

**To: Deputy Leader and Members of the Resources Board
(Councillors Moore, Butcher, Davis, N Dirveiks,
Forwood, Holland, Johnston, Smith and Winter)
For the information of other Members of the Council**

For general enquiries please contact Emma Humphreys/Amanda Tonks on 01827 719221 or via email – emmahumphreys@northwarks.gov.uk or amandatons@northwarks.gov.uk.

For enquiries about specific reports please contact the Officer named in the reports.

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RESOURCES BOARD AGENDA

11 June 2012

The Resources Board will meet in the Committee Room at The Council House, South Street, Atherstone, Warwickshire on Monday, 11 June 2012 at 6.30pm.

AGENDA

- 1 Evacuation Procedure.**
- 2 Apologies for Absence / Members away on official Council business.**
- 3 Declarations of Personal or Prejudicial Interests.**
(Any personal interests arising from the membership of various Parish Councils of Councillors Davis (Atherstone), Moore (Baddesley), Winter (Dordon) and Butcher (Polesworth) are deemed to be declared at this meeting).

- 4 **Request for discussion and approval of remaining En Bloc items.**

**PART A – ITEMS FOR DISCUSSION AND DECISION
(WHITE PAPERS)**

- 5 **Local Authority Mortgage Scheme** – Report of the Assistant Director (Housing) and Assistant Director (Finance and Human Resources)

Summary

This report provides information on a Local Authority Mortgage Scheme set up by Sector Treasury Services, which this Authority could use to assist first time buyers to obtain mortgages in the North Warwickshire area.

The Contact Officers for this report are Angela Coates (719369) and Sue Garner (719374).

- 6 **Report of Members' Independent Remuneration Panel** – Report of the Assistant Director (Finance and Human Resources)

Summary

This report shows the key recommendations of the Independent Remuneration Panel following a review of the current Members' Allowances Scheme.

The Contact Officer for this report is Jackie Marshall (719379).

- 7 **Council Property** – Report of the Assistant Director (Streetscape)

Summary

This report seeks to address the issues raised by the recent Industrial Units Scrutiny Project as reported to this Board on 2 April, 2012 as well as looking at the wider issue of the state of the Council's property assets and the approach which might be adopted to manage them in the future.

The Contact Officer for this report is Richard Dobbs (719440)

- 8 **PDM Group - Application for Consent to Install a New Tallow Farm Storage Facility** – Report of the Assistant Director (Streetscape)

Summary

Members are asked to consent to the installation of a tallow farm storage facility (subject to the granting of appropriate planning permission) on land owned by the Borough Council but which is leased to PDM Group.

The Contact Officer for this report is Richard Dobbs (719440)

9 **Borough Care Service Review** – Report of the Assistant Director (Housing)

This report provides the Board with an update on the progress of the corporate priority to review the Borough Care service and proposes that a cross party task and finish group be set up to consider how the service should be delivered.

The Contact Officer for this report is Angela Coates (719369).

10 **Housing Revenue Account Budgetary Control Report 2012/2013 – Period ended 31 May 2012** – Report of the Assistant Director (Finance and Human Resources)

Summary

The report covers total Housing Revenue Account revenue expenditure and income for the period from 1 April to 31 May 2012.

The Contact Officer for this report is Nigel Lane (719371).

**PART B – ITEMS FOR EN BLOC DECISIONS
(YELLOW PAPERS)**

11 **Members' Allowances Out-turn for 2011/12** – Report of the Assistant Director (Finance and Human Resources)

Summary

The purpose of this report is to advise Members of the allowances paid for 2011/12. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

The Contact Officer for this report is Jackie Marshall (719379).

12 **Annual Treasury Report for 2011/12** – Report of the Deputy Chief Executive

Summary

This report shows the out-turn for 2011/12 and highlights any areas of significance.

The Contact Officer for this report is Jackie Marshall (719379).

- 13 **Collection Progress for Sundry Debts 2011/12 and Prompt Payment of Creditor Invoices, LPI 8** – Report of the Assistant Director (Finance and Human Resources)

Summary

The purpose of this report is to advise Members of the collection progress for Sundry Debts in 2011/12 and to highlight the performance of the local performance indicator, LPI 8, Prompt Payment of Creditor Invoices.

The Contact Officer for this report is Jackie Marshall (719379).

- 14 **Risk Management Annual Report 2011/12** – Report of the Assistant Director (Finance and Human Resources)

Summary

This report is to inform Members of the progress made on Risk Management during 2011/12.

The Contact Officer for this report is Jackie Marshall (719379).

- 15 **Procurement and Commissioning Strategy Action Plan 2012 – 2013** – Report of the Assistant Director (Corporate Services)

Summary

This report presents the Procurement and Commissioning Strategy Action Plan for 2012/13 to Members.

The Contact Officer for this report is Linda Bird (719327).

- 16 **Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April – March 2012** – Report of the Chief Executive and the Deputy Chief Executive

Summary

This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April to March 2012.

The Contact Officer for this report is Robert Beggs (719238).

- 17 **Internal Audit – Performance for 2011/12** – Report of the Deputy Chief Executive

Summary

The report allows the Board to monitor the progress of the Council's Internal Audit function against the agreed plan of work for the year.

The Contact Officer for this report is Barbara Haswell (719416).

- 18 **Treasury Management Revised Lending List** – Report of the Deputy Chief Executive.

Summary

This report shows a revised Treasury Management Lending List.

The Contact Officer for this report is Jackie Marshall (719379).

- 19 **Budgetary Control Report 2012/13 - Period Ended 31 May 2012** – Report of the Assistant Director (Finance and Human Resources)

Summary

The report covers revenue expenditure and income for the period from 1 April 2012 to 31 May 2012. The 2012/13 budget and the actual position for the period, compared with the estimate at that date, are given, together with an estimate of the out-turn position for services reporting to this Board.

The Contact Officer for this report is Nigel Lane (719371).

- 20 **Consolidated Budgetary Control Report 2012/13 - Period Ended 31 May 2012** – Report of the Assistant Director (Finance and Human Resources)

Summary

The report covers total Council General Fund revenue expenditure and income for the period from 1 April 2012 to 31 May 2012.

The Contact Officer for this report is Nigel Lane (719371).

- 21 **Capital Programme 2012/2013 Period Ending May 2012** - Report of the Assistant Director (Finance and Human Resources)

Summary

The report updates Members on the progress of the 2012/13 Capital Programme in terms of both expenditure and outcomes.

The Contact Officer for this report is Jon Illingworth (719489).

- 22 **Minutes of the Housing Sub-Committee held on 17 April 2012 (copy herewith) to be received and noted.**

**PART C – EXEMPT INFORMATION
(GOLD PAPERS)**

- 23 **Exclusion of the Public and Press**

Recommendation:

That under Section 110A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.

- 24 **Land at Atherstone** – Report of the Assistant Director (Streetscape) – VERBAL REPORT

The Contact Officer for this report is Richard Dobbs (719440).

- 25 **GPS System for Transport Fleet** – Report of the Assistant Director (Streetscape)

The Contact Officer for this report is Richard Dobbs (719440).

- 26 **Affordable Housing Developments – Atherstone and Mancetter** – Report of the Assistant Director (Housing)

The Contact Officer for this report is Angela Coates (719369).

- 27 **Request to Purchase Land** – Report of the Assistant Director (Housing)

The Contact Officer for this report is Angela Coates (719369).

28 **Requests to Purchase a Licence to Occupy Garden Land in Shustoke –**
Report of the Assistant Director (Housing) – TO FOLLOW

The Contact Officer for this report is Angela Coates (719369).

JERRY HUTCHINSON
Chief Executive

Agenda Item No 5

Resources Board

11 June 2012

Report of the Assistant Director (Housing) and the Assistant Director (Finance and Human Resources) Local Authority Mortgage Scheme

1 Summary

- 1.1 This report provides information on a Local Authority Mortgage Scheme set up by Sector Treasury Services, which this Authority could use to assist first time buyers to obtain mortgages in the North Warwickshire area.

Recommendation to the Board

That the set up costs identified in paragraph 10.1.4 are approved;

Recommendation to the Council

- a That the Council adopts the Local Authority Mortgage Scheme in accordance with the outline provided in this report, and approves the following:**
- A total indemnity value of £2 million**
 - A maximum loan size for the authority of £190,000**
 - The qualifying post codes will be provided to the lender(s) in a schedule to the indemnity deed;**
- b That the Council should indemnify the Monitoring Officer in respect of any personal liability he may incur by providing an opinion and providing the Lender with the Opinion Letter; and**
- c That expenditure of £1 million be included in the Capital Programme for 2012/13.**

2 Background

- 2.1 The turmoil in the financial and banking market has had a severe impact on local economies and has also affected local housing markets. The economy is not expected to gather much momentum until the second half of 2012 at the earliest, which suggests that labour market conditions and buyer sentiment may be slow to improve. There is still considerable concern about some areas of the housing market, particularly the low percentage of first time buyers. The Council of Mortgage Lenders has reported a little improvement but the pick up is comparatively recent and from a low base.

- 2.2 Current mortgage requirements are a particular problem for first-time buyers, as applicants need to provide a substantial deposit. Until confidence is restored in the funding markets and a more stable market environment returns, lending criteria are unlikely to change.
- 2.3 As a result of the recession and the adverse effect on the local economy and the housing market, a number of Local Authorities are trying to take a proactive approach in supporting the local area, and also to address pressing issues in increasing the supply of affordable housing.

3 Current Situation

- 3.1 Typically mortgage lenders will only lend 75% - 80% of a property's value, even if the applicant can afford a 95% mortgage. This means an applicant needs a substantial deposit, around 20% - 25% of the value of the property they wish to buy. For example, a property of £150,000 would require a deposit of around £30,000 - £37,500. Many potential first time buyers do not have this level of deposit available. As a result many potential home buyers may remain in social / affordable housing, thereby reducing the availability of this type of housing for those who have a greater need.
- 3.2 A number of Local Authorities have considered issuing mortgages to potential home buyers themselves. However, there are limited financial resources available for this, and they also have limited staffing resources and expertise in this area to manage their own mortgages. There are also considerable operational risks attached in entering into this area of residential mortgage activity.
- 3.3 In conjunction with a number of local authorities, Sector Treasury Services set up a pilot Local Authority Mortgage Scheme, which allowed the local authorities to provide targeted help to potential home buyers to enable them to obtain a mortgage. Due to the high level of set up costs, funders were only interested in a large national scheme.
- 3.4 The national scheme was set up as a private sector initiative; which looks to minimise the financial impact on a Local Authority, and at the same time take advantage of the expertise already available from existing mortgage providers. It isn't linked to the Right to Buy Mortgage Scheme previously provided by Local Authorities.

4 The Local Authority Mortgage Scheme (LAMS)

- 4.1 The scheme is aimed at first time buyers, providing help for potential buyers who can afford mortgage payments – but not the initial deposit – to get onto the property ladder.
- 4.2 The scheme enables a Local Authority to work with a Mortgage Lender, to make mortgages more accessible for first-time buyers. In this case, North Warwickshire Borough Council would deposit money with a Mortgage Lender, to provide a financial guarantee / indemnity on behalf of first-time buyers.

- 4.3 The Council would need to set three qualifying criteria:
- the maximum value of the total indemnity, for example, £1 million;
 - the maximum loan size per property based on 95% of the maximum property valuation, for example £142,500 may be picked where typical property values are £150,000;
 - qualifying post codes.
- 4.4 The Mortgage Lender would administer the funds and deal with mortgage applications. If a potential buyer meets the strict credit criteria applied by the Lender, and meets the criteria set out by the Local Authority to qualify for a mortgage under the scheme, the Local Authority will provide a top-up indemnity to the Lender.
- 4.5 The first time buyer would only need to find a 5% deposit and would obtain a mortgage of 95% of the property value. North Warwickshire Borough Council would provide a top-up indemnity to the value of the difference between 95% and 75% of the loan, which reduces the risks for the Lender of taking the smaller deposit. However the repayment terms for the buyer would be better, as they would be based on similar terms as a 75% mortgage. Mortgages would be on a repayment only basis.
- 4.6 The North Warwickshire Borough Council indemnity would be required for a fixed 5 year period, for each mortgage granted under the scheme. If a mortgage goes into arrears in the last 6 months of the 5 year period, there would be a requirement to leave the indemnity with the Lender for a further 2 years.
- 4.7 The indemnity would only be called upon, if the mortgagee defaults on the loan. In that case, North Warwickshire would be liable for a maximum of 20% of the value of property (the difference between the 95% and 75% mortgage deposit), depending on the funds realised from the sale of the property. The Lender would request individual payments from the Council, if this happened.
- 4.8 Assuming a property value of £150,000, then the indemnity required from the Council would be £30,000 (20% of £150,000), for each applicant. If the total indemnity was £1 million, then around 33 first-time buyers could be supported.
- 4.9 Warwickshire County Council are interested in supporting this scheme and are willing to match fund the amount provided by this Council. If the County Council also put £1 million forward, then around 66 first-time buyers could be supported.
- 4.10 Current tenants wishing to use LAMS to buy Council dwellings would not be able to access the scheme, as Mortgage Lenders take the view that those applicants already have access to an alternative assistance scheme.

5 Treasury Position

- 5.1 The indemnity can be either an unfunded or “cash-backed” scheme, depending on the requirements of the Lender. If the indemnity is unfunded, North Warwickshire would receive a fixed amount of the value of the indemnity actually provided, typically in the region of £500 per mortgage.
- 5.2 It is more likely that the Council would be involved in a “cash-backed” scheme. This would require the full value of the indemnity being offered, to be deposited with the Lender for a five year period. The Council would receive a premium on the money deposited with the Lender to compensate for the risk involved. This would typically be a five year commercial deposit rate plus 0.7%. NWBC would need to amend its Treasury Management Strategy and Treasury Management Practises to accommodate this scheme.
- 5.3 The Lender will not have a legal charge over the cash deposit. In the event of an indemnity being called and an amount being payable by the Local Authority to the Lender, a request for payment would be made by the Lender.
- 5.4 For both types of indemnity and assuming no default by the buyer, the indemnity liability would terminate on the earliest of the end of the agreed indemnity period (i.e. 5 years) or an early repayment of the mortgage. In the case of a cash backed indemnity, the fixed term deposit would be repaid to the Local Authority at the date of maturity. Interest due to the Authority would be received on an annual basis.

6 Benefits of Using a LAMS

- 6.1 Take up of the scheme is likely to free up some social housing for those in need.
- 6.2 The Council can take advantage of the expertise and administration capacity of the Mortgage Lender.

7 Implementation of LAMS

- 7.1 The scheme is currently supported by nine mortgage lenders, two national lenders (Lloyds Banking Group and Leeds Building Society), and seven smaller lenders; Furness BS, Saffron BS, Leek United BS, Marsden BS, Principality BS, Teachers BS and Kent Reliance BS. The smaller lenders are generally only involved in local schemes.
- 7.2 A minimum of eight weeks will be required to set up the scheme, although most Authority’s take longer. Sector will work with the Authority to find a suitable mortgage lender, ensure all legal requirements are considered and the scheme is promoted to potential applicants.
- 7.3 If the Authority decides to participate in the LAMS, it needs to agree the criteria required to qualify for the scheme. The local criteria are:

- The maximum limit for the total indemnity being offered under the scheme. An amount of £1 million from North Warwickshire is suggested. If the County offer of match funding is accepted, this would provide a total indemnity of £2 million;
- The maximum loan size (based on maximum property valuation). The Council's Valuer advises that a good 3 bed semi will cost around £150,000 in Atherstone / Polesworth, whilst a similar property would cost in the region of £200,000 in the west of the Borough;
- The qualifying post codes within the boundary area. For our purposes this would be applications for all post codes within North Warwickshire.

- 7.4 A review of mortgage applications approved to date under LAMS has indicated that the personal circumstances of first time buyers and the stringent credit and affordability applied does self regulate the Scheme and mortgage applications are not extending to high upper limits. For this reason it is suggested that the maximum loan size should be set at £190,000 (£200,000 x 95%).
- 7.5 Once these parameters have been set, the mortgage lender should manage the operational side of the scheme without any direct input from North Warwickshire. Sector Treasury Services will undertake an annual audit of the scheme to ensure both parties are fully compliant with the agreement.
- 7.6 If the Authority approves the scheme and identifies Lloyds as a suitable Lender, then in addition to the Local Lend a Hand Mortgage Scheme Indemnity Deed, the Local Authority Monitoring Officer must provide Lloyds TSB Bank plc and Lloyds TSB Scotland plc with an Opinion Letter confirming that the Authority has the power to enter into, observe and perform the terms and obligations required of it under the Scheme.
- 7.7 The Authority will also be required to indemnify the Monitoring Officer in respect of any personal liability he may incur by providing the Opinion Letter. Both the Opinion Letter and the Monitoring Officer's Indemnity Deed will be in a prescribed form and, in addition to the resolution required to enter into the Mortgage Scheme Indemnity Deed, the Authority will need to ensure that there is a suitable resolution or other form of authority for the grant of the Monitoring Officer's Indemnity Deed.
- 7.8 If the Council chooses to proceed with the scheme, it is recommended that potential applicants are made aware of the proposed scheme in broad terms. Some suggested wording for inclusion on the Council's website is attached as Appendix B. More detailed publicity would be used before the scheme was launched, but this would need to be agreed the chosen Lender.
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8 Housing Need in North Warwickshire

- 8.1 The issues for first time buyers in North Warwickshire are the same as for those nationally. The need to provide a significant deposit is prohibitive. As a consequence applications are made to join the Council's Housing Register when in different circumstances buying would have been a viable option.
- 8.2 There are over 1,600 applicants on the housing register. 240 have stated that they are interested in home ownership.
- 8.3 Implementation of the Local Authority Mortgage Scheme locally would enable the Housing Options Team to offer a positive alternative to first time buyers who can afford mortgage payments but not the required deposit. The initiative would not only help first time buyers but would also act on the housing market locally to ease demand on social housing, private rented homes and would assist the sale market by enabling current owners to move on.

9 Conclusion

- 9.1 The Local Authority Mortgage Scheme is designed to help increase the supply of affordable housing for those who need it, and to help the local housing market and thereby the local economy.
- 9.2 The scheme has been designed to minimise the impact on the Local Authority, and to work in partnership with a range of experts in the market, ie residential mortgage lenders.
- 9.3 The scheme requires the Local Authority to provide a financial indemnity of up to 20% of a mortgage for potential home-buyers who qualify for Local Authority support, and who meet the strict lending criteria set by the lender. The scheme does not promote reckless lending or provide unaffordable mortgages, it simply reduces the value of the deposit required.

10 Report Implications

10.1 Finance and Value for Money Implications

- 10.1.1 The minimum local authority investment is £1 million. In the case of the cash backed option, this would be classed as capital expenditure and be included in the capital programme. The expenditure would be funded by Prudential Borrowing but no debt repayments (MRP) would be necessary until after the deposit has been returned.
- 10.1.2 The deposit would also receive a premium rate of investment interest, which would exceed the interest rate payable on the borrowing. This premium above normal investment rates is to compensate for the risk that local authorities are taking. The net income (investment returns less interest costs) would be retained in an earmarked reserve to fund any defaults that may potentially occur.

10.1.3 If the indemnity is unfunded (the non cash backed option), the Authority will only account for any income as it is received, and would again retain it in an earmarked reserve to offset any potential defaults.

10.1.4 If the Council decides to proceed with this scheme, there will be some set up costs. Sector has undertaken work on a legal document around State Aid, and all authorities taking up the scheme are asked to contribute £3,000 towards this work. There will also be some costs attached to publicising the scheme, although these are not expected to be significant. These costs can be met from an existing budget for Private Sector Homes.

10.1.5 If further legal and/or accounting advice is required, Sector would obtain this on behalf of all local authorities. Additional fees would be agreed with all parties in advance.

10.2 Legal and Human Rights Implications

10.2.1 The pilot scheme has obtained Counsel's opinion on the legality of the scheme, which sets out the legislative framework that would give a Local Authority the power to implement the Scheme. The advice was obtained on behalf of all participating Local Authorities, however each authority should ensure the Council's Monitoring Officer is satisfied with the advice provided.

10.2.2 If the Authority proceeds with Lloyds TSB, the Monitoring Officer will need to issue an opinion letter to the Lender confirming that the Authority has the power to enter into, observe and perform the terms and obligations required under the scheme. The Council will also need to approve to indemnify the Monitoring Officer for any personal liability, depending on the Mortgage Lender chosen. A recommendation has been included to cover this eventuality.

10.3 Risk Management Implications

10.3.1 There are a number of risks associated with the scheme, and the Authority needs to consider how to manage these risks and the mitigating controls to put in place. A Risk Assessment, outlining the key risks and potential mitigating controls is attached as Appendix A.

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10.3.2 If mortgagees default, then NWBC would be liable for up to the maximum amount of the 20% deposit they have provided the indemnity for. Although there is some risk, it is fairly low, as applicants need to meet the strict lending criteria used by Lenders. The scheme does not promote reckless lending or provide unaffordable mortgages. For example, the Lender would refuse applications where they considered people are trying to over extend.

10.3.3 With a cash backed scheme, the lack of take up would be a risk for the Lender rather than the Council, as they will need to pay the agreed interest rate regardless of the level of take up. For this reason, Lenders are likely to cap any scheme at £2 million.

10.4 Equality Implications

10.4.1 The scheme if adopted will contribute to assisting local communities accessing affordable housing and is consistent with aims of the Council's Financial Inclusion work. The impact of the scheme if approved can be assessed locally to see if there are any impacts in terms of the protected characteristics identified in the Equality Act 2010.

10.5 Environment and Sustainability Implications

10.5.1 The scheme if adopted should have positive sustainability implications because of the benefits for local communities by assisting their access to affordable housing and helping address a financial inclusion barrier of required mortgage deposits.

10.6 Links to Council's Priorities

10.6.1 Increasing the supply of affordable and social housing is a key corporate priority.

The Contact Officers for this report are Angela Coates (719369) and Sue Garner (719374).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

APPENDIX A

	Strategic Risk	Key Risk	Risk Rating	Likelihood	Impact	Preventative Measures	Notes
F1	Financial	Local Authority Affordability	Moderate	Low	Moderate / High	Make adequate budget provision	For a cash backed guarantee it may be prudent that the interest earned on the deposit is set aside in a ring fenced reserve to be used to fund future potential liabilities in the event of default and the guarantee being called upon
F2		Lending to sub prime applicants	Low	Low	Moderate	Use lender's existing credit criteria	
F3		Applicant affordability	Low	Low	Moderate	Lenders will ensure the mortgage is affordable	
F4		Costs incurred in the event of a guarantee being called	Low	Low	Low	The number of repossessions by first-charge mortgage lenders in 2010 was 0.3% of all mortgage lenders (Source – CML website). For each £1m, there is potential for loss of £3,000 if each default leads to a 100% loss of the value of the guarantee. For 95% LTV mortgages this may be higher, perhaps 1-2%. The cash backed guarantee will attract a premium investment return in the region of 4.1%, ie each £1m allocated to the scheme will earn £41,000.	No specific stats available for first time buyers only. For this purpose, it is assumed the full value of the guarantee will be lost in the event of a default.
F5		Counterparty Risk	Low	Low	High	Partnership with highly reputable financial institutions for deposits. Ensure compliance with the TMSS	The cash backed mortgage support should not be seen as a straight forward deposit with a financial institution. Participating Local Authorities may be required to provide a "financial advance" to the participating mortgage lender (to support mortgages in the local economy), so the requirements of the scheme would always be slightly different to the usual investment principles. This will be identified in the TMSS

	Strategic Risk	Key Risk	Risk Rating	Likelihood	Impact	Preventative Measures	Notes
R1	Reputation	Poor publicity / bad press re use of monies	Moderate	Low	Low	Press Officer to liaise closely with local press Promotion of benefits of the scheme ie supporting the local housing market and the local economy Good promotional material Joint working with partners and Estate Agents Press release / photo opportunity	Sector / participating mortgage lenders will support the promotional process
R2		Repossession in the hands of the lender, therefore outside of the Local Authority's area of responsibility	Moderate	Moderate	Low	Lender to inform Local Authority if and when an applicant is facing repossession. Local Authority may be able to support people to prevent repossession	
R3		Poor publicity / bad press re possible repossessions	Moderate	Moderate	High	Early notice from lender to the Local Authority if action is due to be taken. Local Authority to assess alternative options	
P1	Political	Lack of political support	Low	Low	High	Ensure political support from the outset. Continued member briefing of progress on the scheme and value of guarantees offered	Sector will support this process
P2		Change of political priorities	Low	Moderate	Low	Future support for the scheme may be withdrawn, but existing support would remain until expiry	
O1	Operational	Adverse impact on existing staffing levels	Low	Low	Low	The Local Authority will have no input on the assessment / processing of mortgage applications	
O2		Housing market fully recovers and the scheme is no longer required	Moderate	Moderate	Low	The scheme will cease to exist. Guarantees already granted- for 5 years + a further 2 years if the account is 90+ days in arrears – would remain in place	Further analysis of local / regional housing issues to be added ie. local housing need, house prices, mortgage approvals etc. This information will determine the anticipated life of the scheme

Proposed Wording for the Council's Web Site

North Warwickshire Borough Council is working to develop a new mortgage scheme which will help first time buyers take their first step on to the housing ladder. Under the scheme, first time buyers will only need a 5% deposit to buy their first home, with local councils guaranteeing a further 20%, giving them access to lower mortgage rates.

Prospective buyers will still need to be able to afford their mortgage repayments, but will not need to save the large deposit that lenders now ask for, with 20-25% of the price of a property being common place.

The Council is very interested in launching the scheme and is currently working with Sector Treasury Services to agree a partner Lender(s). Subject to approval the Council is expected to launch the scheme later in the year and more details will appear here as it develops so check back regularly to find out more.

Agenda Item No 6

Resources Board

11 June 2012

Report of the Assistant Director (Finance and Human Resources)

Report of Members' Independent Remuneration Panel

1 Summary

1.1 This report shows the key recommendations of the Independent Remuneration Panel following a review of the current Members' Allowances Scheme.

Recommendation to the Council

- a That the Independent Remuneration Panel's report, as set out in Appendix A, be noted;**
- b That the following be approved;**
 - 1) That the Basic Allowance of £4,942, remains unaltered;**
 - 2) That the Special Responsibility Allowance for the Leader of the Council remains unaltered;**
 - 3) That the Portfolio Holder for Health, Wellbeing and Leisure continues to receive an SRA of £1,745 from the date the Member took up the post;**
 - 4) That the Vice Chairs (with portfolio responsibilities) of Community and Environment and Resources Boards are paid an SRA of £1,745 from the date the Members took up their posts;**
 - 5) That the Chairs of Housing and Safer Communities Sub-Committees be paid an SRA of £1,745 from the date the Members took up their posts;**
 - 6) That the Chairs of the Area Forums receive an SRA of £873, to be implemented from the start of 2012/13 Municipal Year;**
 - 7) That the SRA, and the qualifying criteria, paid to Members for serving on Appeals Panels remains unaltered;**
 - 8) That the decision to give authority for Members to join the Local Government Pension Scheme be refreshed for another four years;**
 - 9) That no change is made to the current Co-optee allowance paid to the Independent (co-optd) Chair of the Standard's Committee, currently £293, noting that the post will lapse at the end of June 2012 and no longer be payable;**

- 10) That subsistence within the Borough is not claimable, except in exceptional circumstances as defined by the person calling the meeting, with the approval of the Monitoring Officer, to be implemented from the start of 2012/13 Municipal Year;
- 11) That subsistence and overnight accommodation allowance outside the Borough should mirror the same rates that are applicable to Officers and that they should only be reimbursed upon production of receipts;
- 12) That no changes are made to the current definition and scope of approved duties for which Members can claim travel allowances;
- 13) That the HMRC Approved Mileage Allowance Payment rates be used for claims for approved duties, to be implemented from the start of 2012/13 Municipal Year;
- 14) That the HMRC passenger supplement rate be adopted for carrying fellow Councillors to an approved duty, to be implemented from the start of 2012/13 Municipal Year;
- 15) That no changes are made to current rates and conditions to the Travel Allowance scheme where Members travel by public or other means of transport;
- 16) That there are no changes to the scope or levels payable in the Dependent Carer's Allowance Scheme, other than that the child care maximum rate should be the minimum wage;
- 17) That Basic Allowances, SRAs, Co-optees Allowances (if still payable) and Travel and Subsistence Allowances be frozen until the Council asks the Panel to undertake a further review of allowances; and
- 18) That Members note that the freezing of Allowances does not apply to Dependent Carer Allowance.

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- 2.1 Councillors M Stanley and Hayfield have been consulted and any comments will be reported at the meeting.

3 **Report**

3.1 **Introduction**

- 3.1.1 The Panel was convened under the Local Authorities' (Members' Allowances) (England) Regulations 2003. These regulations require all authorities to set up and maintain an advisory panel to review and provide advice on Members' Allowances. All Councils are required to convene their panel and seek its advice before they make any changes or amendments and they must "pay regard" to the Panel's recommendations before setting a new or amended Members' Allowances Scheme.

4 **Terms of Reference**

4.1 Terms of Reference were issued to the Panel which included:-

- i To provide an independent assessment of the remuneration for elected Members of North Warwickshire Borough Council, by reviewing the current scheme. The assessment should:
 - Recognise Members' roles as democratic representatives, their responsibilities for the administration of public funds and their accountability to the local community.
 - It must also take into account the need to recompense them for the work they do, noting in particular Special Responsibility Allowances.
- ii To note the formal abolition of Portfolio groups and the new positions created.
- iii To take account of the financial position of the Council and the legal framework in which it operates.
- iv To advise whether indexing relating to allowances should again be for a 4 year period as stated in the Members' Allowances Regulations 2003 SI 1022 [10(5) and 21e]. The current scheme is currently updated inline with NJC for staff pay awards.
- v To review payments to be made to Members who serve on Appeals Panels.
- vi To refresh the Council's authority enabling Members to join the Local Government Pension Scheme.
- vii To review the Council's travel and subsistence allowances and make recommendations to the Council where appropriate.

5 The Process

- 5.1 All Members were given the opportunity to submit their written views to the Panel, or to make their views known to their respective Group Leaders. The Panel met with the Leaders or Deputy Leaders of the groups to put forward their group's views. Another elected Member also met with the Panel to discuss various issues as did certain Officers so that the Panel could obtain a view on the changes and challenges facing the Council.

6 Panel Recommendations

- 6.1 Whilst there was some evidence for fundamental change, the Panel was also mindful of the Localism Act 2011 and its staged implementation over the next 12-18 months and also the current economic climate which both the Council and its residents are experiencing. The Panel therefore felt that it could not recommend increases in the main allowances payable.

7 Basic Allowance

- 7.1 The Basic Allowance being paid is on a par with other Warwickshire authorities. The Panel recommends that this should remain unchanged.

8 Special Responsibility Allowances

- 8.1 Due to the reasons highlighted in 7.1 above, the Panel decided not to recommend any changes in SRAs other than those listed in the table below.

SRA	Existing Amount Per annum	Revised Amount Per Annum	Payable from:
Health, Wellbeing & Leisure Portfolio Holder	£1,745	£1,745	Date Member took up post
Community Life Portfolio Holder *	£1,745	£1,745	Date Member took up post
Vice Chair of Community & Environment Board	£1,745	£1745	Date Member took up post
Vice Chair of Resources Board	£1745	£1,745	Date Member took up post
Housing Sub-Committee Chair		£1,745	Date Member took up post
Safer Communities Sub-Committee Chair		£1,745	Date Member took up post
Area Forum Chair	£1,745	£873	16 May 2012
Members on Appeals Panels	£250 subject to conditions	£250 subject to conditions	N/A

*Although the Panel recommended that an SRA be payable for the position of Community Life Portfolio Holder, this position has since been removed from the Council structure.

9 Subsistence Allowances

- 9.1 The Panel has consistently recommended that the Council discontinues the ability for Members to claim subsistence allowance when attending approved duties within the Borough unless there are exceptional circumstances as defined by the person calling the meeting and with the approval of the

Monitoring Officer. Although subsistence is rarely claimed, the Panel feels that this potential loophole should be closed within the current scheme.

- 9.2 With regards to subsistence allowances outside the Borough, it is recommended that payment is made at current rates according to existing conditions.

10 Travel Allowances

- 10.1 During the course of the review, representation was made to the Panel to extend the number of group meetings for which Members can claim travel allowance. Currently, members can claim for one group meeting per cycle, usually held a few days before a Council meeting. This goes beyond the historical statutory definition of an approved duty. As the statutory restrictions no longer apply, the Council can amend its definition of an approved duty as it wishes, after paying regard to the Panel's advice. Whilst accepting that adding one group meeting per cycle adds to the efficiency of Council business, the Panel does not feel that an additional group meeting would add significant benefit to the running of the Council. Consequently, the Panel recommends that no changes are made to the current definition and scope of approved duties for which Members can claim Travel Allowances.
- 10.2 Currently, the mileage rates that Members can claim for attending approved duties are the same as Officers, set by the NJC for Local Government services. Officers' rates have already been amended to reflect the HMRC Approved Mileage Allowance Payment rates. The Panel recommends that HMRC rates, including motor cycle, bicycle and passenger rates are adopted for attending approved duties, with effect from the start of the municipal year. The HMRC rates are shown in the table below.

Vehicle	<10,000 miles travelled, rate per mile	>10,000 miles travelled, rate per mile
Cars and vans	45p	25p
Motor cycles	24p	24p
Bicycle	20p	20p
Passenger (fellow Member)	5p	5p

- 10.3 Other recommendations are:-

- That there are no changes to the current rates and conditions where Members travel by public or other means of transport.
- That there are no changes to the scope and levels payable in the Dependent Carer's Allowance Scheme, other than that the child care maximum rate should be the minimum wage, which is as follows:-

Age of Carer	Hourly rate
Adult rate- aged 21 and over	£6.19
Workers aged 18-20 inclusive	£4.98
Workers aged 16-17 inclusive	£3.68

11 Discontinuation of Indexation

- 11.1 All allowances are currently indexed, but for the Council to continue to be able to index allowances, it needs fresh advice from the Panel under the 4 year rule. The Panel feels that in the light of the current economic climate and the likely review required within the next couple of years, that Members' Allowances should be frozen until the Panel is asked to carry out another review. The only exception to this is the Dependent Carer's Allowance, which should continue to be indexed to the national minimum wage applicable to the age of the carer.
- 11.2 Once agreed by Council, a revised Members' Allowance Scheme will be put on the Council's Intranet.

12 Publicity

- 12.1 Once a report is received from the Independent Remuneration Panel, regulations state that as soon as practicably possible, the results must be published in a local newspaper and that copies of the report are available for inspection by members of the public.

13 Report Implications

13.1 Finance and Value for Money Implications

- 13.1.1 The current cost of the Members' Allowance Scheme (Basic Allowance and Special Responsibility Allowances) is £221,227 per annum. The cost of the revised structure and proposed allowances is £222,974. This is based on each position of responsibility being filled by a different Member. In reality, a Member may hold more than one position of responsibility, but may only be paid one SRA. There are, however, potential savings from 2013/14 onwards, based on the removal of the NJC indexing and an assumed pay award of 2%, and due to the freeze on Basic Allowance and Special Responsibility Allowances proposed in this report. Details are shown in Appendix B.

13.2 Legal and Human Rights Implications

- 13.2.1 The Panel was convened under the Local Authorities' (Members' Allowances) (England) Regulations 2003. The Panel must "pay regard" to the Panel's recommendations before setting a new or amended Members' Allowances Scheme. Although Resources Board has the responsibility for Members' Allowances and any reports of the Independent Remuneration Panel, any decisions regarding levels of payment must be made by full Council.

The Contact Officer for this report is Jackie Marshall (719379)

**A Review
Of
Members' Allowances
For
North Warwickshire
Borough Council**

The Seventh Report

By the

**Independent
Remuneration Panel**

**Dr Declan Hall (Chair)
Marion Plant OBE
Jason Reakes**

May 2012

Foreword

This is the seventh report produced by the Independent Remuneration Panel (IRP or Panel) for North Warwickshire Borough Council. The original Panel was established in November 2001 to make recommendations to the Council on the range and levels of remuneration for the Authority's members as required by the Local Government Act 2000. This act established the statutory basis of all local IRPs and their role in providing advice to their respective councils on Members' Allowances schemes. In turn, the same act enshrined new roles and responsibilities for Members that necessitated wholesale changes to Members allowances to reflect the enhanced demands being placed on Members. The first review made a number of changes to the then allowances scheme, mainly to ensure it met the regulatory requirements (see first Report December 2001). A second review was undertaken in early 2003 (see second report February 2003) and made more far-reaching recommendations in light of experience of the new political structures and roles, which the Council accepted. This second review set the current framework for Members' Allowances that is still largely in place.

A third review, in October 2003, was conducted under the *Local Authorities (Members' Allowance) (England) Regulations 2003*¹ (the 2003 Regulations) and subsequent amendments. These regulations required the Council to reconvene the Panel to make recommendations in relation to pensions, travel and subsistence allowances, Co-optees' allowances, and on ancillary issues before 31 December 2003. As such, the third review was mainly concerned with the legislative changes that affected the allowances payable for Members expenses and support rather than the principal allowances (see third report October 2003). A fourth review was undertaken in January 2005 after the transfer of liquor licensing responsibilities from local magistrates to councils. This new regime required the Council to arrange for a new Licensing Committee, which had an impact on the workload of the Licensing Committee members during the transitory period. The resulting report (fourth report January 2005) made recommendations on how the new Licensing responsibilities should be remunerated and for how long.

The fifth review in the summer of 2008 (see IRP fifth report July 2008) was conducted under the statutory requirement for the Council to seek fresh approval from the Panel on the applicability of indices to allowances, and if so, which indices to be applicable. The Council also asked the Panel to look at all the allowance levels as they had not been systematically reviewed for over 4 years, with a view to consider whether the scheme was still fit for purpose. The Panel in the fifth review concluded that the scheme had stood the test of time and was not in need of substantial restructuring, only in need of amendment. There was a minor sixth review in the summer of 2009 that looked solely at the Special Responsibility Allowance for the Chairman of the new Scrutiny Board after the reorganisation of scrutiny – see July 2009 report.

¹ See Statutory Instruments 2003 Nos. 1021, 1022 and 1692 for further details.

The immediate driver behind this the seventh review has been the recent changes to political structures, which means that the current scheme does not reflect the actual structures in place. Moreover, as the Council is up against the “4-year rule” once more the Council has also asked the Panel to consider the applicability of refreshing indexation as well as take an overview of the whole North Warwickshire Borough Council Members’ Allowances scheme.

There is some initial evidence to indicate there is a case to recommend some major changes to the North Warwickshire Borough Council Members’ Allowances scheme. However, the Panel has not made such recommendations in this review. The reality is that the economic climate is not conducive to major changes in Members’ Allowances, particularly as the Council is seeking to make further savings. Moreover, the provisions of the 2011 Localism Act will be implemented in stages over the next 18 months or so. This will undoubtedly transform present council structures to a greater or lesser degree and have impacts on the roles and responsibilities of elected Members and therefore a more comprehensive in-depth review will be in all likelihood be required within the next 2 years, to take into account the impact of these changes.

Consequently, for this review the Panel has made recommendations that relate primarily to the immediate modifications in council structures and the applicability of indexing the allowances for another four years. The recommendations, if accepted will result in savings vis-à-vis the current spend on members’ allowances. It is by no means the definitive statement of the Panel on Members’ Allowances for North Warwickshire Borough Council for the next four years but a set of recommendations that are appropriate for this particular juncture.

Dr Declan Hall

Chair of the North Warwickshire Borough Council Independent Remuneration Panel

May 2012

The Seventh Review of Allowances

For

North Warwickshire Borough Council

The Regulatory Context and Terms of Reference

The Requirement for the Review

1. This (seventh) report is a synopsis of the deliberations and recommendations made by the Independent Remuneration Panel (IRP or Panel) reconvened by North Warwickshire Borough Council to advise the Council on its current Members' Allowances scheme.
2. The Panel was convened under *The Local Authorities (Members' Allowances) (England) Regulations 2003 (SI 1021)*. These regulations, which arise out of the relevant provisions in the Local Government Act 2000, require all local authorities to set up and maintain an advisory Independent [Members] Remuneration Panel to review and provide advice on Members' allowances on a periodic basis. All Councils are required to convene their Remuneration Panel and seek its advice before they make any changes or amendments to their allowances scheme and they must 'pay regard' to the Panel's recommendations before setting a new or amended Members' Allowances Scheme.
3. Specifically, the Panel was convened on this occasion to make recommendations to the Council on the applicability of the indexation of allowances for the next four years. Regulation 10(5) states:

Where an authority has regard to an index for the purpose of annual adjustment of allowances it must not rely on that index for longer than a period of four years before seeking a further recommendation from the independent remuneration panel established in respect of that authority on the application of an index to its scheme.
4. The Council is fulfilling its statutory responsibility by undertaking this review under Regulations 10(5) and 21(e) of the 2003 Members' Allowances Regulations to seek fresh authority for the indexation of allowances.

Terms of Reference

5. The Panel was given the following terms of reference:
- i To provide an independent assessment of the remuneration for elected Members of North Warwickshire Borough Council, by reviewing the current scheme. The assessment should:
 - Recognise Members' roles as democratic representatives, their responsibilities for the administration of public funds and their accountability to the local community.
 - It must also take into account the need to recompense them for the work they do, noting in particular Special Responsibility Allowances.
 - ii To note the formal abolition of Portfolio groups and the new positions created.
 - iii To take account of the financial position of the Council and the legal framework in which it operates.
 - iv To advise whether indexing relating to allowances should again be for a 4 year period as stated in the Members' Allowances Regulations 2003 SI 1022 [10(5) and 21e]. The current scheme is currently updated inline with NJC for staff pay awards.
 - v To review payments to be made to Members who serve on Appeals Panels.
 - vi To refresh the Council's authority enabling Members to join the Local Government Pension Scheme.
 - vii To review the Council's travel and subsistence allowances and make recommendations to the Council where appropriate.

The Panel

6. North Warwickshire Borough Council reconvened its Independent Remuneration Panel and the following Panel Members carried out its independent review; namely:
- Dr. Declan Hall, Chair of the Panel, former academic at the Institute of Local Government, The University of Birmingham, now an independent consultant specialising in Members' allowances and support.
 - Marian Plant (OBE), Principal & CEO of North Warwickshire and Hinckley College.
 - Jason Reakes, Head of Government Affairs at BMW Group (UK).

7. The Panel was supported by Jackie Marshall, Financial Accountant at NWBC, who acted as the 'Panellist's Friend', and whose role was to take the organisational lead in facilitating the work of the Panel.
8. The Panel would like to record its gratitude to Members and Officers of North Warwickshire Borough Council for making oral and written submissions and briefings to the Panel. In particular, a special appreciation is reserved for Jackie Marshall who has given sterling support to the Panel over the years.

Process and Methodology

How the Panel approached the Review

9. The Panel considered the evidence and made its recommendations as a 'virtual' or 'e' Panel. As the Panel was asked to consider amendments to the Members' Allowances scheme arising out of the changes in structures which have not resulted in increases in allowances the 2003 Regulations permit the Panel to consider the evidence and agree its recommendations via electronic means. In regards to the requirement to review the applicability of indices for allowances there is an implicit expectation that all Panels physically convene as the 4-year rule is the means by which all councils have their schemes subjected to a degree of public scrutiny and accountability. However, in this particular case the implicit expectation is not operative as the Panel has decided not to recommend indexation of allowances and therefore its recommendations will not lead to any increases in allowances both now and in the future until the Council seeks further advice when the Panel will expect to convene in person.
10. Consequently, the Chair of the Panel visited the Council House in Atherstone on the 16th March 2012 to meet with leading Members. In addition, all Members were invited to make written submissions to the Panel if they so wished. The Chair also met with two Officers for a briefing to obtain an overview on the recent changes in Council structures and the challenges facing the Council. Appendix 1 lists those Members and Officers who met with the Chair, and those Members who made a written submission.
11. The other Panel Members were sent the relevant information mainly relating to recent changes in Council roles, revised meetings schedules and committee membership, and other allowances' schemes (where relevant). See Appendix 2 for the list of written information the Panel considered.
12. The Chair led on the writing of the first draft of the report for comment and further amendment by other Panel members, before the report being submitted to full Council for consideration.

Considering the Evidence

13. Due to the nature of the review, the Panel did not undertake an extensive benchmarking exercise. Whilst cognisant of the scope and levels of allowances payable in comparable authorities, the previous group of authorities benchmarked is no longer applicable. Previously the Panel benchmarked against other Warwickshire district councils and North Warwickshire Borough Council's CIPFA (Chartered Institute of Public Finance & Accountancy) 'Nearest Neighbours'. Near Neighbour councils are those deemed closest to North Warwickshire Borough Council based on a number of demographic and socio-economic variables. However, CIPFA, since April 2009 and following extensive local government reorganisation, have revised the nearest neighbours benchmarking group for North Warwickshire Borough Council to such an extent that its relevance for benchmarking purposes is yet to be proven. However, the Panel continued to benchmark against the other district councils in Warwickshire for the purposes of this review, where applicable.
14. The Panel took a tiered approach in considering the evidence. It is required to operate within the broad statutory framework laid down by the 2003 Regulations and 2006 Statutory Guidance. The 2003 Members' Allowances (England) Regulations establishes the boundaries for the Panel, e.g., attendance allowances cannot be paid, all Members must receive a Basic Allowance that is equal in value and express authority is granted to vary the terms and conditions for claiming the travel and subsistence allowances, or indeed whether to retain them at all. Within the regulatory context, the Panel has a further obligation to pay regard to the 2006 Statutory Guidance, which for example, mandates certain considerations for all Panels in reaching the recommended Basic Allowance but in contrast provides suggested considerations in reaching an appropriate recommendation for SRAs.
15. The next level of evidence considered by the Panel were the representations (including written submissions) made by the Group Leaders and other Members who met with the Panel Chair. The interviews obtained the views of the groups on the Council and raised a number of specific concerns. The interviews were also utilised to challenge statements and to act as a 'sounding board' to submissions and ideas from elected Members. Finally, all the evidence and representations have been reviewed and evaluated within the comparative context across Warwickshire.

Key Messages and Observations

A case for fundamental change

16. Representation made to the Panel that being an elected Member is increasingly getting more difficult and more complex, although that was not the overwhelming view. Indeed, the recent changes in Council structures could well mean that more demands are placed on Members. There is

certainly a *prima facie* case to be made, but it is yet to be proven. In addition, compared to the other district councils in Warwickshire (and within the national context².) the level and scope of allowances (particularly the senior SRAs) paid to Members of North Warwickshire Borough Council do appear to be below that paid to peers. In addition, it was pointed out that costs Members incur in carrying out their duties have increased dramatically since the last review in 2008, while the maximum rates for which expenses can be reimbursed have not altered since 2008.

Recognising Economic Climate

17. In an ideal world, the prime role of the Panel is to assess what it judges the roles and posts under review are worth based on the evaluation of the evidence, taking into account such variables as workloads, responsibility (and the values attributed to various levels of responsibility) However, the Panel cannot *but* be sensitive to the current economic climate. Not only do many residents of North Warwickshire Borough Council face an uncertain economic future, the Council is also seeking further savings while experiencing growing demands on services, thus trying to 'do more with less'. Moreover, Officers have had their salaries frozen for the last couple of years and will, in all likelihood, have their salaries only marginally increased in the next couple of years, if at all.
18. Thus, the Panel, as the means by which public scrutiny and accountability regarding the North Warwickshire Borough Council Members' Allowances scheme is brought to bear, cannot disregard the current economic environment. Externally, the public would rightly question the rationale if the Panel were to recommend significant increases in the main allowances payable even though a rational case can be made for some increases in Members' remuneration.

The Localism Act 2011 and need for further review

19. The Council continues to address the range of issues that affect all councils. This has increasingly meant an enhanced partnership working that accompanies this agenda (mostly arising out of the staged implementation of the Local Government and Public Involvement in Health Act 2007), particularly affecting senior elected Members. Moreover, pressures on council services and recent Government legislation, particularly the implementation of the Localism Act 2011, means that 'front line' Members will face further pressures. Being an elected Member will not get easier.
20. Thus, another contributory reason to postpone recommending a fundamental revision of the allowances scheme is the passing of the Localism Act 2011 and its staged implementation over the next 12-18 months. In all probability, it will have major impacts on the roles of Members. There will be enhanced

² There is no longer a national survey of allowances undertaken by the LGA and up to date national figures are not available so this statement is impressionistic.

powers for local communities and changes in how planning policies are developed as well as new freedoms for local area committees where established. However, it is too early to assess the impact of the Localism Act 2011 and the Panel will have to take a view when the implications of the Localism Act 2011 become more apparent, which will probably be less than four years hence

Maintaining the current framework with limited change recommended

21. Consequently, the Panel has decided that for the purposes of this review to make recommendations only in relation to the specific issues raised in the terms of reference.

The Basic Allowance

22. Table 1 below shows that the Basic Allowance paid in North Warwickshire Borough Council is on a par with those paid in other Warwickshire district councils.

Table 1: Basic Allowance & Leaders SRAs Paid in Warwickshire Districts 2011/12

Basic Allowance and Leader's SRAs: Warwickshire District Councils (2011/12)			
Council	BA	SRA Leader	Total Leader
Nuneaton & Bedworth	£4,734	£12,429	£17,163
Rugby	£6,227	£16,983	£23,210
Stratford	£4,500	£10,125	£14,625
Warwick	£4,631	£8,371	£13,002
<i>North Warwickshire</i>	<i>£4,942</i>	<i>£10,983</i>	<i>£15,925</i>
Lowest	£4,500	£8,371	£13,002
Highest	£6,227	£16,983	£23,210
Mean	£5,007	£11,778	£16,785
Median	£4,734	£11,778	£16,785

23. **The Panel recommends that the current Basic Allowance (£4,942) remains unaltered.**

Special Responsibility Allowances

24. Table one above also shows that compared to other Leaders of district councils in Warwickshire, the Leader of NWBC is remunerated somewhat less than his peers (a picture that is replicated for most other SRA holders in the Borough). Nonetheless, for reasons mentioned above **the Panel has**

decided not to recommend any alteration to the current SRA for the Leader of NWBC.

25. **Similarly, except where indicated below the Panel recommends no change to the scope and levels of SRAs payable.**

Portfolio Holders – Reorganisation and Retention

26. Since the end of 2011, the Portfolio Holders arrangements have been subject to the most change of any function undertaken by Members. Previously, there were seven Portfolio Holders, who had a responsibility to ensure the delivery of the Council's priorities and undertake a Member Champion and policy development role in relation to their remit, which in turn fed into the Corporate Plan and budget process. Each of the Portfolio Holders led a Portfolio Group to act as the forum for development and advocacy within their respective remit. The remits of the 7 Portfolio Holders were:

- Housing
- Countryside & Heritage
- Safer Communities
- Health, Wellbeing & Leisure
- Environment
- Community Life
- Resources

27. The Health, Wellbeing & Leisure, and Community Life Portfolio Holder posts have been retained, although in a slightly different configuration. The Health, Wellbeing & Leisure Portfolio Holder has been retained partly to reflect a major Council priority, partly to ensure the Council remains focused on government priorities and partly to ensure the Council's statutory responsibilities vis-à-vis public health and wellbeing are given due attention. The Community Life Portfolio Holder post reflects the Council's community priorities and now includes responsibility for the High Speed 2 (railway line).

28. However, their role has changed in that it is expected they will utilise task and finish groups to focus on particular issues of concern to feed back to Council. The retained Portfolio Holders' prime role is still to ensure their designated areas of responsibility are properly dealt with by all parts of the Council's democratic process and at all levels of the organisation.

29. Currently the allowance scheme provides an SRA of £1,745 for the Portfolio Holders and a case can be made to suggest that the two remaining Portfolio Holders will have a larger role in the future by being more proactive and working on a task and finish basis. On the other hand, the Panel noted in its 2008 report (paragraph 32) that it had concerns the role may not have sufficiently developed to merit the level of SRA paid. Subsequently the more

enhanced role may more accurately reflect the Panel's rationale in recommending the original SRA for the Portfolio Holders. However, in the absence of prior experience the Panel has no means to make an informed assessment at this stage.

30. **Consequently, the Panel recommends that the remaining two Portfolio Holders, namely Health, Wellbeing & Leisure and Community Life continue to receive an SRA set at £1,745.**

Reassignment of the five other Portfolio Holder responsibilities

31. Three of the five remaining Portfolio Holder responsibilities have been assigned to the following Boards

- **Community & Environment Board**

- Countryside & Heritage
- Environment

- **Resources Board**

- Resources

32. The Vice Chairs of the respective Boards now have a specific remit to act as lead for the new portfolio holder responsibilities. Again, they will be given greater focus as much of their work will be conducted through task and finish groups. In addition, the Vice Chairs of the Community & Environment and Resources Boards have an expanded role description to chair their respective task and finish groups. If there is more than 1 task and finish group in operation at any one time they will be required to take a lead in rather than chair subsequent task and finish groups, as it is felt to be unreasonable to require the Vice Chair to chair 2 or more task and finish groups at the same time.

33. Previously, the Panel has not recommended a SRA for the Vice Chairs of the Community & Environment and Resources Boards (and the Planning & Development Board and the Licensing Committee) because their roles were primarily to stand in when required and therefore of limited additional "significant responsibility." The addition of this extra dimension to the role of Vice Chairs of the Community & Environment and Resources Boards, with discrete tasks and responsibilities to undertake, now merits an SRA.

34. In setting the appropriate level, the Panel considers the SRA paid to the old Portfolio Holders (£1,745) to be appropriate until the roles can be evaluated in greater depth at the next review.

35. **The Panel recommends that the Vice Chairs (with portfolio responsibilities) of the Community & Environment and Resources Boards are paid a SRA of £1,745.**

36. The two remaining portfolio responsibilities have been re-assigned to the following Boards:
- **Resources Board:** Housing (Sub Committee)
 - **Executive Board:** Safer Communities (Sub Committee)
37. The former Housing and Safer Communities portfolio responsibilities have been given Sub Committee standing with some delegated decision-making powers and each reporting to their respective Board. Establishing Sub Committees for Housing and Safer Communities has been done to reflect the priorities of the Council in a formal context.
38. The Chairs of the Housing and Safer Communities Sub Committees are drawn from the membership of their respective parent Board. Similarly, the Chairs of the Sub Committees merit a SRA as they are taking on the old portfolio responsibilities but now within a formal context and with a degree of delegated decision making responsibilities. This changed context suggests that a case to pay the Vice Chairs of the new Sub Committees a higher SRA than the Portfolio Holders who they largely replaced. However, if this was the case then it may equally apply that the extra monies to pay this enhanced SRA should come from the Chairs of their respective Boards as by definition the delegated decision-making powers were powers formerly exercised by the Chair of the Executive Board (Leader of the Council) and the Chair of the Resources Board.
39. Yet, the relationships are not quite so linear. The Chair of the Executive Board (and Leader) has an additional responsibility to chair the Executive Boards' new Special Sub Group. This has delegated powers regarding Human Resources and any other issues arising that may be delegated to it, which do not neatly fit elsewhere.
40. Moreover, the Human Resources responsibilities that now lie with the Special Sub Group were formerly part of the remit of the Resources Board, which on the face of it further strengthens the case to decrease the SRA of the Resources Board Chair. Yet, the Resources Board was always one of the more active Boards, meeting twice rather than once a cycle. Moreover, the Resources Board retains responsibility for the Housing Revenue Account, after receiving monitoring recommendations from the Housing Sub-Committee (whose powers relate more to ensure the Council's and private/social landlords housing stock are maintained and council housing management issues dealt with). In effect, the picture is not clear at this particular time – there is an element of fluidity in what is inevitably an evolving context. Thus, the Panel has decided that simplicity and past precedent is the best way forward until the situation has settled down and experience proves otherwise.
41. **The Panel recommends that the Chairs of the Housing and Safer Communities Sub-Committees be paid a SRA of £1,745.**

The Chairs of the Four Area Forums

42. Currently, the Chairs of the Four Area Forums each receive a SRA of £1,745. These SRAs arise out the recommendations made by the Panel in its first review in 2001. The evidence received indicates that the current SRA payable is not sustainable, as the original model envisaged has not emerged. They do not have significant devolved powers; their decision-making powers are limited to approving community grants. Although they meet in accordance with the North Warwickshire Borough Council cycle, the common pattern is that each meeting is chaired by a Borough and County Council Member on an alternative basis. Thus, the Borough Chair normally chairs no more than two meetings per year. The County Council Chair does not receive an SRA from the County Council. In addition, no other district council in Warwickshire remunerate the chairs of their area forums and/or consultative forums as a matter of course, but Warwick District Council pays a Conservation Area Chair an SRA of £1,115 while Stratford-on-Avon District Council has two Area Planning Committees the Chairs of which each receive an SRA of £2,250.
43. On the other hand, the North Warwickshire Borough Council Area Forums do act as an important forum for Members to engage with their local communities and provide a platform for their community leadership function – and in the future, this role may be more important as the Localism agenda develops.
44. Consequently, for the time being, the Panel has decided to retain this SRA but at a reduced level and set it at half of its current level, which equals £873.
45. **The Panel recommends that the Chairs of the Area Forums receive an SRA of £873 per year.**

Members on Appeals Panels

46. In the fifth review (see July 2008 Report) the Panel recommended that Members serving on Appeals Panels who put in more than 4 days per year work on this quasi-judicial function should receive an SRA of £250 per year. It is paid in arrears paid at the end of the year once the annual workload of Members undertaking the Appeals function is known.
47. The rationale for setting a qualifier for this SRA to become operative was based on rationale that the Basic Allowance covers those roles Members are expected to undertake as part of their typical duties, with the quasi-judicial function being one of them. However, anything above 4 days per year on the Appeals function has been recognised as beyond that normal expectation and therefore is recognised through a small SRA.

48. No evidence or representation was received to indicate the SRA for Members serving on Appeals Panels or the qualifying criteria need to be revisited.
49. **The Panel recommends that the SRA, and the qualifying criteria, paid to Members for serving on Appeals Panels remain unaltered.**

Membership of the Local Government Pension Scheme: Refreshing Authority

50. The one decision-making power the Panel has is to prevent the Council from deciding on whether Members should be able to join the Local Government Pension Scheme (LGPS). If the Panel decides that Members should not join the LGPS then the Council has to accept that decision. If the Panel decides that the Council can provide Members access to the LGPS the Council does not have to accept that decision, and even if it does, individual Members then have to opt in, if they meet the qualifying criteria as set by legislation. In other words, the Panel's powers in relation to Members access to the LGPS are permissive rather than definitive.
51. The Panel continues to support the right of the Council to decide whether Members should have access to the Local Government Pension Scheme (LGPS). **It recommends that fresh authority for the Council to decide on Members right to join the LGPS be provided for another four years.**

Co-optees' Allowances

52. The Panel notes that the statutory requirement to maintain a Standards Committee ends on 1st July 2012. A Standards Committee can be maintained but it will not retain quasi-judicial powers particularly in relation to complaints against Members. More importantly, the post of co-opted Chair of the Standards Committee will be abolished and the current provision in the North Warwickshire Borough Council Members' Allowances scheme will lapse.
53. **Consequently, the Panel recommends no change to the current Co-optees' Allowance paid to the independent (co-opted) Chair of the Standards Committee. The post as it stands will lapse at the end of June 2012 and no be longer payable.**

Travel and Subsistence Allowances

Subsistence – for within Authority meetings

54. The Panel has consistently recommended down the years that the Council discontinue the blanket provision that enables Members to claim for the reimbursement of subsistence expenses when attending approved duties

within the Borough unless there are exceptional circumstances. This allowance is an anachronism, left over from the days when Members did not receive remuneration and the main principle allowances they were able to claim were for out of pocket expenses. This is no longer the case.

55. The Panel notes that as the current North Warwickshire Borough Council Members' Allowances scheme reads Members retain the right to claim Subsistence Allowances for attending approved duties within the Borough. However, in reality it is rarely claimed. Nonetheless, if a Member did wish to claim it for attending every approved duty within the Borough they would be able to do and the Panel feels that the current scheme should be amended to close this potential loophole.
56. The Panel reiterates its previous recommendations, in that the Members' Allowances scheme should be amended to clarify that the Subsistence Allowances can no longer be claimed by Members attending approved duties within the Borough unless there are exceptional circumstances as defined by the person calling the meeting with approval of the Monitoring Officer.

Subsistence Allowances – Outwith the Borough

57. The Panel received no evidence that the rates and conditions that apply to the Subsistence Allowances for Members attending duties outwith the Borough need revisiting. The Panel notes with approval that the Council now expects Members to produce receipts when seeking reimbursement for subsistence costs for attending approved duties outwith the Borough as per a previous Panel recommendation.
58. **The Panel confirms the current rates and conditions for claiming Subsistence Allowances (including overnight accommodation) by Members attending approved duties outwith the Borough.**

Travel Allowances - Approved Duties

59. The Panel notes that the Council accepted its recommendation (see July 2008 Report) which clarified it can only be paid for travel claims that are from a Member's permanent residence to an approved duty. Moreover, the Council has gone further and specified that if a Member is coming from, for example, a private engagement to an approved duty which is a lesser distance to travel, then the Member should claim the most economic, i.e., shorter, route to meetings. The Panel applauds this tightening of conditions as it shows the Council is cognisant of its fiduciary duty to the Council Tax payers of the Borough.
60. A further issue regarding the definition of approved duties for claiming travel allowances arose during the course of the review in that representation was made to the Panel to extend the number of group meetings for which Members can claim the travel allowance. Currently, Members can claim for

one group meeting per cycle – normally the group meeting that precedes by a few days a full Council meeting. This goes beyond the historical statutory definition of an approved duty. The statutory restrictions no longer apply and the Council can amend its definition of approved as it wishes, after receiving advice from the Panel.

Car Engine Size	Up to 999cc	1000 - 1199 cc	Over 1200cc
Per mile – first 8,500 miles	46.9p	52.2p	65.0p
Per mile – after 8,500 miles	13.7p	14.4p	16.4p

61. The Panel accepts the logic for including one group meeting per cycle within the definition of approved duties as group meetings add to the efficiency of Council business. However, the Panel is less convinced that adding an extra group meeting per cycle to the scope of approved duties would represent significant benefit to the running of the Council.
62. **Consequently, the Panel recommends no change to the current definition and scope of approved duties for which Members can claim Travel Allowances.**

Mileage Rates

63. Currently, the mileage rates that Members can claim for attending approved duties are the same that Officers (casual users) can claim. In turn, these rates are based rates that are agreed nationally each year by the National Joint Council (NJC) for Local Government Services. The current rates are set out in table 2 below.
64. The Panel was informed that there is a strong possibility that Officers in North Warwickshire Borough Council will have their casual user mileage altered to reflect HMRC AMAP (Approved Mileage Allowance Payment) rates, which is the increasing trend across local government.

Table 2: Current Mileage Rates claimable by Members (NJC Rates)

65. Regardless, the Panel notes that, increasingly, mileage rates under Members' Travel Allowances schemes across English councils are switching to HMRC AMAP rates. Warwick District Council and Rugby Borough Council Members mileage rates are based on AMAP rates. Stratford District and Nuneaton & Bedworth Borough Councils appear to retain the NJC rates – although it cannot be completely ascertained, as their constitutions have not been updated recently. Furthermore, AMAP rates are slightly more

environmentally friendly, as they do not reward those with larger car engine sizes, and they recognise when a Member travels to an approved duty by bicycle. Finally, the AMAP rates do not attract any tax liability for claimants.

66. **The Panel recommends that the mileage rates for which Members can claim for attending approved duties are set at the AMAP rates as set out in table 3 below.**

Table 3: HMRC AMAP Rates 2012/13

Vehicle	Business Miles Travelled	
	First 10,000 miles (£ per mile)	Over 10,000 miles (£ per mile)
Cars & Vans	45p	25p
Motor cycles	24p	24p
Bicycles	20p	20p

Passenger Supplement Rates

67. The Panel has previously recommended that the Council permit Members to claim a passenger supplement of 5p per mile for any passengers they carry in their vehicle for attending approved duties. This was never adopted.
68. **The Panel recommends that the Council also adopt a passenger supplement rate of 5p per mile, which is also the Authorised Mileage Allowances Payment (AMAP) rate as published by HMRC. It should only be claimed for carrying fellow Councillors to an approved duty who are also eligible for the same travel allowance.**

Public and Other Transport

69. **The Panel recommends no change to the current rates and conditions to the Travel Allowances scheme where Members travel by public or other means of transport.**

The Dependants' Carers' Allowance

70. **The Panel recommends no change to the scope and levels payable in the Dependants' Carers Allowance scheme, including the relevant indices (see below) with one exception – the child care maximum rate should be the minimum wage, which is as follows**

Table 4: Current Minimum Wage – Hourly Rates

Age of Carer	Hourly Rate
Adult rate – workers aged 21 and over	£6.19
Workers aged 18-20 inclusive	£4.98

Workers aged 16-17 inclusive	£3.68
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Discontinuation of Indexation

71. Currently, all allowances are indexed; but for the Council to continue to be able to index allowances it needs fresh advice from the Panel under the 4-year rule. The Panel feels that in light of the current economic climate and the fact that a further review will be required within the next couple of years that there is a strong case for Members' Allowances to be frozen until the Panel is asked to undertake a further review. The exception to this should be the DCA – to do otherwise would mean that the Council is reimbursing claimants who would be paying carers less than minimum wage.
72. **The Panel recommends that the following allowances be frozen until the Council asks the Panel to undertake a further review of allowances.**
- **Basic Allowance**
 - **SRAs**
 - **Co-optees Allowances (if still payable)**
 - **Travel and Subsistence Allowances**
73. **The only exception to the freezing of Members Allowances is in relation to the DCA, the DCA rates should continue to be indexed to the national minimum wage applicable to the age of the carer.**

Implementation of Recommendations

74. **The Panel recommends that the revised scheme of allowances as approved by Council arising from this review should be implemented as follows:**
- **SRAs for**
 - **The Health, Wellbeing & Leisure and Community Life Portfolio Holders**
 - **Vice Chairs of the Community & Environment and Resources Boards**
 - **Chairs of the Housing and Safer Communities Sub-Committees**

To be implemented from the date the Member took up their new posts

75. **The Panel further recommends that the following recommendations are implemented from the start of the 2012/13 Municipal Year:**
- **The revised SRAs for the Chairs of the Area Forums**

- **The discontinuation of Subsistence Allowances for attending approved duties within the Borough**
- **The revised Mileage Allowances rates**

Appendix One

Members and Officers who met with the Panel

Members

Cllr Colin Hayfield:	Leader of Opposition (Conservative) Member of the Executive Board
Cllr Peter Morson:	Vice Chair of Resources Board Chair of Safer Communities Sub-Group Member of the Executive Board (Labour)
Cllr Hayden Phillips:	Community & Environment Board – Deputy Leader Member of the Executive Board Deputy Leader of the Labour Group
Cllr Les Smith:	Member of the Executive Board Deputy Leader of Opposition (Conservative) Group
Cllr Mick Stanley:	Leader of the Council and Labour Group Chair of the Executive Board

Officers

Sue Garner:	Assistant Director (Finance & Human Resources)
Jackie Marshall:	Financial Accountant

Written Submissions from Members

Cllr Dominic Ferro:	Portfolio Holder Community Life (Labour)
Cllr Carol Fox:	Conservative Member
Cllr Ann Lewis:	Vice Chair Community & Environment Board (Labour)
Cllr John Moore:	Resources Board – Deputy Leader (Labour)
Cllr Brian Moss:	Chair – Area Forum West (Labour)
Cllr Derek Pickard:	Scrutiny Board – Chairman (Labour) Portfolio Holder – Health, Wellbeing & Leisure
Cllr Tim Wykes:	Conservative Member

Appendix Two

Information Reviewed for North Warwickshire Borough Council – Member Allowances Review 2012

1. Terms of Reference
2. North Warwickshire Borough Council Articles of the Constitution
3. Role Profiles/Job Descriptions for Members and Post Holders
4. Summary of allowances and reimbursements received by Councillors 2011/12
5. Report of the Assistant Chief Executive and Solicitor to the Council to the Executive Board, *Changes to Boards and the Special Sub-Group*, 13 September 2011
6. Report of the Assistant Chief Executive and Solicitor to the Council to the Executive Board, *Constitutional Amendments*, 28 November 2011
7. Other relevant information on the Council and Members including
 - A. Council structure chart
 - B. Membership of Cabinet, Boards, Committees & Forums 2011/12
 - C. Calendar of Meetings 2011/12
8. National Employers for Local Government Services, *NJC Car Allowances 2010/11*, 14 July 2010
9. New Council Constitutions: Guidance on Regulation for Local Authority Allowances, Department for Communities and Local Government, 5th May 2006
10. North Warwickshire Borough Council Members' Allowances Scheme 2011/12
11. Members' Allowances Schemes in Other Warwickshire District Councils (2011/12), namely:
 - A. Nuneaton and Bedworth Borough Council
 - B. Rugby Borough Council
 - C. Stratford-on-Avon District Council
 - D. Warwick District Council
12. Previous Reports of North Warwickshire District Council IRP, namely:
 - 1st Report of the Independent Remuneration Panel, December 2001
 - 2nd Report of the Independent Remuneration Panel, February 2003
 - 3rd Report of the Independent Remuneration Panel, October 2003
 - 4th Report of the Independent Remuneration Panel, January 2005
 - 5th Report of the Independent Remuneration Panel, July 2008

- 6th Report of the Independent Remuneration Panel, July 2009

Appendix B

Cost of Members' Allowance Scheme						
Current Scheme		Revised Scheme	2012/13		With pay award*	
	£		£	Variance	2013/14	Variance
Basic Allowance	172,970	Basic Allowance	172,970			
Special Responsibility Allowances	48,257	Special Responsibility Allowances	48,257			
		Reduction in Area Forums allowances	-3,490			
		Portfolio Holder Community Life	-1,745			
		Resources Board Vice Chair	1,745			
		Community & Environment Vice Chair	1,745			
		Housing Sub- Committee Chair	1,745			
		Safer Communities Sub- Committee	1,745			
	<u>221,227</u>		<u>222,972</u>	<u>1,745</u>	<u>227,431</u>	<u>-4,459</u>

* Effect of removal of NJC indexing and Allowance freeze. Assumed 2% pay award

Agenda Item No 7

Resources Board

11 June 2012

**Report of the
Assistant Director (Streetscape)**

Council Property

1 Summary

- 1.1 This report seeks to address the issues raised by the recent Industrial Units Scrutiny Project as reported to this Board on 2 April, 2012 as well as looking at the wider issue of the state of the Council's property assets and the approach which might be adopted to manage them in the future.

Recommendation to the Board

- a That officers approach commercial letting agents for proposals and costs to increase occupancy levels in the Council's industrial units;**
- b That Members note the draft timetable for reviewing the Council's corporate property as set out at Appendix A, and;**
- c That Members note the format of the proposed Property Management Plans and propose and changes to their content or format**

2 Consultation

- 2.1 Councillors with responsibility for the relevant areas have been involved in discussions relating to issues contained within the report.

3 Occupancy Levels in Industrial Units

- 3.1 The Scrutiny Board report on Industrial and Retail Units highlighted the significant number of vacancies, particularly within Phase 1 and Phase 2 at Innage Park, Atherstone. A number of recommendations were made by the Board aimed at increasing occupancy through a range of measures around promotion and publicity, rent and rate levels, flexible leases and greater partnership working. The Council already offers flexible rents and rent-free periods in certain circumstances and will help with capital improvements or repairs where viable. More has been done with advertising and a feature on industrial units is planned for the November edition of North Talk.

- 3.2 One of the issues raised and discussed was around the restrictions on use which were imposed at certain locations, particular where the proposed use

involved vehicle repair and servicing. Officers agreed to relax the restrictions around usage in order to promote more enquiries from potential tenants. The change in policy has seen some initial success with enquiries coming in from motor-repair type businesses. It is hoped that one, two or more units will shortly be let as a result. In addition to the interest in this area, the Council is also promoting the use of units on a temporary or short-term basis. While the uptake has been slow, there has been some take-up. The recent opening of an indoor skate park in a vacant unit at Carlyon Road is a good example of the Council making best use of its assets in difficult times through closer working with local community groups. It is anticipated that the Boxing Club will soon be occupying another vacant unit.

- 3.3 Officers are looking at improving the information available to prospective tenants on the website and also at sharing enquiries with neighbouring authorities when they have more suitable accommodation on a quid pro quo basis. Rental costs both within the local public and private sectors will also be compared and used to set our own pricing levels.
- 3.4 Officers from the Streetscape and Housing divisions are also investigating the feasibility of utilising some of the vacant units as an alternative operational base for their front-line services as a replacement for the depot. This would resolve some of the occupancy issues, increase activity around the industrial estate thus promoting it as an active and busy area and also release the current depot site for future disposal.
- 3.5 Officers have previously approached commercial letting agents for assistance in letting vacant units on a commission-only basis. It is proposed that these initial approaches should be revisited and refreshed with agents asked to submit proposals as to how they would attract new tenants and the rates they would charge for each successful introduction. These proposals could then be presented to the next meeting of this Board for appraisal and implementation if deemed appropriate.

4 The Arcade

- 4.1 The Scrutiny Board also made a number of recommendations in relation to The Arcade, Long Street, Atherstone and this was the subject of a separate report considered by Resources Board in April, 2012. Both the Town Council and WCAVA have been approached and asked about their potential interest in the site and information and site visits have been arranged. An item has also been placed on the Council's website in order to try and catch the attention of those groups which would not fall under the umbrella of the Town Council or WCAVA. Once the level of community interest in acquiring the site has been ascertained, a further report will be brought back to this Board.

5 Council Property Management Plans

- 5.1 Work is ongoing in relation to the occupancy levels of the industrial units, the potential sale of The Arcade and Members will be aware of the plans to carry out major repair works to the essential infrastructure of the main Council

offices over the coming months. There are a number of other buildings within the Council's ownership, however, whose future is less clear and which will require a degree of maintenance work from fairly minor repairs to wholesale refurbishment if they are to remain viable. In some cases, disposal or replacement may be better options. These buildings and assets will require further assessment and action over the coming years, and a draft timetable for consideration of individual assets by this Board is attached at Appendix A.

5.2 In order to plan ahead and to bring information together from a number of different sources, Management Plans are being drawn up by officers, initially around corporate property, which sets out the building's location and use, the revenue costs, income and budgets associated with the asset, the capital requirements of the building and the timescale for their implementation and alternative uses to which the site could be put, where appropriate. This will allow officers and Members to gain a better understanding of the Council's property holdings, the budgetary implications of retaining or disposing of assets and the links between Council assets and the delivery of Corporate Priorities.

5.3 A Draft Property Management Plans (PMP) pro forma is attached at Appendix B. Initially, it is proposed that PMPs are produced for The Council Offices, Old Bank House, The Arcade, the Depot, the Memorial Hall, Football Ground, Bear & Ragged Staff, the Industrial Units at Carlyon Road, The Pavilions & Innage Park, Atherstone and the Workspace Units at Polesworth. Members are asked to consider the content and format of the draft plan pro forma and recommend any additional information which they would wish to see included. Completed PMPs will be brought back to the next meeting of this Board for consideration.

6. **Portas Money**

6.1 As Members are aware, the Council has been awarded £100,000 from Government following the review of the 'High Street' by Mary Portas. Whilst the focus of the money is to improve the occupancy rate and offer of the main retail areas, the money is not ring fenced and it was the overall business occupancy rates that resulted in the Borough being selected.

6.2 The Assistant Chief Executive and Solicitor to the Council is meeting with business representatives on 18 June to establish what barriers exist preventing new businesses taking premises in our area, with a view to drawing up some package of measures. These draft measures will then be discussed with Members and other representatives, such as Town/Parish Councils.

6.3 Given the number of unoccupied units in the ownership of this Council, this work may impact on the matters discussed above.

7 Report Implications

7.1 Finance and Value for Money Implications

7.1.1 While some of the required works highlighted in the Property Management Plans are covered under the current Capital Programme or within existing revenue budgets, many are not. When the final versions of the plans are brought before this Board in future, the capital and revenue implications of the available options for each asset will be set out in detail.

7.2 Risk Management Implications

7.2.1 There are significant financial and reputational risks associated with the management of the Council's property assets. The specific risks associated with individual sites will be detailed in their PMP.

7.3 Sustainability Implications

7.3.1 The approach highlighted in the report is consistent with sustainability principles because the maintenance and upkeep of key Council buildings and the disposal or replacement of unsuitable or inefficient assets will assist in the Council's aim of protecting public services for local people whilst maintaining a balanced budget and keeping Council Tax increases lower than inflation. By increasing the occupancy rate of the industrial units there will be positive contributions towards the local economy which will help ensure our local communities are sustainable.

7.3 Links to Council's Priorities

7.3.1 The maintenance and upkeep of key Council buildings and the disposal or replacement of unsuitable or inefficient assets will assist in the Council's aim of protecting public services for local people whilst maintaining a balanced budget and keeping Council Tax increases lower than inflation

The Contact Officer for this report is Richard Dobbs (719440).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Property Management Timetable

Property	Condition	Timescale/Comments
Council House	Urgent	<ul style="list-style-type: none"> • Work ongoing
Old Bank House	Fair	<ul style="list-style-type: none"> • Linked to Council House accommodation project
Arcade	Urgent	<ul style="list-style-type: none"> • Ongoing
Depot	Fair	<ul style="list-style-type: none"> • Alternative sites being explored, • Disposal likely in 2-3 years
Memorial Hall	Poor	<ul style="list-style-type: none"> • Decision on future action to be taken by 2013/14?
Football Ground	Fair	<ul style="list-style-type: none"> • More inspections required during 2012/13, • Decision on future in 2013/14? • Medium to long term use likely to be housing
Bear & Ragged Staff	Fair	<ul style="list-style-type: none"> • More inspections required during 2012/13, • Decision on future in 2013/14, • Medium to long term use likely to be housing
Carlyon Road - Industrial Units	Fair – occupied units Poor – unoccupied units	<ul style="list-style-type: none"> • Unoccupied units to be considered as part of Depot relocation in 2013/14
Pavilions - Industrial Units	Fair	<ul style="list-style-type: none"> • No urgent decision needed, review in 2014/15
Innage Park - Industrial Units	Mixed	<ul style="list-style-type: none"> • Review in 2014/15
Workspace Units, Polesworth	Good/Excellent	<ul style="list-style-type: none"> • Review in 2016

Property Management Plan

Name of property

Last Reviewed:

Recommended Action: RETAIN

Address

Description

Site Map/Location Plan

Current Market Value: £

Date of Valuation:

Financial Information:

Revenue Expenditure £ per annum

Income £ per annum

Net Controllable Expenditure £ per annum

Condition: Poor

Equality Act Compliant: No

Environmental Performance: Very Poor

Details of Required Works:

Urgent: Enter details of all works required

Necessary: Enter details of all works required

Optional: Enter details of all works required

Works included in Capital Programme? Urgent Necessary

Date: 2012/13

Options:

Summary of available options

Notes/Links to Corporate Priorities:

Any other information

Agenda Item No 8

Resources Board

11 June 2012

**Report of the
Assistant Director (Streetscape)**

**PDM Group - Application for
Consent to Install a New Tallow
Farm Storage Facility**

1 Summary

- 1.1 Members are asked to consent to the installation of a tallow farm storage facility (subject to the granting of appropriate planning permission) on land owned by the Borough Council but which is leased to PDM Group.

Recommendation to the Board

That the Board consents to the installation of a new Tallow Farm storage facility on land at Mancetter Road, Hartshill, subject to appropriate planning consent for the proposed facility being acquired by the Lessee.

2 Consultation

- 2.1 Wider consultation on this application will be undertaken as part of the planning process.

3 Background

- 3.1 De Mulder & Sons Limited lease land at Mancetter Road, Hartshill from the Borough Council under a ninety nine year agreement. The land is utilised by the lessee for a variety of processes and the site consists of a number of industrial and associated buildings, storage silos, tanks, chimneys, condensers and other plant and equipment.
- 3.2 De Mulder & Sons have written to the Council (as owners of the land seeking permission to site a new Tallow Farm which is designed to replace the existing tallow storage tanks adjacent to the main processing building. The new Tallow Farm will consist of 12 stainless steel tanks on a concrete base along with a service gantry, new loading bay and a new pipe bridge from the Processing Building to the new Tallow Farm. The footprint of the proposed facility is about 750m² in total. The tanks will hold 150 tonnes of tallow each. The new tanks will stand approximately 15m above the base slab and, although tall, they will not be the largest structure on the site.

3.3 Under the terms of the lease, the lessee is required to seek permission from the Council to install new facilities or buildings of this nature, but such consent should not be unreasonably withheld or delayed. The receipt of the application for planning consent was reported to the meeting of the Planning Board on 21 May. A report recommending the Council's permission from a planning perspective will be considered by the Borough Council's Planning Board on 18 June, while Warwickshire County Council's Regulatory Board will finally determine the planning application on 17 July, 2012.

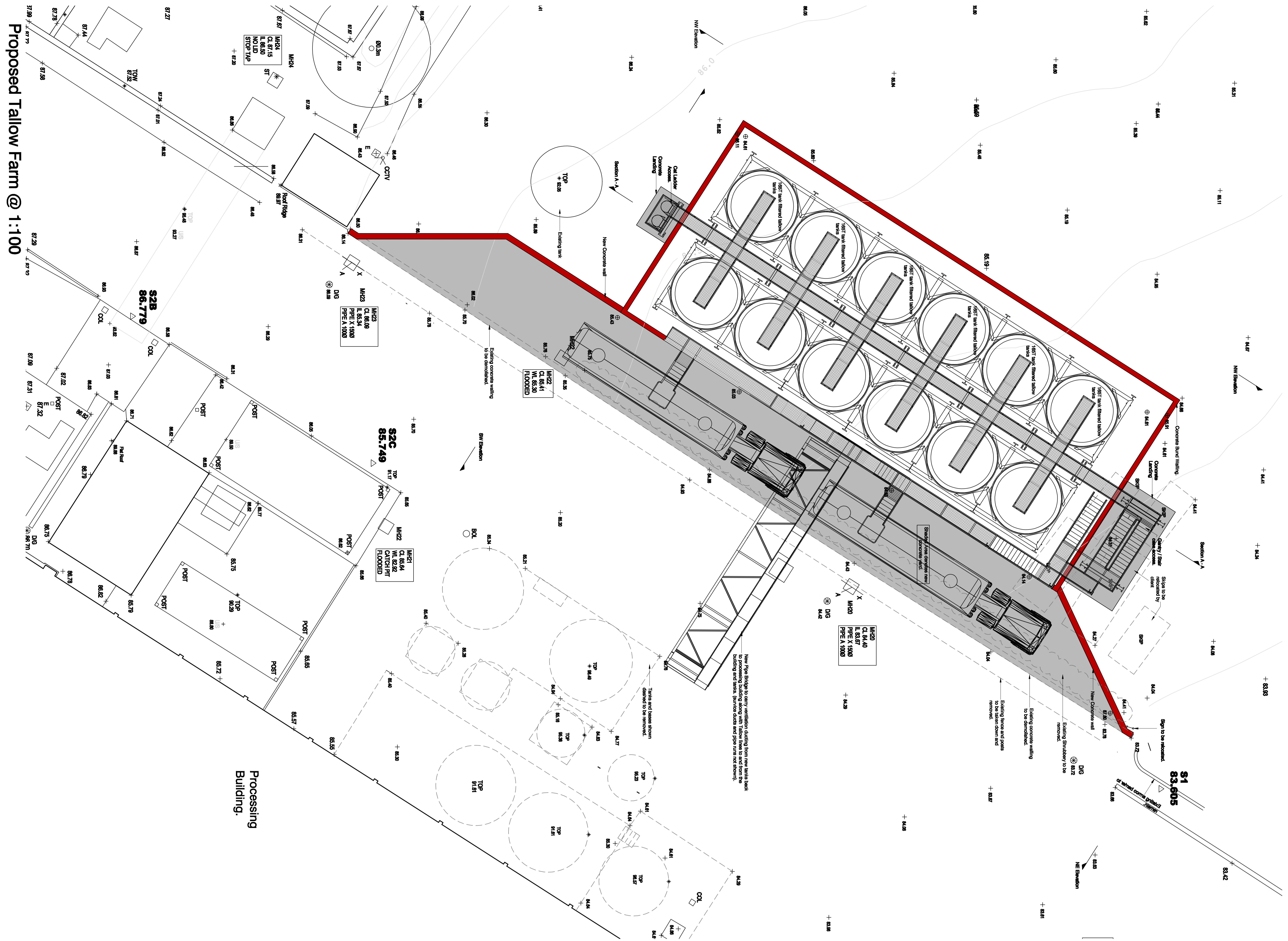
... 3.4 The main details of the proposal are included in appendices to this report (the plans show the scale of the proposed facility in the context of the rest of the site), but full details of the submitted planning application can be viewed on the County Council's website by searching the planning portal using reference NWB/12CM017. Given that the lease allows for the construction of such facilities on the site and that the Council is required to act reasonably, it is proposed that the best arbiters of the suitability and appropriateness of the proposed Tallow Farm are the Borough Council's Planning Board and, ultimately, the County Council's regulatory Committee. It is recommended, therefore, that the Borough Council, in its capacity as owner of the land, grants permission for the construction of the Tallow Farm on condition that the appropriate planning consents are obtained.

The Contact Officer for this report is Richard Dobbs (719440).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date



Processing Building

Proposed Tallow Farm @ 1:100



Proposed Site Plan @ 1:500

Planning Issue		Project Name:	
1	04-13	De Mulder and Sons Ltd.	
2	05-13	Hartshill	
3	06-13	Tallow Farm Proposed Plans	
4	07-13	Drawing Title:	
5	08-13	Drawing No.:	
6	09-13	Drawing Date:	
7	10-13	Drawing By:	
8	11-13	Checked By:	
9	12-13	Date:	
10	01-14	Scale:	
11	02-14	AS SHOWN	
12	03-14	JON	
13	04-14	HSA	
14	05-14	03-2012	
15	06-14	2012-016-13B	

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DESIGN & ACCESS STATEMENT
FOR THE
CONSTRUCTION OF NEW TALLOW FARM
AT
DE MULDER & SONS LTD
HARTSHILL
APRIL 2012

John Hill ASSOCIATES LTD
Architectural & Surveying Consultants
Chartered Building Surveyors



DESIGN AND ACCESS STATEMENT FOR DE MULDER & SONS LIMITED – PROPOSED NEW TALLOW FARM

Introduction

This Design and Access Statement has been prepared in accordance with the Department of Communities and Local Government (DCLG) Guidance Notes and the CABE publication 'Design & Access Statements, How to write, read and use them'.

This Design and Access Statement should be read in conjunction with documentation and drawings submitted to Warwickshire County Council as part of the full plans planning application for the construction of a new Tallow Farm within the current Trailer Park.

The new Tallow Farm is to replace the existing Tallow Farm storage tanks adjacent to the main Processing Building across the service road from the proposed location.

The new Tallow Farm consists of 12no. 150T stainless steel tanks supported by a steel framed structure on a concrete base. The base of the tanks has a perimeter wall of varying height, minimum 1300 and maximum 1500mm high from the finished level of the concrete slab. This said, the majority of this walling is below the current ground level and acts as a retaining wall to the surrounding landscape. The primary purpose of the concrete retaining wall is to act as a buffer containment zone to prevent ground contamination in the unlikely event of a tank failing.

The tanks are accessed for maintenance via a staircase to the northeast of the farm with a secondary exit via CAT ladder to the southwest. These access routes are constructed off localised concrete bases.

We also propose a service gantry to the southeast of the structure for loading tallow into HGV road tankers.

To ensure access to the remaining areas on site is maintained, a new loading bay has been introduced. This effectively is an extension to the side of the existing service road. This new loading bay is sized to accommodate 2no. HGV tankers without restricting access to the remaining site.

Finally, a new pipe bridge is proposed from the Processing Building to the new Tallow Farm site. This will accommodate tallow lines to and from the process and ventilation ducting from each individual tank back into the process building to minimise the risk of the release of odour.

Site Overview

The De Mulder & Sons site is situated off Mancetter Road and is currently occupied by various industrial process buildings and clerical accommodation.

To the northeast of the site is the main site access off Mancetter Road. This is the primary access for both the staff and visitors car park and for commercial vehicles to the main site areas.

To the front of the site is the single storey office accommodation, weighbridge office and weighbridge. (Refer to site plan).

The remaining site area is predominantly production areas and consists of a large Main Processing Building spanning a SW – NE axis, and a series of smaller buildings around the perimeter consisting of vehicle workshops, equipment stores, de-packaging building, operatives amenities, water treatment, effluent treatment, switch rooms, boiler houses, transformers etc.

Also situated throughout the site are storage silos, tanks, chimneys, condensers and other plant and equipment.

The main access road is along the front of the Main Processing Building and provides access from the north of the site to the south and west of the site. An emergency access road is provided on the east side of the main process building.

To the northwest of the site is the existing Trailer Park (our proposed site) and to the southeast a large area of land currently designated for an Integrated Renewable Energy Facility.

Surrounding the Site

The site is predominantly situated in a rural area. Across Mancetter Road (B4111) is the railway and beyond that Severn Trent Water treatment plant. There are a small number of residential properties to the north and east of the site. To the northwest of the site there is a conservation area immediately adjacent to the boundary of the site.

To the southwest of the site runs the Coventry Canal and beyond this the village of Hartshill. (Please refer to site location plan for more details).

The Process

The site is currently authorised to process Category 3 animal by-products. The new tallow farm is designed to accommodate the tallow produced from the rendering process. See the Supporting Information Document for more details.

Usage

As previously stated, the existing site is for general industry. The proposal is within this use and therefore the overall site usage classification will not change.

Footprint

The proposed footprint of the tank containment is 414.61m². The proposed footprint of the concrete lay-by is 231.8m². There are two additional pads to act as landings for the stairs and CAT ladder, one 23.34m² and the other 5.4m².

Amounts

Each tank is 4.5m Ø and can hold 150 tonnes tallow; the entire proposal will contain 1800 tonnes of tallow. The capacity of the containment bund is greater than 25% of the total value of the tanks.

Layouts

The proposed layout and location of the development is to optimise functionality and production within the site as a whole. See the Supporting Information Document for further details.

Scale

The proposed base slab will be installed at a constant level of 84.61 AOD. The tanks stand approximately 15m above the base slab to a level of 99.65 AOD. The top of the service gantry handrailing above the silos is 101.13 AOD. Although this is a dominant structure it is not considered out of context, size or scale with the remaining site.

The ridge of the existing Main Production Building is 99.17 AOD and the scrubber towers 108.64 AOD, 8.98m higher than the proposed tanks.

The highest structure on the site is No.1 boiler chimney, which stands at 110.30 AOD, some 10.65m above the proposed tanks.

The highest building on the site is the 'CG tower' at 105.88 AOD, 6.23m above the tanks.

Please refer to drawings 14 and 15 submitted as part of the planning application which identifies the surrounding buildings.

Screening

To the northwest of the proposal is a tree bund which screens the proposed tanks and the main production plant and buildings from the adjacent conservation area. This tree bund is shown on the planning drawings. (Please note the foliage shown is diagrammatical).

To the southeast the proposed tanks are in the majority, screened by the main processing building as identified on the proposed drawings.

The southwest view of the proposal is screened by the lay of the land. The elevation shown on drawing 15 identifies this. However, as can be seen on the proposed site plan there is a large amount of plant, equipment, buildings and vegetation behind the elevation line.

Appearance

The proposed tanks will be clad in stainless steel; gantries and staircases will be constructed from galvanised mild steel. The perimeter walling will be in situ cast concrete.

The new lay-by will be formed to levels to maintain existing falls and constructed from concrete.

Access

Vehicular access to the proposed tanks will be unaltered from the existing. Access will be via Mancetter Road and via the weighbridge to the internal service roads.

The vehicular parking area will be within the new loading area to maintain access to the site.

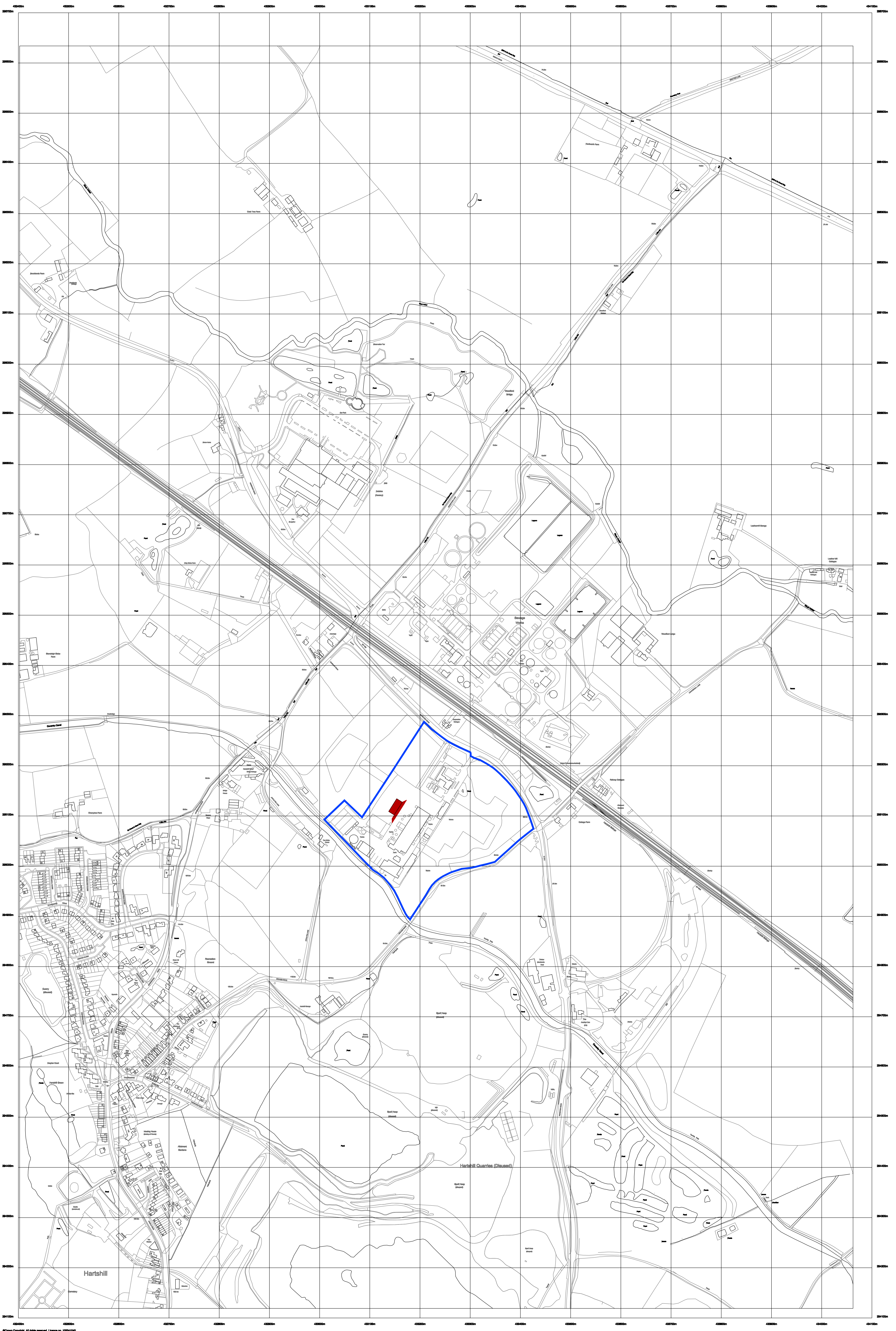
Pedestrian access to the tanks for maintenance will be via safe walkways to the staircase to the northeast. This staircase will allow access over the retaining wall and into the bund and also to the gantries at high level.

An alternative access / egress is provided to the southwest of the structure via CAT ladders.

Disabled access to the site has not been considered as a disabled person would not be suitable to undertake any maintenance works on such a structure.

Summary

Due consideration has been taken at every step of the design of the proposals to ensure that the end result will be, where possible, sympathetic to the surroundings, and the overall proposals provide the client with the most practical solution.



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Notes:

Ref	Date	Revision	Initial

Project / Client:
Proposed New Tallow Farm
 For
De Mulder & Sons
 PDM Hartshill

Drawing Title:
Location Plan 2 of 2

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Scale: **1:2500** Date: **03/04/12**

Drawn By: **MMS** Checked By: **JON**

Drawing No: **12-016-17.** Sheet Size: **A0**

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Agenda Item No 9

Resources Board

11 June 2012

Report of the Assistant Director (Housing)

Borough Care Service Review

1 Summary

- 1.1 This report provides the Board with an update on the progress of the Corporate priority to review the Borough Care service and proposes that a cross party task and finish group be set up to consider how the service should be delivered.

Recommendation to the Council

That a cross party task and finish group be established to consider the Borough Care service and agree an improvement action plan.

2 Consultation

- 2.1 Councillors Winter and Johnston have been sent a copy of this report.

3 Background

- 3.1 The Council's Borough Care service was established just over 20 years ago. It is a discretionary service. The aim was to replace the Council's resident warden sheltered schemes with a service which could be accessed by any older person in the community over the age of 62 regardless of tenure. This modernisation to meet the broader needs of the population was ground breaking at the time.
- 3.2 As part of the Council's Corporate priorities in 2010 the Housing Division was tasked with undertaking a review of the service to ensure it is still fit for purpose. Unfortunately this priority was deferred because the Division was also tasked with building new homes in the Borough and the timescales for this project were dictated by the social housing grant conditions set by the Homes and Communities Agency.

4 Current Position and Proposal

- 4.1 An issues paper has been drafted which considers whether Borough Care still meets the Council's ambitions for its services for older people. It indicates the strengths of the service (a good profile, committed work force, good responsive service), some weaknesses (working at capacity so unable to grow, significant number of obsolete alarm units, one size fits all with no

customer choice, not integrated with other support services) and opportunities (to work in collaboration with other organisations, provide a wider scope of service for older and vulnerable people) as well as possible threats (such as being sidelined as other agencies find alternative ways of providing a service due to our lack of capacity and obsolete technology).

4.2 It is proposed that a cross party task and finish group be set up to consider in detail the information set out in the report and seek any further information which may be required to understand the service and the context in which it is working with a view to agreeing an improvement plan for action. It is expected that the task group will be proactive in its work which may include contact with other service providers to understand how they work, using stakeholder workshops to fact find and ensuring users views are understood and taken into account.

4.3 In order to begin the process it is also proposed that both political groups be given the opportunity to consider the report in detail starting with a presentation by the Assistant Director (Housing). If agreed the task and finish group can begin its work as soon as these initial briefings have been undertaken.

5 Report Implications

5.1 Finance and Value for Money Implications

5.1.1 The Council has a net revenue budget provision of £543,530 for Borough Care and £110,060 for CCTV. This is predominantly salaries. In addition there is a capital budget provision of £18k to purchase replacement lifeline equipment.

5.1.2 The service benefits from a number of income streams:

- CCTV - £32,560
- Contract with Nuneaton and Bedworth Borough Council – £21,480
- Charging vulnerable people under the age of 62 - £2,000
- Provision of County Council's Telecare Service - £8,500

5.2 Links to Council's Priorities

5.2.1 The Council has a corporate objective to undertake a review of the Borough Care service and implement an agreed improvement action plan.

The Contact Officer for this report is Angela Coates (719369).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
1			

Agenda Item No 10

Resources Board

11 June 2012

**Report of the Assistant Director
(Finance and Human Resources)**

**Housing Revenue Account
Budgetary Control Report 2012/2013
Period Ended 31 May 2012**

1 Summary

- 1.1 The report covers total Housing Revenue Account revenue expenditure and income for the period from 1 April to 31 May 2012.

Recommendation to board

That the report be noted and that the figures contained in the Business Plan column on Appendix A be accepted.

2 Report

- 2.1 Under the Best Value Accounting Code of Practice (BVACOP), services should be charged with the total cost of providing the service, which not only includes costs and income directly incurred, but also support costs relating to such areas as finance, office accommodation, telephone costs and IT services and Member costs.

3 Overall Position

- 3.1 The Housing Revenue Account includes all costs and income relating to the letting and management of the Council's housing stock, and this has to be kept separate from General Fund expenditure. The actual position for the HRA for the period ended 31 May 2012 is a surplus of £694,107, compared with a forecast surplus position for the period of £656,286. Where possible, the forecast position has been profiled to reflect seasonal variations in expenditure and income, in order to give a better comparison with actual figures. The actual position is a favourable variance of £37,821 on the forecast position. Appendix A to this report provides details of the profiled and actual position for expenditure and income incurred by the HRA, and an explanation of significant variations are given in more detail below.

...

- 3.2 There will be a saving on the Public Works Loan Board fees budget as this was paid in 2011-12.

3.3 There is a small under spend to date on capital expenditure relating to electrical works.

3.4 The 2012/13 budget that was agreed by this Board on 17 January 2012 has been updated to reflect the following:-

- The actual debt maturity profile taken out (see Appendix D)
- Actual borrowing costs which averaged 2.76% compared to 4.5% in the budget.
- The decision to allow for £1 million per annum to fund new build/capital works.

These have enabled £1 million to be put in a contingency reserve to act as a buffer should any unforeseen events occur during the course of the 30 year business plan. This amended budget is shown in the column headed Business Plan in Appendix A. These amendments will mean that the contribution to the Housing Revenue Account Fund Balance will increase from £18,210 to £186,170 for 2012/13 financial year.

4 **Housing Direct Works**

4.1 As at the end of May there is a lower cost chargeable to the Housing Repairs Fund from Housing Direct Works of £303,629, compared with a forecast cost position of £311,593. The account balance fluctuates throughout the year depending on workloads and invoice payments. It is expected that the anticipated costs chargeable to the Housing Repairs Fund will be achieved by the end of the financial year. Appendix B to this report provides the profiled and actual expenditure of Housing Direct Works in more detail.

4.2 There is a decrease to date in supplies and services due to lower usage and cost of materials of £9,250, scaffolding of £4,440 and Skip hire costs of £2,000. This has been partially offset by an overspend on employee costs reflecting the higher usage of agency staffing on day to day repairs, capital works and sickness cover.

5 **Housing Repairs Fund**

5.1 The Housing Repairs Fund covers expenditure on all repairs and maintenance, both day to day and programmed whether carried out by Housing Direct Works or external contractors. This includes any surplus or deficit on the operation of Housing Direct Works.

5.2 The balance on the Fund at the start of the year amounted to £52,658. The balance can be used to cover timing issues between years. In 2012/13 the contribution to the fund is £2,541,980. Any over-spend in the repairs fund would impact on the use of Housing Revenue Account balances if it exceeded the balance on the fund and the contribution in the year. The position on the fund at the end of May is shown in Appendix C. The spend on the fund fluctuates during the year due to the timing of works, including the current surplus from Housing Direct Works.

6 Risks to the Budget

- 6.1 The key risks to the budgetary position of the Housing Revenue Account in 2012/13 include:
- Rising tenant expectations, following extensive improvement works may increase the demand for repairs, which will need to be continuously monitored;
 - Any reduction in the performance of Housing Direct Works will put pressure on the Council to use external contractors and therefore will impact on the level of expenditure.

7 Estimated Out-turn

- 7.1 Members have requested that Budgetary Control Reports provide details on the likely out-turn position for the Council. The anticipated out turn for the HRA for 2012/13 has been amended from £18,210 to £186,170 surplus.
- 7.2 The estimated out-turn for the Repairs Fund remains the same as that included in the original budget.

8 Report Implications

8.1 Finance and Value for Money Implications

- 8.1.1 The Council is currently forecasting a contribution to the Housing Revenue Fund balance for the 2012/13 financial year of £18,210. This will need to be amended to reflect the figures contained within the Business Plan column in Appendix A which now shows a contribution to the Housing Revenue Account Fund balance for the 2012/13 financial year of £186,170. Income and expenditure will continue to be closely managed and any issues that arise will be reported to this Sub-Committee for comment.

8.2 Environment and Sustainability Implications

- 8.2.1 The Council has to ensure that it adopts and implements robust and comprehensive budgetary monitoring and control, to ensure not only the availability of services within the current financial year, but in future years.

The Contact Officer for this report is Nigel Lane (719371).

HOUSING REVENUE ACCOUNT
Budgetary Control Report as at 31 May 2012

	Original Budget	Business Plan	Expected Spend	Actual Spend		
	2012/2013	2012/2013	2012/2013	2012/2013	Variance	Comments
EXPENDITURE						
Repairs and Maintenance	2,541,980	2,541,980	418,962	418,962	-	
Supervision and Management - General	1,116,250	1,116,250	169,645	168,062	(1,583)	
Supervision and Management - Special Services	423,020	423,020	64,308	64,365	57	
Provision for Bad Debts	100,000	100,000	16,667	16,667	-	
Interest on Loans	2,806,960	1,643,000	273,833	273,833	-	
Revenue Set Aside (debt Repayment)	1,754,000	750,000	125,000	125,000	-	
PWLB Settlement Fee	22,000	22,000	22,000	-	(22,000)	Comment 4.2
Contribution to Contingency Reserve	-	1,000,000	-	-	-	
Capital Expenditure - New Build	-	1,000,000	-	-	-	
Capital Expenditure	2,222,000	2,222,000	90,465	77,308	(13,157)	Comment 4.3
Total Expenditure	10,986,210	10,818,250	1,180,880	1,144,197	(36,683)	
INCOME						
Gross Rent Income from Dwellings	(10,574,070)	(10,574,070)	(1,762,345)	(1,764,377)	(2,032)	
Gross Rent Income from Non-Dwellings	(339,040)	(339,040)	(64,100)	(63,290)	810	
Charges for Services and Facilities	(79,350)	(79,350)	(8,728)	(8,644)	84	
Total Income	(10,992,460)	(10,992,460)	(1,835,173)	(1,836,311)	(1,138)	
NET COST OF SERVICES	(6,250)	(174,210)	(654,293)	(692,114)	(37,821)	
Amortised Premiums and Discounts	29,040	29,040	4,840	4,840	-	
Investment Income - Mortgages	(80)	(80)	(13)	(13)	-	
- Other	(40,920)	(40,920)	(6,820)	(6,820)	-	
TOTAL (SURPLUS)/DEFICIT FOR THE YEAR	(18,210)	(186,170)	(656,286)	(694,107)	(37,821)	

APPENDIX B

HOUSING REVENUE ACCOUNT
HOUSING DIRECT WORKS
Budgetary Control Report as at 31 May 2012

	Original Budget 2012/2013	Expected Spend 2012/2013	Actual Spend 2012/2013	Variance
EXPENDITURE				
Employee Costs	841,670	139,355	148,464	9,109
Supplies and Services	651,890	100,630	83,673	(16,957)
Transport	94,560	15,760	15,644	(116)
Gross controllable Expenditure	1,588,120	255,745	247,781	(7,964)
Central Support	284,640	47,440	47,440	-
Capital Charges	50,450	8,408	8,408	-
Expenditure chargeable to the Repairs Fund from Housing Direct Works	1,923,210	311,593	303,629	(7,964)

Appendix C

HOUSING REPAIRS FUND (to end of May 2012)

	£
Balance at 1 April 2012	52,658
Contribution 2012/13 (to May 2012)	418,962
Expected Use of Fund (to May 2012)	(410,762)
Balance at 31 May 2012	60,858

Appendix D

Housing Revenue Account - Debt Profile £59.539m

Financial Year	Loan Number	Start Date	Maturity Date	Interest Rate	Loan £
2012/13	500385	28/03/2012	28/03/2013	0.40%	750,000
2013/14	500390	28/03/2012	28/03/2014	0.56%	1,250,000
2014/15	500380	28/03/2012	28/03/2015	0.75%	1,250,000
2015/16	500370	28/03/2012	28/03/2016	0.99%	1,300,000
2016/17	500375	28/03/2012	28/03/2017	1.24%	1,450,000
2017/18	500387	28/03/2012	28/03/2018	1.50%	1,600,000
2018/19	500372	28/03/2012	28/03/2019	1.76%	1,700,000
2019/20	500377	28/03/2012	28/03/2020	1.99%	1,750,000
2020/21	500384	28/03/2012	28/03/2021	2.21%	2,000,000
2021/22	500386	28/03/2012	28/03/2022	2.40%	2,250,000
2022/23	500376	28/03/2012	28/03/2023	2.56%	2,260,000
2023/24	500388	28/03/2012	28/03/2024	2.70%	2,350,000
2024/25	500371	28/03/2012	28/03/2025	2.82%	2,350,000
2025/26	500373	28/03/2012	28/03/2026	2.92%	2,450,000
2026/27	500389	28/03/2012	28/03/2027	3.01%	2,600,000
2027/28	500382	28/03/2012	28/03/2028	3.08%	3,100,000
2028/29	500391	28/03/2012	28/03/2029	3.15%	2,900,000
2029/30	500381	28/03/2012	28/03/2030	3.21%	3,250,000
2030/31	500379	28/03/2012	28/03/2031	3.26%	4,280,000
2031/32	500383	28/03/2012	28/03/2032	3.30%	4,750,000
2032/33	500374	28/03/2012	28/03/2033	3.34%	3,949,000
2040/41	500378	28/03/2012	28/03/2041	3.49%	5,000,000
2041/42	500392	28/03/2012	28/03/2042	3.50%	5,000,000
Total Loan Debt					59,539,000

Agenda Item No 11

Resources Board

11 June 2012

Report of the Assistant Director (Finance and Human Resources)

Members' Allowances Out-turn for 2011/12

1 Summary

- 1.1 The purpose of this report is to advise Members of the allowances paid for 2011/12. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

Recommendation to the Board

That the report be noted.

2 Report

2.1 Out-turn for 2011/12

- 2.1.1 The cost of Members' Allowances and other payments made under the Members' Allowance Scheme in 2011/12 was £232,635. A breakdown of these costs is shown at Appendix A. There were no claims in respect of Dependents'/ Carers' Allowance.

3 Report Implications

3.1 Finance and Value for Money Implications

- 3.1.1 Provision was made in the cost of Democratic Processes.

3.2 Legal and Human Rights Implications

- 3.2.1 The Authority is obliged to publish details of the total sum paid to each Member in respect of each of the following:-
Basic Allowance
Special Responsibility Allowance
Dependents'/Carers' Allowance
Travel and Subsistence and
Co-optees' Allowance.

- 3.2.2 This is a requirement under the Local Authorities (Members' Allowances) (England) Regulations 2003.

The Contact Officer for this report is Jackie Marshall (719379).

MEMBERS' ALLOWANCES PAID 2011/12

APPENDIX A

Name	Initials	Basic Allowance £	Special Responsibility £	Travel £	Subsistence £	Parking/Taxi £	Total £
Barber	K	4291					4,291.00
Bowden	J	531.39	187.64				719.03
Butcher	D	4941.96		135.20			5,077.16
Davis	MC	4941.96	229.86				5,171.82
Dirveiks	LE	4941.96	999.17				5,941.13
Dirveiks	N	4941.96					4,941.96
Ferro	DC	4291	882.21	406.25		2.20	5,581.66
Forwood*	A	4941.96	1,515.18				6,457.14
Fowler	PJ	4941.96		554.24			5,496.20
Fox	C	4941.96	229.86	321.10			5,492.92
Freer	LE	4941.96	229.86				5,171.82
Gordon	DR	531.39		57.20			588.59
Hayfield	CC	4941.96	5,895.44	556.40	18.50		11,412.30
Holland	AF	4291		184.60			4,475.60
Humphreys	DJ	4291					4,291.00
Jenkins	RM	531.39					531.39
Johnston	K	4941.96	229.86	11.70			5,183.52
Lea	J	4941.96	229.86				5,171.82
Lewis	A	4941.96	999.17	82.55			6,023.68
May	MC	4941.96	656.36	349.70		12.00	5,948.02
Moore	JS	4941.96	4,556.50	410.80		12.30	9,909.26
Morson*	PF	4941.96	1,515.18				6,457.14
Moss	BP	4941.96	1,515.18	898.95	11.90		7,367.99
Moss	MC	4941.96		287.95			5,229.91
Orton ***	S		293.04				293.04
Payne	RV	4941.96	229.86	434.20			5,606.02
Phillips	H	4941.96	4,940.06	975.00		202.50	10,857.02
Pickard	DN	4941.96	4,326.64	334.75		4.50	9,603.35
Sherratt	GJ	4941.96	1,745.04	780.65			7,467.65
Simpson	MC	4941.96	656.36				5,598.32
Smith	LJ	4941.96	2,171.54	1,322.75	50.60	16.00	8,486.85
Smitten	WC	531.39	187.64				719.03
Stanley	A	4291	632.96	141.70		2.30	5,067.96
Stanley	ME	4941.96	9,539.75	497.90		10.20	14,979.61
Stanley	Y	4941.96					4,941.96
Swann	ST	531.39	535.81	91.00			1,158.20
Sweet	R	4941.96	4,556.50				9,498.46
Turley	N	4291					4,291.00
Watkins	A	4291					4,291.00
Welby	T	531.39					531.39
Winter	JG	4941.96	999.17	410.80			6,351.93
Wykes	TV	4941.96	229.86				5,171.82
Zgraja	H	531.39					531.39
TOTAL		172,131.61	50,915.56	9,245.39	81.00	262.00	232,635.56
***	Chairman of Standards Committee (not an elected Member) -Co-optee Allowance						
*	Special Responsibility Allowance includes £516.01 paid as arrears in 2012/13 but due in respect of duties carried out in 2011/12						

Agenda Item No 12

Resources Board

11 June 2012

**Report of the
Deputy Chief Executive**

**Annual Treasury Report for
2011/12**

1 Summary

- 1.1 This report shows the out-turn for 2011/12 and highlights any areas of significance.

Recommendation to the Board

- a That the Annual Treasury Report for 2011/12 be noted;**
b That the Prudential Indicators set out in Appendix A be noted;
and

Recommendation to the Council

- c That the Annual Treasury Report be approved.**

2 Report

- 2.1 The Council is required through regulations issued under the Local Government Act 2003 to produce an annual treasury report reviewing treasury management activities and the actual prudential and treasury indicators for 2011/12. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management 2009 (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).
- 2.2 During 2011/12 the minimum reporting requirements were that the Resources Board and full Council should receive the following reports:
- An annual treasury strategy in advance of the year (Resources Board 30 January 2012)
 - A mid year treasury update report and revised Strategy (Resources Board 21 November 2011)
 - An annual report following the year describing the activity compared to the strategy (this report)
- 2.3 In addition, quarterly treasury management update reports were submitted to this Board on 10 October 2011 and 30 January 2012.

- 2.4 Recent changes in the regulatory environment place a much greater onus on members for the review and scrutiny of treasury management policy and activities. This report is important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by members.
- 2.5 This Council also confirms that it has complied with the requirement under the Code to give prior scrutiny to all of the above treasury management reports by the Resources Board before they were reported to the full Council. Member training on treasury management issues was undertaken in March 2010 in order to support Members' scrutiny role. No further training took place in 2011/12.
- 2.6 Treasury Management in this context is defined as: *The management of the local authority's investments and cash flows, its banking, money market and capital transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.*
- 2.7 The Annual Treasury report covers:
- The Council's treasury position as at 31 March 2012
 - Performance measurement
 - The strategy for 2011/12
 - The economy in 2011/12
 - The Borrowing out-turn for 2011/12
 - Compliance with treasury limits and Prudential Indicators
 - Investment rates in 2011/12
 - Investment out-turn for 2011/12

3 Current Treasury Position as at 31 March 2012

- 3.1 The Council's debt and investment position at the beginning and end of the year was as follows:

	31 March 2011 Principal £m	Rate %	31 March 2012 Principal £m	Ave Rate %	Average Life Years
Fixed Rate Funding: PWLB	0	0	59.539	2.35	12.6
Short-term Funding	3	0.58	0	0	0
Total Debt	3	0.58	59.539	2.35	12.6
Investments	7.503	1.64	6.799	1.27	228 days

- 3.2 The investments held include £641,000 held on behalf of other organisations (£641,000 in 2010/11).

4 Performance Measurement

- 4.1 One of the key changes to the Code previously was the formal introduction of performance measurement relating to investments, debt and capital financing activities. Whilst investment performance criteria have been well developed, this is still a difficult area for a small Authority with limited cash balances, as generally we are only able to place funds for short periods and consequently at lower rates. For this reason, we measure investment interest against the 7 day LIBID rate.

5 The Strategy for 2011/12

- 5.1 The expectation for interest rates within the strategy for 2011/12 anticipated low but rising Bank Rate later in the year, with similar gradual rises in medium and longer term fixed interest rates over 2011/12. Variable or short-term rates were expected to be the cheaper form of borrowing over the period. Continued uncertainty in the aftermath of the 2008 financial crisis promoted a cautious approach, whereby investments would continue to be dominated by low counterparty risk considerations, resulting in relatively low returns compared to borrowing rates.
- 5.2 In this scenario, the treasury strategy was to postpone borrowing to avoid the cost of holding higher levels of investments and to reduce counterparty risk.
- 5.3 The strategy adopted in the original Treasury Management Strategy Report for 2011/12 approved by Council on 23 February 2011 was subject to revision during the year in order to take account of the HRA self financing and to set appropriate prudential treasury indicators.

6 The Borrowing Requirement and Debt

- 6.1 The implementation of housing finance reform at the end of the year abolished the housing subsidy system operated by central government and, consequently all housing debt has been reallocated to housing authorities. The result of this reallocation is that this Council made a capital payment to the Department of Communities and Local Government of £59.539 million, which was financed by new external borrowing from the PWLB. There has been no impact on HRA revenue finances in 2011/12 due to compensating adjustments being made in the Housing Subsidy determination.
- 6.2 The Authorised Borrowing Limit was revised so that loans could be taken out to finance the HRA reform.

7 Borrowing Outturn for 2011/12

- 7.1 The Council borrowed short term funds on 5 occasions to fund a cash-flow shortfall. The average borrowing period was 17 days and rates paid have varied between 0.3% and 0.6%.

- 7.2 The Council's external borrowing of £59.593 million is shown below. Having regard to the HRA business plan and the lower PWLB loan rates available, the repayments have been profiled to take account of expected surpluses, whilst still allowing some flexibility within the plan for unexpected events.

Years	Total loans £000	Rate %
1-5	6,000	0.40 – 1.24
5-10	9,300	1.50 – 2.40
10-15	12,010	2.56 – 3.01
15-20	18,280	3.08 – 3.30
20-25	3,949	3.30
25-30	10,000	3.49 – 3.50

8 Investment Out-Turn for 2011/12

- 8.1 The Council's investment policy is governed by CLG guidance, which has been implemented in the annual investment strategy. The Council manages its investments in-house with the institutions which fulfil its requirements with regards to credit ratings and security. Investments were made for a range of periods, although predominantly in call accounts and money market funds.
- 8.2 The Council invested with external bodies on 88 occasions when the bank accounts had a surplus of funds. Investments were made in a Call account on 19 occasions, and in a Money Market Fund 58 times. The remaining 11 investments were with Banks or Building Societies for a fixed term. Funds were invested over a range of periods to take advantage of favourable interest rates or to fund expenditure later in the year, e.g. payment of precepts. The average amount invested was £1,094,260. The average total investment held was £7.66 million, and the rate of return was 1.31%, compared with the average 7 day rate of 0.48%, earning a total of £175,326 in the year (net investment interest less loan interest paid). The higher interest rate was earned by placing investments for a longer period when rates were favourable.

9 Prudential Indicators

- 9.1 The 2003 Prudential Code for Capital Finance in Local Authorities introduced requirements for the way in which capital spending plans are to be considered and approved. The prudential code was developed which requires the Council to consider the affordability of its proposals, their prudence and sustainability, value for money, asset management planning, practicality and service objectives

9.2 The Council is required to set and review regularly a range of indicators that have been developed as part of the Code, which will be used to support capital investment decision-making. In February 2011, the capital prudential indicators for 2011/12 were reported to the Executive Board as part of the 3-Year Capital programme and the treasury indicators were reported to the Resources Board as part of the Council's Treasury Policy Statement and Annual Treasury Strategy Statement.

... 9.3 During the financial year the Council operated within the treasury limits as shown in Appendix A and attached to this report. The Council's Capital indicators will be reported to Executive Board in June.

10 Report Implications

10.1 Finance and Value for Money Implications

10.1.1 During 2011/12 the net interest earned on investments was £175,326.

10.2 Environment and Sustainability Implications

10.2.1 By having effective and prudent treasury management, this contributes towards sustainability and providing services that improve the quality of life for the communities of North Warwickshire.

10.3 Risk Management Implications

10.3.1 Credit ratings are used in assessing the institutions on the lending list and the maximum investment level permitted.

The Contact Officer for this report is Jackie Marshall (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

APPENDIX A

Treasury Indicators

Treasury Indicator	2011/12 Revised	2011/12 Actual
	£000	£000
Authorised Limit for External Debt	92,966	59,539
Operational Boundary	75,366	59,539
Upper Limit for Fixed Interest Rate Exposure	74,600	59,539
Upper Limit for Variable Rate Exposure	75,100	0
Upper Limit for Total Principal Sums Invested for over 364 days (per maturity date)	50%	13%

Maturity Structure of New Fixed Rate Borrowing	Upper Limit	Lower Limit	Actual
Under 12 months	100%	0%	0.00%
12 months and within 24 months	100%	0%	3.36%
24 months and within 5 years	100%	0%	6.72%
5 years and within 10 years	100%	0%	15.62%
10 years and above	100%	0%	74.30%

Agenda Item No 13

Resources Board

11 June 2012

**Report of the
Assistant Director (Finance and Human
Resources)**

**Collection Progress for Sundry
Debts 2011/12 and Prompt
Payment of Creditor Invoices, LPI 8**

1 Summary

- 1.1 The purpose of this report is to advise Members of the collection progress for Sundry Debts in 2011/12 and to highlight the performance of the local performance indicator, LPI 8, Prompt Payment of Creditor Invoices.

Recommendation to the Board

That Members consider the performance as set out in the report.

2 Report

2.1 Sundry Debt Collection

- 2.1.1 Sundry invoices are raised by the Finance and Human Resources Division for debts other than Council Tax and Non-Domestic Rates. They cover a wide range of services, such as Trade Refuse, Cesspool Emptying, Works in Default, certain Leisure services and Housing Repairs. The majority of these debts are not statutory, which increases the difficulty in collection.

- 2.1.2 Payment of Sundry Debts is taken by various means: - cheque, bank standing order, credit and debit cards and by direct debit wherever it is appropriate. Direct debit rules do not allow payment by this means unless the service is of an on-going nature, such as industrial and shop rents, trade refuse and cesspool emptying, where it is used very successfully.

2.2 Sundry Debt Collection Performance 2011/12

- 2.2.1 Invoices to the value of £1.878 million were raised during 2011/12, with a collection rate in the year of 87.8%. The amount of debt written off in the year was £3,698, which equates to 0.17% of the debt raised. This compares to £2.15 million raised in 2010/11, 89% collected and £5,828 written off (0.27%). The in year collection rate has been affected by a number of large service charges made to Housing leaseholders for improvements to their properties. A number of individuals have had difficulty in paying their full debt in one transaction, so agreements have been reached with those leaseholders to collect the debt over a period of time

2.3 Prompt Payment of Creditor Invoices, LPI 8

2.3.1 Payment of Creditor invoices is also one of the responsibilities of this Division.

2.3.2 During the year 8,501 invoices were paid. This resulted in approximately 4,970 payments with 88.6 % being paid by BACS.

2.3.3 For a number of years, the prompt payment of Creditor invoices was a BVPI. The indicator was defined as the percentage of invoices for commercial goods and services which were paid by the Authority within 30 days of the receipt of the invoice. Although no longer a BVPI, prompt payment of invoices is viewed as important by this Authority and the performance is therefore still measured as a local performance indicator. During 2011/12 the Authority achieved 97.81%, which is slightly lower than last year's performance (98.23%). This will be monitored to ensure than performance does not slip any further.

2.3.4 During the year, some further work has been done to try to reduce the number of actual payments being made, where suppliers send an individual invoice for each property being serviced. Overall, there has been a reduction of just over 1,700 invoices. This trend will be continued where it results in savings in administration.

3 Report Implications

3.1 Finance and Value for Money Implications

3.1.1 Efficient collection of Sundry Debts will have a positive impact, resulting in maximising daily cash flow. This allows either interest to be earned from short term investments or alternatively reduces the need to borrow.

3.1.2 The cumulative amount written off in 2011/12 was £3,698. The loss of income has been written back to the individual services.

3.2 Environment and Sustainability Implications

3.2.1 Prompt payment of Creditor invoices assists suppliers in maintaining their cash flow in the current difficult economic climate.

3.3 Links to Council's Priorities

3.3.1 Efficient invoice processing contributes towards making best use of our resources.

The Contact Officer for this report is Jackie Marshall (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Agenda Item No 14

Resources Board

11 June 2012

**Report of the Assistant Director
(Finance and Human Resources)**

**Risk Management Annual Report
2011/12**

1 **Summary**

- 1.1 This report is to inform Members of the progress made on Risk Management during 2011/12.

Recommendation to the Board

That progress be noted.

2 **Background**

- 2.1 Risk is the threat that an event or action will affect the Council's ability to achieve its objectives and to successfully execute its strategies. Risk Management is the process, by which risks are identified, evaluated and controlled. It is a key element of the framework of corporate governance. The Council's Strategic risks are normally identified by Management Team, who will ensure that processes are in place to control them. They are risks which need to be taken into account in judgements about the medium to long term goals and objectives of the Council. Strategic risk assessments are carried out as part of the corporate, community and service planning process and as a key element of service reviews. Operational risks are identified and managed by each Division.

3 **Report**

- 3.1 During 2011/12 the emphasis on risk management has again been to strengthen the existing process. The framework has been in place now for a number of years and amended from time to time to ensure that it is robust, that it takes into account any areas of perceived weakness identified from Internal Audit reports or from other sources, and that it is used consistently throughout the Authority. The framework has been reviewed and no amendments were thought necessary. Risk Management is important as it enables us to ensure that our plans are sound and proportionate to the risks that exist in our area, and enable us to take preventative action where appropriate.

- 3.2 Work has been carried out to ensure that both the operational and strategic risk registers are up to date and reflect any changes in service or process provision. This year has again seen less support required from Financial Services in updating the operational register – proof that risk management is embedded in the culture of the Council, although some improvements can still be made. Time is set aside for an annual workshop where divisional champions review and update any risk records. This has proved to be a successful format.
- 3.3 All audits carried out identify any strategic or operational risks. As part of the audit, enquiries are made regarding the latest position of those risks, and this has also resulted in some additional risks being added to the register.
- 3.4 Risk implications are included in all Board reports. A full risk assessment will be included if the report relates to a new service, policy or significant change in service provision. Any implications identified will assist Members in making an informed decision.
- 3.5 As part of the internal control framework, Directors and Assistant Directors complete an Annual Statement of Assurance on the risks within their area of control. This process informs the Annual Governance Statement, which is a statutory requirement and is reported to Executive Board. A number of issues were identified in the Statement for 2010/11 which needed to be addressed in 2011/12. Examples of those completed include:
- A review of some Human Resources policies, with the provision of briefing sessions for staff and unions
 - A review of the Payment Management System and it's replacement to ensure PCI DSS compliance is achieved as required in 2012
 - The rollout of the Health and Safety risk assessment system
- 3.6 Much risk management work has taken place throughout the Authority during the year. Examples are: -
- The introduction of a second firewall to assist with the security of the Council's information technology
 - The start of investigation work necessary for the ICT infrastructure and telephony elements of the Accommodation project
 - Third party insurance training was carried out on an inspection regime for services
 - The Driver's Handbook was revised and reissued to coincide with training for all general fleet drivers.
 - A full assessment of the Council's borrowing options and an update of the 30 year business plan was carried out, before a decision on funding the self financing payment for the HRA was taken
 - The staff structure of the Post Tenancy Team was reviewed to ensure a clear focus on rent collection and effective tenancy enforcement
 - A review of Contract Standing orders was undertaken, which will be reported to Board shortly.

These are just a few examples of the work that has been carried out.

... 3.7 A copy of the Authority's strategic register is shown at Appendix A. The significant risks (classified as "red") are:-

- The civic offices become unfit for purpose;
- Inadequate resources to maintain the Council's capital assets;
- Impact on the Borough of the HS2 project and/ or opencast mining.

Project or action plans have been drawn up for the first two risks. Progress on the HS2 project is being closely monitored so that any appropriate action can be taken if required.

3.8 Several new risks, both operational and strategic, have been identified for 2012/13 such as: -

- Not bringing empty homes back into use;
- Dealing with maintenance issues in properties where there is asbestos
- The adverse impact of the introduction of a local scheme for council tax support
- The adverse impact of business rates localisation
- The risk of 'doing nothing' in respect of the condition of Coleshill Leisure Centre resulting in the eventual closure of the facility

... 3.9 A copy of the red operational risks and also the highest scoring amber risks are shown at Appendix B. Work will be carried out during 2012/13 to help mitigate the risks. An action Plan for Risk Management is shown at Appendix C.
...

4 Risk Management Fund

4.1 The risk management fund, provided by the Council's Insurers, has provided valuable funding for the Fleetcheck Vehicle Management system. When integrated with Tom Tom, this will enable better management of the general fleet, providing information on driving efficiency, licences, fuel consumption etc. Training on the revised Driver's Handbook has also been provided, with the emphasis on legal issues and health and safety. It has also paid to upgrade the Council's asset management system. Failure to do so could have resulted in incorrect financial statements or even qualified statements. All Divisions are encouraged to bid for funding from the risk fund to help mitigate the risk in their areas of responsibility.

5 Report Implications

5.1 Safer Communities Implications

5.1.1 There are specific risks identified for the work the Council carries out with partners to help reduce crime and disorder in North Warwickshire. These are reflected within the Partnership Plan of the North Warwickshire Community Safety Partnership and in specific service plans of the Council.

5.2 Legal and Human Rights Implications

5.2.1 The Annual Governance Statement referred to in paragraph 3.6 is part of the legal framework for financial reporting.

5.3 Environment and Sustainability Implications

5.3.1 Having effective risk management will contribute towards the delivery of sustainability and helps the Council continue to provide services to help improve the quality of life for the communities of North Warwickshire.

5.4 Equality Implications

5.4.1 The risk to the Council in not complying appropriately with the requirements of the Equality Act is included as an operational risk. Our corporate approach of including the identification of equality implications in reports to boards wherever appropriate to do so and carrying out equality impact assessments on all significant changes in our policies and practices helps to minimise any associated risks.

5.5 Risk Management Implications

5.5.1 Regular reports, ongoing monitoring, further staff training and the strengthening of partnership arrangements will increase awareness of the importance of Risk Management. Individual risks fall into various categories, such as political, environmental, financial, economic, organisational, legal, technical etc. The implication of each risk is assessed and scored to identify whether there are sufficient controls in place or whether additional action needs to be taken.

The Contact Officer for this report is Jackie Marshall (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Strategic Risk Register March 2012

APPENDIX A

No	Likeliho	Impact	Score	Risk	Responsib	Corporate Objective	Colour
3	3	3	9	Council's procurement procedures are inadequate leading to poor VFM or lack of probity	LB	Public Services & Council Tax	Amber
4	3	4	12	Insufficient corporate capacity to deal with all the issues facing the Authority	JH	Public Services & Council Tax	Amber
5	3	3	9	The Council's political arrangements cease to work effectively	JH	Public Services & Council Tax	Amber
8	2	3	6	Sickness absence is not managed effectively	SJG	PSCT/ Health & Well Being	Green
10	3	3	9	Council unable to motivate/retain appropriately qualified staff	SJG	Public Services & Council Tax	Green
11	3	4	12	Ineffective response to an incident (or business continuity plan fails)	JH	PSCT/Environment/Health & Well Being	Amber
15	4	5	20	Civic offices are no longer fit for purpose- Accommodation Project	RD	Public Services & Council Tax	Red
17	2	3	6	A key partnership fails	JH	Public Services & Council Tax	Green
20	2	5	10	Expected efficiency savings and service improvements are not delivered whilst maintaining resilience	CJB	Public Services & Council Tax	Amber
22	3	3	9	The Council fails to meet its commitments arising from the Community and Corporate Plans	JH	Public Services & Council Tax	Amber
30	2	2	4	The Authority fails to comply with key legislation	JH	PSCT/Environment	Green
31	4	4	16	Inadequate resources to maintain the Council's capital assets	CJB	Public Services & Council Tax	Red
35	3	3	9	Failure to promote and tackle green issues including climate change	RD	Environment	Amber
36	2	4	8	Health & Safety is not managed effectively	SJG	PSCT/ Health & Well Being	Amber
38	4	2	8	Failure to significantly improve recycling performance	RD	Environment	Amber
40	4	3	12	Failure to manage staff concerns & well-being , in current economic climate	JH		Amber
42				Localisation of Benefits system-in progress DUE APRIL 2013	BT	Public Services & Council Tax	
44	3	4	12	Reform of NDR system - Localisation DUE APRIL 2013	CJB/BT	Public Services & Council Tax	Amber
45	5	3	15	Impact on Borough of HS2 project/ opencast mining	JH	Countryside & Heritage	Red

SUMMARY OPERATIONAL RISK REGISTER 2012		Gross	Net		Division/ Section	Corporate Priority
Revised March 2012 Updated risks						
No	Risk	Score	Score	Colour		
EH21	Failure to maintain Home Improvement Agency Status	15	9	Amber	Housing/ community support	Housing
EH22	Loss of funding for Home Safety Check Scheme	16	9	Amber	Housing/ community support	Housing
FPT1	Delayed Delivery of Statutory Plan Making requirement	20	9	Amber	Forward Planning	E,CH,LE, CC
FPT4	Missed Opportunities Funding	15	9	Amber	Forward Planning	E,CH,LE
FS17B	Material error in Forward Projections/Poor Budget Strategy	20	9	Amber	Finance & Human Resources	PSCT
FS19	Inadequate Capital Strategy& Monitoring of capital schemes	12	9	Amber	Finance & Human Resources	PSCT
H5	Housing Direct Works Failure to deliver value for money	20	9	Amber	Housing/ community support	Housing
IP3	Data quality on LLPG and GIS	12	9	Amber	Information Services	PSCT
ITP3	Councils procurement processes inadequate-poor vfm/lack of probity	20	9	Amber	Information Services	PSCT
IT4	Failure to Deliver service due to a lack of capacity(Recruitment /sickness)	16	9	Amber	Information Services	PSCT
IT20	Poor Project Management	20	9	Amber	Information Services	PSCT
LCD03	Failure to make arrangements to meet the demand for leisure facilities(Short Term)	15	9	Amber	Leisure	PSCT-R-C&D-H
LCD17	Failure to correctly implement/manage grant aided projects	12	9	Amber	Leisure/ partnership development	PSCT-LE-E-R-C&D-CH-AS-CC-H&W
Plan11	Lone worker physical Abuse	12	9	Amber	Planning	PSCT-H&W
PS1	Inappropriate use of crime and disorder reduction partnership funding	15	9	Aber	Corporate/ policy	C&D
TR4	Inability to maintain Car Parks to a safe standard	16	9	Amber	Streetscape	E
TR5	Failure to inspect ordinary watercourses or collect costs from riparian owners	16	9	Amber	Streetscape	E
IT6	Virus from storage device plugged in to USB port on NWBC PC	20	10	Amber	Information Services	PSCT
IT8	Virus from users using Web Mail	15	10	Amber	Information Services	PSCT
IT11	Virus from a users laptop	15	10	Amber	Information Services	PSCT
IT12	Virus from Councillors laptops	15	10	Amber	Information Services	PSCT
IT13	Virus from Citrix home user	10	10	Amber	Information Services	PSCT
LCD13	Child abuse/Vulnerable Adults	15	10	Amber	Leisure/ partnership development	PSCT-C&D-H&W
PS6	Inappropriate response to information requests release of personal Information	15	10	Amber	Corporate/ policy	CC
TR9	Inadequate fire safety precautions at the Depot	20	10	Amber	Streetscape	E
BLDG2	Inability to maintain assets	20	12	Amber	Streetscape	PSCT
EH13	Major Incident out of hours not responded to	20	12	Amber	Env Health	E
IT17	Index phone system failure	16	12	Amber	Information Services	PSCT
LCD02	Failure to maintain buildings, plant fixed and portable equipment	15	12	Amber	Leisure	PSCT-R-C&D-H
LCD06	Failure to manage to Borough Councils Tree Stock to an appropriate level of safety	25	12	Amber	Leisure	PSCT-E-CH
LCD18	Failure to maintain closed churchyards within the Boroughs Jurisdiction	15	12	Amber	Leisure/ partnership development	PSCT-E-CH
LCD15	Loss of external funding support for mainstream service provision	15	15	Red	Leisure/ partnership development	PSCT-LE-E-R-C&D-AS-CC-H&W
LCD19	Do Nothing - eventual closure of Coleshill Leisure Centre	15	15	Red	Leisure/ partnership development	PSCT-E-CH
					Key	
					PSCT	Public Services & Council Tax
					H&W	Health & Well Being
					C & D	Crime & Disorder
					AS	Access to Services
					LE	Local Employment
					E	Environment
					CC	Consultation & Communication
					CH	Countryside & Heritage
					H	Housing
					R	Recycling

Action Plan for 2012/13

	Date Due
Check Risk Management implications are fully completed on Board reports	On-going
Review level of insurance cover	May 2012
Warwickshire Risk and Insurance Network Meetings	Quarterly
Review Strategy	December 2012
Review linkage of operational risks to strategic business objectives	September/ October 2012
Start review of Operational Risks (annually)	September 2012
Establish/ Review action plans to deal with highest priority strategic risks	September 2012
Annual Risk Management Workshop	January 2013
Start preparing for insurance tender	January 2013
Annual Statements of Assurance	February 2013
Annual report on Risk Management	June 2013
Insurance Renewals due	24 July 2013

Agenda Item 15

Resources Board

11 June 2012

Report of the Assistant Director (Corporate Services)

Procurement and Commissioning Strategy Action Plan 2012 – 2013

1 Summary

- 1.1 This report presents the Procurement and Commissioning Strategy Action Plan for 2012/13 to Members.

Recommendation to the Board

...
That the Board approves the Strategy Action Plan 2012/13 provided as Appendix A.

2 Introduction

- 2.1 The Council's Procurement and Commissioning Strategy 2010 – 2013 was approved by Board in 2010. It provides a framework for developing and improving procurement and guides how the Council buys and commissions goods, services and works over the three year period.
- 2.2 The annual Action Plan sets out the specific tasks for the year that will help us implement the Strategy and drive improvements.
- 2.3 The need to deliver savings and efficiencies is particularly important in the current financial climate. Procurement and commissioning is one of the tools the council has to help it achieve savings, create capacity and deliver high quality, value for money service to meet people's needs.

3 Progress against the Procurement and Commissioning Strategy Action Plan 2011/12

- 3.1 The majority of the actions identified in the 2011/12 Action Plan have been completed. The main achievements include:
- The Contract Register is up to data showing all suppliers with whom we spent more than £10,000 during 2010/11. This is used to plan future procurements and to help ensure Contract Standing Orders are being complied with and that we are getting value for money by aggregating spend.
 - The Council's Contract Standing Orders have been updated to reflect changes in legislation and procurement practices. Consultation on these revised Orders is underway and they will come to Members during the next cycle of Board meeting.

- Savings of £8,000 have been achieved through better procurement of basic low value items such as train tickets, stationery, printed material and uniforms.
- Procurement projects have been completed to ensure we have up to date contacts for the supply of tyres, industrial doors and various Housing Maintenance services.
- Ensured Procurement Staff are well trained through the use of e-learning NVQ's.

3.2 In addition to the work detailed in the Action Plan we have complied with the Government's Transparency agenda by making our payments to suppliers, where the value of the payment is over £500, available on the website on a monthly basis and ensured details of our procurements and contract awards are also made available.

4 Summary of Action Plan for 2012/13

4.1 The Action Plan aims to support the delivery of the Procurement Principles, which are shown below:

- Procure Strategically, Compliantly and Fairly.
- Deliver Choice, Quality and Social Outcomes.
- Best Value Procurement.
- Build Skills and Capacity.

4.2 Some of the main tasks in the 2012/13 Action Plan include:-

- Ensuring contracts for those goods/services due for re-procurement are awarded in good time. Specific areas include Printer/copiers, Telephony (tariffs), Heating Maintenance and Street Name Plates.
- To provide advice on the procurement elements of Council projects and initiatives including the Accommodation project.
- Improving the information on the website which is available to inform and help those seeking to supply to the council.
- To review and update the Procurement and Commissioning Strategy for the Council to cover the next 3 to 5 years.
- To brief staff on the changes to Contract Standing Orders once they are approved.

5 Report Implications

5.1 Finance and Value for Money Implications

5.1.1 There are no financial implications arising from this report or from the implementation of the Strategy and this year's Action Plan. However, procurement and commissioning activities will deliver savings and efficiencies that will contribute to savings targets.

5.2 Legal and Human Rights Implications

5.2.1 The Strategy includes up to date information on compliance with Procurement Legislation.

5.3 Environment and Sustainability Implications

5.3.1 The Strategy and Plan includes specific actions which encourage the Council to procure sustainably and with regard to the environment, climate and carbon reduction.

5.4 Equalities Implications

5.4.1 The strategy makes a commitment to implementing the duties laid down under the Equality Act 2010 as they relate to procurement. We will use the best practice defined by the Equality and Human Rights Commission guidance on the specific duties relating to procurement.

5.4.2 The general equality duty applies to procurement and commissioning by public bodies such as the Council. The requirement to comply with the general equality duty applies to all procurement regardless of the value; however; the value of the contract may, impact upon the relevance and proportionality of equality considerations.

5.5 Links to Council's Priorities

5.5.1 Good procurement and commissioning practices specifically support the Council's priority of achieving a balanced budget. However, the outcomes of the various procurement exercises could support and contribute to any one of the Council's priorities and officers will be encourage to identify the priority being supported by major procurements.

The Contact Officer for this report is Linda Bird (719327).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
Procurement and Commissioning Strategy 2010/11 – 2012/13	Linda Bird	Board Report	13 April 2010

Procurement and Commissioning Strategy 2012 – 13 Plan

Procurement Strategy - Action Plan 2012 - 2013

Below are the actions that are required to implement the Procurement and Commissioning Strategy. This Action Plan will be updated annually and progress against it monitored.

1. Providing leadership and building capacity				
Ref	Action	Deliverables	Target Dates	Responsibility & Involvement
1.1	Ensure the Council's Contract Register is kept up to date and used to plan quote / tender exercises.	Up to date contract register. Prioritized list of quote/ tender exercises.	May 12-Aug 12	AD (CS)
1.2	Publish tenders and contracts as ultimately required by the Governments Transparency programme.	Tender and contract details published as required.	From April 12	Procurement Manager (PM).
1.3	Produce procurement performance indicators.	Performance measured and improvements identified.	Sept 2012 – March 2013	AD (CS)
1.4	Advise on, and monitor compliance with, contract standing orders.	Revised CSO's Approved & Staff Briefed. Advice provided.	July 2012 Ongoing	Procurement Team/ AD (CS)
1.5	Update the Procurement and Commissioning Strategy and seek approval.	Approved Strategy.	Nov 12 – Mar 13.	AD (CS) & PM
1.6	Use good procurement practices to achieve value for money for the Council in its purchasing and projects, and particularly in its planned major projects.	Good outcomes achieved through using relevant in-house or external procurement expertise.	Ongoing	Assistant Directors, Procurement Manager.
1.7	Procurement Team and main Procuring Officers to meet and communicate regularly.	At least 6 monthly meetings	Ongoing	Procurement Manager.
2. Better Procurement				
Ref	Action	Deliverables	Target Dates	Responsibility & Involvement
2.1	Investigate and enter into collaboration /partnering arrangements where there is a business case.	Effective partnerships.	Ongoing	Procurement Team & Procuring Officers.
2.2	Purchase goods & commission work jointly where practical (consortia, frameworks, other bodies contracts)	Joint procurements and contracts.	Ongoing	Procurement Team & Procuring Officers.

Procurement and Commissioning Strategy 2012 – 13 Plan

2.3	Identify and deliver savings through better procurement.	Savings achieved. Challenge when savings not taken.	April 2012 - March 2013	Procurement Team & Procuring Officers.
2.4	Ensure contracts for those goods/services due for re-procurement are awarded in good time. Specific areas for 2012/13 include :- Print/Copy, Telephony (call tariffs), Heating Maintenance.	New contracts established in time for end of existing arrangements.	Ongoing	Procurement Team & Procuring Officers.
2.5	Continue to review and improve supplier /contract management arrangements for those we spend the most with (top 20) or who have a key role in service delivery.	Supplier management reviewed and documented. Regular meetings with suppliers.	July 2012 – Oct 2013	Procurement Team & Procuring Officers.

3. Doing business electronically

Ref	Action	Deliverables	Target Dates	Responsibility & Involvement
3.1	Encourage the use of TOTAL for all orders not covered by an exemption identified by Financial Services.	Orders processed through TOTAL.	Ongoing	Financial Services & Procurement Team.
3.2	Provide information to inform and help those seeking to supply to the Council.	Comprehensive information on Website.	Sept 2012 Jan 2013	Procurement Team.
3.3	Provide information and advice explaining to staff how to buy goods and services on behalf of the Council.	Advice up to date.	Ongoing	Procurement Team.
3.4	Use the "Contract Finder" portal to advertise appropriate procurement opportunities.	Opportunities made available to wider range of companies	Ongoing	Procurement Team.

4. Achieving social, economic and community benefits

Ref	Action	Deliverables	Target Dates	Responsibility & Involvement
4.1	Use procurement to support the Council's stance on climate change.	Procurements & contracts to consider elements of sustainability.	Ongoing	Procurement Team & Procuring Officers.
4.2	Encourage a diverse & competitive market including SMEs, local firms, social enterprises & community organisations.	Widely advertised opportunities. Meet the buyer events	Ongoing	Procurement Team

Agenda Item No 16

Resources Board

11 June 2012

Report of the Chief Executive and the Deputy Chief Executive

Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April – March 2012

1 Summary

- 1.1 This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April to March 2012.

Recommendation to the Board

That Members consider the performance achieved and highlight any areas for further investigation.

2 Consultation

- 2.1 Consultation has taken place with the relevant Members and any comments received will be reported at the meeting.

3 Background

- 3.1 This report shows the end of year position with the achievement of the Corporate Plan and Performance Indicator targets for 2011/12. This is the fourth report showing the progress achieved so far during 2011/12.

4 Progress achieved during 2011/12

- 4.1 Attached at Appendices A and B are reports outlining the progress achieved for all the Corporate Plan targets and the agreed local performance indicators during April to March 2011/12 for the Resources Board.

- 4.2 Members will recall the use of a traffic light indicator for the monitoring of the performance achieved.

Red – target not being achieved (shown as a red triangle)

Green – target achieved (shown as a green star)

- 4.3 Members should note that the performance updates and reports have been prepared using a Performance Plus performance management system. The Council has obtained access to the system via an agreement with Warwickshire County Council. In terms of the Council's performance management framework the access to the system has been set up based upon our existing approach. The system calculates the traffic light indicator status for the performance indicators based upon the performance achieved compared to the target.
- 4.4 The performance plus system uses the red, amber and green status indicators and shows these using a red triangle, orange circle and green star as shown above at paragraph 4.2. The direction of travel indicators are calculated by comparing the level of performance achieved and the change in performance, if any, from the previous quarter. An upward arrow is an improving position and a downward arrow is a worsening position. A level arrow is indicating a consistent level of performance.

5 Performance Indicators

- 5.1 Members will be aware that national indicators are no longer in place and have been replaced by national data returns specified by the government. A number of previous national and best value indicators have been kept as local indicators as they are considered to be useful in terms of managing the performance of our service delivery corporately.
- 5.2 The year end returns are subject to review by Internal Audit and should be considered provisional at this stage.

6 Overall Performance

- 6.1 The Corporate Plan performance report shows that 92% of the Corporate Plan targets and 79% of the performance indicator targets have been achieved. Individual comments from the relevant division have been included where appropriate. The table below shows the following status in terms of the traffic light indicator status:

Corporate Plan

Status	Number	Percentage
Green	12	92%
Red	1	8%
Total	13	100%

Performance Indicators

Status	Number	Percentage
Green	22	79%
Red	6	21%
Total	28	100%

7 Summary

7.1 Members may wish to identify any areas that require further consideration where targets are not currently being achieved.

8 Report Implications

8.1 Safer Communities Implications

8.1.1 There are community safety performance indicators which are reported to Executive Board.

8.2 Legal and Human Rights Implications

8.2.1 The national indicators were specified by the Secretary of State for Communities and Local Government. They have now been ended and replaced by a single list of data returns to Central Government from April 2011.

8.3 Environment and Sustainability Implications

8.3.1 Improvements in the performance and quality of services will contribute to improving the quality of life within the community. There are a number of actions and indicators which contribute towards the priorities of the sustainable community strategy including customer access strategy, outreach services, financial inclusion, health and well being services and decent and affordable housing.

8.4 Risk Management Implications

8.4.1 Effective performance monitoring will enable the Council to minimise associated risks with the failure to achieve targets and deliver services at the required performance level.

8.5 Equality Implications

8.5.1 There are a number of equality related actions and indicators highlighted in the report including developing outreach services, financial inclusion, decent and affordable housing, adaptations for people with disabilities and fuel poverty.

8.6 Links to Council's Priorities











8.6.1 There are a number of targets and performance indicators contributing towards the priorities of access to services, housing, health and well being, consultation and communication, public services and Council Tax, environment and local employment.












The Contact Officer for this report is Robert Beggs (719238).

Background Papers













Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
National Indicators for Local Authorities and Local Authority Partnerships	Department for Communities and Local Government	Statutory Guidance	February 2008











NWCP Resources 11/12							
	Action	Priority	Reporting Officer	Due Date	Update	Status	Direction
NWCP 011 11/12	To research and develop options for extending the Council's consultation with stakeholders on financial savings options and report by July 2011	Consultation and Communication	Garner, Sue	31/03/2012	Some research was undertaken. The development of specific options needs to be appropriate for proposed savings. Only limited consultation was required for 2012/13 proposals.	 Green	
NWCP 031 11/12	To review the programme of work by May 2012, based on our stock condition information, and complete the current action plan, to maintain the Council's stock to a good standard and set out a local standard, in accordance with the Government guidelines for registered providers	Housing	Coates, Angela	31/03/2012	This objective was completed early in 2011. An Asset Management Plan will be developed for 2012/13.	 Green	
NWCP 032 11/12	To report further to the Resources Board by June 2011 on current shared equity schemes and make recommendations for such a scheme in North Warwickshire	Housing	Coates, Angela	31/03/2012	It has been decided not to pursue this scheme at this time.	 Green	
NWCP 033 11/12	To act on the objectives set out in the Warwickshire Local Investment Plan by appraising how public land holdings can be used to deliver affordable homes, find new ways of funding schemes and bringing empty homes back into use and to review the position annually from March 2012	Housing	Coates, Angela	31/03/2012	The Local Investment Plan is a 4 year programme. We have three RSL partners in place to help us deliver against the Plan and the Council is proposing to build its own properties to support the need for more affordable homes. The Council was successful, with Waterloo Housing Group, in attracting grant funding to bring empty homes back into use.	 Green	
NWCP 034 11/12	To report on the implications of the Localism Bill (when enacted) for housing services and take action where appropriate with regard to changes in legislation with regard to tenure, allocations, homelessness, tenant scrutiny and Housing Revenue Account Subsidy reform	Housing	Coates, Angela	31/03/2012	There have been many consultation documents over the last 12 months in relation to the Localism Bill. All have been reported to the Resources Board or Housing Sub Committee and responses made. Policies and procedures are in place to address the issues arising.	 Green	



	Action	Priority	Reporting Officer	Due Date	Update	Status	Direction
NWCP 035 11/12	To work proactively with residents and partners to assist residents in the private sector to access funding to improve their homes (especially with regard to energy efficiency) and to report on progress annually from March 2012	Housing	Coates, Angela	31/03/2012	A new private sector assistance policy is in place and we have acted to ensure an equity release scheme is adopted for those who choose that option. Energy efficiency initiatives have been promoted positively with good success.	 Green	
NWCP 036 11/12	To review the services delivered by Community Support and report to Resources Board on issues and proposed improvement by March 2012	Housing	Coates, Angela	31/03/2012	A draft report was delivered to Management Team by the end of March. However it will not be reported to Resources Board until June 2012.	 Red	
NWCP 037 11/12	To implement changes proposed from review of Home Improvement Agencies and Adaptations Services by June 2011	Housing	Coates, Angela	31/03/2012	The pilot project has gone well and the working principles will be adopted across the County has the service rolls out. However consideration is now being given to how the Nuneaton/ North Warwickshire pilot will continue as the pilot becomes a Countywide initiative.	 Green	
NWCP 039 11/12	To continue to contribute to the effectiveness and savings targets through the delivery of the Procurement Strategy Action Plan	Public Services and Council Tax	Bird, Linda	31/03/2012	All Major Tasks Completed Year End Report in Trim 11/740	 Green	
NWCP 040 11/12	To continue to contribute to the effective delivery of services through implementing the actions identified in the ICT Strategy Action Plan	Public Services and Council Tax	Bird, Linda	31/03/2012	All Major Task Completed Year End Report in Trim 11/739	 Green	
NWCP 041 11/12	To carry out the preparatory work needed, ready for the implementation of the 'self financing' model for the Housing Revenue Account in time for the proposed implementation date of April 2012	Public Services and Council Tax	Garner, Sue	31/03/2012	The 30 year Business Plan originally produced was updated as part of the estimates process. This was used in establishing a borrowing strategy, along with current interest rates. The Business Plan has been updated to reflect actual borrowing taken out on 28 March.	 Green	

	Action	Priority	Reporting Officer	Due Date	Update	Status	Direction
NWCP 043 11/12	To undertake work in line with the Human Resources Strategy, including a) Monitoring/managing sickness absence; b) Ensuring compliance with employment legislation	Local Employment	Garner, Sue	31/03/2012	The HR team assisted Divisions with the management of sickness absence. Policies were produced / updated to ensure compliance with employment legislation. Progress reports on HR issues went to Resources Board (June) and Special Sub Group (February).	 Green	
NWCP 050 11/12	To develop an action plan to resolve ongoing capital and maintenance issues with all other Council buildings, including the Memorial Hall, The Arcade, Abbey Green, community buildings, shops and industrial units, including seeking ways to reduce, where possible, our carbon footprint	Public Services and Council Tax	Dobbs, Richard	31/03/2012	A report on the maintenance requirements and condition of key assets is due to go to Resources Board in June 2012	 Green	

NWPI Resources Board 11/12								
Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 052	The % of invoices for commercial goods and services which were paid by the authority within 30 days of such invoiced being received by the Authority (former BV8)	Financial Accountancy	Public Services & Council Tax	98	98	 Green		Any significant reductions in performance are always raised with relevant department. Performance is monitored monthly.
NWLPI 054	The proportion of working days / shifts lost to sickness absence (former BV12)	Human Resources	Public Services & Council Tax	9	7.53	 Green		
NWLPI 055	Voluntary leavers as a % of staff in post (former BV13)	Human Resources	Public Services & Council Tax	10	10.95	 Red		
NWLPI 57	Percentage of calls answered through the Central Control system within 60 seconds. (TSA national standard 96.5%):	Community Support	Housing	99	99.3	 Green		
NWLPI 135	Percentage of response repairs completed right first time	Housing Maintenance	Housing	91	89.2	 Red		
NWLPI 068	Completed Gas certificates	Housing Maintenance	Housing	100	100	 Green		
@NW:NI156	This indicator measures the numbers of households living in temporary accommodation provided under the homelessness legislation.	Housing Management	Housing	2	1	 Green		
NWLPI 136	Number of tenants with more than 7 weeks rent arrears	Housing Management	Housing	2.8	2.53	 Green		
NWLPI 070	Average time taken to re-let local authority housing (former BV212)	Housing Management	Housing	21	23.93	 Red		
NWLPI 039	The percentage availability of corporate systems available to users Monday to Friday 8.00 am to 5.30 pm :	Computer Services	Public Services & Council Tax	99.7	99.97	 Green		
NWLPI 040	The percentage of initial response to helpdesk calls within four hours of a call being placed :	Computer Services	Public Services & Council Tax	95	98	 Green		
NWLPI 041	Percentage of Service Desk Calls resolved in target (total of IS3 to IS6)	Computer Services	Public Services & Council Tax	95	95	 Green		
NWLPI 096	The Percentage of Calls answered in 20 seconds in the contact centre	Revenues & Benefits	Public Services & Council Tax	75	81	 Green		

Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 100	Housing Benefit Security: : The number of prosecutions and sanctions, per 1,000 caseload (former BV76d)	Revenues & Benefits	Public Services & Council Tax	5.5	5.66			
NWLPI 101	Speed of processing : Average time for processing new claims (former BV78a)	Revenues & Benefits	Public Services & Council Tax	21	21.1			
NWLPI 102	Speed of processing : Average time for processing notifications of changes of circumstance. (former BV78b)	Revenues & Benefits	Public Services & Council Tax	7	5.8			
@NW:NI181	The average time taken in calendar days to process all new claims and change events in Housing Benefit and Council Tax Benefit	Revenues & Benefits	Public Services & Council Tax	8.5	7.45			
NWLPI 106	The percentage of non-domestic rates due for the financial year which were received by the authority (former BV10)	Revenues & Benefits	Public Services & Council Tax	98.8	99.32			
NWLPI 107	Proportion of Council Tax collected (former BV9)	Revenues & Benefits	Public Services & Council Tax	98.4	98.33			
@NW:NI158	This indicator measures the number of non decent council homes and the proportion this represents of the total council housing stock. This is being calculated in order to demonstrate the progress towards making all council housing decent.	Housing Maintenance	Housing	100	99.2			Properties become none decent over time. Programmes of work are designed to ensure that the Council's stock remains at or above the Decent Homes Standard. However sometimes programmes of work will not quite meet a snap shot taken at a certain time in the year. There are 22 flats in Atherstone which do not meet the Decent Homes Standard because the entrance doors are in a poor condition. These doors will be replaced as part of the 2012-2013 programme.
NWLPI 064	Average waiting time to complete an adaptation from request and completion of work	Housing Maintenance	Housing	7	4			This is from the total time from request to completion target was set in months and not days Average waiting time target is 7 months Actual target reached is 4 months. Housing Maintenance software (IBS) - password protected
NWLPI 065	The average waiting time for adaptations to local authority housing for people with disabilities: a, time taken between initial request and referral	Housing Maintenance	Housing	2	2			Target is 2 months actual = 2 months

Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 066	The average waiting time for adaptations to local authority housing for people with disabilities(excluding major work): between, time taken between referral and completion of work	Housing Maintenance	Housing	5	2.15	 Green		Target is 5 months end of year 2 months 15 days
@NW:NI160	The percentage of local authority tenants who say that they are Very satisfied or Fairly satisfied with the overall service provided by their landlord.	Housing Management	Housing	87	90	 Green		Annual STAR survey which is undertaken by an independent research organisation.
NWLPI 072	Local authority rent collection and arrears: : Rent collected by the local authority as a proportion of rents owed on Housing Revenue Account (HRA) dwellings (former BV66a)	Housing Management	Housing	99.8	99	 Red		
NWLPI 076	The number of private sector vacant dwellings that are found to be occupied, returned into occupation or demolished during the year as a direct result of action by the local authority (former BV64)	Private Sector & Public Health	Housing	20	7	 Red		<p>This number of empty homes have been brought back into use as a direct result of the Council's intervention. We set a target of 20 last year because we expected to have HCA funding in place to help intervene. However funding was not awarded until March 2012. 5 properties were brought back into use in 2010/2011.</p> <p>From designated spreadsheet.</p>
NWLPI 137	The average waiting time for adaptations to private sector housing for people with disabilities: a, time taken between initial request and completion of work	Private Sector & Public Health	Housing	7	7.8	 Red		<p>Our target was 7 months. This would have seen a reduction of 3 months on last years performance. We achieved 7.8 months end to end. The improvement project has assisted with this but only started in the second half of the year. The turn around time for adaptations done within the improvement project is 4 months. We expect to see further improvement during 2012/13 as the project matures.</p> <p>From designated spreadsheet.</p>

Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 042	Analyse and report of e-service take up for the previous 12 months	Computer Services	Public Services and Council Tax	Yes	Yes	 Green		Report - Online Services update and Plan went to October's Resources Board

**Report of the
Deputy Chief Executive**

**Internal Audit – Performance for
2011/12**

1 Summary

- 1.1 The report allows the Board to monitor the progress of the Council's Internal Audit function against the agreed plan of work for the year.

Recommendation to the Board

That the report be noted.

2 Introduction

- 2.1 The CIPFA Code of Practice on Internal Audit in Local Government defines standards of best practice for internal audit. The Code requires that Members both approve the Internal Audit Section's strategic work plan and receive periodic reports on performance against plan. This report summarises performance with reference to the Annual Plan for April 2011 to March 2012.

3 Summary of Work Completed

- ... 3.1 Appendix A summarises progress on the s151 audit plan for the period, identifying audits completed and indicating the extent of progress on those audits still outstanding, whilst Appendix B provides definition of the level of assurance given. The appendix shows that all key planned areas have been addressed within time, the exception being two substantial sized audits which had completion dates deferred due to officer sickness absence and two where the time taken to complete the review was over budget but contained additional areas of work resulting from that review. The 90% performance target was exceeded with a 94% result.
- ... 3.2 The Head of Audit can express a satisfactory opinion on the overall adequacy and effectiveness of the Council's control environment based on the work undertaken by the audit team during the year, work undertaken by the IT Auditors and from the acceptance of assurance from the Council's external auditors.
- 3.3 All of the required financial audits for review by the external auditors were completed by the 31 March deadline. The external auditors have confirmed that they have been able to place full reliance on the work they reviewed carried out by the internal team.

- 3.4 Audit reports submitted to Board for the first, second and third quarters of the year detail individual audits completed to that time. This report text refers only to those completed during the final quarter.

Internal Audit can place a high level of assurance on the following final reviews:

Main Accounting – No recommendations

Budgetary Control – No recommendations

Payroll – No recommendations

Benefits – No recommendations

Capital Expenditure – No recommendations

Council Tax – No recommendations

NDR – No recommendations

Cash and Banking – No recommendations

Creditors – No recommendations

Treasury Management – No recommendations

Risk Management – No recommendations

Debtors – No recommendations

A medium level of assurance can be placed on Housing Rents– 2 recommendations

- 3.5 The Internal Audit Section has undertaken a range of work recorded under contingency audits. These are reviews carried out either resulting from departmental requests, external audit suggestions or where Internal Audit have responsibility for service activity- this relates to counter fraud activity and monitoring of reporting information from the National Fraud Initiative. Work has also been carried out on cash collections, vehicle fleet management and Payment Card Industry compliance.

- 3.6 The performance standards set by the Audit Commission require that Internal Audit completes at least 90% of planned work in the year unless there are good reasons otherwise. In calculating that statistic, planned work deferred at client request is ignored if such deferrals have appropriate justification. All client requests for deferrals have been based on sound, service based justifications.

- 3.7 IT Audit work is achieved through a contractual arrangement secured across all councils within Warwickshire. In 2011-12 reviews completed covered IT Data Back-up and Protection against Malicious Software that achieved good levels of assurance; Electronic Payments and IBS – Housing Rents system achieved adequate levels of assurance.

4 Report Implications

4.1 Risk Management Implications

- 4.1.1 Failure to provide an effective Internal Audit Service may adversely affect the level of internal control operating within the Council and will attract criticism from external assessors, such as the Audit Commission and the External Auditor.

4.2 **Links to Council's Priorities**

- 4.2.1 The audit programme agreed and delivered is aligned to both the priorities of the Council and the requirements of external assessors.

The Contact Officer for this report is Barbara Haswell (719416).

Audits Completed last quarter 2011-12

Audit	Quarter Due	Status	Assurance Level *	Tot No. of Recs	High Priority	Medium Priority	Low Priority	H/M Recs not Agreed(attach)
Main Accounting	4	Final	H	0				
Creditors	4	Final	H	0				
Budgets	4	Final	H	0				
Payroll	4	Final	H	0				
Housing Benefits	4	Final	H	0				
Capital	4	Final	H	0				
Council Tax	4	Final	H	0				
Cash & banking	4	Final	H	0				
NDR	4	Final	H	0				
Sundry Debtors	4	Final	H	0				
Treasury Management	4	Final	H	0				
Housing Rents	4	Draft	M	2	1	1	0	
Corporate Governance	4	Draft	H	0				

Reasons for not providing a high assurance level on final reports

There are weaknesses in the system administration of IBS Rents that affect the level of internal control and a lack of current understanding of the system. Improvements have been agreed and once fully functional will address the identified issues.

Progress Against Audit Plan

Audit	Status	Due	Audit	Status	Due
Risk Management	Completed		Procurement	Completed	
Performance Management & PI's	Completed		Travel	Completed	
Data Protection	Completed		C House sales	Completed	
Housing Repairs & Maintenance	Completed		Recycling	Completed	
Memorial Hall	Completed		Land Charges	Completed	
Leisure Centres	Completed		Energy	Completed	
Homelessness	Completed		Contracts	Completed	

Pitches & Pavilions	Completed		VAT	Postponed	
Printing & Stationery	Completed		Building Ctrl	Completed	
Private Sector Assistance	Postponed		HR Update	Completed	
Commercial Properties	Completed		Assets	Postponed	
Compliance with Policies & Strategies	Ongoing	2012/13	Stocks & Stores	Ongoing	2012/13
Forward Planning/Local Plan	Postponed		Post Implementation Reviews	None undertaken	
Support to Voluntary Orgs	Postponed		Corporate Priorities/Consultation	Postponed	
Corporate Governance	Ongoing	2012/13	Amenity Cleaning	Postponed	2012/13

Progress Against Audit Plan

Audit	Status	Due	Audit	Status	Due
IT Based Audits					
Data Back Up	Final		Electronic Payments	Final	
Protection against Malicious Software	Final		IBS - Rents	Draft	2012/13
Windows 7 & Office upgrade	Postponed				

Performance of Audit 2011-12			
No.	Indicator	Suggested Frequency	Performance for 2011-12
1	Performance reports to Resources Board	Quarterly	September 2011, November 2011, April 2012, June 2012
2	90% of Audit Plan delivered	Annual	94% delivered- remaining low risk audits postponed due to loss of available days due to sickness
3	Number of audits where time taken to complete the work is more than 10% longer than planned.	Quarterly	2 - both due to additional work being undertaken within the review
4	Number of audits completed by set deadline	Quarterly	33 - 2 carried into 2012/13 due to necessity of completing key financial system audits by 31st March and reduced time available due to sickness in quarter 4
5	Final report issued within 4 weeks of completion of fieldwork	Quarterly	33 - 2 delayed as explained above.
6	90% of recommendations accepted by management	Annual	100% accepted
7	Number of recommendations implemented by the target date	Annual	100%
8	Details from CIPFA benchmarking exercise	Annual	Not undertaken this year- once every 3 years considered appropriate due to cost.
9	Questionnaire:Feedback obtained from report recipients is good (average 4 out of 5)	Quarterly	Good in those returned.
10	% of sickness levels within Audit is below 5%	Quarterly	5.23% - one period of long term sickness pushed up the figure
11	Training for unqualified staff represents at least 5% of their available time.	Annual	7.3% achieved.
12	Reliance on Internal Audit work by external agencies	Annual	2012 review of work undertaken in 2011-12 by external auditors complimentary and reliance has been placed on completed work
13	Compliance with CIPFA Code of Audit Practice	Annual	Confirmed by self assessment

Assurance level definitions:

Overall Audit Opinion	
High	<p>Controls are in place and operating satisfactorily.</p> <p>Reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively.</p>
Medium	<p>There are some control weaknesses but most key controls are in place and operating effectively.</p> <p>Some assurance can be given that the system, process or activity should achieve its objectives safely and effectively.</p>
Low	<p>Controls are in place but operating poorly or controls are inadequate, failing or not present to satisfaction.</p> <p>Only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively.</p>

Recommendation Priority Levels definitions:

High	Action is agreed for implementation within one month of the report date
Medium	Action is agreed for implementation within three months of the report date
Low	Action is agreed for implementation within twelve months of the report date

Agenda Item No 18

Resources Board

11 June 2012

Report of the Deputy Chief Executive

Treasury Management Revised Lending List

1 Summary

1.1 This report shows a revised Treasury Management Lending List.

Recommendation to the Board

That the revised lending list be agreed.

2 Introduction and Background

2.1 A Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy for 2012/12 was agreed by Resources Board and adopted by Council at its meeting on 22 February 2012.

2.2 The Investment Policy highlighted that the Council's investment priorities are the security of capital and the liquidity of its investments. Although a lower priority, it also aims to achieve the optimum return on its investments, with proper levels of security and liquidity. The risk appetite of this Council is low in order to give priority to secure all of its investments.

3 Creditworthiness Policy

3.1 This Council uses the creditworthiness service provided by Sector Treasury Services as the basis for setting limits on its investments. This service has been progressively enhanced over time and now uses a sophisticated modelling approach with credit ratings from all three rating agencies- Fitch, Moodys and Standard and Poors, forming the core element. However, it does not rely entirely on the current ratings of counterparties but also uses the following as overlays:-

- Credit watches and credit outlooks from credit rating agencies

- Credit Default Swap (CDS) spreads to give early warning of likely changes in credit ratings
- Sovereign ratings to select counterparties from only the most creditworthy countries

3.2 Compared to many authorities, this Council holds relatively small balances, which are becoming increasingly difficult to place as potential counterparties set minimum levels of investment. Whilst still abiding by the Council's priorities of security and liquidity, it is felt that there is some immediate scope for minor amendment within the limits agreed. A revised table on the level of investments which may be made is shown below. The previously agreed limit is shown as crossed through with the revised limit in bold type.

Group Limit – Up to 30 % of total investments		
Other Limits – up to 50% of total investments may be invested for a period of more than 1 year		
Up to 100% of total investments may be made in UK institutions		
Up to 50% of total investments may be made in non UK institutions		
Up to 100% of total investments may be invested for a period of up to 1 Year		
Up to 20% of the investment portfolio in any one country outside the UK		
Money market Funds- as the funds are spread over a large number of institutions, these do not form part of any group limit.		
Individual Limits	Amount or % of total investments held	Rating
> 1 year	£2 million	Supranational banks AAA
> 1 year	£3 million	AAA Money Market Funds
> 1 year	£2 million	AAA F1+
> £1 million	£1 million	AA- F1+
< 1 year	£2 million	AAA F1+
< 1 year	£2 million	AA+ F1
<1 year	£2 million	AA F1+
<1 year	£2 million	AA- F1+
<6 months	£1.25 million	A+ F1+
<3–6 months	£750,000- £1.25 million	A F1
<3 months	£750,000	A- F1

3.3 Whilst it is hoped that these small amendments will give some assistance in the short term, a more in depth review is planned, to see if further amendments can be made without jeopardising the security and liquidity of investments.

4 Report Implications

4.1 Finance and Value for Money Implications

4.1.1 By amending the limits set, it should provide more flexibility in investing funds.

4.2 Environment and Sustainability Implications

4.2.1 By having effective and prudent treasury management, this contributes towards sustainability and providing services that improve the quality of life for the communities of North Warwickshire.

4.3 Risk Management Implications

4.3.1 Credit ratings are used in assessing the institutions on the authorised lending list and the maximum investment level permitted. Ratings are checked on a daily basis and notice taken of any institutions on a negative watch.

The Contact Officer for this report is Jackie Marshall (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

Agenda Item No 19

Resources Board

11 June 2012

Report of the Assistant Director (Finance and Human Resources)

Budgetary Control Report 2012/13 Period Ended 31 May 2012

1 Summary

- 1.1 The report covers revenue expenditure and income for the period from 1 April 2012 to 31 May 2012. The 2012/13 budget and the actual position for the period, compared with the estimate at that date, are given, together with an estimate of the out-turn position for services reporting to this Board.

Recommendation to the Board

That the report be noted.

2 Report

2.1 Introduction

- 2.1.1 Under the Best Value Accounting Code of Practice (BVACOP), services should be charged with the total cost of providing the service, which not only includes costs and income directly incurred, but also support costs relating to such areas as finance, office accommodation, telephone costs and IT services.

- 2.1.2 Therefore, to comply with this requirement, the budgets reporting to this Board fall into two categories – services where the costs incurred are recharged to other services and Boards, and those services where costs remain within Resources Boards – and are reported separately within this report.

3 Services Remaining Within Resources Board

3.1 Overall Position

- 3.1.1 The total expenditure for those services that remain within Resources as at 31 May 2012, is £551,252, compared with a profiled budgetary position of £577,023; an under-spend of £25,771 for the period. Appendix A to this report provides details of the profiled and actual position for each service reporting to this Board, together with the variance for the period. Where possible, the year-to-date budget figures have been calculated with some allowance for seasonal variations, in order to give a better comparison with actual figures. Reasons for the variations are given, where appropriate, in more detail below:

...

3.2 Democratic Process

- 3.2.1 There has been a reduction in one of the corporate subscriptions paid, a reduction in mayoral car hire expenditure and an under-spend so far on members allowances.

3.3 Innage Park Industrial Estate

- 3.3.1 There is an underspend on Non Domestic Rates as a previously vacant unit has now been let also generating additional rental income above the profiled budget.

3.4 Car Parks

- 3.4.1 There is an underspend relating to Non Domestic Rates as one of the car parks at Coleshill has now been sold. In addition there is an increase in the number of penalty notices issued and increases in fees payable.

4 Services Recharged to Other Directorates and Services

4.1 Overall Position

- 4.1.1 Net expenditure for those services that are recharged to other Directorates and Services, as at 31 May 2012, is £183,836, compared with a profiled budgetary position of £232,962; an under-spend of £49,126 for the period. Appendix B to the report gives the profiled and actual positions for the period for each service, together with the variance. Where possible, the year-to-date budget figures have been calculated with some allowance for seasonal variations, in order to give a better comparison with actual figures. Reasons for the variations are given, where appropriate, in more detail below.

4.2 Directorate Budgets

- 4.2.1 The Council's budget requirement for 2012/13 assumed that there would be a salary vacancy saving in the year of £80,000 and this was included as a central amount. The central vacancy factor has been added into the budget columns shown in Appendix B, to enable easier comparison with the actual position. Current vacancy levels within the Directorates mean that we are ahead of the target at the current time, taking into account the use of temporary and agency staff to cover key duties and any recruitment costs resulting from these vacancies, and excluding vacancies that relate to the Housing Revenue Account.
- 4.2.2 The areas with vacancies are Policy Support, Animal Control, Waste Management, Housing Management, Housing Maintenance, Housing Direct Works, Transport and Streetscape, Landscape Management, Community Support, Revenues and Benefits, Customer Contact and Information Services. Some of these vacancies have now been filled although most remain unfilled.

	£
Current agency staff variance	5,608
Current salaries underspend	(50,630)
TOTAL	(45,022)

4.2.3 Other significant variances include under-spends relating to maternity leave, stationery, conference fees and occupational health fees. Set against this are a number of small overspends within professional fees, corporate subscriptions and vehicle repair materials.

5 Performance Indicators

5.1 In addition to the financial information provided to this Board, when the budgets were set in February, performance indicators were included as a means of putting the financial position into context. These are shown at Appendix C.

6 Risks to the Budget

6.1 A number of key risks to the budgetary position of the Council from services under the control of this Board were identified when the budget was set in February.

6.2 The key risks to the budgetary position of the Council from services under the control of this Board include:

- Increases in vacancies at industrial estates and shops that will impact on the level of rental income the Council receives and the amount of NDR that the Council is liable to pay.
- A higher level of maintenance on property assets and car parks, over and above that budgeted for.
- An increase in the level of Local Authority error made in processing benefit payments could lead to a loss of subsidy
- A significant increase in workload due to an increase in benefit claimants and non payment of Council Tax and/or Non Domestic Rates
- A fall in the level of recovery of Housing Benefit overpayments (greater than that expected) would impact on the level of expenditure borne by the Council
- Further reductions in benefit administration grant levels
- Loss of County Council funding for Customer Contact staffing (£18,450 per annum in 2011/2012)
- Additional resources that may be required to support the North Warwickshire LEADER Partnership and other externally funded projects
- Pay awards from 2012/13 being in excess of the budget provision made
- Maintenance costs of Council assets such as IT equipment and council buildings
- Higher than anticipated rises in utility costs (electricity, gas, water and vehicle fuel)

7 Estimated Out-turn

- 7.1 Members have requested that Budgetary Control Reports provide details on the likely out-turn position for each of the services reporting to this Board. The anticipated out-turn for this Board for 2012/13 is £3,663,730 as detailed in the table below: -

	£
Approved budget 2012/2013	3,723,270
Employee savings from vacant posts	(40,000)
Additional rental income at Innage Park Industrial Units	(7,300)
Saving on NDR at Coleshill car park	(5,220)
Saving on NDR at Innage Park Industrial Units	(4,450)
Saving on LGA corporate subscription	(2,570)
Expected Out-turn 2012/13	3,663,730

8 Report Implications

8.1 Finance and Value for Money Implications

- 8.1.1 The Council's budgeted contribution from General Fund balances for the 2012/2013 financial year is £453,410. This is expected to decrease by £59,540, as shown above. Income and Expenditure will continue to be closely managed and any issues that arise will be reported to this Board at future meetings.

8.2 Environment and Sustainability Implications

- 8.2.1 The Council has to ensure that it adopts and implements robust and comprehensive budgetary monitoring and control, to ensure not only the availability of services within the current financial year, but in future years.

The Contact Officer for this report is Nigel Lane (719371).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

North Warwickshire Borough Council
RESOURCES BOARD (REMAINING)
Budgetary Control Report 2012/13 as at 31 May 2012

Description	Original Budget 2012/2013	Profiled Budget to May 2012	Actual to end May 2012	Variance to Date	Comments
Democratic Process	713,350	128,879	120,996	(7,883)	Comment 4.2.1
Election Expenses	24,940	4,092	4,239	147	
Registration of Electors	42,660	4,939	5,057	118	
Non Domestic Rates	41,230	18,857	17,324	(1,533)	
Council Tax Collection	212,050	39,682	38,239	(1,443)	
Investors in People	8,360	1,072	1,072	-	
Finance Miscellaneous	(140,600)	(17,264)	(17,161)	103	
Compensation and Pension Increases	114,790	7,101	7,185	84	
Assisted Car Purchases	(130)	-	-	-	
Electricity at Work	22,070	3,642	4,027	385	
Efficiencies and Value for Money	37,060	5,787	5,787	-	
Finance Unused Land	150	25	25	-	
Corporate and Democratic Core	740,260	92,927	93,661	734	
Unallocated Central Support Services	235,900	28,113	27,165	(948)	
Coleshill Shops and Flats	(63,440)	(13,648)	(13,733)	(85)	
The Arcade	9,100	(8,418)	(8,736)	(318)	
The Pavilions, Holly Lane	(74,030)	(22,408)	(21,998)	410	
Carlyon Road Industrial Estate	(94,340)	(13,236)	(13,039)	197	
Innage Park Industrial Estate	95,160	44,937	38,490	(6,447)	Comment 4.3.1
Polesworth Workspace Units	(3,560)	(3,099)	(2,839)	260	
The Bear and Ragged Staff	(12,440)	(2,227)	(2,227)	-	
Football Stadium	350	58	58	-	
Homeless Persons	63,970	12,652	12,651	(1)	
Public Conveniences	113,250	28,041	27,426	(615)	
Customer Contact	143,110	8,298	8,057	(241)	
Rent Allowances	176,370	37,745	39,484	1,739	
Rent Rebates	39,980	26,055	23,964	(2,091)	
Concessionary Fares	27,060	4,059	4,217	158	
Non Domestic Rates Discretionary Relief	24,820	335	335	-	
Council Tax Benefits	113,790	(20,034)	(20,627)	(593)	
Car Parks	63,700	31,696	24,904	(6,792)	Comment 4.4.1
Business Improvement District	1,040	173	173	-	
Environmental Sustainability	8,620	1,437	1,437	-	
Animal Control	81,450	14,278	14,976	698	
Abandoned Vehicles	9,290	1,502	1,455	(47)	
Private Sector Housing Assistance	212,980	12,173	12,048	(125)	
CCTV	110,060	20,723	21,284	561	
Community Support	543,530	85,455	83,251	(2,204)	
North Warwickshire LEADER (External)	62,000	10,333	10,334	1	
Branching Out Bus (External)	14,250	2,291	2,291	-	
TOTALS	3,718,160	577,023	551,252	(25,771)	

**North Warwickshire Borough Council
RESOURCES BOARD (RECHARGED)
Budgetary Control Report 2011/12 as at 31 May 2012**

Description	Original Budget 2012/2013	Profiled Budget to May 2012	Actual to end May 2012	Variance to Date	Comments
Building Maintenance Fund	-	-		-	
Council Offices	-	73,330	74,187	857	
Central Telephones	-	2,932	2,858	(74)	
Recruitment	-	1,500	1,500	-	
Printing and Copying	-	2,636	1,842	(794)	
Training	1,400	-	1,262	1,262	
Depot and Stores	-	17,003	16,541	(462)	
Postal Services	-	1		(1)	
Chief Executive Directorate	-	(858)	(851)	7	
Assistant Chief Executive	300	(1,916)	(13,374)	(11,458)	Comment 5.2.2-3
Directorate of Community Services	40	(18,977)	(24,898)	(5,921)	Comment 5.2.2-3
Deputy Chief Executive	3,210	530	(35,293)	(35,823)	Comment 5.2.2-3
Corporate Services	200	166,330	161,405	(4,925)	Comment 5.2.2-3
Transport	130	(9,549)	(1,343)	8,206	Comment 5.2.2-3
TOTALS	5,280	232,962	183,836	(49,126)	
Central Vacancy Factor	(80,000)	(13,333)	-	13,333	Comment 5.2.1
TOTALS	(74,720)	219,629	183,836	(35,793)	

Key performance Indicators (KPIs) for budgets reporting to the Resources Board

	Budgeted performance	Profiled Budgeted performance	Actual performance to Date
Registration of Electors			
Cost per elector for the Electoral Register	£0.86	£0.10	£0.10
Non Domestic Rates			
% of NDR Collection Rate	98.90%	19.78%	21.00%
Cost per NDR Property	£18.74	£8.57	£7.87
Council Tax Collection			
% of Council Tax Collection Tax	98.40%	19.68%	20.20%
Cost per Household	£7.85	£1.47	£1.42
Coleshill Shops and Flats			
Occupancy Rate	100.00%	100.00%	100.00%
Annual Income per Shop	(£8,954)	(£2,058)	(£2,058)
The Arcade			
Occupancy Rate	50.00%	50.00%	42.86%
Annual Income per Unit	(£1,472)	(£1,130)	(£1,180)
The Pavilions			
Occupancy Rate	100.00%	100.00%	100.00%
Annual Income per Unit	(£8,689)	(£3,238)	(£2,946)
Carlyon Road Industrial Estate			
Occupancy Rate	75.00%	75.00%	81.25%
Annual Income per Unit	(£13,773)	(£1,416)	(£1,416)
Innage Park Industrial Estate			
Occupancy Rate	41.86%	41.86%	51.16%
Annual Income per Unit	(£2,957)	(£732)	(£864)
Polesworth Workspaces			
Occupancy Rate	100.00%	100.00%	100.00%
Annual Income per Unit	(£1,488)	(£558)	(£558)
Rent Allowances			
Rent Allowances per Claimant	£4,519	£376.58	£387.54
Cost of Administration per Claimant	£102.84	£22.01	£23.02
Rent Rebates			
Rent Rebates per Claimant	£3,658	£304.85	£373.11
Cost of Administration per Claimant	£23.87	£15.56	£14.31
Council Tax Benefits			
Council Tax Benefits per Claimant	£903.55	£858.38	£864.59
Cost of Administration per Claimant	£21.57	-£3.80	-£3.91

Agenda Item No 20

Resources Board

11 June 2012

**Report of the Assistant Director
(Finance and Human Resources)**

**Consolidated Budgetary Control
Report 2012/13 - Period Ended
31 May 2012**

1 Summary

- 1.1 The report covers total Council General Fund revenue expenditure and income for the period from 1 April 2011 to 31 May 2012.

Recommendation to the Board

That the report be noted.

2 Board Report

2.1 Overall Position

- 2.1.1 The actual level of Board expenditure for the period to 31 May 2012 is £1,693,785 compared with a profiled budgetary position of £1,767,782; an under-spend of £73,997 for the period. Appendix A provides an analysis of Board expenditure and the overall position for the Council for this period.

- 2.1.2 As well as expenditure directly attributable to services, and included in the Board totals, there are a number of other amounts that need to be taken into account that provide the total net expenditure for the Council. This includes investment income, external interest payments and adjustments to reverse capital charges included within Board expenditure, from out of Council expenditure. Taking these amounts into account, net expenditure for the Council to the end of May totals £1,553,168, compared with a profiled position of £1,619,631, resulting in an under-spend for the period of £66,463.

- 2.1.3 Where possible, the budget profile figures have been calculated with some allowance for seasonal variations, in order to give a better comparison with actual figures. Reasons for the variations are given, where appropriate, in more detail below:

3 Board Expenditure

- 3.1 **Planning and Development Board** - Income on Planning Control is ahead of target by £15,680 as a result in an increase in the number of planning applications being submitted. This has been partially offset by a decrease in the numbers on Local Land Charges Searches completed.

3.2 **Licensing Committee** – Income from premises licence renewals and Hackney Carriage and Private Hire taxi fees are both behind profile at the period.

4 **Resources Board**

4.1 **Recharged to Services** - There are a number of posts that have become vacant since the budget was set although a small number have now been filled. Other significant variances include under-spends due to maternity leave, stationery, conference fees and occupational healthy fees. Set against these there are small overspends on professional fees, corporate subscriptions and vehicle repair materials.

4.2 **Remaining** - Within Democratic Process there is a reduction in corporate subscriptions, a reduction in mayoral car hire and under-spends on members allowances. At Innage Park a number of units that were vacant have now been let thereby reducing the NDR the authority is liable for and increasing rental income. Lastly, the sale of a car park at Coleshill has reduced the NDR liability and there has been an increase in parking penalty fee income.

4.3 **Investment Income** - There has been a lower return of investment interest than expected to date due to lower interest rates on investments held.

5 **Risks to the Budget**

5.1 In setting the budget in February 2012, a number of key risks to the overall budgetary position of the Council are highlighted below: -

- Changes in the financial markets and the expected cash flow of the Authority, which affect the investment income the Council can obtain.
- Further deterioration in the economic position, which could lead to additional demand for Council services in areas such as benefits and homelessness.
- A large proportion of revenue costs relate to the Councils workforce. Pay awards are negotiated nationally, and any variance from the increase assumed would impact on the financial position. In addition, a vacancy factor for staff turnover is included within the overall estimates. Should vacancies be less than expected then additional costs will be borne by the Authority. The current level of vacancies is in excess of that budgeted.
- Transport fuel and utilities prices have seen significant fluctuations over recent times, and this is still a possibility. However, the Authority has renegotiated many of the electricity and gas contracts and this has helped in eliminating some of the uncertainty. The increases built into budgets to cover expected rises in vehicle fuel are currently sufficient.

6 Estimated Out-turn

- 6.1 Members have requested that Budgetary Control Reports provide details on the likely out-turn position for each of the services reporting to this Board. The anticipated out-turn for this Board for 2012/13 is £9,802,020 as detailed in the table below: -

	£
Approved budget 2012/2013	9,861,560
Projected salary under spends in excess of vacancy factor	(40,000)
Additional rental income at Innage Park Industrial Estate	(7,300)
Savings on NDR at Coleshill car Park	(5,220)
Savings on NDR at Innage Park Industrial Units	(4,450)
Saving on LGA corporate subscription	(2,570)
Expected Out-turn 2012/13	9,802,020

- 6.2 The figures provided above are based on information available at this time of the year and are the best available estimates for this Board, but may change as the financial year progresses. Members will be updated in future reports of any changes to the forecast out turn.

7 Report Implications

7.1 Finance and Value for Money Implications

- 7.1.1 The Council's budgeted contribution from General Fund balances for the 2011/2012 financial year is £453,408. As can be seen above, a decrease in net expenditure of around £59,540 is expected to date. The position will continue to be monitored closely and reported to Members at a future meeting of this Board.

- 7.1.2 Income and Expenditure will continue to be closely managed and any issues that arise will be reported to this Board for comment.

7.2 Environment and Sustainability Implications

- 7.2.1 The Council has to ensure that it adopts and implements robust and comprehensive budgetary monitoring and control to ensure not only the availability of services within the current financial year, but in future years.

The Contact Officer for this report is Nigel Lane (719371).

North Warwickshire Borough Council

Consolidated Budgetary Position for the Period 31 May 2012

Board	2012/13 Original Budget	Expected Spending May 2012	Actual Spending May 2012	Variance
Executive	503,710	108,718	107,687	(1,031)
Planning and Development	608,830	92,955	79,190	(13,765)
Licensing Committee	60	3,590	9,317	5,727
Community and Environment	5,269,530	765,867	762,503	(3,364)
Resources (including staff vacancies)	3,392,180	796,652	735,088	(61,564)
Net Board Expenditure	9,774,310	1,767,782	1,693,785	(73,997)
Contingencies	87,250	-	-	-
Net Board Expenditure	9,861,560	1,767,782	1,693,785	(73,997)
Investment Income	(150,000)	(22,603)	(13,819)	8,784
RCCO	119,000	19,833	19,833	-
Use of Balances	(453,408)	-	-	-
Financing Adjustment	(872,280)	(145,380)	(146,630)	(1,250)
Net Expenditure	8,504,872	1,619,631	1,553,168	(66,463)

Agenda Item No 21

Resources Board

11 June 2012

**Report of the Assistant Director
(Finance and Human Resources)**

**Capital Programme 2012/13
Period Ending May 2012**

1 Summary

- 1.1 The report updates Members on the progress of the 2012/13 Capital Programme in terms of both expenditure and outcomes.

Recommendation to the Board

That the Board notes the progress made against the 2012/13 Capital Programme.

2 Introduction

- 2.1 The Executive Board approved the Council's Capital Programme of £4,157,470 for 2011/12 in February 2012.

3 Budget Profiling

- 3.1 To ensure that the Capital Programme projects are completed in a manageable time frame, a schedule of works is arranged by each budget holder and each of the schemes are timetabled for completion throughout the year. This schedule then feeds through to the budget profiling exercise, which identified that there are a number of capital schemes which were not due to have started by the end of May. The table below indicates the breakdown:

	£
Schemes not due to have started before end of May 2012	2,700,820
Schemes due to have started before end of May 2012	1,456,650
TOTAL	4,157,470

4 Schemes Not Yet Started in May

- 4.1 The total value of the projects not yet started is £2,241,760 (53.92% of the 2012/13 Capital Programme). The particular schemes are shown in Appendix A.

5 **Housing Schemes**

- 5.1 Included within this total is 2012/13 spend that relates to 2011/12 contracts that were not completed before the 31 March. The 2011/12 underspends will be included within the Capital Outturn Summary which will be reported to Executive Board on 25 June with the requests for carrying the variances into 2012/13. If agreed, the slippage will form part of the 2012/13 budget. Within the total spend for the kitchen replacement is the cost of three kitchens which did not form part of the original contract with Lakers. This spend is in relation to void properties which needed to be replaced urgently and were done so using this contractor. The additional cost will be funded from the 2012/13 budget for replacement of void property kitchens.
- 5.2 At this early stage in the year, although a programme of works has been established for housing related projects, the schemes in Appendix A are still at the pre-tender stage.

6 **General Fund Schemes**

- 6.1 A number of the schemes that were approved for 2011/12 did not take place with schemes such as the new telephone system forming part of the Office Accommodation Project. The replacement of the Payment Management System was delayed and others such as Disabled Facility Grants and Decent Homes Assistance are only paid once work is completed and verified. The underspends caused by the delays will be included in the 2011/12 Capital Outturn Summary with requests for variations to be transferred into the 2012/13 programme. If the requests are successful, the schemes will form part of the 2012/13 allocation.
- 6.2 In the General Fund, some invoices are expected later in the year such as the Warwickshire Direct Partnership. Some projects are scheduled to start shortly, such as the electrical works to the council owned buildings and the Council Office Refurbishment which is scheduled to begin autumn 2012

7 **Schemes already started in May 2012**

- 7.1 Those schemes that were planned to start by the end of May 2012 total £1,915,710 (46.08% of the 2012/13 Capital programme) and are shown in Appendix B. The expenditure expected to date was £185,664, but actual spend or committed expenditure was £139,667; an under spend of £45,997.

...

- 7.2 Within housing, spend on heating is currently low as the contract for the work is still at the pre-tender stage, spend to date relates to the provision of gas site services before new gas boilers are installed.

8 Report Implications

8.1 Finance and Value for Money Implications

8.1.1 Of the total capital programme, schemes to the value of £2,241,760 were not started by May 2012. Of the remaining £1,915,710 capital programme, £185,964 was profiled to be spent and £139,667 has actually been spent or committed, leaving an under spend of £45,997 to date.

8.1.2 Spend totalling £184,954 relates to schemes approved to take place during 2011/12. The funding of these costs will form part of the 2011/12 Capital Outturn Summary. If approval to transfer underspends into the current year is rejected funding will need to be found from within the approved 2012/13 Capital Programme.

8.1.3 The schemes will contribute to various outcomes which will increase the services provided by the Council, from providing decent Council homes, assisting in carrying out adaptations to resident's houses to helping to fund efficient heating systems to promote carbon reduction and encouraging fitness and wellbeing.

8.2 Safer Communities Implications

8.2.1 The Home Safety Check Scheme provides a service with Age Concern to help elderly residents be safe within their homes.

8.3 Environment and Sustainability Implications

8.3.1 Expenditure incurred as part of the Council's Capital Programme enables the Council to continue to improve and deliver a range of services to the people of North Warwickshire. The implementation of the capital programme will lead to improvements in the quality of life for the communities of North Warwickshire.

8.4 Risk Management

8.4.1 Failure to make reasonable adjustments to ensure our buildings and facilities are accessible could expose the Council to potential litigation and risks damage to its reputation.

8.5 Equality Implications

8.5.1 The Council is required to ensure it meets the requirements of the Equality Act 2010. The Act brings together all previous equality legislation and includes a public sector duty (the equality duty) replacing separate duties relating to race, disability and gender equality. The capital programme includes some provision for improving accessibility as previously required under the Disability Discrimination Act. The DDA defines discrimination in a number of ways and outlines four specific types of discrimination: direct discrimination, failure to make reasonable adjustments, disability-related discrimination and victimisation.

8.5.2 Failure to make reasonable adjustments could result in limiting access to services provided from our buildings and facilities by disabled people and the potential for legal challenges being taken against the Council.

The Contact Officer for this report is Jon Illingworth (719489).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper	Author	Nature of Background Paper	Date

Capital schemes not started by end of May 2012		
Expenditure Proposals	2012/13 Approved Budget	2012/13 Spend Relating To 2011/12 Schemes
Housing Revenue Account		
Unallocated budget	235,650	0
Community Centres	71,080	22,175
Windows & Doors	45,500	44,349
Kitchens	142,800	24,645
Cavity Wall Insulation	323,000	0
Roofing	189,000	13,785
Loft Insln	102,700	0
Structural Work	15,000	0
Chimney Stacks	25,500	0
UPVC Entrance Screens	38,500	0
Unadopted Roads	20,000	0
Housing Revenue Account Total	1,208,730	104,954
General Fund		
Electrical Work	15,000	0
Office Accommodation Project	955,180	0
Borough Care System Replacement	2,500	0
Computer Software/Hardware	30,000	0
IT Infrastructure	20,000	0
Warwickshire Direct Partnership	10,350	0
PMS replacement	0	80,000
General Fund Total	1,033,030	80,000
Grand Total	2,241,760	184,954

Capital schemes started by end of May 2012				
Expenditure Proposals	2012/13 Approved Budget	Profiled Budget	TOTAL as at 31.05.12	Variance to profiled budget
Housing Revenue Account				
Disabled Facility Adaptations	175,000	29,167	25,397	(3,770)
Heating	577,000	12,100	20,449	8,349
Electrics	114,000	19,000	2,050	(16,950)
External Works	38,000	12,000	11,213	(787)
Salaries	109,190	18,198	18,198	0
Housing Revenue Account Total	1,013,190	90,465	77,308	(13,157)
General Fund				
Leisure Centre Equipment	20,000	3,333	500	(2,833)
Life Lines	18,000	6,000	5,558	(442)
Capital Salaries	47,960	7,993	7,993	0
Disabled Facilities Grant (Private Sector)	300,000	50,000	27,375	(22,625)
Decent Homes Assistance	57,500	17,140	10,200	(6,940)
Vehicle Renewal Scheme	459,060	10,733	10,733	0
General Fund Total	902,520	95,199	62,359	(32,840)
Grand Total	1,915,710	185,664	139,667	(45,997)

NORTH WARWICKSHIRE BOROUGH COUNCIL

**MINUTES OF THE
HOUSING SUB-COMMITTEE**

17 April 2012

Present: Councillor Winter in the Chair

Councillors Davis, N Dirveiks, Johnston and Moore

37 Declarations of Personal or Prejudicial Interests

Personal interests arising from the membership of various Town/Parish Councils of Councillors Davis (Atherstone), Moore (Baddesley Ensor) and Winter (Dordon) were deemed to be declared at the meeting.

38 Minutes of the Housing Sub-Committee held on 13 March 2012

The minutes of the meeting of the Sub-Committee held on 13 March 2012, copies having previously been circulated, were approved as a correct record and signed by the Chairman.

39 Tenant Partnership Agreement

The Assistant Director (Housing) presented the Council's Tenant Partnership Agreement to the Sub-Committee for their consideration and provided information about a new regulatory body for social housing landlords.

Resolved:

- a That the revised Tenant Partnership Agreement be agreed; and**
- b That changes to the regulatory framework for social housing be noted.**

40 Tenant Cash-back Scheme

The Assistant Director (Housing) provided the Sub-Committee with information about the Government's Cash-back scheme for tenants.

Resolved:

- a That a Cash-back scheme for tenants is not developed in North Warwickshire; and**
- b That the learning from the pilot schemes be discussed with the Borough Wide Tenants Forum and their views be fed back to the Housing Sub-Committee.**

41 Private Sector Housing Assistance Policy

The Assistant Director (Housing) presented a revised policy describing Private Sector Housing Assistance to Members for consideration.

Resolved:

That the Private Sector Housing Assistance Policy, as set out in Appendix B to the report of the Assistant Director (Housing) be agreed.

42 Exclusion of the Public and Press

Resolved:

That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following item of business, on the grounds that it involves the likely disclosure of exempt information as defined by Schedule 12A to the Act.

43 Request to Erect an Aerial on Roof of Flats at Chancery Court, Chapel End

The Assistant Director (Housing) outlined a request that had been received from a company to erect an aerial to serve the mobile phone network on the roof of a block of Council owned flats at Chancery Court Chapel End.

Resolved:

That the request to erect an aerial on the roof of the flats at Chancery Court, Chapel End be agreed.

Councillor Winter
Chairman

Agenda Item No 23

Resources Board

11 June 2012

**Report of the
Chief Executive**

Exclusion of the Public and Press

Recommendation to the Board

That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.

Agenda Item No 24

Land at Atherstone – Report of the Assistant Director (Streetscape)

Paragraph 3 – by reason of the report containing financial details of an organisation.

Agenda Item No 25

GPS System for Transport Fleet– Report of the Assistant Director (Streetscape) and Assistant Director (Housing)

Paragraph 3 – by reason of the report containing financial details of an organisation.

Agenda Item No 26

Affordable Housing Developments – Atherstone and Mancetter – Report of the Assistant Director (Streetscape)

Paragraph 3 – by reason of the report containing financial details of an organisation.

Agenda Item No 27 – Request to Purchase Land – Report of the Assistant Director (Housing)

Paragraph 1 – by reason of the report containing information relating to an individual.

Agenda Item No 28 – Requests to Purchase a Licence to Occupy Garden Land in Shustoke – Report of the Assistant Director (Housing)

Paragraph 1 – by reason of the report containing information relating to an individual.

The Contact Officer for this report is David Harris (719222)