to pressurised 'selling' techniques engaged by some 'commission based' charity collectors.</li> <li>• The proposed PSPO will prohibit this for those without the express written approval of the City Council.</li> </ul>	

Use of cycles / scooters / skateboards	
<p><b>Current PSPO</b></p> <p>Not specified</p>	<p><b>Revised PSPO</b></p> <p>Cyclists must dismount and push their bikes during the restricted period in the City Centre. At all other times, cyclists must ride responsibly giving consideration and priority to pedestrians.</p> <p>The above restriction applies to riders of scooters / E-Scooters, Skateboards and Motor Propelled vehicles (mobility scooters are exempt) being used on footpaths so as to cause nuisance and annoyance.</p>
<p><b>Reasons / supporting comments:</b></p> <ul style="list-style-type: none"> <li>• The PSPO would only be used for persistent offenders who ride dangerously, recklessly with disregard for others' safety, eg raising the front wheel or at excessive speed etc.</li> <li>• The PSPO will also provide flexibility to tackle emerging trends. For example, E-scooters represent a growing area of concern; at present they are classed as a motor propelled vehicle however the government are currently reviewing the legislation. This may have future consequences especially in built up areas such as the city centre with clear risks to others, particularly younger or older pedestrians.</li> <li>• The ability to issue a FPN in relation to irresponsible behaviour would greatly assist.</li> </ul>	

## Vehicle related

### Current PSPO

A person shall be guilty of an offence if, at any time on any land within the City Centre or any car park within the District to which this Order applies if they are carrying out any of the following activities:

- behaviour that may be seen as intimidating or threatening to others;
- behaviour that could cause offence, distress, annoyance or harassment to others through shouting, swearing, and general anti-social behaviour;
- driving or permitting a vehicle to be used in a manner that causes or is likely to cause harassment, alarm, risk or distress to any person;
- running or revving of engines in such a manner as to cause a nuisance;
- racing or driving around the location at speed;
- sounding the horn;
- playing loud music;
- congregating in a car park for the purposes of socialisation without the express permission of the City Council; and or
- any variation of the above unless they have a reasonable excuse for doing so; or the owner, occupier or other person or authority having control of the land has consented (generally / specifically) to their doing so.

### Revised PSPO

A person shall be guilty of an offence if, at any time on any open space, park, pedestrianised area, car park within the District to which this Order applies if they are carrying out any of the following activities:

- driving or permitting a vehicle to be used in a manner that causes or is likely to cause harassment, alarm, risk or distress to any person;
- Running or revving of engines in such a manner as to cause a nuisance;
- Racing or driving around the location at speed;
- sounding the horn;
- playing loud music;
- congregating in a car park for the purposes of socialisation without permission; and or
- any variation of the above unless:
  - (i) they have a reasonable excuse for doing so; or
  - (ii) the owner, occupier or other person or authority having control of the land has consented (generally or specifically) to their doing so

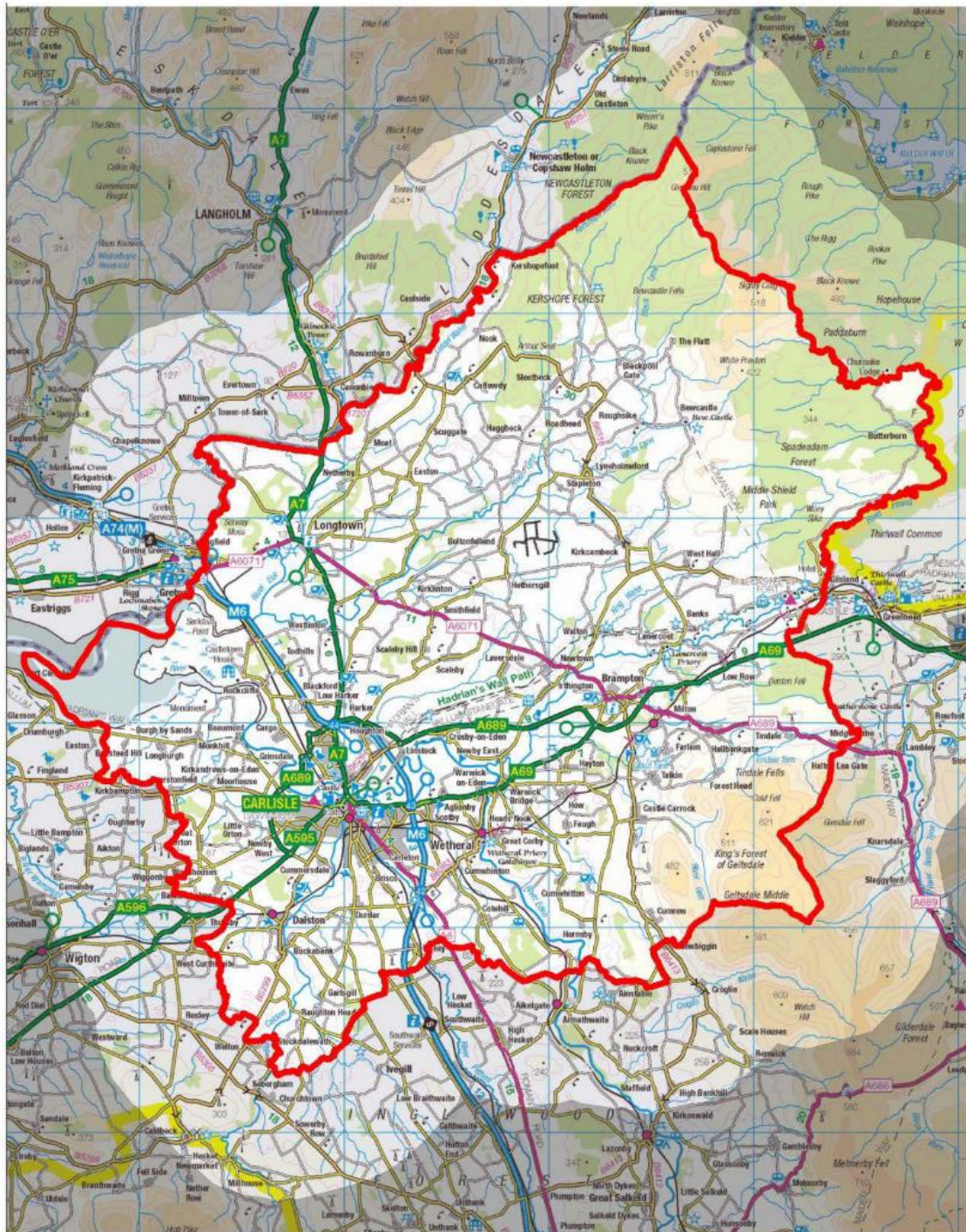
### Reasons / supporting comments:

- The barriers / early closing in place in some council car parks continues to prove effective in reducing this concern.
- Concerns are emerging in other locations which are now starting to see an increase in incidents.
- The previous order deals with the city centre and its car parks, the revised order extends the restriction to the Carlisle district.
- The PSPO allows for swift and timely action to be taken.

Control of dogs	
<p><b>Current PSPO</b></p> <p><b>Dogs on Lead:</b> A person in charge of a dog shall be guilty of an offence if, at any time on any land within the District to which this Order applies they do not keep the dog on a lead.</p> <p><b>Dogs on Leads by Direction :</b> A person in charge of a dog shall be guilty of an offence if, at any time on any land within the District to which this Order applies, they do not comply with a direction given to them by an authorised officer of the Authority to put and keep the dog on a lead.</p> <p><b>Dogs Excluded from enclosed play areas:</b> A person in charge of a dog shall be guilty of an offence if, they take the dog onto, or permits the dog to enter or remain on, any land within the District which has been designated as an enclosed play area (“enclosed play area”)</p> <p><b>Dog Defecation:</b> If a dog defecates at any time on land contained within the District to which this Order applies and a person who is in charge of the dog at that time fails to remove the faeces from the land forthwith.</p>	<p><b>Revised PSPO</b></p> <p>Any person in charge of a dog within the restricted area shall be in breach of this Order if he/she:</p> <ul style="list-style-type: none"> <li>• fails to keep the dog on a lead and under physical control at all time on any land which has been designated as a dog on lead area,</li> <li>• fails to put a dog on lead by direction</li> <li>• allows the dog to foul in a public place and then fails to remove the waste and dispose of it in an appropriate receptacle.</li> <li>• takes a dog onto, or permits the dog to enter or remain on, any land which has been designated as an enclosed play area (“enclosed play area”)</li> </ul> <p>The provisions of this order relating to the control of dogs shall not apply to any person who is registered blind in accordance with section 29 of The National Assistance Act 1948, to any person and to any person suffering a disability and in sole charge of a dog trained to assist with his/her mobility, manual dexterity, physical coordination or ability to lift and carry everyday objects and the said dog has been trained by a prescribed charity.</p>
<p><b>Reasons / supporting comments:</b></p> <ul style="list-style-type: none"> <li>• There are no proposed changes to this element of the PSPO.</li> <li>• The wording has been reviewed to improve clarity of message.</li> <li>• The proposals are designed to encourage responsible dog ownership to ensure that everyone is able to enjoy our public spaces without any negative impacts associated with irresponsible dog ownership.</li> </ul>	



The Order applies to the public areas shown below (the Restricted Area):  
The District:





## TALKIN TARN COUNTRY PARK



### **Talkin Tarn Country Park:**

All that part of the land and buildings at Talkin Tarn Country Park, Brampton shown edged red on the plan annexed hereto and marked "Talkin Tarn Country Park".

### **Cemeteries:**

All those Cemeteries in the District known as:

- Carlisle Cemetery and Crematorium
- Stanwix Cemetery
- Upperby Cemetery

Carlisle Cemetery  
and Crematorium



Stanwix Cemetery



Upperby Cemetery





## **Appendix 04: Current lanes with gates**

### **Cathedral and Castle:**

- 1) 12- 30D Edward St 27-31 Grey St 1-23 Flower St 4a-6a Close St.
- 2) 2A – 16 Flower St 5-25 Grey St
- 3) 2-50a Sybil St 5-55 Linton St
- 4) 16-78 Brook St 2-4 Watson St 1a-69 Alexander St 85-95 London Rd
- 5) 27-57 Flower St 36-64 Edward St 18-24 Grey St 17-23 Orchard St
- 6) 35-79 Howe St 16-60 Bowman St 28-30 Grey St 49-51 Brook St
- 7) 33-51 Edward St 20-36 Howe St
- 8) 1-27 Orfeur St 1-12 South Henry St (Myddleton Terr') 2-14 Myddleton St
- 9) 1-2 Edward St (Roseville Terr') 38-54 Howe St Watt House/Flats Grey St

### **Newtown and Morton North**

- 1) 71-81 Wigton Rd 2-54 Crummock St 1-49 Bassenthwaite St
- 2) 71-99 Crummock St 29-47 Dowbeck Rd
- 3) 4-30 Bassenthwaite St 1-27 Derwent St

### **Currock and Upperby**

- 1) 1-41 Blackwell Rd 2-60 Gloucester Rd
- 2) 1-37 Clementina Terr' 60-98 Harrison St
- 3) 2a-40 Clementina Terr' 43-85a Blackwell Rd 1-5 Salisbury Rd
- 4) 1-19 Adelphi Terr' 40-60 Currock Rd 1-9 Coney St
- 5) 1-45 Esther St 1-47 Harrison St
- 6) 1-3 Robinson Ave 2-22 Tithebarn St 1-33 Boundary Rd 2-4 Salisbury Rd
- 7) 86-106 Mount Pleasant Rd 299-307 Blackwell Rd

### **Denton Holme and Morton South**

- 1) 1-25 Clifton St 51-65 Nelson St
- 2) 2-30 Clifton St 3-29 St James Rd 67-81 Nelson St
- 3) 83-99 Nelson St 1-15 Empire Rd 37-53 Dalston Rd 2-10 St James Rd
- 4) 50-84 Nelson S 25-31 Blencowe St 46-80 Trafalgar St
- 5) 1-35 North St 2-22 Bridge Terr'
- 6) 33-57 Norfolk St 1-35 Richardson St
- 7) 34 – 52 Dalston Rd



# Report to Executive

Agenda  
Item:

**A.6**

Meeting Date: 14<sup>th</sup> December 2020

Portfolio:

Key Decision: YES

Within Policy and  
Budget Framework NO

Public / Private Public

Title: Air Quality Action Plan Consultation and adoption

Report of: Corporate Director of Governance and Regulatory Services

Report Number: GD. 60/20

## Purpose / Summary:

The purpose of this report is to put forward a summary of the Local Authorities Air Quality Action Plan, whilst also undertaking consultation with key stakeholders.

## Recommendations:

It is requested that the Executive agree to the measures recommended in the Air Quality Action Plan.

The recommended key measures have been identified in conjunction with the key partners, so we are able to deliver improvements to Nitrogen Dioxide concentrations in the Air Quality Management Areas. Government guidance requires local authorities to have regard to the cost effectiveness and feasibility of measures in their Air Quality Action Plans.

## Tracking

Executive:	14 <sup>th</sup> December 2020
Overview and Scrutiny:	
Council:	

## 1. BACKGROUND INFORMATION AND OPTIONS

- 1.1 Local authorities have historically had a major role to play in improving air quality. The Environment Act 1995 extended the responsibilities of local authorities to actively review and assess potential concentrations and sources of the main air quality pollutants. Carlisle City Council's Environmental Health service undertakes the review and assessment process and publishes the reports on the website:  
[http://www.carlisle.gov.uk/environment\\_and\\_waste/environmental\\_health/air\\_quality/air\\_quality\\_documents.aspx](http://www.carlisle.gov.uk/environment_and_waste/environmental_health/air_quality/air_quality_documents.aspx)
- 1.2 Further to these review and assessments five "Air Quality Management Areas" (AQMA's) were declared due to excessive annual average concentrations of Nitrogen Dioxide (NO<sub>2</sub>) from motor vehicle exhausts. This has been subsequently reduced to 3 AQMA's due to ongoing air quality improvements. NO<sub>2</sub> is a respiratory irritant and can particularly affect those who are already suffering from respiratory conditions such as asthma. Reactions between pollutants in the atmosphere can also lead to changes in concentrations of other gasses, such as ozone (O<sub>3</sub>).
- 1.3 After declaring an Air Quality Management Area the council is obliged to produce an Action Plan that sets out the measures that it, and its partners, intends to take to reduce NO<sub>2</sub> concentrations.
- 1.4 Defra's Policy Guidance details the content and consultation required for Air Quality Action Plans. This report relates to the latest Action Plan which has been produced in partnership with Ricardo. Ricardo are specialist consultants that provide expert advice to Local Authorities on environmental matters. Ricardo have undertaken detailed traffic modelling to identify the best way to achieve compliance in AQMA 4 (Bridge street), this is currently the only area of the city with levels of NO<sub>2</sub> which exceed the government objective levels.
- 1.5 The new Action Plan replaces the revised action plan from 2012. The Action Plan discusses the likely causes of high NO<sub>2</sub> concentrations (traffic congestion and heavy-duty vehicles) and details 12 local measures which are expected to reduce these concentrations over the next five years. The full report can be viewed at:  
<http://www.carlisle.gov.uk>. A summary table is also contained in Appendix 1 of this report
- 1.6 Although as the lead authority, some measures will involve partnership working to raise awareness of how community actions influence air quality and also in encouraging alternative modes of transport.

- 1.7 The City Council must consult on its Air Quality Action Plan after it has been developed with relevant key players such as transport planners, the Environment Agency and the Highways Agency. It is recommended that the consultation exercise should last for 6 weeks to run alongside the executive decision.
- 1.8 As the three Air Quality Management Areas are in 3 different three city wards, and the 12 measures relate specifically to improving air quality within those wards, the Action Plan is a key decision for the Executive. It is requested that the Executive agree to the measures recommended in the Air Quality Action Plan.
- 1.9 The report also contains an update of the planning procedures on air quality impact assessments and when they are likely to be required, this will support the Planning Officers role and inform Developers at the onset on what will be required with the most up to date advice and guidance. This will enable the Officers to add greater clarity and consistency in the decision-making process. This is appendix c of the main report.

## **2. CONSULTATION**

- 2.1. The consultation process will involve sending the draft Action Plan to the County and City Council officers involved in its development, as well as other key stakeholders. The Action Plan is available for public consultation on the City Councils website and comments are invited using the Environmental Health Mailbox or by writing to the department.
- 2.2 The 6-week consultation period for the Draft Plan is proposed to end 11<sup>th</sup> January 2021. The final version of the document will then be submitted to Defra, following formal approval from the council's executive panel.

## **3. RISKS**

- 3.1 In order to comply with the legislative requirements and the management of the AQMA we need to have an adopted Action Plan, without this in place we risk a legal challenge.

## **4. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

- 4.1 The revised action plan will be formally consulted upon as a draft, with the final version to be adopted by the Executive after a period of consultation.
- 4.2 The update in Appendix C of the main report featured online, will replace the previous 'Air Quality and Land Use Planning' guidance document, which was produced in 2006 and is now out of date.

**Contact Officer: Amelia Morphet**

**Ext: 7341**

**Appendices Appendix 1 Action Plan Measures  
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:**

**Finance** – The Air Quality Action Plan will be delivered within existing budget resources

**Equality** – No Equality comments

**LEGAL** – Section 82 of the Environment Act 1995 provides that every local authority shall review the air quality within its area. Section 83 requires local authorities to designate air quality action areas where air quality objectives are not being achieved. Section 84 requires a local authority to carry out an assessment and then develop an Action Plan for the air quality management area. Where the Secretary of State is not satisfied that an authority has adequately discharged its duties, he may issue a direction to the authority under section 85 requiring it to prepare an action plan, or to modify an existing action plan.

**PROPERTY SERVICES** – No Property comments

**INFORMATION GOVERNANCE** – The consultation literature should include relevant privacy notice information to ensure individuals are informed of the processing of their personal information and their contributions.



## APPENDIX 1. Action Plan measures.

Measure No.	Measure	EU Category	EU Classification	Lead Authority	Planning Phase	Implementation Phase	Key Performance Indicator	Target Pollution Reduction in the AQMA	Progress to Date	Estimated Completion Date	Comments
1	Construction of the new Carlisle bypass extension to the south of the city. Monitor the air quality impacts of the 'Carlisle Northern Development Route' and the proposed bypass extension.	Traffic Management	Other	Cumbria County Council & Carlisle City Council	Complete	2007-2012.	Reduced NO2 levels at monitoring locations and within AQMA's.	Potential for significant improvement in NO2 levels across the city centre.	CNDR is operational. Monitoring at receptors on new road revealed consistently low NO2 levels. Further evidence of NO2 improvements and traffic reduction in the city centre. Several new cycle links from arterial routes to CNDR complete. Plans for future improvements. Environmental Health have provided a consultation response in relation to the new bypass and have requested that an Air Quality Impact Assessment is carried out.	Ongoing	Plans being developed for the 'Southern Bypass' as part of the Garden Village project This would extend the existing CNDR and link both ends of the bypass to the M6 Motorway, around the City Centre. The southern bypass project is now in the procurement stage and it is expected that works will begin in the next few years.
2	Effective traffic management measures will be implemented to improve traffic flow on the existing road network and in new developments.	Traffic Management	UTC, Congestion management, traffic reduction	Cumbria County Council & Carlisle City Council	Ongoing	Ongoing	Reduced NO2 levels and standing traffic within AQMA's.	Modelling undertaken at AQMA 4 indicates that a 2.7% reduction in NOx would achieve compliance.	Completed works on pedestrian crossing on Castle Way incorporating Smart Signalling from the main Hardwicke Circus roundabout. Traffic modelling has shown that emissions from diesel vehicles dominate emissions Emissions factor toolkit has been used to show increased traffic speeds would reduce oxide of nitrogen emissions within Bridge Street. Work will continue to improve traffic management in this area.	Ongoing.	Such projects require significant investment.
3	Environmental Health will work alongside the Planning Department to minimise the air quality impacts of new developments.	Policy Guidance and Development Control	Air Quality Planning and Policy Guidance	Carlisle City Council	Ongoing	Ongoing	Effective links between EH and Planning officers. AQIA's submitted where necessary. Early consultation with applicants.	Not calculated	Environmental Health is consulted on all proposed developments which may impact on air quality. Responses are aimed at minimising AQ impacts. This includes large residential developments. Recommendations made for car charging points on all new residential properties with parking/garage provision.	Ongoing	Environmental Health comment on all potentially polluting developments. The outcome depends on Planning Department and current policy



4	Improvements to passenger transport infrastructure. Sustainable transport will be integrated into major new developments	Transport Planning and Infrastructure	Bus route improvements	Cumbria County Council	Ongoing	Ongoing	Improved bus service. Increased use of transport provided. Reduced NO2 along main routes	Not calculated	Ongoing improvements to bus services with new shelters and raised kerbs. Plans for large new housing developments include public transport provision and/or sustainable transport options.	Ongoing	Success is dependent on public uptake of sustainable transport options. No real control over the improvement of vehicle fleet.
5	Cycling and walking will be encouraged. Implement new and improved pedestrian and cycle links	Transport Planning and Infrastructure	Cycle network	Cumbria County Council	Ongoing	Ongoing	Completion of proposed works and ongoing improvement of the cycle and pedestrian route network.	Not calculated	<p>The pedestrian crossing on Castle way incorporating Smart Signalling is complete. Pedestrian/cycle bridge connecting Currock and Denton Holme, over the railway line are complete.</p> <p>Plans still being developed for a new cycle/footway connecting Etterby area in the north of the city to the west. This will utilise an existing disused railway bridge, over the river Eden.</p> <p>Ongoing applications for government funding for schemes that aim to improve the existing cycleways, creating new sections of cycle track. Extensive plans to increase the cycle path network are now in place.</p>	Ongoing	<p>Ongoing plans associated with improved pedestrian and cycle connections to the CNDR.</p> <p>Funding required to accelerate major improvements.</p>
6	Travel plans will be required for all new developments that meet the criteria. Existing businesses will be encouraged to implement, monitor and review travel plans.	Promoting Travel Alternatives	Workplace Travel Planning	Cumbria County Council & Carlisle City Council	Ongoing	Ongoing	Increased number of participant businesses and more widespread use of alternative transport.	Not calculated	All schools within the city now have travel plans. New developments likely to result in increased highway usage must submit a travel plan for approval when making an application.	Ongoing	Difficult to quantify the impact of Travel Plans.
7	The City Council will continue to provide comprehensive environmental control over emissions from all Part A2 and B Processes located within the local authority area.	Environmental Permits	Other measure through permit systems and economic instruments	Carlisle City Council	Ongoing	Ongoing	Risk based inspections showing that emission limits are being met and efforts are being made to improve on national objectives.	Not calculated	All processes which fall under part B & A2 processes are permitted by Carlisle CC. There were 3 A2 and 41 part B processes in 2019. No recent enforcement action required during 2019 in relation to emissions.	Ongoing	No new major polluting processes in Carlisle

8	The City Council will continue to investigate complaints of black smoke and smoke nuisance as well as managing smokeless zones. Enforcement action will be taken as necessary.	Public Information	Other	Carlisle City Council	Ongoing	Ongoing	Reduction in the number of complaints from members of the public. Reduction in repeat offences.	Not calculated	<p>There is information on our website. An advice leaflet has been produced in relation to garden bonfires.</p> <p>Environmental Health provide advice and enforcement as required. Smoke complaints are responded to involving domestic fires, bonfires, burning of trade waste, industrial and dark smoke. 47 complaints specifically relating to Domestic burning, bonfires and burning of trade waste during 2019.</p> <p>Increase in enquiries and uptake of log burners and multi fuel stoves. Advice given to minimise potential for smoke issues and ensure compliance with smokeless zones.</p>	Ongoing	The Air Quality Strategy set out a goal to cut public exposure to particulate matter pollution. The aim is to reduce by half the number of people in the United Kingdom exposed to the WHO guideline concentration of 10 µg m <sup>-3</sup> by 2025. The measures set out here will contribute to this target.
9	Provision of home improvement grants and energy saving advice to the public.	Public Information	Other	Carlisle City Council	Ongoing	Ongoing	Number of properties taking up schemes, resulting in Improved energy efficiency of housing stock.	Cumbria Warm Homes Project (CWWP) delivered a reduction of 317296 lifetime carbon tonnes.	<p>Carlisle CC Home Improvement Agency is currently delivering Health through Warmth Scheme, supported by the Energy Companies Obligation. This includes boiler upgrades and home insulation. Safe and warm grants are provided by the council to deliver up to £7,500 to enable low income homes to carry out minor repairs and energy efficiency measures to their homes. Work has begun on enforcing the Minimum Energy Efficiency Standards, specifically aimed at private rented sector properties.</p> <p>New energy efficiency grants are now available up to £3000 through council grant scheme.</p>	Ongoing	Carlisle CC have now revised Housing Renewal Assistance Policy under the Regulatory Reform Order 2002. This covers all grants involving housing and energy efficiency measures.
10	Environmental Health will work alongside the Neighbourhoods and Green Spaces team to implement the effective use of trees and green areas to offset traffic derived emissions.	Public Information	Other	Cumbria County Council & Carlisle City Council	Ongoing	Ongoing	Increase in trees and vegetation in visible locations. Increased public interest.	Not calculated	<p>Carlisle City Council continues to manage and maintain trees in parks and green spaces, including some additional planting, of mainly mixed broadleaf species, where necessary. Planting of green areas is an essential part of many new developments, including residential.</p>	Ongoing	Limitations to planting options in busy urban areas. Parks and open spaces do not have significant air quality issues. Green Spaces continue to have a positive public impact.

11	Air Quality considerations to be included in all relevant City and County Council policies and strategies.	Policy Guidance and Development Control	Air Quality Planning and Policy Guidance	Cumbria County Council & Carlisle City Council	Ongoing	Ongoing	Increased awareness of air quality issues and consideration given by more council departments.	Not calculated	Included air quality links within most major relevant policies including Local Transport Plan (LTP 3) (2011-26) and The Carlisle District Local Plan (2015-30). New schemes being developed to deliver improved cycling routes and vehicle charging infrastructure. The draft 'Carlisle Local Environment (Climate Change) Strategy' is now in the public consultation phase.	Ongoing	Air Quality considerations are put forward during discussion and consultation stages of policy development.
12	Promotion of air quality and sustainable transport issues. Air quality information and monitoring data will be provided to the public.	Public Information	via the Internet	Carlisle City Council/ PH	Ongoing	Work closely with DPH and multi-agency partners to raise awareness and AQ issues	Increased public awareness and participation in improving air quality.	Not calculated	Air quality info and real time monitoring data is available on the website. Monitoring data shows continued improvement in most areas. Carlisle CC is actively supporting and promoting Clean Air Day, utilising Social Media and our website, as part of the Global Action Plan. Cumbria's bid for £2.5 million of National Lottery funding to cut carbon emissions in the county has been successful. The project aims to raise ambition to tackle climate change and sharing learning and resources. The public will be able to influence and drive climate action through citizens' juries and other projects, with community groups steering the programme.	Ongoing	Difficult to quantify improvements as a direct result of promotional work or providing monitoring data.



## Executive

Agenda  
Item:

**A.7**

Meeting Date: 14 December 2020  
Portfolio: Economy, Enterprise and Housing  
Key Decision: Yes  
Within Policy and Budget Framework No  
Public / Private Public

Title: St Cuthbert's Garden Village Masterplan Framework  
Report of: Corporate Director of Economic Development  
Report Number: ED 50/20

### Purpose / Summary:

To apprise the Executive of the finalised Masterplan Framework for St Cuthbert's Garden Village and receive Executive approval to its content.

### Recommendations:

Executive is asked to:

1. Agree the finalised St Cuthbert's Village Masterplan Framework (contained in Appendices 1 to 3) as evidence to inform the emerging St Cuthbert's Garden Village Local Plan.

### Tracking

Executive:	
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## 1. BACKGROUND

- 1.1** The adopted Carlisle District Local Plan laid the foundations for St Cuthbert's Garden Village (SCGV). It identified the broad area to the south of the City for a major housing led mixed-use development. This was subsequently accepted into the Government's Garden Villages, Towns and Cities Programme in January 2017.
- 1.2** As a Garden Village, it is expected that St Cuthbert's should be a unique and high-quality development, with three high level aims:
- The delivery of high quality homes and jobs needed in the area over the long term to enable the growth ambitions of Carlisle and the Borderlands;
  - The comprehensive provision of infrastructure for transport and telecommunications, education, health, community and cultural infrastructure required to create sustainable communities; and
  - Ensuring the creation of quality places including the conservation and enhancement of the natural and historic environment, including landscape, together with an effective long-term approach to local stewardship.
- 1.3** Project governance was established in May 2017 and identified four key workstreams: Masterplanning; Plan Making; Carlisle Southern Link Road; and Delivery.
- 1.4** Preparation and completion of the Masterplanning workstream has been delivered in two stages. **Stage 1** developed concept proposals and built the vision for SCGV which concluded in early 2019 following extensive public consultation.
- 1.5** **Stage 2** which is the subject of this Report has now concluded. Drawing from Stage 1, the Masterplan Framework for SCGV provides the technical detail such as the identification and selection of potential site allocations and land use designations as well as detailed strategic drainage, movement and green infrastructure frameworks. Stage 2 was completed over several phases which delivered a baseline report, a range of technical information and the development and testing of options.
- 1.6** Robust and ongoing public and stakeholder engagement has underpinned and informed both Stages of the masterplanning process. This included a widespread public and stakeholder engagement on draft options between September and October 2019 and technical stakeholder engagement during the summer of 2020.
- 1.7** The Masterplan Framework comprises three documents: the main Masterplan Framework including detailed framework plans (Appendix 1); an Infrastructure Schedule (Appendix 2); and Design Guidance (Appendix 3).

## 2 THE FINALISED MASTERPLAN FRAMEWORK (APPENDIX 1)

### 2.1 The Scale and Distribution of Development

**2.2** The Masterplan Framework appraised several spatial alternatives for the distribution of homes, jobs and community infrastructure. This took account: landscaping (such as topography and physical features); the need to retain a village-like character; sustainable mobility (prioritising walking cycling and public transport to new local centres, schools and services); and provision of a range of housing densities and usable open spaces and green infrastructure. The Masterplan Framework recommends the following broad distribution of development across the lifetime of the project, but broken down into five phases:

	Durdar	Edge of Carlisle	Carleton	Cummersdale	Total
Approx no. of homes	7,150	500	1,700	975	10,325
Av. Density per ha	32	25	30	22	
Commercial	44,000sqm	-	1,000sqm	975sqm	46,000sqm
Primary schools	3 no. 2FE	-	1no. 1FE	1no. 1FE	5
Secondary Schools	1 no. 10FE	-	-	-	1

**2.3** **Cummersdale:** would retain its rural character with lower housing densities to reflect its historic character and retain views to the Lake District. A green buffer would lie between the southern edge of the existing village and the new development would be required to preserve views of the chimney to the east. Open space on the western edge of the existing village would build upon the 'Start with the Park' principle and create a gathering space for both new and existing residents. New shared facilities, including a primary school, local shops, health facilities and amenities would also provide an additional focal point.

**2.4** **Durdar:** would be the largest of the villages acting as main 'district centre' and public transport hub for local communities. Facilities would be clustered around a neighbourhood square with a secondary and primary school, shops, health and community facilities which would also provide the focus for new employment. It would provide for a wider range of house types with higher densities focussed in and around the local and neighbourhood centres. The Masterplan Framework notes that careful consideration would be required where Durdar meets the existing urban edge of Carlisle and proposes that new development to the south of Ascot Way would frame an area of green open space at the core of this neighbourhood, connecting to Newman School and Blackwell Common and creating a view corridor towards Cannock Hill, forming a key green gateway into the Garden Village.

- 2.5 Carleton:** would provide the opportunity for further growth to create a new shared local centre with a primary school, local shops, health and community facilities. This local centre with open greenspaces at its core, would be accessible and visible from multiple viewpoints. Green corridors would preserve distant views and would incorporate high quality planting. A network of greenspaces would connect to the River Petteril and the proposed 'Greenway' discussed below.
- 2.6 Green and Blue Green Infrastructure**
- 2.7** The Masterplan Framework acknowledges that high quality, accessible and interconnected green and blue infrastructure is fundamental to SCGV with regards to healthy living; providing opportunities for active travel, recreation and culture; addressing climate change; and creating opportunities to retain and enhance biodiversity. The green and blue infrastructure would therefore provide a coordinated network of multi-functional and accessible spaces.
- 2.8 Open Spaces:** would include playing pitches, natural and semi-natural spaces, allotments, parks and gardens, and play areas.
- 2.9 Sustainable Drainage Solutions:** would play an integral role to manage surface water runoff, flooding and pollution and a drainage strategy is proposed for the site.
- 2.10 The Greenway:** would comprise a multi-use area of up to 100m in width joining the three villages and creating links into Carlisle. This would be a planted, car free space and incorporate sports pitches, play areas, resting points and event spaces. It would be a key placemaking feature for the entire SCGV and is fundamental to the 'Start with the Park' principle.
- 2.11 Ecology:** building upon the emerging statutory requirement for new development to provide a minimum net gain in biodiversity of 10%, the Masterplan Framework seeks habitat restoration alongside the creation of new biodiversity assets. This equates to some 93ha of habitat retention/enhancement and 5.10km of hedgerow enhancement. In addition, the Masterplan Framework identifies some 94ha of potential new habitat creation for new areas of woodland, grassland and reedbeds.
- 2.12 Urban Design**
- 2.13** Under this theme, the Masterplan Framework places great importance on making the most of key gateways, landmarks and features such as the Racecourse,



Cummersdale's industrial heritage, Cammock Hill and those points where the proposed Greenway crosses roads and the River Caldw.

- 2.14** It details the treatment of built edges between the new and existing built up areas (including the Carlisle South Link Road) that would serve as multi-functional buffers in terms of noise and visual mitigation, providing meeting spaces and opportunities for informal recreation. It recognises the changing topography and the need to design future development (in terms of building heights) to minimise visual impacts and optimise views and long distance vistas.

## **2.15 Movement and Access**

- 2.16** The Masterplan Framework utilises delivery of the Carlisle Southern Link Road to provide direct vehicular access into SCGV from the south and to relieve traffic flows from existing radial corridors north of the Garden Village into the City Centre. This would allow public transport, walking and cycling to be promoted as the primary modes of transport both within the Garden Village and externally.

- 2.17** The Masterplan Framework sets out a range of key components, including:
- Enabling active and sustainable travel as the primary transport mode to/from and through the Garden Village;
  - Strategic east-west connectivity utilising the proposed 'Greenway' linking up the Garden Villages and connecting to existing communities;
  - The development of active neighbourhoods across the Garden Village;
  - Mobility hubs integrated within local centres providing a range of transport interchange facilities;
  - Delivery of north-south corridors that enable sustainable transport modes;
  - Improving connectivity to and from the City Centre by sustainable transport modes; and
  - Delivering supporting infrastructure across the Garden Village to support residents in making sustainable transport choices.

## **2.18 Sustainability**

- 2.19** To ensure the Masterplan Framework delivers against the overarching vision and provides environmental, social and economic benefits to the locality, a sustainability strategy describes how SCGV would be developed in a sustainable manner. It draws on a number of key aspects including: embedding energy efficiency and low carbon initiatives into the design, layout and construction of new buildings; sustainable and active travel; and drainage.

## **2.20 Phasing of Development**

- 2.21** Informed by the technical studies and consultations with infrastructure providers and landowners, the final limb of the Masterplan Framework sets out an indicative phasing strategy to deliver SCGV. Whilst further considerations need to be taken into account (principally regarding development viability), it suggests early phasing should: focus on expanding current settlements; utilise existing infrastructure capacity in the early phases, whilst ensuring any new development contributes to strategic wide infrastructure; and ensure the quality standard is high for future development phases to follow. This first phase would be focused around Carleton, Cummersdale and the southern edge of Carlisle

## **3 SUMMARY OF THE INFRASTRUCTURE SCHEDULE (APPENDIX 2)**

- 3.1** The Infrastructure Schedule summarises the strategic infrastructure required to deliver the phased delivery set within Masterplan Framework. It draws from infrastructure requirements that have been gathered throughout the Masterplan Framework process, as well as information provided by the District and County Councils, key stakeholders and infrastructure providers. It details the provisional infrastructure requirements including:
- Community (eg primary and secondary education, health and community facilities);
  - Transport (eg on and off-site highway requirements, footways and cycleways);
  - Green (eg open space, playing pitches and ecological mitigation);
  - Drainage; and
  - Utilities.
- 3.2** The Infrastructure schedule provides a snapshot in time based on the best available information. Infrastructure requirements will however change in the short, medium and long term and will be influenced by development viability. As far as possible, the Infrastructure Schedule has sought to determine the trigger points and the costs of delivering the respective infrastructure.

## **4. SUMMARY OF THE DESIGN GUIDANCE (APPENDIX 3)**

- 4.1** The Design Guidance draws from the nine SCGV principles and placemaking drivers set out within the Masterplan Framework to inform the following parameters:
- A landscape approach that highlights a series of north-south green fingers that follow the natural valleys, surface water flows, and low-lying topographies;

- A distinctive village-like character;
- A variety of residential densities to bring distinctive characters;
- A variety of usable open spaces and green infrastructure features;
- A sustainable mobility approach with a focus in promoting walking and cycling.

**4.2** A key feature of the Design Guidance has been to set bespoke design principles for Cummersdale, Carleton and Durdar. Each village is sub-divided into more specific 'character areas' which have a recognisable and coherent identity and share a set of design elements and qualitative characteristics. It then provides a brief narrative description of each character area and key features to be considered to inform more detailed guidance or designs within the relevant character area.

## **5. ROLE AND STATUS OF THE MASTERPLAN FRAMEWORK**

**5.1** The suite of Masterplan Framework documents comprises part of the evidence base which has been used to inform the preparation of the St Cuthbert's Local Plan Preferred Options and the draft Strategic Design Supplementary Planning Document (SPD) considered by Executive in November 2020 (ED 39/20). The Masterplan Framework also sits alongside a wider suite of existing evidence which has also been used to inform the draft Local Plan policies.

## **6. RISKS**

**6.1** A dedicated risk register is kept and regularly reviewed as part of the overall project management approach. The main risk continues to be centred on the availability of adequate resourcing (in terms of both staff time and budgetary provision) for undertaking the technical work and further engagement needed to maintain momentum and progress of each of the key project strands.

**6.2** The overriding risk is that a failure to plan for the growth of SCGV would result in growth occurring to the south of the city in a much more fragmented and incremental nature. This would prejudice the delivery of the necessary infrastructure needed to support new communities; impact on the sustainability and overall quality of place; undermine strategic ambitions; and risk not delivering the mix of development needed nor at the pace required.

## **7 CONSULTATION**

- 7.1** Progress to date has been underpinned by robust, extensive and innovative engagement with this having added clear value to the vision and concept proposals, and options plans for the Garden Village. This has included community engagement, dialogue with key stakeholders including infrastructure providers, dialogue and facilitated sessions with the local Parish Councils and with Members including via the dedicated Members' Advisory Group. In addition, there is an ongoing dialogue with all the key landowners within the area.
- 7.2** The most recent consultation in Autumn of last year on the options plans for the Masterplan Framework saw a wide range of community drop in events in a variety of locations throughout the area together with more focussed stakeholder and landowner workshops. The feedback report from this stage has been published and is available on our web site. Covid restrictions led to a more focussed consultation in Summer 2020 with technical stakeholders such as United Utilities, the Environment Agency, Natural England and departments within the City and County Council.

## **8. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

- 8.1** Progress remains on track to deliver the key components that will support the delivery of St Cuthbert's Garden Village. The suite of Masterplanning Framework documents comprise a significant part of the evidence base which has been used to inform the emerging Local Plan for the Garden Village which warrants scrutiny and endorsement by the Executive. It is an obligation of the HIF funding agreement that the Masterplan Framework is finalised and it is therefore important that the programme of work leading to the adoption of the emerging Local Plan remains on track.

## **9 CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

- 9.1** St Cuthbert's Garden Village will have a significant influence in terms of shaping how Carlisle will grow and function long into the future. Accordingly, it will have a significant, direct and positive impact on a number of Carlisle Plan priorities including:
- *“supporting the growth of more high quality and sustainable business and employment opportunities”* – through identifying new sites for development and opportunities to better balance the local economy;
  - *“addressing Carlisle's current and future housing needs”* – through being the single largest development site and therefore contributor to supply across the latter stages

of the current Local Plan period and much of the next one, including affordable and specialist housing;

- *“working more effectively with partners to achieve the City Council’s priorities”* – through recognition that the scale of the project requires the input, commitment and direct support of a wide array of stakeholders and partner agencies.

**Contact Officer:** Neil Cole **Ext:** 7191

**Appendices attached to report:** Appendix 1: St Cuthbert’s Garden Village Masterplan Framework  
<https://www.stcuthbertsgv.co.uk/MASTERPLAN/MASTERPLAN-Stage-2>  
Appendix 2: St Cuthbert’s Garden Village Masterplan Framework – Infrastructure Schedule  
<https://www.stcuthbertsgv.co.uk/MASTERPLAN>  
Appendix 3: St Cuthbert’s Garden Village Masterplan Framework – Design Guidance  
<https://www.stcuthbertsgv.co.uk/MASTERPLAN>

**Note:** in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:

- ED 17/17 Report to Executive – St Cuthbert’s Garden Village
- ED 06/19 Report to Executive – St Cuthbert’s Garden Village Key Next Steps
- ED 28/19 Report to EGSP St Cuthbert’s Garden Village Progress Update
- ED 17/20 Report to Leader – Key Next Steps
- ED39/20 Report to Executive on St Cuthbert’s Garden Village Local Plan consultation

## **CORPORATE IMPLICATIONS:**

**LEGAL** – The Local Plan requires a St Cuthbert’s Garden Village Masterplan as a Development Plan Document and the framework document is produced to inform the said Local Plan document. Article 4 of the Council’s Constitution and the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 require that approval of Development Plan Documents is a matter for Council. The Executive may deal with other matters which are not classed as DPDs.

**PROPERTY SERVICES** – There are no direct Property Services implications with this report.

**FINANCE** – Approval of the St Cuthbert's Garden Village Masterplan Framework has no explicit financial implications; however, approval of the Masterplan is a key milestone contained within the Collaboration Agreement and could trigger a potential claim under clause 10 of said agreement if is not approved within the agreed deadlines. Members are reminded that there is a £5million indemnity cap which may be triggered if the City Council defaults on its obligations and milestones.

**EQUALITY** – A desktop Equality Impact Assessment of the Masterplan will be completed.

**INFORMATION GOVERNANCE** – There are no information governance implications with this report.



# **NOTICE OF EXECUTIVE KEY DECISIONS**

**13 November 2020**

## Notice of Key Decisions

This document provides information on the 'key decisions' to be taken by the Executive within the next 28 days. The Notice will be updated on a monthly basis and sets out:

- Details of the key decisions which are to be taken;
- Dates of the Executive meetings at which decisions will be taken;
- Details of who will be consulted and dates for consultation;
- Reports and background papers which will be considered during the decision making process;
- Details of who to contact if further information is required
- Details of where the document can be inspected
- Details of items which the public may be excluded from the meeting under regulation 4(2) and the reason why
- Details of documents relating to the decision which need not, because of regulation 20(3) be disclosed to the public and the reason why.

The dates on which each new Notice will be published are set below:

### Publication Dates

6 March 2020	14 August 2020
24 April 2020	11 September 2020
22 May 2020	9 October 2020
19 June 2020	13 November 2020
17 July 2020	14 December 2020

Key decisions are taken by the City Council's Executive and these are usually open to the public. Agendas and reports and any other documents relevant to the decision which may be submitted can be viewed in the Customer Contact Centre at the Civic Centre, Carlisle or on the City Council's website ([www.carlisle.gov.uk](http://www.carlisle.gov.uk)). Agendas and reports are published one week ahead of the meeting.

A Key Decision is an Executive decision which is likely –

- (a) to result in the relevant local authority incurring expenditure which is, or the making of savings which are, significant\* having regard to the local authority's budget for the service or function to which the decision relates;
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the relevant local authority.

\*significant expenditure or savings to the authority in excess of £70,000

The City Council's Executive Members are:

Councillor J Mallinson (Leader / Chairman)  
Councillor G Ellis (Deputy Leader, and Finance, Governance and Resources Portfolio Holder)  
Councillor N Christian (Environment and Transport Portfolio Holder)  
Councillor S Higgs (Culture, Heritage and Leisure Portfolio Holder)  
Councillor Mrs Mallinson (Communities, Health and Wellbeing Portfolio Holder)  
Councillor P Nedved (Economy, Enterprise and Housing Portfolio Holder)

Should you wish to make any representations in relation to the items being held in private or If you require further information regarding this notice please contact Democratic Services on 01228 817039 or [committeeservices@carlisle.gov.uk](mailto:committeeservices@carlisle.gov.uk).



## **Index of Active Key Decisions**

		Date Decision to be considered:	Date Decision to be taken:
KD.07/20	Homelessness and Rough Sleeping Strategy 2021-2026	13 January 2021 consultation period to include Overview and Scrutiny as appropriate	8 February 2021
KD.24/20	Tullie House Business Plan	12 October 2020 consultation period to include Overview and Scrutiny as appropriate	14 December 2020
KD.25/20	Budget Process 2021/22 – 2025/26	9 November 2020 (EX.122/20 - EX130/20), 7 December 2020, 14 December 2020, 13 January 2021	9 November 2020, 7 December 2020, 14 December 2020, 13 January 2021
KD.26/20	Bitts Park Interactive Water Feature – release of insurance settlement funds for flood damage reinstatement to the capital programme.		14 December 2020
KD.27/20	Review of Public Space Protection Orders	14 December 2020 consultation period to include Overview and Scrutiny as appropriate	8 February 2021
KD.28/20	St Cuthbert's Garden Village Local Plan – preferred option consultation	9 November 2020 consultation period to include Overview and Scrutiny as appropriate (EX.131/20)	13 January 2021

## **Index of Active Key Decisions**

		Date Decision to be considered:	Date Decision to be taken:
KD.29/20	Carlisle Station Gateway – Phase 1		14 December 2020
KD.30/20	Towns Fund Capital Accelerated Fund		14 December 2020
KD.31/20	Local Air Quality Action Plan Consultation and Agreement	14 December 2020 consultation period to include Overview and Scrutiny as appropriate	8 February 2021
KD.32/20	Local Government Reorganisation – Approval of Carlisle City Council's Submission		7 December 2020
KD.33/20	St Cuthbert's Garden Village Masterplan Framework		14 December 2020

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.07/20
Type of Decision:	Executive
Decision Title:	Homelessness and Rough Sleeping Strategy 2021-2026
Decision to be taken:	The Executive will be asked to support the strategic priorities identified as part of a statutory review and consultation process; targeting Homelessness and Rough Sleeping in Carlisle from 2021 to 2026.
Date Decision to be considered:	13 January 2021 consultation period to include Overview and Scrutiny as appropriate
Date Decision to be taken:	8 February 2021
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Corporate Director of Governance and Regulatory Services will be available five working days before the meeting
Contact Officer for this Decision:	Corporate Director of Governance and Regulatory Services, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Economy, Enterprise and and Housing (Councillor Nedved)
Relevant or Lead Overview and Scrutiny Panel:	Health and Wellbeing Scrutiny Panel

All public reports can be viewed in the Customer Contact Centre of the Civic Centre, Carlisle, the Public Library and on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk).

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.24/20
Type of Decision:	Executive
Decision Title:	Tullie House Business Plan
Decision to be taken:	The Executive will be asked to consider the business plan and refer to Health & Wellbeing Scrutiny Panel prior to making recommendations to Council.
Date Decision to be considered:	12 October 2020 consultation period to include Overview and Scrutiny as appropriate
Date Decision to be taken:	14 December 2020
Is the Decision Public or Private?:	The decision will be taken in private. The report is not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 as the report contains exempt information relating to the financial or business affairs of any particular person (including the authority holding that information)
Documents submitted for consideration in relation to the Decision:	The report of the Deputy Chief Executive will be available five working days before the meeting
Contact Officer for this Decision:	Deputy Chief Executive, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Culture, Heritage and Leisure (Councillor Higgs)
Relevant or Lead Overview and Scrutiny Panel:	Health and Wellbeing Scrutiny Panel

All public reports can be viewed in the Customer Contact Centre of the Civic Centre, Carlisle, the Public Library and on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk).

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

## **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.25/20
Type of Decision:	Executive
Decision Title:	Budget Process 2021/22 – 2025/26
Decision to be taken:	<p>The Executive will be asked to:</p> <p>Consider strategic financial issues arising from the budget setting process:</p> <ul style="list-style-type: none"> <li>(a) Revenue Estimates including spending pressures, bids and savings (9th November 2020)</li> <li>(b) Individual Charges Reviews (9th November 2020)</li> <li>(c) Provisional Capital Programme including new spending proposals (9th November 2020)</li> <li>(d) Corporate Assets – Repair and Maintenance Programme (9th November 2020)</li> <li>(e) Treasury Management Base Estimates (9th November 2020)</li> <li>(f) Local Taxation (including CTRS) (9th November 2020)</li> <li>(g) Consideration of Scrutiny Consultation feedback (7th December 2020)</li> <li>(h) Draft Revenue Settlement Figures (if available) (14th December 2020)</li> <li>(i) Summary Revenue Budget (including decision on Business Rate Pooling) (14th December 2020)</li> <li>(j) Summary Capital Programme (if required) (14th December 2020)</li> <li>(k) Draft Treasury Management and Investment Strategy including MRP Strategy (14th December 2020)</li> <li>(l) Executive Draft Budget Proposals for consultation (14th December 2020)</li> <li>(m) Consideration of Final Budget Consultation (13th January 2021)</li> <li>(n) Draft Revenue Settlement Figures (if available) (13th January 2021)</li> <li>(o) Final Revenue Budget Summary (13th January 2021)</li> <li>(p) Provisional Capital Programme (13th January 2021)</li> <li>(q) Treasury Management and Investment Strategy including MRP Strategy (13th January 2021)</li> <li>(r) Executive's Final Budget Proposals (13th January 2021)</li> </ul>
Date Decision to be considered:	9 November 2020 (EX.122/20 - EX130/20), 7 December 2020, 14 December 2020, 13 January 2021
Date Decision to be taken:	9 November 2020, 7 December 2020, 14 December 2020, 13 January 2021
Is the Decision Public or Private?:	The decision will be taken in public.

Documents submitted for consideration in relation to the Decision:	<p>Budget Update – Revenue Estimates 2021/22 to 2025/26 (Report RD.30/20) on 9 November 2020</p> <p>Community Services (Report CS.30/20) on 9 November 2020</p> <p>Economic Development (Report ED.38/20) on 9 November 2020</p> <p>Governance and Regulatory Services (Report GD.48/20) on 9 November 2020</p> <p>Licensing (Report GD.54/20) on 9 November 2020</p> <p>Revised Capital Programme 2020/21 and Provisional Capital Programme 2021/22 to 2025/26 (Report RD.33/20) on 9 November 2020</p> <p>Treasury Management Quarter 2 2020/21 and Forecasts for 2021/22 to 2025/26 (Report RD.34/20) on 9 November 2020</p> <p>Local Taxation 2021/22 – 2025/26 (Report RD.35/20) on 9 November 2020</p>
Contact Officer for this Decision:	Corporate Director of Finance and Resources, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Finance, Governance and Resources (Councillor Ellis)
Relevant or Lead Overview and Scrutiny Panel:	<p>Business and Transformation Scrutiny Panel</p> <p>Economic Growth and Health &amp; wellbeing Scrutiny Panels for New Spending Proposals, Savings and Charges pertaining to their individual areas of responsibility.</p>

All public reports can be viewed in the Customer Contact Centre of the Civic Centre, Carlisle, the Public Library and on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk).

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.26/20
Type of Decision:	Executive
Decision Title:	Bitts Park Interactive Water Feature – release of insurance settlement funds for flood damage reinstatement to the capital programme.
Decision to be taken:	The Executive will be asked to approve the release of the full settlement of £73,591.50 received from the Council's insurers to the capital programme to allow progression of flood damage reinstatement works in readiness for Spring 2021.
Date Decision to be considered:	
Date Decision to be taken:	14 December 2020
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Deputy Chief Executive be available five working days before the meeting
Contact Officer for this Decision:	Deputy Chief Executive, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Communities, Health and Wellbeing (Councillor Mrs Mallinson)
Relevant or Lead Overview and Scrutiny Panel:	Health and Wellbeing Scrutiny Panel

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

## **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.27/20
Type of Decision:	Executive
Decision Title:	Review of Public Space Protection Orders
Decision to be taken:	<p>Local Authorities were granted powers to introduce Public Space Protection Orders (PSPO) in 2014 through section 59 of the Anti-Social Behaviour, Crime and Policing Act 2014. PSPOs replaced previous legislation and introduced wider discretionary powers to deal with nuisances or problems which harm the local community's quality of life. A PSPO needs to be reviewed every three years and the current Public Space Protection Order expires on the 21st March 2021</p> <p>An order is intended to ensure that people can use and enjoy public spaces, living safely from anti-social behaviour. An order will specify an area where activities are taking place that are detrimental to the quality of life of those in the area and can impose conditions and restrictions on people using the specified area.</p> <p>The Executive will be asked to approve the content of a new PSPO for the next three years following consultation with partners.</p>
Date Decision to be considered:	14 December 2020 consultation period to include Overview and Scrutiny as appropriate
Date Decision to be taken:	8 February 2021
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Deputy Chief Executive will be available five working days before the meeting
Contact Officer for this Decision:	Deputy Chief Executive, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Communities, Health and Wellbeing (Councillor Mrs Mallinson)
Relevant or Lead Overview and Scrutiny Panel:	Health and Wellbeing Scrutiny Panel



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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.28/20
Type of Decision:	Executive
Decision Title:	St Cuthbert's Garden Village Local Plan – preferred option consultation
Decision to be taken:	The Executive will be asked to approve the draft St Cuthbert's Local Plan policies for public consultation.
Date Decision to be considered:	9 November 2020 consultation period to include Overview and Scrutiny as appropriate (EX.131/20)
Date Decision to be taken:	13 January 2021
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	ED.39/20 - St Cuthbert's garden Village Local Plan Consultation on 9 November 2020
Contact Officer for this Decision:	Corporate Director of Economic Development, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Economy, Enterprise and and Housing (Councillor Nedved)
Relevant or Lead Overview and Scrutiny Panel:	Economic Growth Scrutiny Panel

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.29/20
Type of Decision:	Executive
Decision Title:	Carlisle Station Gateway – Phase 1
Decision to be taken:	The Executive will be asked to approve the business case for the improvements to Carlisle Railway Station that is being funded through the Borderlands Inclusive Growth Deal.
Date Decision to be considered:	
Date Decision to be taken:	14 December 2020
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Corporate Director of Economic Development will be available five working days before the meeting
Contact Officer for this Decision:	Corporate Director of Economic Development, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Leader
Relevant or Lead Overview and Scrutiny Panel:	Economic Growth Scrutiny Panel

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.30/20
Type of Decision:	Executive
Decision Title:	Towns Fund Capital Accelerated Fund
Decision to be taken:	The Executive will be asked to approve the acceptance and proposed use of the grant funding.
Date Decision to be considered:	
Date Decision to be taken:	14 December 2020
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Corporate Director of Economic Development will be available five working days before the meeting
Contact Officer for this Decision:	Corporate Director of Economic Development, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Economy, Enterprise and and Housing (Councillor Nedved)
Relevant or Lead Overview and Scrutiny Panel:	Economic Growth Scrutiny Panel

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.31/20
Type of Decision:	Executive
Decision Title:	Local Air Quality Action Plan Consultation and Agreement
Decision to be taken:	The Executive will be asked to consider the measures recommended in the Air Quality Action Plan as part of the wider consultation process, which also include key stakeholders. The action plan once finalised will be requested to be signed off by Executive.
Date Decision to be considered:	14 December 2020 consultation period to include Overview and Scrutiny as appropriate
Date Decision to be taken:	8 February 2021
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Corporate Director of Governance and Regulatory Services will be available five working days before the meeting
Contact Officer for this Decision:	Corporate Director of Governance and Regulatory Services, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Environment and Transport (Councillor Christian)
Relevant or Lead Overview and Scrutiny Panel:	Health and Wellbeing Scrutiny Panel

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.32/20
Type of Decision:	Executive
Decision Title:	Local Government Reorganisation – Approval of Carlisle City Council's Submission
Decision to be taken:	The Executive will be asked to take into account the views and decision from the Special Meeting of the City Council, held on 1 December 2020, relating to Local Government Reorganisation in Cumbria and approve the Carlisle City Council's detailed submission on the said topic.
Date Decision to be considered:	
Date Decision to be taken:	7 December 2020
Is the Decision Public or Private?:	The decision will be taken in public and private.
Documents submitted for consideration in relation to the Decision:	The report of the Town Clerk and Bheif Executive will be available five working days before the meeting
Contact Officer for this Decision:	Town Clerk and Chief Executive, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Leader
Relevant or Lead Overview and Scrutiny Panel:	Business and Transformation Scrutiny Panel

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

### **Notice of Key Decisions to be taken by the Executive**

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

Key Decision Reference:	KD.33/20
Type of Decision:	Executive
Decision Title:	St Cuthbert's Garden Village Masterplan Framework
Decision to be taken:	The Executive will be asked to consider and finalise the St Cuthbert's Garden Village Masterplan Framework, including Design Guidance and an Infrastructure Schedule.
Date Decision to be considered:	
Date Decision to be taken:	14 December 2020
Is the Decision Public or Private?:	The decision will be taken in public.
Documents submitted for consideration in relation to the Decision:	The report of the Corporate Director of Economic Development will be available five working days before the meeting
Contact Officer for this Decision:	Corporate Director of Economic Development, Carlisle City Council, Civic Centre, Carlisle, CA3 8QG
Relevant Portfolio Area:	Economy, Enterprise and and Housing (Councillor Nedved)
Relevant or Lead Overview and Scrutiny Panel:	Economic Growth Scrutiny Panel

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

Notice prepared by Councillor John Mallinson,  
Leader of Carlisle City Council

Date: 13 November 2020



### Notice of Decision taken by The Leader – Councillor John Mallinson

<b>Leader's Decision Reference:</b>	LD.07/20
<b>Subject Title and Decision Taken:</b>	Local Government Reorganisation – Carlisle City Council's Outline Submission

<b>Subject Matter:</b>	To submit an outline submission in response to UK Government's invitation to submit proposals for Local Government Reorganisation in Cumbria.
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<b>Relevant Portfolio Area:</b>	Leader
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<b>Key or Non-Key Decision:</b>	NO
	YES – Key Decision Reference:

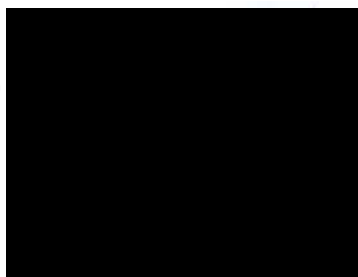
<b>Date Decision Made:</b>	9 November 2020
<b>Reports and Background Papers considered:</b>	Outline Submission and supporting letter from the Leader of the Council appended.
<b>Reasons for Decision:</b>	The submission of the outline proposal by the deadline of 9 November 2020 is required to participate in the process that will allow submission of the full proposal on 9 December 2020, following consideration by the City Council.
<b>Details of alternative options considered and rejected:</b>	The alternative, to not submit, was rejected in order to ensure that the City Council can still participate in the process defined by UK Government.
<b>Interests Declared:</b>	None
<b>Date published:</b>	10 November 2020
<b>Urgent Decision not subject to call in:</b>	YES

<b>Consent of Chair/Deputy Chair of Council to Urgency:</b>	YES/ <del>NO</del> – 10 November 2020
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<b>Deadline for call-in:</b>	N/A
<b>Implementation date if not called in:</b>	10 November 2020

<b>Relevant Scrutiny Panel:</b>	N/A
<b>Call-in notified to and date notified:</b>	N/A
<b>Approved for implementation on:</b>	10 November 2020

Signed:



Date: 11 November 2020

**All public reports can be viewed on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk)**

## Notice of Decision taken by The Leader – Councillor John Mallinson

<b>Leader's Decision Reference:</b>	LD.08/20
<b>Subject Title:</b>	COVID-19 – Additional Restrictions Grant

<b>Subject Matter:</b>	Carlisle City Council's Policy on the administration of the COVID-19 Additional Restrictions Grant scheme
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<b>Relevant Portfolio Area:</b>	Leader
<b>Decision Taken:</b>	To adopt this policy which sets out Carlisle City Council's approach to administration of this Government funded discretionary grant scheme. That the administration of the COVID-19 Additional Restrictions Grant Scheme in Carlisle be undertaken by Economic Development team, with the Corporate Director for Economic Development certifying grant payments following assessment of applications against the criteria set out within the policy

<b>Key or Non-Key Decision:</b>	NO

<b>Date Decision Made:</b>	20 November 2020
<b>Reports and Background Papers considered:</b>	Covid-19 – Additional Restrictions Grant Carlisle City Council Policy
<b>Reasons for Decision:</b>	Carlisle has been allocated a fixed budget of £2.17 million to distribute to local businesses. This budget can be expended during Tier 3 and National Lockdown to support local

	businesses during 2020/21 and 2021/22. The Council has therefore sought to use this allocation to provide grants	
<b>Details of alternative options considered and rejected:</b>	None	
<b>Interests Declared:</b>	None	
<b>Date published:</b>	20 November 2020	
<b>Urgent Decision not subject to call in:</b>		YES
<b>Consent of Chairman/Deputy Chairman of Council to Urgency:</b>		YES – 20 November 2020

<b>Deadline for call-in:</b>	N/A
<b>Implementation date if not called in:</b>	20 November 2020

<b>Relevant Scrutiny Panel:</b>	Economic Growth Scrutiny Panel
<b>Call-in notified to and date notified:</b>	N/A
<b>Approved for implementation on:</b>	20 November 2020

**All public reports can be viewed on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk)**

## INDIVIDUAL PORTFOLIO HOLDER DECISIONS

Below is a list of decisions taken by Individual Portfolio Holders acting under delegated powers, full details can be viewed on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk):

**PF.8/20**

**St Cuthbert's Garden Village Masterplan Framework**

**Portfolio Holder who made the Decision:**

Councillor Mr Paul Nigel Hamilton Nedved

**Portfolio Area:**

**Subject Matter:**

To invite comments from Economic Growth Scrutiny (26 November 2020) on the St Cuthbert's Garden Village Masterplan Framework, including Design Guidance and an Infrastructure Schedule and these are forwarded to Executive (14 December 2020) in order to finalise the suite of documents.

**Summary of Options rejected:**

None

### DECISION

Agreed to inviting comments from Economic Growth Scrutiny (26 November 2020) on the St Cuthbert's Garden Village Masterplan Framework, including Design Guidance and an Infrastructure Schedule and so that any views are forwarded to Executive (14 December 2020) in order to finalise the suite of documents.

### Reasons for Decision

Finalisation of the St Cuthbert's Garden Village Masterplan Framework, including Design Guidance and an Infrastructure Schedule forms the main evidence base and building block to critically inform and support the preparation of the St Cuthbert's Local Plan and a Design Supplementary Planning Document (SPD) which is currently being progressed. The Masterplan will serve as evidence to inform the emerging Local Plan and SPD.

**Background Papers considered:**

## **ED 39/20 - Report to Executive - St Cuthbert's Garden Village Local Plan Consultation**

**Date Decision Made:** 09 November 2020 **Implementation Date:**

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## INDIVIDUAL PORTFOLIO HOLDER DECISIONS

Below is a list of decisions taken by Individual Portfolio Holders acting under delegated powers, full details can be viewed on the Council's website [www.carlisle.gov.uk](http://www.carlisle.gov.uk):

**PF.9/20**

**Parish Burial Grants 2020/21**

**Portfolio Holder who made the Decision:**

Councillor Mr Gareth Michael Ellis

**Portfolio Area:**

**Subject Matter:**

Payment of Parish Burial Grants for 2020/21 for those parishes that provide burial services and for which accounts for burial services are in deficit. Four parishes complete burial accounts and for the year ended 2019/20, only one, Brampton was in deficit. As in previous years when concurrent grants were payable, the burial element of the grant was 40% of any deficit on burial services. Therefore, Brampton is due a grant at 40% of their 2019/20 deficits.

**Summary of Options rejected:**

None

### DECISION

To pay a parish burial grants to Brampton PC of £2,026.87

### Reasons for Decision

Payment of grant to parish councils

### Background Papers considered:

None

**Date Decision Made:**

19 October 2020

**Implementation Date:**

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## Officer Decisions

A.10

Below is a list of decisions taken by Officers which they have classed as significant, full details and supporting background documents can be viewed on the Council's website [www.carlisle.gov.uk/CMIS/](http://www.carlisle.gov.uk/CMIS/)

Decision Ref No	Title: Subject and Decision Taken:	Reports and Background Papers considered:	Date Decision Taken:	Decision Maker:
OD.124/20	Licensing Decisions taken between 1 November and 30 November 2020 The Licensing Manager has granted the attached licences or permissions under an express authorisation delegated to her and in accordance with the Council's policy requirements.	Applications for various licences. Private Not for Publication by Virtue of Paragraph 1 of Part 1 of Schedule 12A of the Local Government Act.	02 December 2020	Licensing Manager
OD.120/20	Payments to Third Party Organisations Payments to third party organisations to cover grants of £10,000 for both Hospice at Home and Eden Valley Hospice who have been adversely affected by the pandemic in terms of their ability to generate income from fund-raising activities. To be funded from reserves released specifically for COVID related costs.	None	26 November 2020	Corporate Director of Finance and Resources
OD.122/20	Flood Reserve – release of funds To release £1,944,785 from the Flood Reserve to fund the Civic Centre Redevelopment Work as approved by full Council on 5 <sup>th</sup> May 2020. The use of this reserve is set out within the Council's MTFP and can only be released, under delegate powers, by the Corporate Director of Finance & Resources.	None	26 November 2020	Corporate Director of Finance and Resources
OD.118/20	The Near Boot Inn, Whiteclosegate The decision, following consultation with Councillor Mallinson, Communities, Health & Wellbeing Portfolio Holder, is to list the Near Boot Inn, Whiteclosegate, Carlisle, as a community asset under the Localism Act 2011.	PC 15/14 – Community Right to Bid report at Executive 15/12/14 Application form for Community Right to Bid - Private * Not for publication by virtue of paragraph 1 of Part 1 of Schedule 12A of the Local Government Act 1972	24 November 2020	Chief Executive

OD.119/20	<p>Appointment of Contractors to a Framework Agreement for Arboricultural Works</p> <ul style="list-style-type: none"> <li>The authority's existing framework agreement for tree surgery works on council property expired in 2019, following a successful three-year duration.</li> <li>Internal consultation within the Healthy City Team led to a replacement framework agreement being drafted with two distinct lots: 1) Tree Surgery; and 2) Forestry and Conservation Tree Work. The creation of two lots allows the council to appoint contractors based on their ability to carry out specific themes of work, which do not overlap. Contractors were permitted to be apply for positions on both lots if desired. Estimated annual expenditure for all works across both lots is expected to be approximately £30,000.</li> <li>The Invitation to tender was placed on the Chest procurement portal on the 3<sup>rd</sup> July 2020 and was open to returns for four weeks. Interested parties were requested to: quote for example projects and provide risk assessments/method statements; provide their hourly/day rates for routine activities; and supply full insurance details.</li> <li>Four responses were received for each lot and following an evaluation process the following appointments were made:</li> </ul> <p>Lot 1 (Tree Surgery) Greaves Tree Services Ltd Orchard Tree Surgery Ltd Lot 2 (Forestry and Conservation Tree Work) M&amp;H Tree Services Ltd OpenSpace Ltd Orchard Tree Services Ltd The new agreement will now be finalised and contractors appointed for a period of 2 years effective from November 2020, with an option for the council to extend for an additional 24 months.</p>	Tender documentation – Not for publication by virtue of Paragraph 3 to Schedule 12A to the Local Government Act 1972.	17 November 2020	Deputy Chief Executive
OD.115/20	<p>Local Government Reorganisation: Cumbria. Dispensation for Members of Carlisle City Council</p> <p>All Members of Carlisle City Council be granted a dispensation for a period of four years (until 23:59 on 16 November 2024) for matters relating to Local Government Reform, Reorganisation and Devolution.</p>	Briefing Note (attached).	17 November 2020	Monitoring Officer: Delegation from Council.

OD.116/20	<p>Warm Homes Fund (WHF) Extension from 30th November 2020 to 31st December 2020</p> <p>To accept the Warm Homes Fund Team's offer to extend the WHF contract for all First Time Central Heating installations to be completed by 31<sup>st</sup> December 2020. The Warm Homes Fund Team agreed to increase the total number of installations to 130. The extension was granted on the basis that the City Council were able to confirm contracts are in place for the installers to commence work once the gas connections have been completed.</p>	WHF offer and signed acceptance letter dated 12 <sup>th</sup> November 2020 (attached)	13 November 2020	Corporate Director of Governance and Regulatory Services
OD.113/20	<p>Community Protection Notice issued under the Anti-Social Behaviour, Crime and Policing Act 2014 during the period of September 2020</p> <p>Empty property enforcement action has been taken where empty properties are in such a condition that the owners have allowed them to cause persistent anti-social behavioural impact on the community, which has resulted in enforcement action after an initial warning notice has been issued to the responsible person (s)</p> <p>The serving of a community protection notice (s) under Section 43 Anti-Social Behaviour, Crime and Policing Act 2014.</p> <p>Action taken against 1 individual Date served: 29th September 2020 Date operative: 29<sup>th</sup> October 2020 Case reference: R/128210</p> <p>[Enforcement action has been taken by the Officers under a delegation by the Corporate Director of Governance and Regulatory Services in accordance with the Council's policy requirements.</p> <p>Officer involved: Empty Homes and Grants Officer]</p>	Statutory Guidance and Private Sector Housing Enforcement Policy. Public notice register of notices.	06 November 2020	Principal Health and Housing Officer
OD.112/20	<p>Community Protection Notice issued under the Anti-Social Behaviour, Crime and Policing Act 2014 during the period of September 2020</p>	Statutory Guidance and Private Sector Housing Enforcement Policy.	06 November 2020	Principal Health and

	<p>Empty property enforcement action has been taken where empty properties are in such a condition that the owners have allowed them to cause persistent anti-social behavioural impact on the community, which has resulted in enforcement action after an initial warning notice has been issued to the responsible person(s)</p> <p>The serving of a community protection notice (s) under Section 43 Anti-Social Behaviour, Crime and Policing Act 2014.</p> <p>Action taken against 1 individual Date served: 8 September 2020 Date operative; 13<sup>th</sup> October 2020 Case reference: MAU 007607/NOT 002488</p> <p>[Enforcement action has been taken by the Officers under a delegation by the Corporate Director of Governance and Regulatory Services in accordance with the Council's policy requirements Officer involved: Private Sector Housing Technical Team Manager]</p>	Excel copy of public notice register.		Housing Officer
OD.117/20	<p>Extension of Agreement to Service the National Air Quality Monitoring Unit at Paddy's Market</p> <p>To extend the City Council's servicing of the national air quality monitoring station at Paddy's Market.</p> <p>Due to the pandemic the EA have extended the national contract contact with Bureau Veritas; this decision confirms that we will continue to service the site over the period of the extension.</p>	None	06 November 2020	Regulatory Services Manager
OD.121/20	<p>Test and Trace Discretionary Policy</p> <p>To implement the discretionary policy for self-isolation payments for those individuals on low incomes instructed to self-isolate by the NHS, following a positive test result, for which the Council has received a fixed allocation of £27,942.</p>	None	03 November 2020	Corporate Director of Finance and Resources
OD.111/20	<p>The Housing Act 2004, Part 2 Licensing of the Houses in Multiple Occupation (HMO)</p>	As detailed in the attached spreadsheet.	03 November 2020	Principal Health and

	Officers within the Housing and Pollution Team under a delegated power by the Director of Governance and Regulatory Services, between 1 <sup>st</sup> January 2020 and 31 <sup>st</sup> October 2020, have issued 2 HMO licences, these are relicence applications.			Housing Officer
OD.108/20	<p>Discretionary Disabled Facility Grants (DFG) Repayment</p> <p>A request has been received for the Council to waive the repayment on a DFG Repayment under the SCHEME OF HOUSING ASSISTANCE RENEWAL POLICY 2018 a property in Carlisle (case reference CL-002674). The Housing Renewal Assistance policy document, lays out the reason for using discretion to waive the payment, the Corporate Director of Governance and Regulatory Services is approved to make the final decision.</p>	<p>Housing Renewal and Assistance Policy 2018 (paragraph 4.2)</p> <p>Email from home-owner stating she has to move and a letter of support confirming the reasons why she has to move. The applicant had not intended to move house when she applied for the grant but now has to move area for the reasons outlined in the confidential letter of support. The applicant is not able to afford to repay the full amount. Only grant amounts over £5,000 are registered as a land charge - Private *Not for publication by virtue of paragraph 1 of Part 1 of Schedule 12A of the Local Government Act 1972</p>	02 November 2020	Corporate Director of Governance and Regulatory Services
OD.109/20	<p>Licensing Decisions taken between 1 October 2020 and 2 November 2020</p> <p>The Licensing Manager has granted the attached licences or permissions under an express authorisation delegated to her and in accordance with the Council's policy requirements.</p>	Applications for various licences. Private Not for Publication by Virtue of Paragraph 1 of Part 1 of Schedule 12A of the Local Government Act.	02 November 2020	Licensing Manager

OD.107/20	<p>Land at Georgian Way, Carlisle, Cumbria</p> <p>Approval of updated heads of terms to be included in the disposal documentation as negotiated by the Property &amp; Legal Services teams for the disposal of this property asset as required by point 2 of the Decision made by the Executive (ref. EX.53/20) on 27 May 2020. The Property Services Manager (PSM) has confirmed that these updated terms represent best consideration.</p>	<p>Key Decision KD.14/20 (published prior to Executive 27 May 2020)</p> <p>Report GD.16/20 (27 May 2020)</p> <p>Executive Minute. 53/20</p>	28 October 2020	Corporate Director of Governance & Regulatory Services
OD.110/20	<p>The Regulatory Reform (Housing Assistance) (England and Wales) Order 2002, adopted Housing Assistance Policy July 2013.</p> <p>The Principal Health and Housing Officer at Carlisle City Council has considered applications for Disabled Facility Grants and Discretionary Housing grants in the period January 2020 to April 2020. Total grant sum approved £548,665.03</p> <p>Taking into account all the available information, a decision has been taken to approve each applicants grant application on the basis that they meet the requirement for DFG applications of the Housing grants, construction and regeneration Act 1996.</p>	<p>Housing Renewal Assistance Policy 2018</p> <p>Occupational Therapist referral for each client *</p> <p>67 individual DFG applications *</p> <p><i>(* These items are not for publication by virtue of Paragraph1 to Section 12A to the Local Government Act 1972 as they contain information relating to any individual).</i></p>	27 October 2020	Principal Health and Housing Officer
OD.114/20	<p>Transfer of funds from Planning Reserve to Development Management Operational Budget</p> <p>To transfer £24,775 to cover a series of in-year improvements to the operation of Development Management to improve efficiency of service delivery and staff training/resources for the following budget areas:</p> <p>Salary Costs £16,000 (Planning graduate plus admin support costs)</p> <p>Training Fees £750</p> <p>Software Upgrades £660</p> <p>Software Maintenance £7,365</p>	N/A	21 October 2020	Town Clerk and Chief Executive

## JOINT MANAGEMENT TEAM

### MINUTES – 9<sup>th</sup> November 2020

<b>Attendees</b>	Leader; Deputy Leader; PH Economy, Enterprise & Housing; PH Environment & Transport; PH Communities, Health & Wellbeing; PH Culture, Heritage & Leisure; Chief Executive; Deputy Chief Executive; Corporate Director of Governance & Regulatory Services; Corporate Director of Finance & Resources; Corporate Director of Economic Development; Neighbourhood Services Manager; Team Manager, Parking & Enforcement; Inspector & Sergeant, Cumbria Police
<b>Apologies</b>	

<b>Agenda Item 1 – Minutes of Meeting 12<sup>th</sup> October 2020</b>	<b>Action</b>
Noted and agreed	
<b>Agenda Item 2 – Public Space Protection Order (PSPO)</b>	
The Team Manager, Parking & Enforcement led this Agenda item focusing on the previously circulated document. Following a full and detailed discussion, this will now be subject to a consultation with stakeholders and partners prior to going through the Scrutiny process with a view to the new Order going live in March 2021. The Executive thanked everyone involved in preparation of the document	

<b>Agenda Item 3 – Carlisle Plan Timetable</b>	
The Deputy Chief Executive led this discussion and suggested amendments / additions were noted and agreed. The Corporate Director of Economic Development will circulate a “Plan on a Page” in due course to JMT	<i>Corporate Director of Economic Development</i>
<b>Agenda Item 4 - Updates on Borderlands; The Sands; Civic Centre; St Cuthbert’s Garden Village; Central Plaza; J44</b>	
Members of SMT provided the Executive with their update on the current position regarding each area	
<b>Agenda Item 5 – Future Items for Notice of Executive Key Decisions</b>	
Noted and agreed	
<b>Agenda Item 6 - JMT Forward Plan</b>	
Reviewed and agreed	



# Report to Executive

Agenda  
Item:

**A.12**

Meeting Date: 14<sup>th</sup> December 2020  
Portfolio: Finance, Governance and Resources  
Key Decision: No  
Within Policy and Budget Framework: Yes  
Public / Private: Public

Title: QUARTER 2 PERFORMANCE REPORT 2020/21  
Report of: Policy and Communications Manager  
Report Number: PC 30-20

## Purpose / Summary:

This report contains the Quarter 2 2020/21 performance against the current Service Standards and a summary of the Carlisle Plan 2016-19 actions as defined in the 'plan on a page'. Performance against the 2020/21 Key Performance Indicators (KPIs) are also included.

## Recommendations:

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

## Tracking

Executive:	14/12/20
Scrutiny:	Health and Wellbeing 19/11/20 Economic Growth 26/11/20 Business and Transformation 1/12/20
Council:	N/A

## **1. BACKGROUND**

This report contains the 2020/21 Quarter 2 performance against the Service Standards and a summary of the Carlisle Plan 2015-18 actions as defined in the 'plan on a page'. The Key Performance Indicators (KPIs) are also included as an appendix.

Service Standards are the measures judged to be the most important to our customers and therefore the mostly likely to influence the overall satisfaction with how the Council performs. The following pages contains the Council's performance against the Service Standards.

The measures are predominately lagging indicators (looking back at performance) and cover a range of services. Some indicators naturally lend themselves to having a target or may have a national target set whilst with others, the aim is to improve year-on-year. Regularly monitoring the Council's performance helps to drive continuous improvement and protects against any financial or organisational issues by flagging up indicators that are off target. The measures can also be used for a variety of other purposes including: to evaluate, control, budget, motivate, promote, celebrate and learn. Performance management in this form is just one aspect of the Council's wider performance framework.

All three Scrutiny Panels have requested that Members are involved with the reviewing of the content of performance reports including setting of measures and targets. A Member working group will therefore be set up and run over the Winter months.

The updates against the actions in the Carlisle Plan are presented in Section 3. The intention is to give the Executive a brief overview of the current position without duplicating the more detailed reporting that takes place within the Scrutiny agendas and Portfolio Holder reports.

## Summary of KPIs and Service Standards:

Service Standards – 2 'red', 1 'amber' and 7 'green'

KPIs – 5 'red', 4 'amber', 24 'green'

## Summary of Exceptions (RED)

Measure	Target	Performance
SS05: Proportion of corporate complaints dealt with on time	100%	90% Two late replies in Quarter 1 were due to resources reallocated to the Covid-19 response. One late complaint in Quarter 2 due to a complicated planning complaint that needed two stage 2 responses
SS08: Proportion of official local authority searches completed on time	85%	16.5% Increased demand (by 52% in Quarter 2) and capacity issues brought on by the Covid-19 Pandemic have had a significant impact on the Service Standard.
CSe14: Actual car parking revenue as a percentage of car parking expenditure	120.5%	51.2% Revenue £413k under target
CSe18: Actual Old Fire Station (OFS) revenue as a percentage of OFS expenditure	29%	0.8% OFS has been closed since March due to Covid-19.
CSe22: Actual city centre revenue as a percentage of city centre expenditure	77%	58.9% Revenue £16k under target.
CSe25 Actual Talkin Tarn revenue as a percentage of Talkin Tarn expenditure	85.5%	70.1% Tearoom closed during Q1 due to Covid-19.
CSu05 Percentage of NNDR collected	57%	50%

## 2. PROPOSALS

None

## 3. RISKS

None

#### **4. CONSULTATION**

The report was reviewed by the Senior Management Team in July and has been considered at the three Scrutiny Panels.

#### **5. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

The Executive are asked to note the Quarter 2 Performance Report.

#### **6. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

Detail in the report.

**Contact Officer:** Gary Oliver

**Ext:** 7430

#### **Appendices attached to report:**

Performance Dashboard

**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:**

**LEGAL** - This report raises no explicit legal issues.

**FINANCE** – This report raises no explicit financial issues

**EQUALITY** – This report raises no explicit issues relating to the Public Sector Equality Duty.

**INFORMATION GOVERNANCE** – This report raises no explicit issues relating to Information Governance.

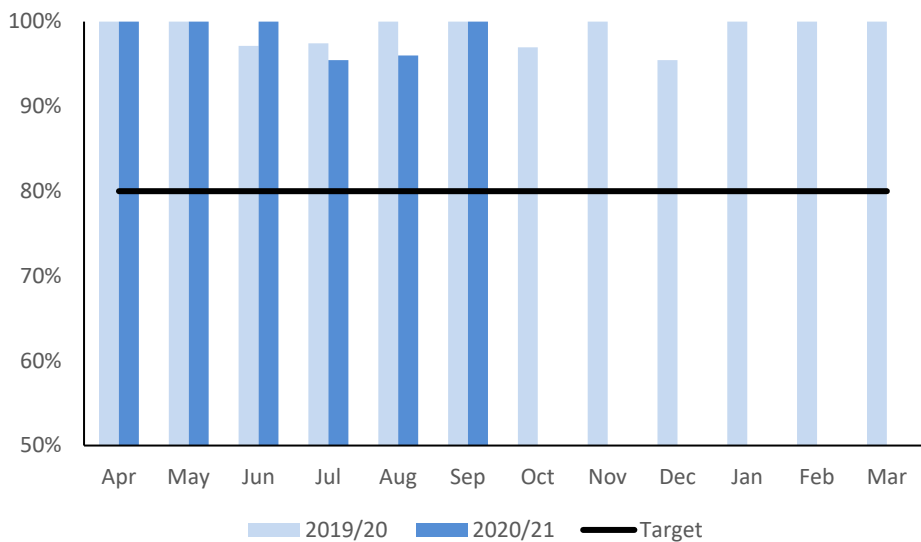
**PROPERTY SERVICES** - This report raises no explicit issues relating to Property Services

## **Section 1: Service Standards 2020/21**

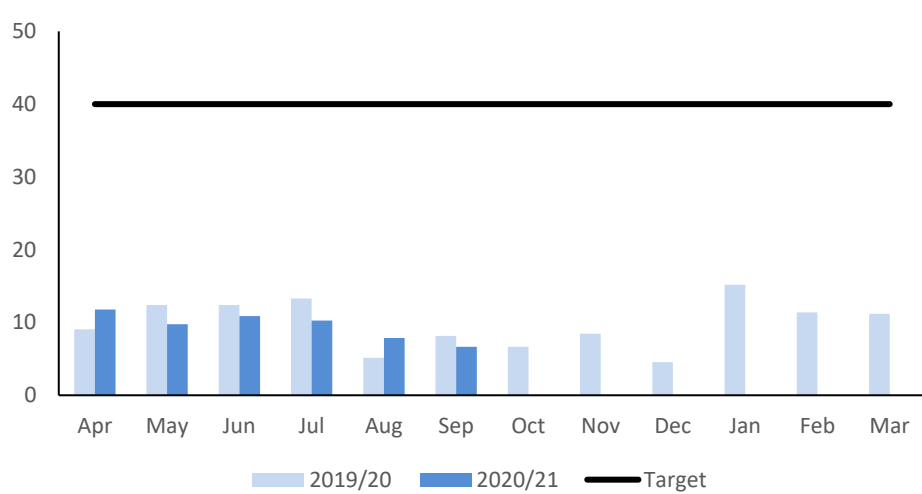
Service Standards were introduced in 2012 after consultation with Service Managers, DMTs, SMT and JMT. Five further measures were introduced from Quarter 2 2017/18 and all are reviewed during Quarter 3 each year. Service Standards are the measures judged to be the most important to our customers, therefore, the mostly likely to influence the overall satisfaction with how the Council performs.

The following pages contains the Council's performance against the Service Standards

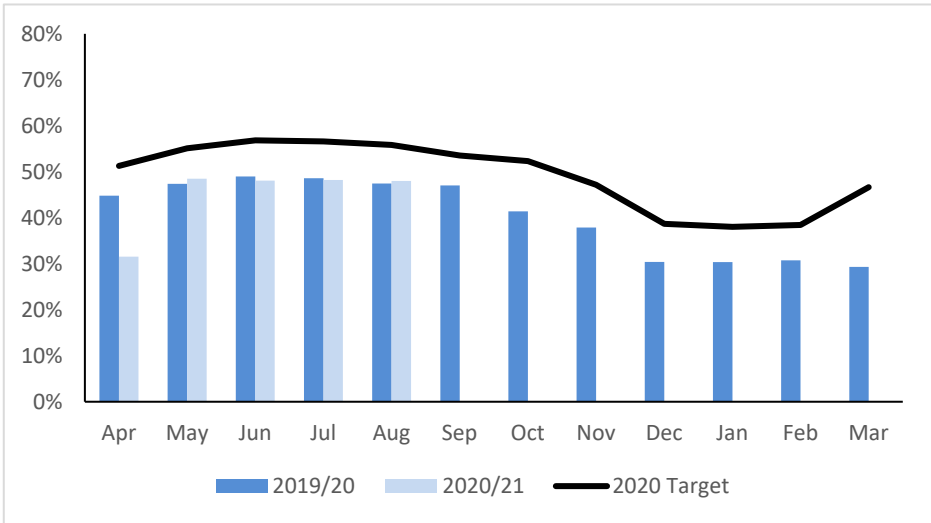
SS01: Percentage of Household Planning Applications processed within eight weeks

Service Standard	To end of Quarter 2 2020/21	Performance by Month	Further Information
80% (Nationally set target)	98.4%  (Q2 2019/20: 98.8%)	 <p>100% 90% 80% 70% 60% 50%</p> <p>Apr May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar</p> <p>2019/20 2020/21 Target</p>	123 household planning applications have been processed to the end of Quarter 2 compared with 168 in the same period last year.
	On target?		
	✓		

SS02: Proportion of waste or recycling collections missed (valid)

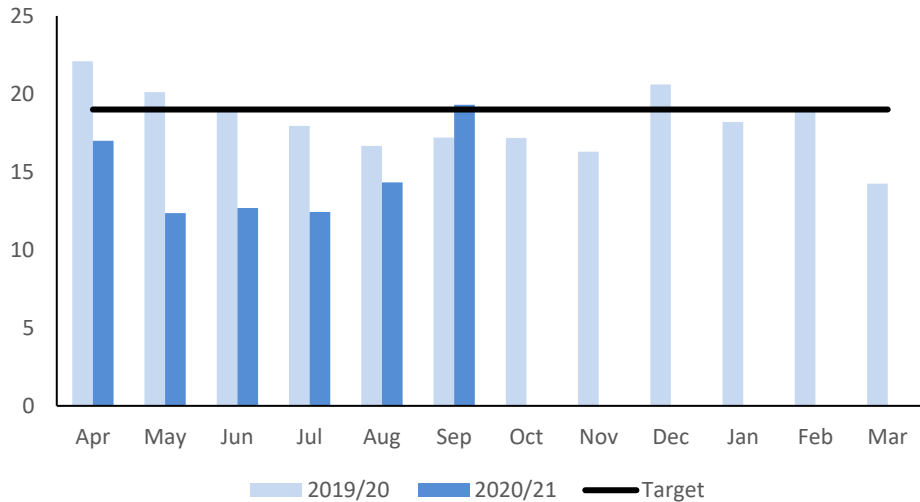
Service Standard	To end of Quarter 2 2020/21	Performance by Month	Further Information																																																				
40 missed collections per 100,000 (Industry standard)	9.5  (Q2 2019/20: 10.1)	 <table><thead><tr><th>Month</th><th>2019/20</th><th>2020/21</th><th>Target</th></tr></thead><tbody><tr><td>Apr</td><td>9</td><td>12</td><td>40</td></tr><tr><td>May</td><td>12</td><td>10</td><td>40</td></tr><tr><td>Jun</td><td>12</td><td>11</td><td>40</td></tr><tr><td>Jul</td><td>13</td><td>10</td><td>40</td></tr><tr><td>Aug</td><td>5</td><td>8</td><td>40</td></tr><tr><td>Sep</td><td>8</td><td>7</td><td>40</td></tr><tr><td>Oct</td><td>7</td><td>0</td><td>40</td></tr><tr><td>Nov</td><td>8</td><td>0</td><td>40</td></tr><tr><td>Dec</td><td>5</td><td>0</td><td>40</td></tr><tr><td>Jan</td><td>15</td><td>0</td><td>40</td></tr><tr><td>Feb</td><td>11</td><td>0</td><td>40</td></tr><tr><td>Mar</td><td>11</td><td>0</td><td>40</td></tr></tbody></table>	Month	2019/20	2020/21	Target	Apr	9	12	40	May	12	10	40	Jun	12	11	40	Jul	13	10	40	Aug	5	8	40	Sep	8	7	40	Oct	7	0	40	Nov	8	0	40	Dec	5	0	40	Jan	15	0	40	Feb	11	0	40	Mar	11	0	40	<p>Just under two million collections were due to be made in the first quarter of the year. xx collections were missed meaning the success rate was 99.99%.</p> <p>This figure excludes the temporary suspension of garden waste collections during the early stages of Covid-19.</p>
	Month		2019/20	2020/21	Target																																																		
	Apr		9	12	40																																																		
May	12	10	40																																																				
Jun	12	11	40																																																				
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Aug	5	8	40																																																				
Sep	8	7	40																																																				
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Jan	15	0	40																																																				
Feb	11	0	40																																																				
Mar	11	0	40																																																				
On target?																																																							
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SS03: Percentage of household waste sent for recycling (including bring sites)

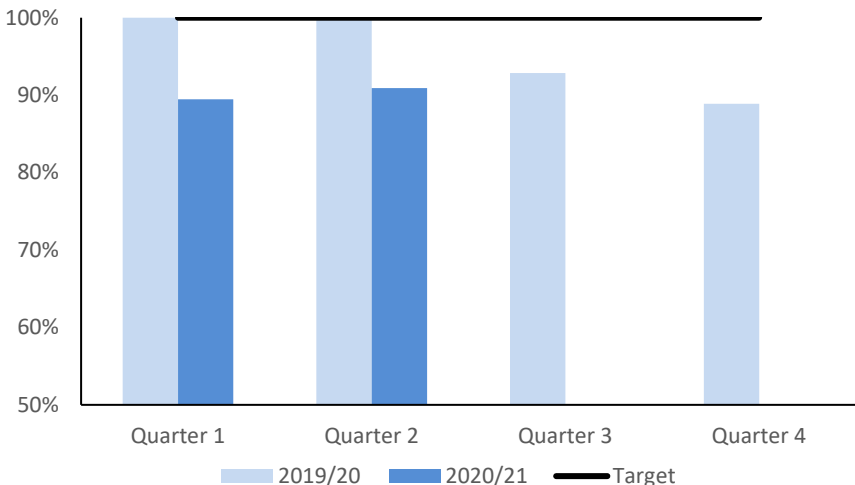
Service Standard	To end of Aug 2020	Performance by Month	Further Information
50% (Nationally set target)	45.4%	 <p>80% 70% 60% 50% 40% 30% 20% 10% 0%</p> <p>Apr May Jun Jul Aug Sep Oct Nov Dec Jan Feb Mar</p> <p>■ 2019/20 ■ 2020/21 — 2020 Target</p>	Recycling rates were lower in April due to the temporary suspension of the garden waste collections in order to support priority services during the early stages of the Covid-19 pandemic.
	(end of Aug 2019: 47.4%)		
	On target?		
	▲		



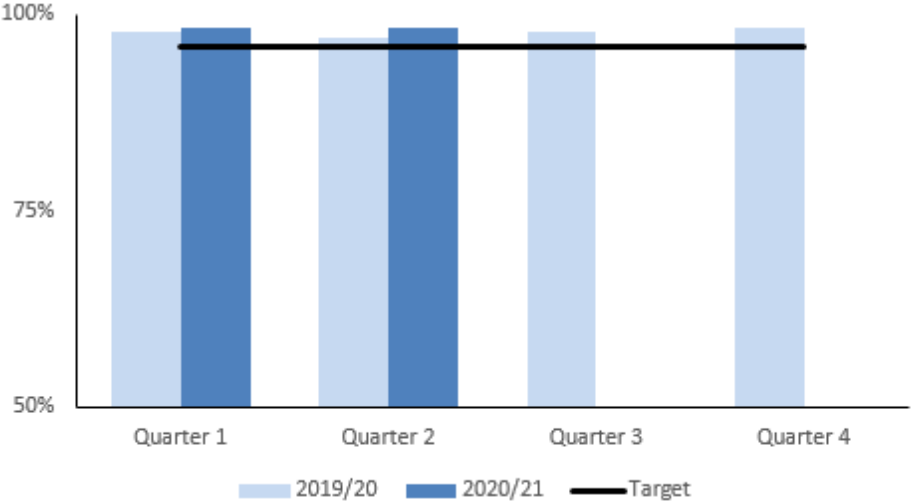
SS04: Average number of working days to process new benefits claims

Service Standard	To end of Quarter 2 2020/21	Performance by Month	Further Information																																																				
New claims should be processed within 19 days to achieve top two quartiles compared to other local authorities	14.8 days  (Q2 2019/20: 18.8 days)	 <table><thead><tr><th>Month</th><th>2019/20</th><th>2020/21</th><th>Target</th></tr></thead><tbody><tr><td>Apr</td><td>22.0</td><td>17.0</td><td>19.0</td></tr><tr><td>May</td><td>20.0</td><td>12.0</td><td>19.0</td></tr><tr><td>Jun</td><td>19.0</td><td>12.5</td><td>19.0</td></tr><tr><td>Jul</td><td>18.0</td><td>12.5</td><td>19.0</td></tr><tr><td>Aug</td><td>17.0</td><td>14.0</td><td>19.0</td></tr><tr><td>Sep</td><td>17.5</td><td>19.0</td><td>19.0</td></tr><tr><td>Oct</td><td>17.0</td><td>-</td><td>19.0</td></tr><tr><td>Nov</td><td>16.5</td><td>-</td><td>19.0</td></tr><tr><td>Dec</td><td>20.5</td><td>-</td><td>19.0</td></tr><tr><td>Jan</td><td>18.0</td><td>-</td><td>19.0</td></tr><tr><td>Feb</td><td>19.0</td><td>-</td><td>19.0</td></tr><tr><td>Mar</td><td>14.0</td><td>-</td><td>19.0</td></tr></tbody></table>	Month	2019/20	2020/21	Target	Apr	22.0	17.0	19.0	May	20.0	12.0	19.0	Jun	19.0	12.5	19.0	Jul	18.0	12.5	19.0	Aug	17.0	14.0	19.0	Sep	17.5	19.0	19.0	Oct	17.0	-	19.0	Nov	16.5	-	19.0	Dec	20.5	-	19.0	Jan	18.0	-	19.0	Feb	19.0	-	19.0	Mar	14.0	-	19.0	21,568 new claims have been made in 2020/21 up to the end of September 2020. This is a 16% decrease on the same period last year.
	Month		2019/20	2020/21	Target																																																		
	Apr		22.0	17.0	19.0																																																		
May	20.0	12.0	19.0																																																				
Jun	19.0	12.5	19.0																																																				
Jul	18.0	12.5	19.0																																																				
Aug	17.0	14.0	19.0																																																				
Sep	17.5	19.0	19.0																																																				
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Nov	16.5	-	19.0																																																				
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Jan	18.0	-	19.0																																																				
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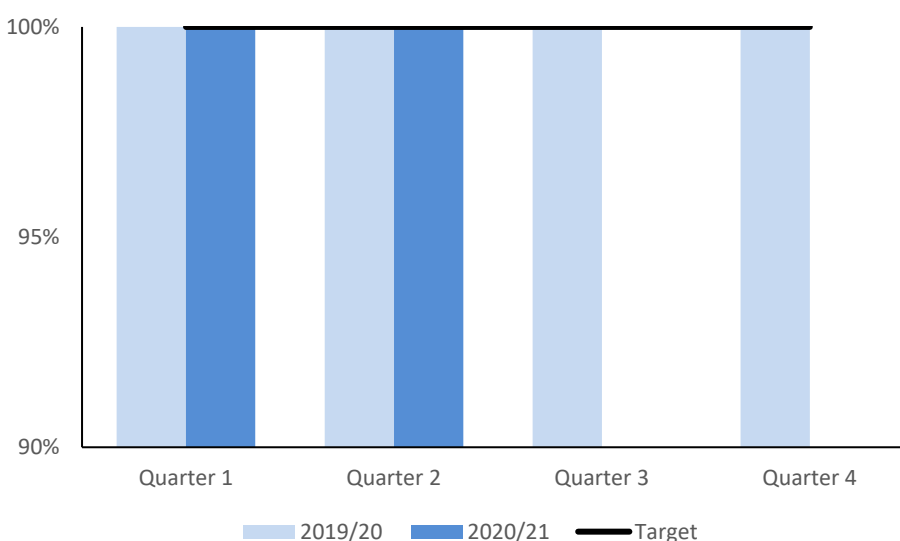
SS05: Proportion of corporate complaints dealt with on time

Service Standard	To end of Quarter 2 2020/21	Performance by Quarter	Further Information
Corporate complaints should be dealt with within 15 working days	90%	 <p>100% 90% 80% 70% 60% 50%</p> <p>Quarter 1 Quarter 2 Quarter 3 Quarter 4</p> <p>2019/20 2020/21 Target</p>	Two late replies in Quarter 1 were due to resources reallocated to the Covid-19 response. One late complaint in Quarter 2 due to a complicated planning complaint that needed two stage 2 responses.
	(Q2 2019/20: 100%)		
	On target?		
	✗		

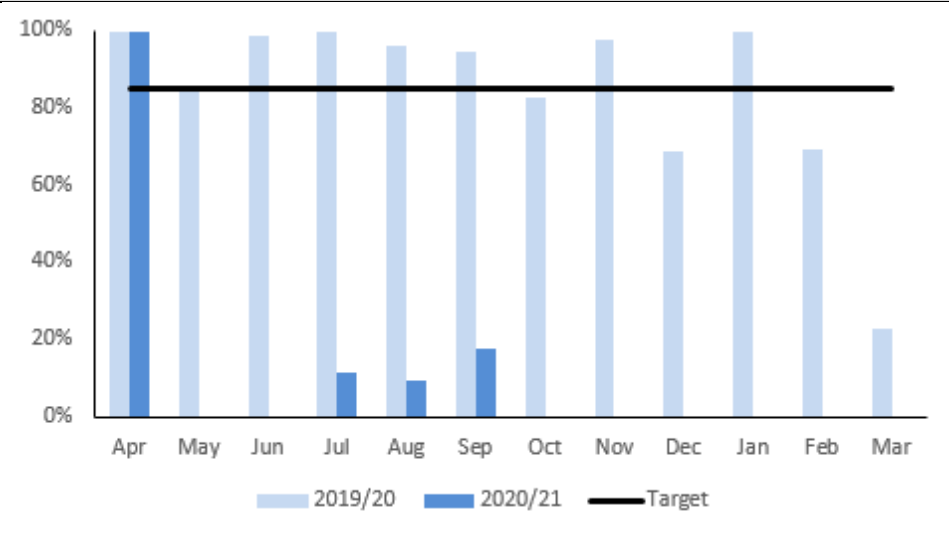
SS06: Proportion of food businesses that are broadly compliant or better with food safety legislation

Service Standard	Rolling figure to end of Quarter 2 2020/21	Performance by Quarter	Further Information																				
Our work with local food businesses should ensure that 96% are at least broadly compliant.	98.5%	 <p>The chart displays performance by quarter for two financial years: 2019/20 (light blue bars) and 2020/21 (dark blue bars). A black horizontal line represents the target at 96%. The y-axis ranges from 50% to 100% in 25% increments. The x-axis lists Quarter 1, Quarter 2, Quarter 3, and Quarter 4. In 2019/20, performance was approximately 97% in Q1, 96% in Q2, 97% in Q3, and 97% in Q4. In 2020/21, performance was approximately 98% in Q1 and Q2, and 98.5% in Q3 and Q4. All quarters in 2020/21 are above the 96% target line.</p> <table><tr><th>Quarter</th><th>2019/20 (%)</th><th>2020/21 (%)</th><th>Target (%)</th></tr><tr><td>Quarter 1</td><td>~97</td><td>~98</td><td>96</td></tr><tr><td>Quarter 2</td><td>~96</td><td>~98</td><td>96</td></tr><tr><td>Quarter 3</td><td>~97</td><td>98.5</td><td>96</td></tr><tr><td>Quarter 4</td><td>~97</td><td>~98</td><td>96</td></tr></table>	Quarter	2019/20 (%)	2020/21 (%)	Target (%)	Quarter 1	~97	~98	96	Quarter 2	~96	~98	96	Quarter 3	~97	98.5	96	Quarter 4	~97	~98	96	Approximately 200 premises are usually inspected each quarter. All premises are inspected at least once every eighteen months.
	Quarter		2019/20 (%)	2020/21 (%)	Target (%)																		
	Quarter 1		~97	~98	96																		
Quarter 2	~96	~98	96																				
Quarter 3	~97	98.5	96																				
Quarter 4	~97	~98	96																				
On target?																							
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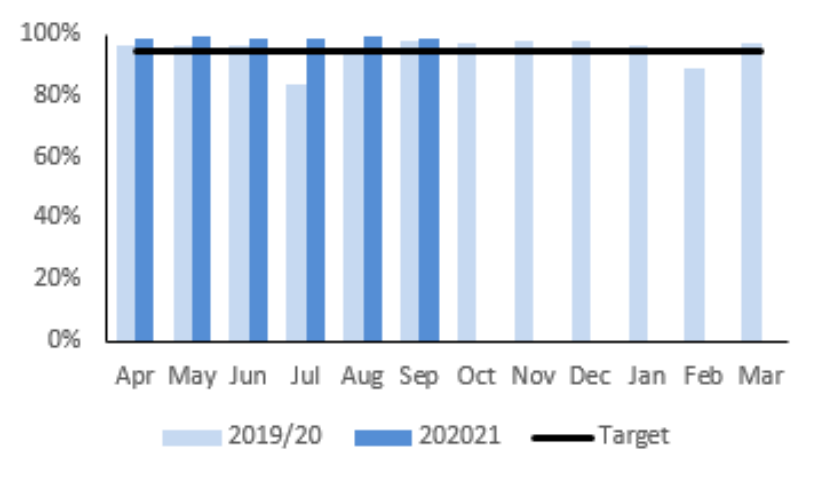
SS07: Proportion of non-contentious licence applications completed on time

Service Standard	To end of Quarter 2 2020/21	Performance by Quarter	Further Information
100% of non-contentious licence applications should be completed within 10 working days	100%	 <p>100%</p> <p>95%</p> <p>90%</p> <p>Quarter 1 Quarter 2 Quarter 3 Quarter 4</p> <p>2019/20 2020/21 Target</p>	350 out of 350 applications completed on time so far in 2020/21.
	(Q2 2019/20: 100%)		
	On target?		
	✓		

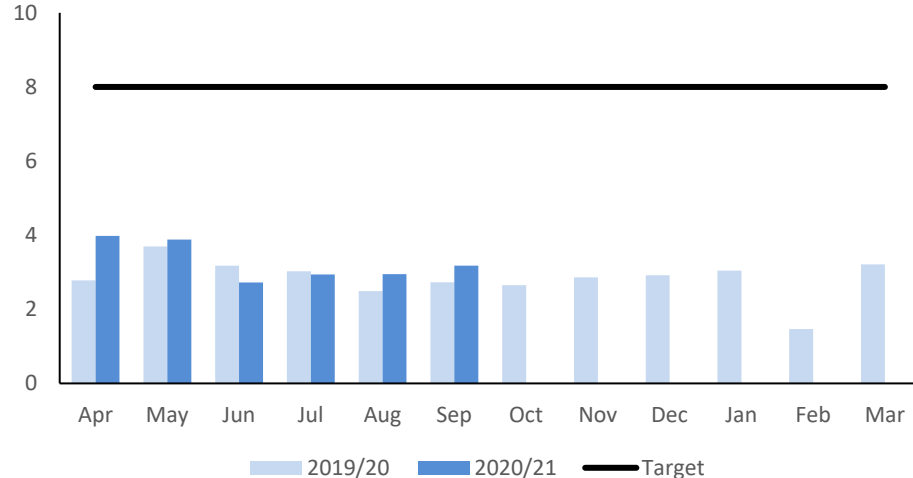
SS08: Proportion of official local authority searches completed on time

Service Standard	To end of Quarter 2 2020/21	Performance by Month	Further Information
85% of official local authority searches should be completed within 10 working days	16.5%		Increased demand (by 52% in Quarter 2) and capacity issues brought on by the Covid-19 Pandemic have had a significant impact on the Service Standard.
	(Q2 2019/20: 96.4%)		
	On target?		
	✗		

SS09: Proportion of new waste and recycling bins, bags and containers delivered on time (within 10 working days)

Service Standard	To end of Quarter 2 2020/21	Performance by Month	Further Information
95% delivered within 10 working days	99.0%	 <p>5,032 deliveries were made in the first half of the year.</p>	
	(Q2 2019/20: 94.4%)		
	On target?		
	✓		

SS10: Average number of working days to process benefit claimants' changes of personal details

Service Standard	To end of Quarter 2 2020/21	Performance by Month	Further Information																																																				
Changes should be processed within 8 days	3.4 days  (Q2 2019/20: 3.0 days)	 <table><thead><tr><th>Month</th><th>2019/20</th><th>2020/21</th><th>Target</th></tr></thead><tbody><tr><td>Apr</td><td>2.8</td><td>4.0</td><td>8.0</td></tr><tr><td>May</td><td>3.8</td><td>3.9</td><td>8.0</td></tr><tr><td>Jun</td><td>3.2</td><td>2.8</td><td>8.0</td></tr><tr><td>Jul</td><td>3.1</td><td>3.0</td><td>8.0</td></tr><tr><td>Aug</td><td>2.5</td><td>3.0</td><td>8.0</td></tr><tr><td>Sep</td><td>2.8</td><td>3.2</td><td>8.0</td></tr><tr><td>Oct</td><td>2.7</td><td>-</td><td>8.0</td></tr><tr><td>Nov</td><td>2.9</td><td>-</td><td>8.0</td></tr><tr><td>Dec</td><td>3.0</td><td>-</td><td>8.0</td></tr><tr><td>Jan</td><td>3.1</td><td>-</td><td>8.0</td></tr><tr><td>Feb</td><td>1.5</td><td>-</td><td>8.0</td></tr><tr><td>Mar</td><td>3.2</td><td>-</td><td>8.0</td></tr></tbody></table>	Month	2019/20	2020/21	Target	Apr	2.8	4.0	8.0	May	3.8	3.9	8.0	Jun	3.2	2.8	8.0	Jul	3.1	3.0	8.0	Aug	2.5	3.0	8.0	Sep	2.8	3.2	8.0	Oct	2.7	-	8.0	Nov	2.9	-	8.0	Dec	3.0	-	8.0	Jan	3.1	-	8.0	Feb	1.5	-	8.0	Mar	3.2	-	8.0	Nearly twelve thousand changes have been processed in the 2020/21 year to date.
	Month		2019/20	2020/21	Target																																																		
	Apr		2.8	4.0	8.0																																																		
May	3.8	3.9	8.0																																																				
Jun	3.2	2.8	8.0																																																				
Jul	3.1	3.0	8.0																																																				
Aug	2.5	3.0	8.0																																																				
Sep	2.8	3.2	8.0																																																				
Oct	2.7	-	8.0																																																				
Nov	2.9	-	8.0																																																				
Dec	3.0	-	8.0																																																				
Jan	3.1	-	8.0																																																				
Feb	1.5	-	8.0																																																				
Mar	3.2	-	8.0																																																				
On target?																																																							
✓																																																							

## **Section 2: Key Performance Indicators (KPIs)**

Service Standards are not the only set of measures used to interrogate the performance of the Council. Alongside the review of Service Standards, a set of Key Performance Indicators, derived from the links between the service plans and budget resolution were developed. The current KPIs are attached as a dashboard.

## **Section 3: [Carlisle Plan on a Page 2016–19](#) Delivery**

The current [Carlisle Plan](#) covered the period 2016-19 and the majority of the key actions are now either delivered or considered business as usual and feature within existing service plans. Quarter 2 updates to the remaining key actions are contained within the following pages. Following Member feedback, the layout of the updates have also been simplified.



# **Priority: Support business growth and skills development to improve opportunities and economic prospects for the people of Carlisle**

## ***Business Property & Infrastructure:***

**Key Action 2: City Centre redevelopment projects** (SMT Owner: J Meek, Scrutiny Panel: EG / B&T)

**Project Description:** The City of Carlisle is ambitious to grow, leading the way in unleashing the full economic potential of Cumbria and the wider Borderlands Area. As the business and population capital of the region, a university city and the strategically located Borderlands hub connecting Cumbria to the rest of the UK, Carlisle has the assets, strengths and potential to drive future prosperity and growth. Carlisle city centre regeneration programme will ensure that we provide the environment in which businesses can thrive, attract new jobs, provide a high quality environment in which to live, work or play and a well-connected flourishing visitor destination and attractive gateway to the wider Cumbrian and Borderlands region.

### ***Timeline - Quarter 2 Update:***

Outline business cases are now being prepared for the regeneration of Carlisle Station and the Citadels site to draw down the funding allocated through the Borderlands Inclusive Growth Deal.

The business case for Future High Street Fund investment was submitted on 31 July 2020. This includes an ask of £14m to fund a programme of projects designed to improve the vitality and viability of the city centre.

The Carlisle Town Investment Plan Town has been developed for submission on 30 October 2020. Increasing the vibrancy of the city centre is a key objective within the Plan. Our Town Deal 'ask' of £25m will fund a number of city centre projects.

### ***Emerging risks/issues:***

None

**Key Action 6: Progress the Borderlands Initiative** (SMT Owner: J Meek, Scrutiny Panel: EG)

***Project Description:*** The Borderlands Partnership was established to unlock the potential for sustainable and inclusive economic growth across the South of Scotland and North of England. This has resulted in a £345 million deal with Scottish / UK Governments to deliver inclusive growth across the Borderland subregion. The Borderlands programme is focusing on ways to make the area more attractive to existing and potential residents, investors and visitors.

***Timeline - Quarter 2 Update:***

Work continues to enable the Borderlands Partnership to progress to Full Deal in 2021.

This includes:

- Completion of business cases for all projects and programmes
- Development of a communications protocol
- Development of a monitoring and evaluation framework
- Signing of a Collaboration Agreement and formalising the governance arrangements between the Borderlands Partners

***Emerging risks/issues:***

None

**Key Action 7: Infrastructure Delivery Plan** (SMT Owner: J Meek, Scrutiny Panel: EG)

***Project Description:*** Maintain an up to date Infrastructure Delivery Plan and develop proposals to address identified issues. Much of this work is now centred around the St Cuthbert's Garden Village and the necessary supporting infrastructure including a new strategic link road (CSLR).

***Timeline - Quarter 2 Update:***

Planning application of the CSLR due to be considered by Cumbria County Council in October 2020. Construction is planned to commence in March 2022 with the completion and opening in 2024. Funding agreement & contract in place including obligations (linked to housing delivery as opposed to the road) which fall to the City Council inclusive of linked milestones

***Emerging risks/issues:***

None

**Key Action 8: St Cuthbert's Garden Village** (SMT Owner: J Meek, Scrutiny Panel: EG)

**Project Description:** St Cuthbert's Garden Village, Carlisle is an ambitious proposal that will deliver the development of around 10,000 new quality homes, new employment opportunities, community facilities and a new Southern Link Road between the A595 and M6 (J42). This Key Action is currently split into two projects: Carlisle Southern Link Road and St Cuthbert's Garden Village Masterplan and Local Plan.

**Timeline - Quarter 2 Update:**

Work is ongoing to develop the Masterplan (due 30 November) and the preferred option is due at Executive in November for approval to consult on Preferred Option Local Plan. St Cuthbert's Garden Village Local Plan Reg 18 Preferred Option consultation will be held in November and December 2020 and the St Cuthbert's Strategic Design Guide SPD consultation is underway.

**Emerging risks/issues:**

None

## **Priority: Further develop sports, arts and cultural facilities to support the health and wellbeing of our residents**

### *Service and Facilities Development:*

**Key Action 12: 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** (SMT Owner: D Crossley, Scrutiny Panel: B&T/H&W)

***Project Description:*** Remaining actions: Refurbishment of the leisure facilities and partial refurbishment of the events centre at the Sands Centre site including the addition of two swimming pools. Provision of temporary accommodation for GLL staff, resident NHS staff, and alternative leisure facilities, sports hall, temporary bar and WC's during the construction phase.

### ***Timeline - Quarter 2 Update:***

A Special Meeting of the City Council took place on the 13<sup>th</sup> October to ratify the current scheme.

This project is progressing. Preparations are underway for the next phase which will see the demolition of the existing leisure centre (end of November) and the start of foundations for the extension to the side of the site. Reconfiguration of car parking, landscaping, incoming utilities diversions and new supplies and associated works will also begin to progress. Excavation for the swimming pools is also planned in the upcoming period.

The existing events centre is to be kept operational during the demolition works and construction of the new leisure centre. On site constructors are winter ready and will continue to work through the next national lock down period.

### ***Emerging risks/issues:***

The main contract deal is being finalised although no significant issues identified at this time. No deal Brexit brings some uncertainty to contracts in place and could impact on the supply chains and associated costs. The impact of the on-going Covid situation will require attention.

## *Healthy City Programme:*

### **Key Action 16: Continue to work with key partners to deliver the World Health Organisation Phase VI Healthy City Action Plan** (SMT

Owner: D Crossley, Scrutiny Panel: H&W)

***Project Description:*** Remaining actions: Restructure Healthy City Forum (HCF) and work with partners to deliver on the Phase VI application. Explore next phase and Develop action plan (VII)

#### ***Timeline - Quarter 2 Update:***

Phase VI activity is now complete.

A SharePoint site has been set up to allow access to the live working document. This has been further developed (September 2020) to allow access to external partners and Teams site established.

Meetings with strategic partners have been taking place around phase VII and interest gauged. Examples include: University of Cumbria, CHOC, PCNs, ICCs, etc.

A development session was held on the 8th July, with meetings on 21st July, 11 Aug, 4th Sept. The agenda will now need to consider how Covid and recovery structures dovetail with Cumbria Resilience and recovery work.

COVID has significantly reduced capacity available to progress this as response and recovery continue into phase 2.

Future tasks: Set up a task group to look at the application and distribute writing sections, explore funding opportunities, seek letters of support, map activity and horizon scan.

#### ***Emerging risks/issues:***

Several cross cutting agendas running at present - ad hoc system (opportunity for this work to pull this together).

Lack of engagement and input from key partners

Complexity of submission in terms of number of partners input required

Covid agenda (many partners are tied up with Response and Recovery)

**Key Action 17: Continue to support and develop the Food City Partnership: Local Healthy Eating Options; Carlisle Food Charter; food sector supply chain development; food skills; education and tourism** (SMT Owner: D Crossley, Scrutiny Panel: H&W)

***Project Description:*** Develop work of Food Carlisle and subsequent partnership projects

***Timeline - Quarter 2 Update:***

The City Council was successful in its application to Sustainable Food Cities for both the campaigns grant (£5k) and the coordinator grant to move from Bronze to Silver Award (£10k).

We have also been successful in achieving an additional £5k and a 6 month extension to the Bronze to Silver Award project due to the current Covid-19 crisis.

***Emerging risks/issues:***

We have been unable to appoint the position to deliver this work due to the Covid-19 crisis.

## Carlisle City Council Performance Dashboard

### Quarter 2 2020/21

Key	
↓	Performance is deteriorating (compared to same period last year)
↑	Performance is improving (compared to same period last year)
→	No change in performance (compared to same period last year)
✗	Off target
▲	Close to target (within 5%)
✓	On target

On Target?	New Code	Measure	Frequency	Performance Q2 2020/21	Performance Q2 2019/20	Trend	Target	Comments
▲	CSe03	Average weight (Kg) of domestic non-recycled waste collected per house	Monthly	216.8	208.2	↓	208.2	
✓	CSe04	Revenue gained from household waste recycling collected	Quarterly	£ 276,211	£ 260,031	↑	£ 243,443	
N/A	CSe05	Proportion of all Carlisle waste recycled (including partners)	Monthly	60.2%	60.0%	↑	Info only	
✓	CSe08	Litres of fuel used by Council fleet	Monthly	193,866	196,377	↑	196,377	
N/A	CSe10a	Number of Fixed Penalty Notices issued for fly tipping	Monthly	6	7	↓	Info only	
N/A	CSe10b	Number of Fixed Penalty Notices issued for littering	Monthly	11	55	↓	Info only	Including 'Littering from a Vehicle'
N/A	CSe10c	Number of Fixed Penalty Notices issued for dog fouling	Monthly	2	7	↓	Info only	
N/A	CSe10d	Number of Fixed Penalty Notices issued for abandoned vehicles	Monthly	0	0	→	Info only	
N/A	CSe11a	Number of counts/reports of fly tipping	Monthly	358	244	↑	Info only	
N/A	CSe11b	Number of counts/reports of littering	Monthly	15	32	↓	Info only	
N/A	CSe11c	Number of counts/reports of dog fouling	Monthly	56	89	↓	Info only	
N/A	CSe11d	Number of counts/reports of graffiti	Monthly	0	3	↓	Info only	
N/A	CSe11e	Number of counts/reports of abandoned vehicles	Monthly	179	190	↓	Info only	
▲	CSe12a	Proportion of acts of fly tipping responded to in full within 5 working days	Monthly	99.4%	100%	↓	100%	
N/A	CSe12b	Proportion of acts of offensive graffiti responded to in full within 1 working day	Monthly	N/A	N/A	N/A	100%	None reported
▲	CSe12c	Proportion of abandoned vehicles initially investigated within 5 working days	Monthly	99.4%	98.6%	↑	100%	
✗	CSe14	Actual car parking revenue as a percentage of car parking expenditure (including recharges).	Quarterly	51.2%	120.5%	↓	126.1%	Revenue £413k under target
✗	CSe18	Actual Old Fire Station (OFS) revenue as a percentage of OFS expenditure (including recharges).	Quarterly	0.8%	18.5%	↓	29.0%	OFS has been closed since March due to Covid-19.
N/A	CSe19	Old Fire Station count of event attendees (direct count of ticket sales)	Quarterly	0	6479	↓	Info only	Excludes visitors to the venue (café or to buy tickets) and private hire room bookings.
✗	CSe22	Actual city centre revenue as a percentage of city centre expenditure (including recharges)	Quarterly	58.9%	62.4%	↓	77%	Revenue £16k under target.
✓	CSe24	Actual Bereavement Services revenue as a percentage of Bereavement Services expenditure (including recharges)	Quarterly	226.9%	178.8%	↑	189.7%	
✗	CSe25	Actual Talkin Tarn revenue as a percentage of Talkin Tarn expenditure (including recharges)	Quarterly	70.1%	98.7%	↓	85.5%	Tearoom closed during Q1 due to Covid-19.
N/A	CSe26	Proportion of allotment sites that are self-managed.	Quarterly	16.0%	19.0%	↓	Info only	
N/A	CSe27	Proportion of allotment plots that are occupied.	Quarterly	93.0%	90.0%	↑	Info only	Excluding self-managed sites.
✓	CSe29	Percentage of play area safety inspection completed on time.	Quarterly	100%	100%	→	100%	
N/A	CSe36a	Social media reach: Facebook post reach - monthly average	Monthly	568000	342145	↑	Info only	The number of people who had a City Council post enter their screen
N/A	CSe36b	Social media reach: Twitter post reach - monthly average	Monthly	310000	189400	↑	Info only	



## Carlisle City Council Performance Dashboard

### Quarter 2 2020/21

Key	
↓	Performance is deteriorating (compared to same period last year)
↑	Performance is improving (compared to same period last year)
→	No change in performance (compared to same period last year)
✗	Off target
▲	Close to target (within 5%)
✓	On target

On Target?	New Code	Measure	Frequency	Performance Q2 2020/21	Performance Q2 2019/20	Trend	Target	Comments
✓	CSu02	Proportion of customer "calls for service" logged in Salesforce completed on-line	Monthly	27.5%	15.9%	↑	15.9%	From calls logged in Salesforce CRM (5727 out of 20843 logs).
▲	CSu04	Percentage of Council Tax collected	Quarterly	55.0%	56.8%	↓	56.8%	
✗	CSu05	Percentage of NNDR collected	Quarterly	50.0%	57.0%	↓	57.0%	
✓	CSu06	Proportion of direct social media messages on Facebook and Twitter responded to within 24 hours (work days)	Monthly	100%	100.0%	→	100%	
✓	CSu07	Customer Services - Respond to customer emails within 48hrs	Quarterly	99.0%	95.6%	↑	90%	
N/A	CSu08	Customer Services - Calls answered within 1 minute	Quarterly	N/A	#N/A	N/A	80%	New measure for 2020/21. Unable to measure currently due to temporary telephony system in place while staff work from home.
✓	CSu09	Customer Services - visitors served within 10 minutes	Quarterly	100%	#N/A	N/A	90%	New measure for 2020/21. Contact Centre is currently operating by appointment only.
✓	ED02	Building Control to process S80 demolition notices within six weeks (statutory duty)	Quarterly	100%	100%	→	100%	
✓	ED03b	Building Control to decide 100% of all applications within the statutory period of 5 weeks or 2 calendar months (with the consent of the applicant)	Monthly	100%	100%	→	100%	
✓	ED05	Proportion of major planning applications completed in 13 weeks or within agreed time extension	Monthly	100%	88.0%	↑	60%	
✓	ED06	Proportion of minor planning applications completed in 8 weeks or within agreed time extension	Monthly	97.3%	98.0%	↓	80%	
✓	ED07	Proportion of 'other' planning applications completed in 8 weeks or within agreed time extension	Monthly	100%	99.0%	↑	80%	
N/A	ED08	Proportion of Tree Preservation Orders (TPO) confirmed within 6 months	Monthly	N/A	100%	N/A	100%	None confirmed in the first half of the year
✓	ED10	Proportion of Tree Preservation Order applications determined within statutory period of 8 weeks	Monthly	100%	100%	→	100%	
✓	ED11	% of valid full plan applications determined or checked by Building Control within 5 working days	Monthly	32.7%	34.8%	↓	25%	
✓	ED12	% of valid full plan applications determined or checked by Building Control within 15 working days	Monthly	100%	100%	→	95%	
✓	ED13	% of site inspections carried out by Building Control on the date agreed	Monthly	99.5%	100%	↓	99%	
✓	FR01	Actual net spend as a percentage of annual net budget.	Quarterly	45.2%	45.1%	↓	47.9%	
✓	FR02	Percentage of all invoices paid within 30 working days	Monthly	99.4%	99.5%	↓	98%	
✓	FR03	Average number of working days lost due to sickness absence per FTE (full-time equivalent) employee.	Monthly	4.1	4.6	↑	4.6	
✓	FR04	Percentage of return to work interviews completed in five working days of returning to work.	Monthly	75.4%	73.0%	↑	73%	

## Carlisle City Council Performance Dashboard

### Quarter 2 2020/21

Key	
↓	Performance is deteriorating (compared to same period last year)
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→	No change in performance (compared to same period last year)
✗	Off target
▲	Close to target (within 5%)
✓	On target

On Target?	New Code	Measure	Frequency	Performance Q2 2020/21	Performance Q2 2019/20	Trend	Target	Comments
N/A	FR06	Proportion of debts recovered (sundry debtors)	Quarterly	93.3%	95.3%	↓	N/A	Rolling 12 months to end of Aug 2020
N/A	GRS04	Proportion of contested licence applications decided on within 50 working days.	Quarterly	N/A	N/A	N/A	95%	0 contested applications
✓	GRS05	Proportion of Temporary Event Notices licences processed within 1 working day.	Quarterly	100%	100%	→	100%	8 applications in the first two quarters
✓	GRS06	Proportion of public health service requests (pest control, noise, smells, house conditions) responded to within the target response times.	Quarterly	91.7%	88.0%	↑	90%	
✓	GRS10	Proportion of food hygiene inspections completed as scheduled	Quarterly	100%	66.0%	↑	90%	

# Report to Executive

**Agenda  
Item:**

**A.13**

Meeting Date: 14 December 2020

Portfolio: Cross Cutting

Key Decision: No

Within Policy and  
Budget Framework No

Public / Private Public

Title: DATES AND TIMES OF MEETINGS 2021/22

Report of: Corporate Director of Governance and Resources

Report Number: GD.61/20

## Purpose / Summary:

To consider dates and times for meetings of the City Council, Executive, Scrutiny Panels, Audit Committee and the Regulatory Committees for the 2021/22 municipal year.

## Recommendations:

- (1) The observations of the Executive are requested on the schedule of dates and times for meetings in the 2021/22 Municipal Year for submission to the City Council.
- (2) That the dates and times for meetings of the Executive, which have been chosen by the Leader, be noted.

## Tracking

Executive:	<b>14 December 2020</b>
Scrutiny:	<b>Scrutiny Chairs Group - 10 November 2020</b>
Council:	<b>5 January 2021</b>

## **1. BACKGROUND/**

- 1.1** The Constitution of the City Council requires that a calendar showing the date and time of ordinary meetings of committees, sub-committees, panels and working groups shall be prepared by the Corporate Director of Governance and Regulatory Services and approved by the Council before the commencement of the Council year and the calendar will then be distributed to all Members.

## **2. PROPOSALS**

- 2.1** Attached at Appendix A is a draft schedule of meeting dates for the City Council, the Executive, Scrutiny Panels and the Regulatory Committees for the 2021/22 Municipal Year.
- 2.2** The frequency of meetings is set out in the Constitution in respect of the Executive, Scrutiny Panels and the Audit Committee. The frequency of meetings of the Council and remaining Committees/Panels have been previously agreed. The current frequencies are as follows:-

City Council (ordinary meetings)	8 weekly;
Scrutiny Panels	6 weekly;
Executive (required to meet at least 13 times per year)	4 weekly;
Development Control Committee	6 weekly;
Regulatory Panel	5 weekly;
Licensing Committee	Quarterly

The Audit Committee will meet in July, September, December and March.

Meetings of the Standards Committee, Appeals Panel, Employment Panel, Licensing Sub-Committees, and other meetings are held as and when required and as such are not included in this schedule.

- 2.3** The Constitution states that the Executive will meet at least 13 times per year. Dates and times for meetings of the Executive are at the discretion of the Leader and are currently every 4 weeks.
- 2.4** The Health and Wellbeing Scrutiny Panel has been scheduled to meet at 10.00am on Thursday and the Business and Transformation Scrutiny Panel and the Economic growth Scrutiny Panel have been scheduled for 4.00pm on Thursday, as is current practice.

- 2.5** With regard to the Budget process, it is proposed that the Executive meeting scheduled for Monday 22 November 2021 will be an ordinary meeting that will also include consideration of the initial draft Budget reports. The budget reports will then be circulated for consultation with the Scrutiny Panels as follows:-
- Health and Wellbeing – Thursday 25 November 2021;
  - Economic Growth – Thursday 2 December 2021;
  - Business and Transformation – Tuesday 7 December 2021.

The observations of the Scrutiny Panels will then be considered at a further special Executive meeting on Monday 13 December 2021.

It is proposed that the Executive will meet again on Monday 20 December 2021 to formally agree its draft Budget for consultation.

This consultation process will include the proposals being submitted to the scheduled meeting of the Business and Transformation Scrutiny Panel on Thursday 6 January 2022 with their observations and other feedback being considered by the Executive at their meeting on Wednesday 19 January 2022.

The budget proposal will then go to a Special meeting of the City Council on 1 February 2022.

### **3. CORONAVIRUS PANDEMIC**

- 3.1** The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 ‘the Regulations’ were introduced to allow Councils to operate meetings during the Coronavirus pandemic. The Regulations temporarily changed existing law to permit Council meetings to take place remotely until 7 May 2021.
- 3.2** The 2021/22 Civic Calendar has been prepared using the current timescales for May 2021 elections and legislation out with the Regulations. Should the Regulations be extended past 7 May 2021 or additional regulations are introduced there may be a requirement for the Civic Calendar to be amended and reconsidered by Council at a future date.

### **4. RISKS**

- 4.1** Not having an agreed calendar of meetings contravenes the requirements of the Constitution of the City Council and would inhibit members of the public in engaging in the democratic process.

## **5. CONSULTATION**

- 5.1** The Scrutiny Chairs Group has considered the draft timetable on 10 November 2020 and any comments will be fed into the calendar.
- 5.2** Consultation has taken place with the Licensing Section, Economic Development and Finance on the scheduling of meetings. The Corporate Director of Finance and Resources' comments on the arrangements for considering and processing the Budget and the views of Economic Development on the schedule of Development Control Committee meetings have been incorporated in the schedule of meetings attached.

## **6. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

- 6.1** In accordance with Procedure Rule 1.1 (x) that the dates and times of meetings in the Municipal Year 2021/22 be approved as set out in the attached appendix.
- 6.2** That the dates and times of meetings of the Executive as chosen by the Leader be noted.

## **7. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

- 7.1** To ensure that the appropriate governance arrangements are in place to enable the City Council to meet all of the Carlisle Plan priorities.

**Contact Officer:** Rachel Plant

**Ext:** 7039

**Appendices attached to report:** Appendix A – Schedule of dates and times of meetings for 2021/22

**Note: in compliance with section 100d of the Local Government Act 1972 the report has been prepared in part from the following papers:**

- Carlisle City Council's Constitution
- GD.25/20 – Dates and Times of Meetings 2020/21 from Council 14 July 2020

## **CORPORATE IMPLICATIONS:**

**LEGAL** - comments are incorporated in the report but it should be noted that the Council must, at this stage, set its Civic Calendar to facilitate its existing committee structure,

irrespective of the governance deliberations currently under consideration by the Overview and Scrutiny Panels. Some of the Meetings are set (e.g. Annual Council) but it is open to Council to amend the calendar as regards other meetings, should it wish to do so. Current operating changes are set out in paragraph 3.1 of the Report.

**FINANCE** – subject to the Council agreeing a schedule of meetings for Council, Scrutiny Panels and Regulatory Committees and the Leader arranging a schedule of meetings of the Executive which are broadly comparable with the schedule of meetings for the current Municipal Year, there are no additional staffing/resource requirements arising from this report. The meetings necessary for the Budget process have been scheduled into the Calendar of Meetings. The Council budget meeting is currently scheduled for 1 February 2022. As this is before 8 February any proposed amendments to the budget proposals on the night would act as a reference back to the Executive and would not be effective on the night.

**EQUALITY** – None

**INFORMATION GOVERNANCE** – None

# May 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
					1	2
3 <i>Bank Holiday</i>	4	5	6 <i>Elections</i>	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24 11.00am—Annual Council	25	26	27	28	29	30
31 <i>Bank Holiday</i>						



# June 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
	1	2 4.00pm—Executive	3 4.00pm Business and Transformation Scrutiny Panel	4	5	6
7	8	9 9.45am—Development Control Committee 10.00am—Development Control Site Visits 4.00pm Regulatory Panel followed by Licensing Committee	10 10.00am Health and Wellbeing Scrutiny Panel	11 10.00am - Development Control Committee	12	13
14	15	16	17 4.00pm—Economic Growth Scrutiny Panel	18	19	20
21	22	23	24	25	26	27
28	29	30				

# July 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
			1	2	3	4
5 4.00pm Executive	6	7	8 10.00am Audit Committee	9	10	11
12	13	14 4.00pm—Regulatory Panel	15 4.00pm—Business and Transformation Scrutiny Panel	16	17	18
19	20 6.45pm—Council	21 10.00am—Development Control Site Visits	22 10.00am Health and Wellbeing Scrutiny Panel	23 10.00am—Development Control Committee	24	25
26	27	28 10.00am—Audit Committee	29 4.00pm—Economic Growth Scrutiny Panel	30	31	

# August 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
						1
2 4.00pm—Executive	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18 4.00pm—Regulatory Panel	19	20	21	22
23	24	25	26 4.00pm—Business and Transformation Scrutiny Panel	27	28	29
30 <i>Bank Holiday</i>	31 4.00pm—Executive					

# September 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
		1	2 10.00am—Health and wellbeing Scrutiny Panel	3	4	5
6	7	8 10.00am—Development Control Site Visits	9 4.00pm—Economic Growth Scrutiny Panel	10 10.00am—Development Control Committee	11	12
13	14 6.45pm—Council	15	16	17	18	19
20	21	22 4.00pm—Regulatory Panel	23	24 10.00am—Audit Committee	25	26
27 4.00pm—Executive	28	29	30			

# October 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
				1	2	3
4	5	6	7 4.00pm—Business and Transformation Scrutiny Panel	8	9	10
11	12	13	14 10.00am—Health and Wellbeing Scrutiny Panel	15	16	17
18	19	20 10.00am— Development Control Site Visits	21 4.00pm— Economic Growth Scrutiny Panel	22 10.00am— Development Control Committee	23	24
25 4.00pm—Executive	26	27 4.00pm—Regulatory Panel followed by Licensing Committee	28	29	30	31

# November 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
1	2	3	4	5	6	7
8	9 6.45pm—Council	10	11	12	13	14
15	16	17	18	19	20	21
22 4.00pm—Executive	23	24	25 10.00am—Health and Wellbeing Scrutiny Panel	26	27	28
29	30					

# December 2021

Mon	Tue	Wed	Thu	Fri	Sat	Sun
		1 10.00am— Development Control Site Visits 4.00pm—Regulatory Panel	2 4.00pm—Economic Growth Scrutiny Panel	3 10.00am— Development Control Committee	4	5
6	7 4.00pm—Business and Transformation Scrutiny Panel	8	9	10 10.00am—Audit Committee	11	12
13 4.00pm—Executive (Special)	14	15	16	17	18	19
20 4.00pm—Executive	21	22	23	24	25	26
27 <i>Bank Holiday</i>	28 <i>Bank Holiday</i>	29	30	31		

# January 2022

Mon	Tue	Wed	Thu	Fri	Sat	Sun
					1	2
3	4 6.45pm—Council	5 4.00pm—Regulatory Panel followed by Licensing Committee	6 4.00pm—Business and Transformation Scrutiny Panel	7	8	9
10	11	12 10.00am—Development Control Site Visits	13 10.00am—Health and Wellbeing Scrutiny Panel	14 10.00am—Development Control Committee	15	16
17	18	19 4.00pm—Executive	20 4.00pm—Economic Growth Scrutiny Panel	21	22	23
24	25	26	27	28	29	30
31						



# February 2022

Mon	Tue	Wed	Thu	Fri	Sat	Sun
	1 6.45pm —Special Council	2	3	4	5	6
7	8	9 4.00pm—Regulatory Panel	10	11	12	13
14	15	16	17 10.00am—Health and wellbeing Scrutiny Panel	18	19	20
21 4.00pm—Executive	22	23 10.00am— Development Control Site Visits	24 4.00pm—Business and Transformation Scrutiny Panel	25 10.00am— Development Control Committee	26	27
28						

# March 2022

Mon	Tue	Wed	Thu	Fri	Sat	Sun
	1 6.45pm—Council	2	3 4.00pm—Economic Growth Scrutiny Panel	4	5	6
7	8	9	10	11	12	13
14	15	16 4.00pm—Regulatory Panel	17 10.00am—Audit Committee	18	19	20
21 4.00pm—Executive	22	23	24	25	26	27
28	29	30	31 4.00pm—Business and Transformation scrutiny Panel			

# April 2022

Mon	Tue	Wed	Thu	Fri	Sat	Sun
				1	2	3
4	5	6 10.00am— Development Control Site Visits	7 10.00am—Health and wellbeing Scrutiny Panel	8 10.00am— Development Control Committee	9	10
11	12	13	14 4.00pm—Economic Growth Scrutiny Panel	15 <i>Bank Holiday</i>	16	17
18 <i>Bank Holiday</i>	19 4.00pm—Executive	20 4.00pm—Regulatory Panel followed by Licensing Committee	21	22	23	24
25	26 6.45pm—Council	27	28	29	30	

# May 2022

Mon	Tue	Wed	Thu	Fri	Sat	Sun
						1
2 <i>Bank Holiday</i>	3	4	5 Elections	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23 11.00am—Annual Council	24	25	26	27	28	29
30 <i>Bank Holiday</i>	31					