

Rutland County Council

Catmose, Oakham, Rutland, LE15 6HP.
Telephone 01572 722577 Email governance@rutland.gov.uk

Ladies and Gentlemen,

A meeting of the **CABINET** will be held via Zoom <https://zoom.us/j/99262575750> commencing at 10am when it is hoped you will be able to attend.

Yours faithfully

Mark Andrews
Interim Chief Executive

Meeting: CABINET

Date and Time: Tuesday, 12 January 2021 at 10.00 am

Venue: <https://zoom.us/j/99262575750>

Governance Officer to contact: Emma Powley 01572 720991
email: governance@rutland.gov.uk

A G E N D A

- 1) APOLOGIES FOR ABSENCE
- 2) ANNOUNCEMENTS FROM THE CHAIRMAN AND/OR HEAD OF THE PAID SERVICE
- 3) DECLARATIONS OF INTEREST

In accordance with the Regulations, Members are required to declare any personal or prejudicial interests they may have and the nature of those interests in respect of items on this Agenda and/or indicate if Section 106 of the Local Government Finance Act 1992 applies to them.

4) RECORD OF DECISIONS

To confirm the Record of Decisions made at the meeting of the Cabinet held on the 15th December 2020

5) ITEMS RAISED BY SCRUTINY

To receive items raised by members of scrutiny which have been submitted to the Leader and Chief Executive.

6) UPDATE ON HOUSING INFRASTRUCTURE FUNDING

Verbal update

7) COVID 19 - USE OF EMERGENCY POWERS

Report no: 01/2021
(Pages 5 - 8)

8) DRAFT 2021/22 REVENUE AND CAPITAL BUDGET

(Copy to follow)

9) TREASURY MANAGEMENT STRATEGY

Report no: 161/2020
(Key decision)
(Pages 9 - 42)

10) FEES AND CHARGES 2021/22

Report no: 05/2021
(Key decision)
(Pages 43 - 80)

11) PRIVATE SECTOR HOUSING RENEWAL POLICY (INCLUDING DISABLED ADAPTATIONS)

Report no: 04/2021
(Key decision)
(Pages 81 - 112)

12) LEISURE REVIEW PROJECT COMMENCEMENT

Report no: 164/2020
(Key decision)
(Pages 113 - 150)

13) HIGHWAYS TRANSPORT WORKING GROUP PROCESS

Report no: 134/2020
(Key decision)
(Pages 151 - 168)

14) RUTLAND RADIO PROJECT

Report no: 02/2021
(Pages 169 - 186)

15) SPENDING OF COMMUTED SUMS FOR AFFORDABLE HOUSING

Report no: 03/2021
(Key decision)
(Pages 187 - 194)

16) EXCLUSION OF THE PRESS AND PUBLIC

Cabinet is recommended to determine whether the public and press be excluded from the meeting in accordance with Section 100(A)(4) of the Local Government Act 1972, as amended, and in accordance with the Access to Information provisions of Procedure Rule 239, as the following item of business is likely to involve the disclosure of exempt information as defined in Paragraph 2 of Part 1 of Schedule 12A of the Act.

Paragraph 3: Information relating to the financial or business affairs of any particular person (including the authority holding that information).

a) **RUTLAND RADIO PROJECT- EXEMPT APPENDIX**
(Pages 195 - 200)

b) **SPENDING OF COMMUTED SUMS FOR AFFORDABLE HOUSING - EXEMPT APPENDIX**
(Pages 201 - 202)

17) ANY ITEMS OF URGENT BUSINESS

To receive items of urgent business which have previously been notified to the person presiding.

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MEMBERS OF THE CABINET: Mr O Hemsley Chairman
Mr G Brown
Mrs L Stephenson
Mr A Walters
Mr D Wilby

SCRUTINY COMMISSION:

Note: Scrutiny Members may attend Cabinet meetings but may only speak at the prior invitation of the person presiding at the meeting.

**ALL CHIEF OFFICERS
PUBLIC NOTICEBOARD AT CATMOSE
GOVERNANCE TEAM**

MEMBERS OF THE CABINET: Mr O HemsleyMr O Hemsley -Chairman
Mr G Brown
Mrs L Stephenson
Mr A Walters
Mr D Wilby
Mr G Brown
Mrs L Stephenson
Mr A Walters
Mr D Wilby

SCRUTINY COMMISSION:

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**ALL CHIEF OFFICERS
PUBLIC NOTICEBOARD AT CATMOSE
GOVERNANCE TEAM**

CABINET

12th January 2021

COVID 19 UPDATE AND APPROACH TO CONTINUED USE OF EMERGENCY POWERS

Report of the Interim Chief Executive

Strategic Aim:	All	
Key Decision: No	Forward Plan Reference: FP/170420	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr O Hemsley, Leader and Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Resources (other than Finance)	
Contact Officer(s):	Phillip Horsfield – Deputy Director Corporate Governance (Monitoring Officer)	01572 758154 phorsfield@rutland.gov.uk
Ward Councillors	All	

DECISION RECOMMENDATIONS

That Cabinet:

1. Notes the present position in Rutland in respect of COVID 19
2. Notes the continued applicability of the Civil Emergency Delegation.

1 PURPOSE OF THE REPORT

- 1.1 At the Cabinet meeting held on the 21st April 2020, it was agreed that Cabinet would keep under review the use of Emergency Powers.
- 1.2 At the meeting held on 15th September 2020 Cabinet requested continued reports to provide updates on the present COVID position.

2 BACKGROUND AND MAIN CONSIDERATIONS - COVID POSITION

- 2.1 Further to the Report in December that reported on the revised 3 tier system put in place immediately following the national lock down that ended on 2nd December 2020.
- 2.2 On December 2nd Parliament approved legislations enacting the tiered system put

forward by the Prime Minister.

- 2.3 On 30th December the Government again reviewed the Tier that is applied and Rutland has been categorised as Tier 3 (Very-High Alert).
- 2.4 The rules for Tier 3 are:
- 2.5 You can't mix indoors, in private gardens or in most outdoor venues, except with your household or bubble
- 2.6 You can meet in a group of up to six in other outdoor spaces, such as parks, beaches or countryside
- 2.7 Shops, gyms and personal care services (such as hairdressing) can stay open, as can swimming pools
- 2.8 Bars, pubs, cafes and restaurants must stay closed, except for delivery and takeaway
- 2.9 Collective worship can take place - with no mixing outside your bubble
- 2.10 Small wedding ceremonies can take place, but not receptions
- 2.11 Sports fans cannot attend events in stadiums
- 2.12 Indoor entertainment venues - such as bowling alleys and cinemas - must stay closed
- 2.13 People are advised not to travel to and from tier three areas
- 2.14 On 19th December the Government announced an additional Tier 4 restriction for the much of the South East of England. This was in response to a newly discovered strain of the Virus that spreads more easily.
- 2.15 On the 30th December the application of this Tier system was applied more widely as a result of the increasing numbers of infections and hospital admissions nationally
- 2.16 In addition to this the advice from Government is that restrictions can be expected to tighten before the roll-out of the vaccination programme enables these to be gradually relaxed.
- 2.17 At the time of writing cases in Rutland stand at 183 per 100,000 of Population.
- 2.18 A small number of decisions continue to be made under emergency powers to enable a timely response. The vast majority of decisions are being made through the Council's democratic decision making structures. The Decision Log is regularly made available to all Councillors to ensure accountability and transparency in the use of the emergency powers.
- 2.19 The Council is working closely with partners to ensure that we are able to support the delivery of the vaccination programme. This started in Rutland on 21st December 2020 using the Council building for delivery.

3 CONSULTATION

3.1 Through the Member briefings all Councillors have been kept abreast of the position in relation to the Pandemic.

3.2 Parish Council briefings were also activated weekly once again through the period of national lockdown and are now being delivered every 2 weeks.

4 ALTERNATIVE OPTIONS

4.1 The report provides an update on information regarding the actions taken and the Constitutional position.

5 FINANCIAL IMPLICATIONS

5.1 There are no direct financial implications arising from this report.

6 LEGAL AND GOVERNANCE CONSIDERATIONS

6.1 These are contained in the Report

7 DATA PROTECTION IMPLICATIONS

7.1 None arising from the report.

8 EQUALITY IMPACT ASSESSMENT

8.1 An Equality Impact Questionnaire is not required for this report.

9 COMMUNITY SAFETY IMPLICATIONS

9.1 There are no community safety implications arising from this report.

10 HEALTH AND WELLBEING IMPLICATIONS

10.1 There are no health and wellbeing implications arising from this report.

11 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

11.1 That Cabinet note the current present position in Rutland regarding COVID 19 and the continued use of the Civil Emergency Delegation.

12 BACKGROUND PAPERS

12.1 There are no background papers for the report.

13 APPENDICES

13.1 None

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

CABINET

12th January 2021

TREASURY MANAGEMENT STRATEGY AND CAPITAL INVESTMENT STRATEGY

Report of the Strategic Director for Resources

Strategic Aim:	Customer-focussed services	
Key Decision: Yes	Forward Plan Reference: FP/100920	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr G Brown, Deputy Leader and Portfolio Holder for Planning and Finance	
Contact Officer(s):	Saverio Della Rocca, Strategic Director for Resources (s.151 Officer)	01572 758159 sdrocca@rutland.gov.uk
	Andrew Merry, Finance Manager	01572 758152 amerry@rutland.gov.uk
Ward Councillors	Not Applicable	

DECISION RECOMMENDATIONS

That Cabinet RECOMMENDS TO COUNCIL to approve:

- a) the Treasury Management Strategy in Appendix 1 including the Investment Strategy, Borrowing strategy, Minimum Revenue Provision statement and Capital Expenditure Prudential indicators.
- b) the Capital Investment Strategy which is unchanged from that approved last year in Report 05/2020

1 PURPOSE OF THE REPORT

- 1.1 This report sets out the statutory reports expected in relation to treasury and capital investment operations for 2021/22, linked to the Council's Budget, Medium Term Financial Strategy and Capital Programme.

2 BACKGROUND AND MAIN CONSIDERATIONS

2.1 Statutory guidance

- 2.1.1 Both the Treasury Management Strategy and the Capital Investment Strategy

(CIS) have been prepared in line with the guidance, including:

- Prudential Code for Capital Finance in Local Authorities (2017) (Prudential Code)
- Treasury Management: Code of Practice and Cross-Sectoral Guidance Notes (Treasury Management Code)
- Minimum Revenue Provision - Guidance issued by the Secretary of State under section 21(1A) of the Local Government Act 2003. This prevents various practices such as spreading the MRP charge over a period longer than 50 years or making retrospective changes which give rise to a credit – “Changing the method used to calculate MRP can never give rise to an overpayment and should not result in a LA making a charge of £nil for the accounting period in which the change is made”.
- Guidance on Local Authority investments - Issued under section 15(1)(a) of the Local Government Act 2003. This guidance is consistent with the Codes described above.
- CIPFA Prudential Property Investment – covering non-financial investments (Commercial Property)

2.2 Coverage

2.2.1 The two strategies cover a range of issues as set out below:

Treasury Management Strategy (TMS)	Capital Investment Strategy (CIS)
Treasury Management Requirements	Capital Investment Strategy objectives
Capital Prudential Indicators	Capitalisation policy
Borrowing	Objectives and priorities
Annual Investment Strategy	Resourcing strategy
MRP Statement	Indicative plans and available funding
Investment Selection Criteria	Appraisal process for Capital Investment
Economic Outlook	Commercial Investment Policy (objectives, rules, assessment process, governance and reporting)
	Reporting Requirements
	Performance Indicators

2.3 Treasury Management Strategy (TMS)

- 2.3.1 The TMS outlines that the Council's approach to treasury investment is largely unchanged.
- 2.3.2 Our focus is on deposits for up to a 12 month period given the uncertainty in the markets.
- 2.3.3 There are no changes proposed from last year's TMS in terms of the Council's approach to borrowing. The Council will look to repay borrowing if there is a financial business case. It will also only borrow where that borrowing is likely to deliver a positive revenue impact. In the context of the budget and medium term financial position, no other borrowing is advisable at this stage.
- 2.3.4 There has been no changes to Treasury Management Practices Counterparty & Credit Risk Management or Glossary of Terms since the last Treasury Management Strategy report (Report 05/2020). The list of countries approved for investments based on those countries which have sovereign ratings of AA+ or higher remains the same.

2.4 Capital Investment Strategy (CIS)

- 2.4.1 The CIS outlines the Council's approach to non-financial investment and was updated in 20/21 to reflect CIPFA issuing the Prudential Property Investment guidance.
- 2.4.2 There are changes to the Council CIS this year other than the current capital programme, which can be found in the Councils budget report. The CIS can be found in report 05/2020.
- 2.4.3 The key points to note on the Capital Investment Strategy are:
- The Council incurs capital expenditure/makes capital investment to deliver on its aims and priorities including statutory objectives
 - It has indicative plans which are approved as part of the budget and updated throughout the year
 - It holds funds which are available to meet spending plans and can supplement these funds with borrowing if required
 - Capital investment/expenditure has traditionally focused on what are called "service investments" – investment in assets held primarily for the delivery of operational services
 - The Council has a Commercial Investment Policy (Appendix 2 – Annexe A1 of Report 05/2020). The Council has not yet made any investments in line with this Policy.
- 2.4.4 The Government has raised serious concerns about Councils borrowing to invest in commercial properties. It recently published the consultation results on proposed changes to PWLB lending terms. The key change is to try and restrict the use of borrowing for purely commercial investments outside of Council boundaries. The Council's CIS requires investment in-county for regeneration

reasons so the change in lending terms will not impact the way the Council intends to operate.

3 CONSULTATION

- 3.1 No formal consultation is required. However, CIPFA guidance encourages Councils to use Scrutiny to review proposals prior to approval by Council. This report will therefore be presented at the Budget Scrutiny panel in January which will then allow Council to consider any comments before it is presented for approval in February.

4 ALTERNATIVE OPTIONS

- 4.1 Option 1. To approve the Capital Strategy and Treasury Management Strategy as presented. This is the recommended option.
- 4.2 Option 2. Not to accept the 2021/22 Treasury Management Strategy and Capital Strategy. This is not recommended as it means that the Council will be in breach of its statutory obligations.
- 4.3 Option 3. To approve the Strategies with any revisions.

5 FINANCIAL IMPLICATIONS

- 5.1 The Medium Term Financial Plan includes three amounts for interest payable on loans (this is fixed), interest receivable on investments (changes in the Treasury Management Strategy may result in increased returns) and MRP (which is based on the current capital plans). PWLB loans will be monitored and if it is advantageous for the Council, repayment or restructuring will be considered.
- 5.2 The implementation of the Commercial Investment Policy aims to deliver Revenue Income and a net return for the Revenue Account but this is not included in the MTFP at this time.

6 LEGAL AND GOVERNANCE CONSIDERATIONS

- 6.1 The report meets the requirements of both the CIPFA Code of Practice on Treasury Management, the CIPFA Prudential Code for Capital Finance in Local Authorities and the Council's Financial Procedure Rules. The Council is required to comply with both Codes through Regulations issued under the Local Government Act 2003.
- 6.2 The Council's treasury management activities are regulated by a variety of professional codes and statutes and guidance:
- The Local Government Act 2003 (the Act), which provides the powers to borrow and invest as well as providing controls and limits on this activity;
 - The Act permits the Secretary of State to set limits either on the Council or nationally on all local authorities restricting the amount of borrowing which may be undertaken;
 - Statutory Instrument (SI) 3146 2003, as amended, develops the controls and powers within the Act;

- The SI requires the Council to undertake any borrowing activity with regard to the CIPFA Prudential Code for Capital Finance in Local Authorities;
- The SI also requires the Council to operate the overall treasury function with regard to the CIPFA Code of Practice for Treasury Management in the Public Services;
- Under the Act the CLG has issued Investment Guidance to structure and regulate the Council's investment activities; and
- Under Section 238(2) of the Local Government and Public Involvement in Health Act 2007 the Secretary of State has taken powers to issue guidance on accounting practices.

6.3 The Council's Treasury Management Strategy explains how it complies with this legal framework.

6.4 As per Article 4 of the Council's Constitution the Treasury Management Strategy and Capital Investment Strategy form part of the Council's Policy Framework. It therefore requires the approval of Full Council.

7 DATA PROTECTION IMPLICATIONS

7.1 A Data Protection Impact Assessment (DPIA) has not been completed because there are no service, policy or organisational changes being proposed.

8 EQUALITY IMPACT ASSESSMENT

8.1 An Equality Impact Assessment (EqIA) has not been completed because the report does not represent the introduction of a new policy or service or a change / to an existing policy or service that has an impact on any particular group.

9 COMMUNITY SAFETY IMPLICATIONS

9.1 There are no community safety implications.

10 HEALTH AND WELLBEING IMPLICATIONS

10.1 There are no health and wellbeing implications.

11 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

11.1 The Council is required to approve a Treasury Management Strategy and Capital Strategy.

12 BACKGROUND PAPERS

12.1 Treasury Management Strategy and Capital Strategy 2020/21 (05/2020)

13 APPENDICES

13.1 Appendix 1 Treasury Management Strategy

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.



Rutland County Council

Treasury Management Strategy

2021 - 22

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1 INTRODUCTION

1.1 Background to Treasury Management

- 1.1.1 The Council is required to operate a balanced budget, which means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed to meet day-to-day running costs and planned capital expenditure. Any surplus monies are invested in counterparties or instruments commensurate with the Council's risk appetite, providing adequate liquidity initially before considering investment return.
- 1.1.2 The second main function of the treasury management service is the funding of the Council's capital plans as set out in the Budget and Capital Investment Strategy (CIS). These capital plans provide a guide to the borrowing need of the Council, essentially the longer-term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer-term cash may involve arranging long or short-term loans, or using longer-term cash flow surpluses. On occasion, when it is prudent and economic, any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.1.3 The contribution the treasury management function makes to the authority is critical, as the balance of debt and investment operations ensure liquidity or the ability to meet spending commitments as they fall due, either on day-to-day revenue or for larger capital projects. The treasury operations will see a balance of the interest costs of debt and the investment income arising from cash deposits affecting the available budget. Since cash balances generally result from reserves and balances, it is paramount to ensure adequate security of the sums invested, as a loss of principal will in effect result in a loss to the General Fund Balance.
- 1.1.4 Whilst any commercial initiatives or loans to third parties will impact on the treasury function, these activities are generally classed as non-treasury activities, arising usually from capital expenditure and are separate from the day to day treasury management activities.
- 1.1.5 CIPFA defines treasury management as "...The management of the local authority's borrowing, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

1.2 Reporting Requirements

Treasury Management Reporting

- 1.2.1 The Council is required to receive and approve, as a minimum, three main reports each year which incorporate a variety of policies, estimates and

actuals.

1.2.2 **Prudential and treasury indicators and treasury strategy** (this report) -

The first and most important report covers:

- the capital plans (including prudential indicators) as derived through the budget and CIS;
- a minimum revenue provision (MRP) policy (how residual capital expenditure is charged to revenue over time);
- the treasury management strategy (how the investments and borrowings are to be organised) including treasury indicators; and
- an investment strategy for treasury investments (the parameters on how investments are to be managed).

1.2.3 **A mid-year treasury management report** – This will update members with the progress of the capital position, amending prudential indicators as necessary and whether any policies require revision. In addition, this Council will receive an update on investment returns.

1.2.4 **An annual treasury report** – This provides details of a selection of actual prudential and treasury indicators and actual treasury operations compared to the estimates within the strategy.

1.2.5 **Scrutiny** - The above reports are required to be adequately scrutinised before being recommended to Council. This role is undertaken by Cabinet and reports are also made available to Scrutiny Panels.

Capital Investment Strategy

1.2.6 The Treasury Management Strategy should be read in conjunction with the Council's Capital Investment Strategy as the Council's debt and MRP policy are directly impacted by capital plans.

1.2.7 The overall aim of the Council, with respect to capital expenditure and investment, is to achieve council objectives and priorities whilst ensuring that capital plans are affordable, prudent and sustainable.

1.2.8 The CIS provides a framework that allows that objective to be achieved. It sets out:

- what is capital expenditure/investment and why we incur it (section 2);
- the Council's overall capital objectives, priorities and plans (section 3);
- how the Council's capital expenditure/investment will be funded/ resourced (section 4);
- how the Council's capital expenditure/investment plans will be appraised (section 5) including the Council's commercial investment policy (Annexe B1);

- how capital plans will be approved (section 6), monitored and reported upon (Section 7); and
- the skills and knowledge required to deliver the capital plans (section 8).

1.3 **Treasury Management Strategy for 2021/22**

1.3.1 The strategy for 2021/22 covers two main areas.

Capital Issues

- the capital plans and the prudential indicators;
- the minimum revenue provision (MRP) policy.

Treasury Management Issues

- the current treasury position;
- treasury indicators which limit the treasury risk and activities of the Council;
- prospects for interest rates;
- the borrowing strategy and policy on borrowing in advance of need;
- debt rescheduling;
- the investment strategy (for treasury investments);
- creditworthiness policy; and
- the policy on use of external service providers.

1.3.2 These elements cover the requirements of the Local Government Act 2003, the CIPFA Prudential Code, MHCLG MRP Guidance, the CIPFA Treasury Management Code and MHCLG Investment Guidance.

1.4 **Training**

1.4.1 The CIPFA Code requires the Section 151 Officer to ensure that members with responsibility for treasury management receive adequate training in treasury management. The training needs of treasury management officers and members are periodically reviewed.

1.5 **Treasury Management Consultants**

1.5.1 The Council uses Link Group, Treasury solutions as its external treasury management advisors.

1.5.2 The Council recognises that responsibility for treasury management

decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers. All decisions will be undertaken with regards to all available information, including, but not solely, our treasury advisers.

- 1.5.3 It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented and subjected to regular review.

2 THE CAPITAL PRUDENTIAL INDICATORS 2021/22 – 2023/24

2.1 Capital Expenditure

- 2.1.1 The Council's capital expenditure plans as set out in the budget are the key driver of treasury management activity. The output of the capital expenditure plans is reflected in the prudential indicators, which are designed to assist members' overview and confirm capital expenditure plans.

- 2.1.2 The capital expenditure prudential indicator is a summary of the Council's capital expenditure plans, both those agreed previously and those forming part of this budget cycle. As at 1 April 2021 the Council estimates that it will have capital projects approved of £28.723m. The details of this are shown in Budget Report (Report No: 3/2020).

- 2.1.3 The table below shows the indicative spend profile of approved capital projects included in the 2021/22 Budget. Whilst the Council may have approved a project in 2021/22 spending may not occur until 2022/23. Members are asked to approve the capital expenditure forecasts:

Estimates of capital expenditure (Prudential Indicator (PI) 3) and Actual capital expenditure (PI4)

Estimated Capital expenditure	Actuals	Projects	Projects	Projects	Projects
	2019/20	2020/21	2021/22	2022/23	2023/24
	£000	£000	£000	£000	£000
Total Projects	4,076	9,041	449	249	249
Total Commercial Activities/non-financial investments*	0	0	10,000	0	0
Total	4,076	9,041	10,449	249	249
Non ring fenced grants-unallocated	0	0	3,378	1,689	1,689
Total **	4,076	9,041	13,828	1,939	1,939

* Commercial activities / non-financial investments relate to areas such as capital expenditure on investment properties, loans to third parties etc. There are no immediate plans to spend but reflects the inclusion of this project in our capital programme.

**The existing capital programme in the budget for 20/21 is £28.723m. The table above is not replicating the Capital Programme as there are projects that would have been started prior to 2019/20 and some of the future year's projects will not yet be in the approved capital budget. However the 2019/20 outturn and 2020/21 budget do agree with the Statement of Accounts and latest budget report.

2.1.4 These figures do not yet include proposals for new projects being developed. In these areas Cabinet reports are expected in 2021/22. Funding for any future projects will be funded in full or in part from the unallocated funding.

2.1.5 The table below summarises the above capital expenditure plans and how these plans are being financed by capital or revenue resources. Any shortfall of resources results in a funding borrowing need. The table also shows the percentage of the borrowing need relating solely to commercial investments.

Estimated Capital Programme	Actuals	Projects	Projects	Projects	Projects
	2019/20	2020/21	2021/22	2022/23	2023/24
	£000	£000	£000	£000	£000
Grant	3,355	7,740	3,628	1,939	1,939
Capital Receipts	140	242	0	0	0
RCCO	415	42	0	0	0
Oakham North	0	0	0	0	0
S106/CIL	166	330	0	0	0
Total Funding	4,076	8,354	3,628	1,939	1,939
Borrowing Need	0	687	10,200	0	0
Borrowing relating to Commercial Investments	0	0	10,000	0	0
Percentage of total net financing need %	0%	0%	98%	0%	0%

2.2 The Council's Borrowing Need (the Capital Financing Requirement)

2.2.1 The second prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's indebtedness and its underlying borrowing need. Any capital expenditure above, which has not immediately been paid for, will increase the CFR.

2.2.2 The CFR does not increase indefinitely, as the minimum revenue provision (MRP) is a statutory annual revenue charge which broadly reduces the indebtedness in line with each assets life and so charges the economic consumption of capital assets as they are used.

2.2.3 The Council is asked to approve the CFR projections below:

Estimates of CFR (PI5) and Actual CFR (PI6)

	2019/20 Actual £000	2020/21 Est £000	2021/22 Est £000	2022/23 Est £000	2023/24 Est £000
Capital Financing Requirement					
CFR – Services 1 Apr	21,244	20,630	20,703	30,262	29,413
Movement in Year	(614)	73	9,559	(849)	(849)
Total CFR	20,630	20,703	30,262	29,413	28,564
Movement in CFR represented by					
Net financing need for the year (above)	0	687	10,200	0	0
Less MRP/VRP and other financing movements	(614)	(614)	(641)	(849)	(849)
Movement in CFR	(614)	73	9,559	(849)	(849)

2.2.4 A key aspect of the regulatory and professional guidance is that elected members should be aware of the size and scope of any commercial activity in relation to the authority's overall financial position. The capital expenditure figures shown in 2.1.3 and the details below demonstrate the scope of this activity and, by approving these figures, members should consider the scale proportionate to the Authority's remaining activity.

	2019/20 Actual £000	2020/21 Est £000	2021/22 Est £000	2022/23 Est £000	2023/24 Est £000
Capital Financing Requirement – Commercial Activity					
CFR – Services 1 Apr	0	0	0	10,000	9,800
Movement in Year	0	0	10,000	(200)	(200)
Total CFR	0	0	10,000	9,800	9,600
Movement in CFR represented by					
Net financing need for the year (above)	0	0	10,000	0	0
Less MRP/VRP and other financing movements	0	0	0	(200)	(200)
Movement in CFR	0	0	10,000	(200)	(200)

2.3 Core Funds and Expected Investment Balances

2.3.1 The application of resources (capital receipts, reserves etc.) to either finance

capital expenditure or to support the revenue budget will have an ongoing impact on investments unless resources are supplemented each year from new sources (asset sales etc.). Detailed below are estimates of the year-end balances for each resource and anticipated cash flow balances.

Year End Resources	2019/20 Actual £000	2020/21 Est £000	2021/22 Est £000	2022/23 Est £000	2023/24 Est £000
Fund balances / reserves	30,205	21,407	18,380	15,176	14,478
Capital receipts	1,518	1,276	1,326	1,376	1,426
Provisions	1,112	1,112	1,112	1,112	1,112
Total core funds	32,835	23,795	20,818	17,664	17,016
Working capital*	(2,000)	(2,000)	(2,000)	(2,000)	(2,000)
New borrowing**	-	-	(5,000)	-	-
Expected investments	30,835	21,795	13,818	15,664	15,016

* Working capital balances shown are estimated year-end; these may be higher mid-year

**Prudential borrowing in line with CIS.

3 BORROWING

3.1 Borrowing objectives

3.1.1 Councils borrow to fund capital expenditure or refinance/reschedule existing borrowing e.g. replace one loan with one at a lower rate. There are 7 types of borrowing that may be considered under this strategy.

- a) Borrowing to fund a scheme that will reduce the Council's ongoing revenue costs in future years or avoid increased costs in future years.
- b) Borrowing to fund the purchase of essential vehicles, plant and equipment in order to maintain Council functions.
- c) Borrowing in advance of anticipated receipts to enable the Council to invest in capital expenditure before it has the income to fund the investment.
- d) Borrowing to enable the Council to fund a larger capital programme than it is able to do using Government grant and self-financed borrowing.
- e) Borrowing to fund an overspend on a large-scale capital scheme that would otherwise have to be funded from a revenue contribution to capital outlay with major impact on the Council's revenue budget.
- f) Borrowing to fund a capital development which the Council believes is so essential to the transformation of Rutland, and able, within the context of setting a robust budget and medium term financial strategy, to allocate to the development a specific, ongoing, relatively secure

source of funding that can clearly be seen to be able to cover the cost of debt financing for the project over its expected life.

- g) Borrowing to reschedule existing borrowing i.e. replace existing loans with others.

3.1.2 Effectively, the Council works out its capital expenditure plans and then calculates how much it needs to borrow having considered whether it should fund capital expenditure using other options. The Council's objectives are to:

- avoid external borrowing as far as possible (i.e. use other sources of funding first where possible) unless that borrowing yields income or deliver savings beyond the cost of borrowing;
- repay borrowing early if this is financially prudent and viable;
- reduce its borrowing charge if this represents value for money;
- ensure any new borrowing is affordable; and
- work within prudential indicator limits.

3.2 **Current borrowing portfolio**

3.2.1 The Council currently has loans outstanding of £22.436m of which £21.386m are long term loans with the Public Works Loans Board (PWLB). PWLB is managed as part of the UK Debt Management Office, which is a HM Treasury Executive Agency. The remainder is a £630k Local Enterprise Partnership interest free loan which matures in 2023 and an interest free Salix loan of £420k repayable in 2022. Included within the £21.386m is £8.232m of debt that was inherited from Leicestershire in the Local Government Re-organisation in 1997.

3.2.2 The last time the Council actually borrowed from the PWLB was in 2008 to contribute towards funding the Oakham bypass, the value of this loan was £4m.

3.2.3 All PWLB loans have been borrowed on a maturity basis. Interest payments will be made every six months on equal instalments throughout the term of the loan, with the principal being re-paid on the maturity date.

3.2.4 The external debt projections are shown overleaf. The table shows the actual external debt (the treasury management operations), against the underlying capital borrowing need (the Capital Financing Requirement - CFR), highlighting any over or under borrowing.

ACTUAL EXTERNAL DEBT (PI9) AND GROSS DEBT AND THE CFR (PI10)

Year End Resources	2019/20 Actual £000	2020/21 Est £000	2021/22 Est £000	2022/23 Est £000	2023/24 Est £000
External Debt					
Debt - 1 April	22,310	22,226	22,142	27,058	26,386
Expected Change in Debt	(84)	(84)	4,916	(672)	0
Actual /projected Gross Debt 31 March	22,226	22,142	27,058	26,386	26,386
Capital Financing Requirement	20,630	20,703	30,262	29,413	28,564
Under / (Over) Borrowing*	(1,596)	(1,439)	3,204	3,027	2,178

*Over Borrowing Position explained in Treasury Management Strategy 2017/18 (41/2017)

3.2.5 Within the above figures the level of debt relating to commercial activities / non-financial investment would be £5m.

External Debt for commercial activities / non-financial investments	2019/20 Actual	2020/21 Est	2021/22 Est	2022/23 Est	2023/24 Est
Actual/projected debt at 31 March £000	0	0	5,000	5,000	5,000
Percentage of total external debt %	0	0	18	18	19

3.2.6 Within the range of prudential indicators there are a number of key indicators to ensure that the Council operates its activities within well-defined limits. One of these is that the Council needs to ensure that its gross debt does not, except in the short term, exceed the total of the CFR in the preceding year plus the estimates of any additional CFR for 2021/22 and the following two financial years. This allows some flexibility for limited early borrowing for future years but ensures that borrowing is not undertaken for revenue or speculative purposes.

3.2.7 The Section 151 Officer reports that the Council complied with this prudential indicator in the current year and does not envisage difficulties for the future. This view takes into account current commitments, existing plans and the proposals in this budget report.

3.3 Treasury Indicators: Limits to Borrowing Activity

3.3.1 **Operational boundary for external debt (PI6)** - This is the limit beyond which external debt is not normally expected to exceed. It is not an absolute limit, it can be temporarily breached. In most cases, this would be a similar figure to the CFR but may be lower or higher depending on the levels of actual debt and the ability to fund under-borrowing by other cash resource.

Operational boundary	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000	2023/24 Estimate £000
Debt	23,000	23,000	23,000	23,000
Commercial activities/non-financial investments	5,000	5,000	5,000	5,000
Total	28,000	28,000	28,000	28,000

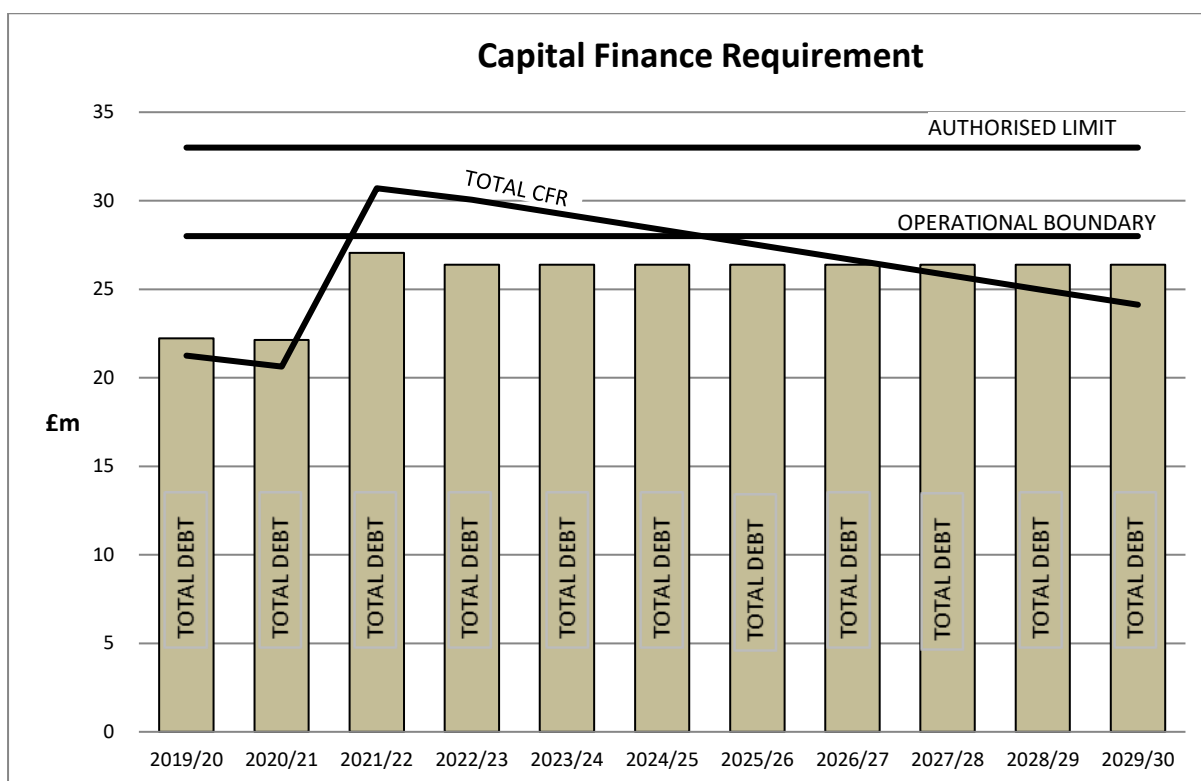
3.3.2 **Authorised limit for external debt (PI7)** - A further key prudential indicator represents a control on the maximum level of borrowing. This represents a limit beyond which external debt is prohibited and this limit needs to be set or revised by the full Council. It reflects the level of external debt which, while not desired, could be afforded in the short term but is not sustainable in the longer term i.e. if the Council borrowed in the short term in advance of a capital receipt being received.

3.3.3 This is the statutory limit determined under section 3 (1) of the Local Government Act 2003. The Government retains an option to control either the total of all councils' plans, or those of a specific council, although this power has not yet been exercised.

3.3.4 The Council is asked to approve the following authorised limit:

Authorised limit	2020/21 Estimate £000	2021/22 Estimate £000	2022/23 Estimate £000	2023/24 Estimate £000
Debt	28,000	28,000	28,000	28,000
Commercial activities/non-financial investments	5,000	5,000	5,000	5,000
Total	33,000	33,000	33,000	33,000

3.3.5 The graph below shows where we currently are against all of the borrowing prudential indicators.



3.4 Prospects for Interest Rates

3.4.1 Link Group, Treasury Solutions have provided a view on interest rates as per the table below.

	Dec 2020 %	Mar 2021 %	Jun 2021 %	Sep 2021 %	Dec 2021 %	Mar 2022 %	Jun 2022 %	Sep 2022 %	Dec 2022 %	Mar 2023 %
Bank Rate	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
3 Month average earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
6 Month average earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
12 Month average earnings	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20	0.20
5 Yr PWLB	0.80	0.80	0.80	0.80	0.80	0.90	0.90	0.90	0.90	0.90
10 Yr PWLB	1.10	1.10	1.10	1.10	1.10	1.20	1.20	1.20	1.20	1.20
25 Yr PWLB	1.50	1.50	1.60	1.60	1.60	1.60	1.70	1.70	1.70	1.70
50 Yr PWLB	1.30	1.30	1.40	1.40	1.40	1.40	1.50	1.50	1.50	1.50

3.4.2 The coronavirus outbreak has done huge economic damage to the UK and economies around the world. After the Bank of England took emergency action in March to cut Bank Rate to first 0.25%, and then to 0.10%, it left the Bank Rate unchanged at its subsequent meetings to 5th November, although some forecasters had suggested that a cut into negative territory could happen. However, the Governor of the Bank of England has made it clear that he currently thinks that such a move would do more damage than good and that more quantitative easing is the favoured tool if further action

becomes necessary. As shown in the forecast table above, no increase in Bank Rate is expected during the time period shown as economic recovery is expected to be only gradual and, therefore, prolonged.

3.4.3 Investment and borrowing rates

- Investment returns are likely to remain exceptionally low during 2021/22 with little increase in the following two years.
- Borrowing interest rates fell to historically very low rates as a result of the coronavirus crisis and the quantitative easing operations of the Bank of England: indeed, gilt yields up to 6 years were negative during most of the first half of 2020/21. The policy of avoiding new borrowing by running down spare cash balances has served local authorities well over the last few years. The unexpected increase of 100 bps in PWLB rates on top of the then current margin over gilt yields of 80 bps in October 2019, required an initial major rethink of local authority treasury management strategy and risk management. However, in March 2020, the Government started a consultation process for reviewing the margins over gilt rates for PWLB borrowing for different types of local authority capital expenditure. On 25th November 2020, the Chancellor announced the conclusion to the review of margins over gilt yields for PWLB rates; the standard and certainty margins were reduced by 1% but a prohibition was introduced to deny access to borrowing from the PWLB for any local authority which had purchase of assets for yield in its three year capital programme. The new margins over gilt yields are as follows:
 - PWLB Standard Rate is gilt plus 100 basis points
 - PWLB Certainty Rate is gilt plus 80 basis points
 - Local Infrastructure Rate is gilt plus 60bps

3.4.4 If an opportunity arises regarding the commercial investments consideration will also need to be given to sourcing funding at cheaper rates from the following:

- a) Local authorities (primarily shorter dated maturities)
- b) Financial institutions (primarily insurance companies and pension funds but also some banks, out of spot or forward dates)
- c) Municipal Bonds Agency (no issuance at present but there is potential).

3.5 **Borrowing Strategy**

3.5.1 From 2021/22 the Council is maintaining an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is still an issue that needs to be considered.

3.5.2 Against this background and the risks within the economic forecast, caution

will be adopted with the 2021/22 treasury operations. The Strategic Director of Resources will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances.

- 3.5.3 If the Council were to borrow then the Strategic Director for Resources would monitor the market to ensure that the borrowing was undertaken at the optimum time for the Council. If the Strategic Director for Resources thought rates would fall then they may choose to hold off long term borrowing. If they thought rates would rise then they may choose to borrow in advance of need (see section 3.6) to ensure borrowing is secured at a lower rate.
- 3.5.4 Any decisions will be reported to the Cabinet at the next available opportunity.

3.6 **Policy on borrowing in advance of need**

- 3.6.1 Prudential Code and CIPFA guidance says that the Council must not borrow more than or in advance of their needs purely to profit from the investment of the extra sums borrowed. The Council has some flexibility to borrow funds in advance of need for use in future years. The Section 151 Officer may do this under delegated power where, for instance, a sharp rise in interest rates is expected, and so borrowing early at fixed interest rates will be economically beneficial or meet budgetary constraints. Whilst the Section 151 Officer will adopt a cautious approach to any such borrowing, where there is a clear business case for doing so borrowing may be undertaken to fund the approved capital programme or to fund future debt maturities.
- 3.6.2 If the Council does borrow in advance of need it will only be to fund statutory services rather than to solely invest in a yield bearing opportunity in non-financial investments.
- 3.6.3 Borrowing in advance will be made within the constraints that:
- It will be limited to no more than 50% of the expected increase in borrowing need (CFR) over the three year planning period; and
 - The authority would not look to borrow more than 18 months in advance of need.
- 3.6.4 Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism.

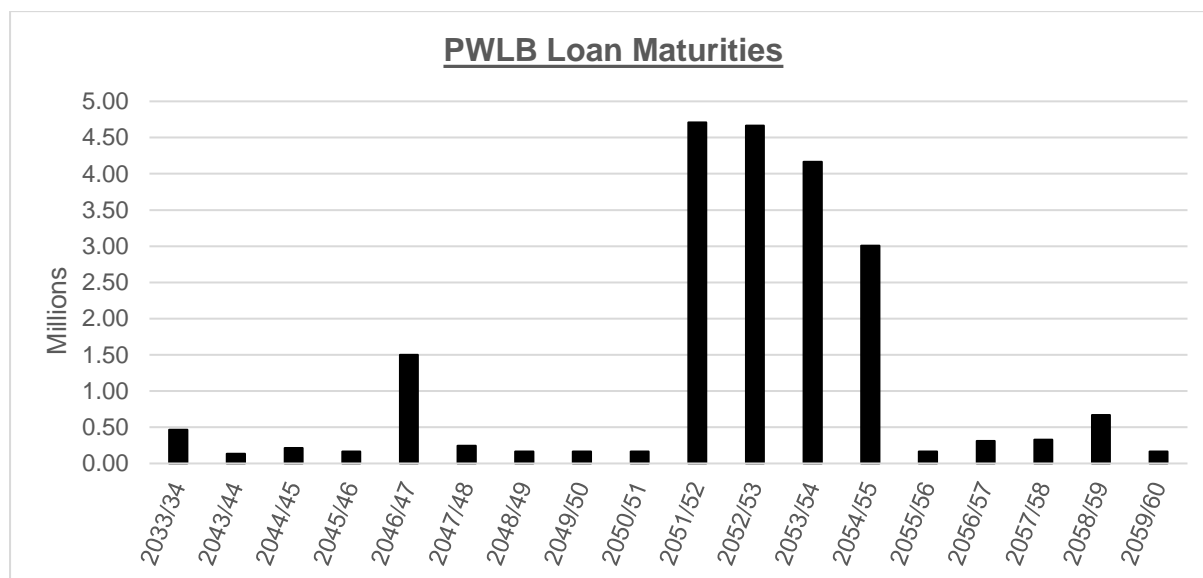
3.7 **Proportionality**

- 3.7.1 The Council will consider the concept of proportionality, alongside that of affordability needs when analysing funding projects through borrowing. The costs and risks associated with that borrowing will be examined as part of the whole financial position of the council, so that the Council does not undertake a level of investing which exposes the authority to an excessive level of risk compared to its financial resources. The Council needs to be aware of the scale and relationship with the asset base and revenue delivery to inform decision making.

3.7.2 To demonstrate the proportionality between the treasury operations and the non-treasury operation, key indicators are shown for the Council as a whole as well as for non-treasury investments throughout this report e.g. the operational boundary is split to show commercial investments separately.

3.8 Debt repayment and rescheduling

3.8.1 The graph below demonstrates when PWLB debt is due to be repaid.



3.8.2 Rescheduling of current borrowing in our debt portfolio is unlikely to occur as the 100 basis points increase in PWLB rates applied to new borrowing rates and not to premature debt repayment rates.

3.8.3 The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

3.8.4 All rescheduling will be reported to the Cabinet at the earliest meeting following its action.

4 ANNUAL INVESTMENT STRATEGY

4.1 Investment overview

4.1.1 The Council receives substantial income from council tax, business rates and central government. The majority of council tax and business rates payments are received between April and January, with expenditure being fairly static throughout the year.

4.1.2 At any point of time in the year, the Council can have between £36m - £52m available to invest. The estimated level of investments at year end based on the current cash flow calculations and for the next few years is shown below.

The total investments at Quarter 2 show the estimated level of investment at the mid-point during the financial year. The large movement from £44m to £29m is due to c£30m of investments maturing in the final quarter and although some of these will be re-invested, the Council typically receives less income in the final quarter as Council Tax receipts drop off.

	2020/21 Actual £000	2020/21 Forecast £000	2021/22 Estimate £000	2022/23 Estimate £000	2023/24 Estimate £000
Total Investments at Quarter 2	44,266		18,000	17,000	17,000
Total Investments at 31 March		29,000	14,000	15,000	15,000

4.1.3 The Council will invest surplus money in various ways to get a return on balances thus generating extra income.

4.2 Investment policy objectives

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

4.2.2 The Council’s investment policy has regard to the MHCLG’s Guidance on Local Government Investments (“the Guidance”); CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes (“the CIPFA TM Code”) and CIPFA Treasury Management Guidance Notes 2018.

4.2.3 This policy only covers treasury investments. The objectives of non-treasury investments are covered in the CIS.

4.2.4 The Council’s investment strategy primary objectives, in order of importance are:

- safeguarding the re-payment of the principal and interest of its investments on time – losing any funds like in the case of Icelandic banks would be very significant in this financial climate;
- adequate liquidity – the Council does not want to run short of money so it cannot pay its bills or does not have money available to make investments in capital expenditure;
- maximising the investment return – this is clearly important but the Council does not want to maximise returns at the expense of the first two objectives.

4.2.5 These objectives filter through this strategy.

4.3 **Investment rules**

- 4.3.1 In accordance with the above guidance from the MHCLG and CIPFA and in order to minimise the risk to investments, the Council applies minimum acceptable credit criteria in order to generate a list of highly creditworthy counterparties which also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the short term and long term ratings.
- 4.3.2 The Council engages with its advisors to monitor markets to support the ratings systems which ensures the Council is aware of the standing of the bank / building society.
- 4.3.3 Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.

4.4 **Creditworthiness policy**

- 4.4.1 The primary principle governing the Council's investment criteria is the security of its investments, although the yield or return on the investment is also a key consideration. After this main principle the Council will ensure:
- It maintains a policy covering both the categories of investment types it will invest in, criteria for choosing investment counterparties with adequate security and monitoring their security. This is set out in the Specified and Non-Specified investment sections below.
 - It has sufficient liquidity in its investments. For this purpose it will set out procedures for determining the maximum periods for which funds may prudently be committed. These procedures also apply to the Council's prudential indicators covering the maximum principal sums invested.
- 4.4.2 The Section 151 Officer will maintain a counterparty list in compliance with the following criteria and will revise the criteria and submit them to Council for approval as necessary. This criteria is separate to that which chooses Specified and Non-Specified investments as it provides an overall pool of counterparties considered high quality the Council may use rather than defining what its investments are.
- 4.4.3 Typically, the minimum credit ratings criteria the Council use will be a short term rating (Fitch or equivalent) of F1 and a long term rating of A-. There may be occasions when the counterparty ratings from one or two of the rating agencies are marginally lower than these ratings but may still be used. In these instances, when counterparty ratings from one of the credit rating agencies (Fitch) meet the minimum criteria and also other relevant market data shows a stable position the counterparty can be used. If there is a major disparity between the counterparty ratings issued by Fitch and the other credit rating agencies then the counterparty will not be used.
- 4.4.4 Credit rating information is supplied by our treasury consultants daily on all active counterparties that comply with the criteria below. Any counterparty

failing to meet the criteria would be omitted from the counterparty (dealing) list. Any rating changes, rating watches (notification of a likely change), rating outlooks (notification of the longer-term bias outside the central rating view) are provided to officers almost immediately after they occur and this information is considered before dealing. For instance for overseas counterparties a negative rating watch at the minimum Council criteria will be suspended from use, with all others being reviewed in light of market, the negative ratings watch will only be a factor in the selection process for overseas banks or if the negative rating applies only to one or several counterparties

4.4.5 The criteria for providing a pool of high quality investment counterparties (both Specified and Non-specified investments) is:

- Banks 1 - good credit quality – the Council will only use banks which:
 - a) are UK banks; and/or
 - b) are non-UK and domiciled in a country which has a minimum sovereign Long Term rating of AA+
 - c) and have, as a minimum, the following Fitch (where rated): Short Term A-/ Long Term F1
- Banks 2 – Part nationalised UK bank – Royal Bank of Scotland ring-fenced operations. These banks can be included provided they continue to be part nationalised or meet the ratings in Banks 1 above.
- Banks 3 – The Council's own banker for transactional purposes if the bank falls below the above criteria, in this case balances will be minimised in both monetary size and time invested.
- Building societies. The Council will only use societies which:
 - a) Meet the ratings for banks outlined above;
 - b) Have assets in excess of £1bn;
- Money Market Funds (MMFs) CNAV LVNAV
- UK Government (including gilts, Treasury Bills and the DMADF)
- Local authorities, parish councils etc.
- Property Funds

4.5 **Use of additional information other than credit ratings**

4.5.1 Additional requirements under the Code require the Council to supplement credit rating information. Whilst the above criteria relies primarily on the application of credit ratings to provide a pool of appropriate counterparties for officers to use, additional operational market information will be applied before making any specific investment decision from the agreed pool of counterparties. This additional market information (for example Credit Default Swaps, rating Watches/Outlooks) will be applied to compare the relative security of differing investment opportunities.

4.6 **Time and monetary limits applying to investments**

4.6.1 The time and monetary limits for institutions on the Council's counterparty list are as follows (for both specified and non-specified investments):

	Fitch Rating (long-term/short-term)	Money Limit	Time Limit
Banks/ Building Society higher quality	AA-/F1+	£7m	3yrs
Banks /Building Society medium quality	A-/F1	£7m	364 days
Banks – part nationalised	N/A	£7m	364 days
Council's banker (not meeting Banks above)	BBB/F2	£1m	overnight
Building Society (not meeting Banks above & minimum assets £1 bn)	Not Rated	£1m	6 months
UK Government Gilts	UK sovereign rating	£5m	3 years
Debt Management Account Deposit Facility managed by the DMO (Debt Management Office)	UK sovereign rating	£5m	364 days
Local authorities	N/A	£7m	364 days
Property Funds	N/A	£2m	No limit set*
	Fund rating	Money Limit	Time Limit
Money Market Funds CNAV	AAA	£5m	liquid
Money Market Funds LVNAV	AAA	£5m	liquid

* No time limit as investment would need to be left to mature to ensure no loss on investments.

4.7 Other considerations

4.7.1 Due care will be taken to consider the exposure of the Council's total investment portfolio to non-specified investments, countries, groups and sectors.

- **Country limit.** The Council has determined that it will only use approved counterparties from the UK and from countries with a minimum sovereign credit rating of AA+ from Fitch or equivalent. there has been no changes to the criteria from report 05/2020 . This list will be added to, or deducted from, by officers should ratings change in accordance with this policy.
- **Other limits.**
 - no more than 10% will be placed with any non-UK country at any time;
 - All limits in place will apply to a group of companies.

4.8 Investment approach

4.8.1 As per our overall objectives, we ensure that these surplus balances are managed in a way to maximise the income potential whilst having regard to security risk.

4.8.2 The Council's approach is influenced by numerous issues:

- Cash flow – when will the Council need the funds to pay general running costs of the Council or fund capital investment activity
- The vehicles allowed for investment as outlined in this strategy as referenced on 4.4.5
- The rate of return on offer - Bank Rate is unlikely to rise from 0.10% for a considerable period. It is very difficult to say when it may start rising so it may be best to assume that investment earnings from money market-related instruments will be sub 0.50% for the foreseeable future.
- The overall balance of risks to economic growth in the UK is probably now skewed to the upside, but is subject to major uncertainty due to the virus and how quickly successful vaccines may become available and widely administered to the population. It may also be affected by what, if any, deal the UK agrees as part of Brexit.
- There is relatively little UK domestic risk of increases or decreases in Bank Rate and significant changes in shorter term PWLB rates. The Bank of England has effectively ruled out the use of negative interest rates in the near term and increases in Bank Rate are likely to be some years away given the underlying economic expectations. However, it is always possible that safe haven flows, due to unexpected domestic developments and those in other major economies, or a return of investor confidence in equities, could impact gilt yields, (and so PWLB rates), in the UK.

4.8.3 Our focus is on traditional investments e.g. deposits for up to 12 month period – this is in line with the advice from our consultants (Link Group, Treasury Solutions) We will also consider longer term options (Government bonds, Property Funds etc.) once the position on Commercial Investments is clear. For example, placing funds in long term investments may not be an option depending on capital expenditure and investment plans.

4.8.4 Investment treasury indicator and limit - total principal funds invested for greater than 365 days. These limits are set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment, and are based on the availability of funds after each year-end.

The Council is asked to approve the following treasury indicator and limit:

Upper limit on total principal sums invested for periods of longer than a year (PI12)

£000	2021/22	2022/23	2023/24
Principal sums invested for longer than 365 days	0	0	0

4.9 Investment returns expectations and benchmarking

4.9.1 This Council will use an investment benchmark to assess the investment performance of its investment portfolio of 6 month LIBOR. The Council is appreciative that the provision of LIBOR and associated LIBID rates is expected to cease at the end of 2021. It will work with its advisors in determining suitable replacement investment benchmark(s) ahead of this cessation and will report back to members accordingly.

4.9.2 Security – Each counterparty the Council invests in has a risk of default (a calculated percentage to demonstrate the potential loss on the investment). The Council’s maximum security risk benchmark for the current portfolio, is:

- 0.10% historic risk of default when compared to the whole portfolio. The table below demonstrates a financial representation of how much the Council would stand to lose at 0.10%.

	2020/21 Forecast £000	2021/22 Estimate £000	2022/23 Estimate £000	2023/24 Estimate £000
Total Investments at 31 March	29,000	14,000	15,000	15,000
Revenue impact of risk of default at 0.10%	29	14	15	15

4.9.3 Risks arising from commercial investments will be assessed during the evaluation process as detailed in the CIS.

4.9.4 Liquidity – in respect of this area the Council seeks to maintain:

- Bank overdraft - £0m
- Liquid short term deposits of at least £1m available with a week’s notice.

4.9.5 Yield - local measures of yield benchmarks

- Investments – internal returns above the 6 month LIBOR rate. The LIBOR benchmark is being withdrawn and is likely to be replaced with an iteration of SONIA (Sterling Overnight Index Average), when the

new comparable benchmark when it has been published this will be reported at the earliest available opportunity.

4.10 **End of Year Investment Report**

4.10.1 At the end of the financial year, the Council will report on its investment activity as part of its Annual Treasury Report.

5 **THE CAPITAL PRUDENTIAL AND TREASURY INDICATORS 2021/22 – 2023/24 AND MRP STATEMENT**

5.1 **Capital Expenditure**

5.1.1 The Council's capital expenditure plans (see 2.1.3) are the key driver of treasury management activity. The output of the capital expenditure plans is reflected in the prudential indicators, which are designed to assist members' overview and confirm capital expenditure plans.

5.2 **Minimum Revenue Provision Policy**

5.2.1 Minimum revenue provision (MRP) policy statement - The Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge (the minimum revenue provision - MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision - VRP).

5.2.2 MHCLG regulations have been issued which require Council to approve an MRP Statement in advance of each year. A variety of options are provided to councils, so long as there is a prudent provision. The Council is recommended to approve the following MRP Statement

- For capital expenditure incurred before 1 April 2008 The Council will reduce on a straight line basis over 50 years.
- From 1 April 2008 for all unsupported borrowing (including PFI and finance leases) the MRP policy will be (either / and):
 - a) Asset life method – MRP will be based on the estimated life of the assets, in accordance with the regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction);
 - b) Depreciation method – MRP will follow standard depreciation accounting procedures. These options provide for a reduction in the borrowing need over approximately the asset's life.

5.2.3 **MRP Overpayments** - A change introduced by the revised MHCLG MRP Guidance was the allowance that any charges made over the statutory minimum revenue provision (MRP), voluntary revenue provision (VRP) or overpayments, can, if needed, be reclaimed in later years if deemed necessary or prudent. In order for these sums to be reclaimed for use in the budget i.e. if the Council wanted to reverse the VRP in 2013/14, this policy must disclose the cumulative overpayment made each year. Up until the 31 March 2020 the total VRP overpayments were £1.41m in 2013/14 and £0.597m in 2015/16 giving a total MRP overpayment of £2.01m.

5.3 Affordability Prudential Indicators

5.3.1 Sections two and three cover the overall capital and control of borrowing prudential indicators, but within this framework prudential indicators are required to assess the affordability of the capital investment plans. These provide an indication of the impact of the capital investment plans on the Council's overall finances. The Council is asked to approve the following indicators:

5.3.2 **Estimates of Financing Costs to Net Revenue Stream (PI1) and Actual financing costs to net revenue stream (PI2)** - This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream (the total income the Council receives i.e. the financing part of the MTFP).

%	2019/20	2020/21	2021/22	2022/23	2023/24
	Actual	Estimate	Estimate	Estimate	Estimate
Services	3.31	3.63	3.62	3.39	3.27

The estimates of financing costs include current commitments and the proposals in the budget report. This indicator has not been split between services and commercial activities because the MRP charge for the borrowing to fund Investment Properties will not commence until 2021/22.

5.3.3 **Incremental Impact of Capital Investment Decisions on Band D Council Tax (PI13)**. This indicator identifies the revenue costs associated with proposed changes to the three year capital programme recommended in this budget report compared to the Council's existing approved commitments and current plans. The assumptions are based on the budget, but will invariably include some estimates, such as the level of Government support, which are not published over a three year period.

Council Tax - Band D	2019/20	2020/21	2021/22	2022/23	2023/24
	Actual	Estimate	Estimate	Estimate	Estimate
	£	£	£	£	£
Services	0%	0%	0.13%	0.12%	0.12%
Commercial Investments	0%	0%	0%	1.26%	1.20%

5.3.4 **Upper and lower of maturity structure of borrowing (fixed & variable) (PI11)**

These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing all at the same time causing cash flow problems, and are required for upper and lower limits. The Council is asked to approve the following treasury indicators and limits:

Maturity structure of fixed interest rate borrowing 2020/21		
	Lower	Upper
Under 12 months	0%	25%
12 months to 2 years	0%	25%
2 years to 5 years	0%	20%
5 years to 10 years	0%	20%
10 years and above	0%	100%
Maturity structure of variable interest rate borrowing 2020/21		
	Lower	Upper
Under 12 months	0%	25%
12 months to 2 years	0%	25%
2 years to 5 years	0%	20%
5 years to 10 years	0%	20%
10 years to 20 years	0%	100%

5.3.5 **Debt to net service expenditure (PI14)** - This indicator shows gross debt as a percentage of net service expenditure. Net service expenditure is considered to be a proxy for the size and financial strength of a local authority.

£'000	Services	Commercial Activities
Gross Debt	22,058	5,000
Net Service Expenditure	41,850	41,850
Debt to net service expenditure %	53%	12%
Maximum Level	60%	15%

ANNEXE A1 - PUBLIC WORKS LOAN BOARD (PWLB) DEBT ANALYSIS

The table below shows the number of outstanding loans with the PWLB, the maturity date, Principal outstanding, interest rate and the premium payable if the council was to settle the outstanding loan.

PWLB 2020-21 Loan Repayment Premiums as at 3-Dec-2020					
Loan Reference	Start Date	Maturity Date	Principal Balance	Interest Rate %	Premium
461697	27-Mar-1987	31-Dec-2043	132,529.13	9.000	227,368
461698	27-Mar-1987	31-Dec-2044	212,550.13	9.000	378,050
461699	27-Mar-1987	31-Dec-2045	163,500.10	9.000	301,684
461700	27-Mar-1987	31-Dec-2046	196,200.12	9.000	374,965
476645	30-Nov-1995	28-Jul-2053	163,500.10	8.000	337,561
476646	30-Nov-1995	28-Jul-2054	163,500.10	8.000	346,578
476647	30-Nov-1995	28-Jul-2055	163,500.10	8.000	356,613
476842	21-Dec-1995	13-Dec-2052	163,500.10	7.875	325,407
476843	21-Dec-1995	13-Dec-2051	163,500.10	7.875	316,466
476844	21-Dec-1995	13-Dec-2050	163,500.10	7.875	306,569
477672	05-Aug-1996	08-May-2048	163,500.10	8.375	302,172
477673	05-Aug-1996	08-May-2049	163,500.10	8.375	311,947
478210	26-Sep-1996	25-Sep-2047	217,138.76	8.125	380,173
478211	26-Sep-1996	25-Sep-2056	163,500.10	8.125	374,737
478214	26-Sep-1996	25-Sep-2047	28,111.39	8.125	49,218
479404	21-May-1997	08-May-2057	327,000.20	7.125	657,216
479405	21-May-1997	08-May-2056	147,150.09	7.125	287,750
481709	13-Oct-1998	25-Sep-2058	163,500.10	4.625	206,635
482002	14-Jan-1999	25-Sep-2058	320,460.20	4.375	378,774
482386	30-Mar-1999	25-Mar-2059	23,271.98	4.625	29,746
482875	08-Nov-1999	25-Mar-2059	163,500.10	4.500	201,948
483562	18-Nov-1999	25-Sep-2059	163,500.10	4.250	191,428
491043	19-Jan-2006	19-Jan-2034	465,521.00	4.000	208,750
491501	05-Mar-2006	03-Nov-2051	2,689,694.00	4.400	2,624,136
491580	19-May-2006	19-Nov-2046	1,303,000.00	4.250	1,038,435
492151	20-Sep-2006	20-Mar-2052	1,856,434.00	4.200	1,736,166

PWLB 2020-21 Loan Repayment Premiums as at 3-Dec-2020

Loan Reference	Start Date	Maturity Date	Principal Balance	Interest Rate %	Premium
492927	19-Feb-2007	19-Aug-2052	2,000,000.00	4.400	2,003,686
492928	19-Feb-2007	19-Aug-2053	2,000,000.00	4.400	2,067,925
492929	19-Feb-2007	19-Aug-2054	1,427,410.00	4.400	1,515,232
493087	03-Aug-2007	19-Aug-2052	2,500,000.00	4.250	2,399,958
493088	03-Aug-2007	19-Aug-2053	2,000,000.00	4.250	1,981,761
493089	03-Aug-2007	19-Aug-2054	1,414,351.00	4.250	1,438,812
			21,386,323.30		23,657,865

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Rutland
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CABINET

12 January 2021

FEES AND CHARGES 2021/22

Report of the Strategic Director for Resources

Strategic Aim:	All	
Key Decision: Yes	Forward Plan Reference: FP/100920	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr G Brown, Deputy Leader and Portfolio Holder for Planning and Finance	
Contact Officer(s):	Saverio Della Rocca, Strategic Director for Resources (s.151 Officer)	01572 758159 sdrocca@rutland.gov.uk
Ward Councillors	Not Applicable	

DECISION RECOMMENDATIONS

That Cabinet:

1. Approve the level of fees and charges for 2021/22 as set out in Appendices 1-4.
2. Note that taxi and private hire vehicle licenses fees will be subject to change based on the outcome of forthcoming consultation through a public notice procedure and be brought back for approval following that consultation.
3. Note that weekly Residential Home Care rates are subject to a separate report.

1 PURPOSE OF THE REPORT

- 1.1 This report sets out the proposals for fees and charges for services provided by the Council for the financial year 2021/22.

2 BACKGROUND

- 2.1 Fees and charges represent a significant source of finance for the Council. The Council receives approximately £4 million from fees and charges each year. It is important that fees and charges are set at an appropriate level so as to recover costs.

- 2.2 The Council provides a wide range of services for which fees and charges can be made. Some of these fees and charges are set at a statutory level such as planning application fees and environmental protection fees. Others are discretionary and the Council has the ability to decide upon an appropriate charge for the services. Examples include bulky waste collection and room hire charges. In these areas, the Council aims to recover cost as a minimum.
- 2.3 Fees and charges are reviewed annually as part of the budget and council tax setting process. Fees and charges need to be approved in order to be effective from April 2021. In reviewing the level of fees for 2021/22, various approaches have been adopted:
- For services where costs are primarily staff time based, the Council bases increase in charges on staff cost inflation. With the potential for a pay pause in the public sector (other than for those earning less than £24k), the Council is working to a figure of 2% compared to 4.5% last year;
 - There are a small number of fees where no increase is proposed. Typically, this is either because there has been a recent increase or where increases may negatively impact income yield; and
 - In some areas, fees have been increased in line with those charged by neighbouring Councils or to cover costs associated with related service delivery.
- 2.4 Sections 3 to 5 of this report highlight the key issues for each Directorate and the rationale for the proposals.

3 PEOPLE DIRECTORATE PROPOSALS

- 3.1 A detailed schedule of all fees and charges is provided at Appendix 1. The rationale for the proposals for each service area are set out below. There are currently no fees and charges within Children's Social Care.

Adult Social Care Charges

- 3.2 For 2021/22, the fees payable by service users will be aligned to those paid by the Council. The Council will table a separate to agree these after negotiations with care providers. The fees are proposed to be increased with the Consumer Price Index.
- 3.3 It should be noted that under their contract, providers may evidence increased costs to trigger a review of charges. This would affect charges to service users should this occur. Following the charging policy review in 2016, three changes to domiciliary care charging came into force in October 2016, which we propose to maintain in 2021/22:
- Service users should pay the full hourly cost of care (£17.20), up to any applicable affordability ceilings;
 - Service users will be charged for care services from their start date, not from the date of financial assessment; and

- Charging of an administration fee of for helping individuals with over £23,250 to set up a care package (beyond free of charge advice), has been set at £120.

3.4 The maximum home care rate payable by an individual per week is proposed to mirror the lowest residential care rate, to which it is linked. It is proposed that this remains the same in 2021/22.

3.5 The other charges for service users in adult social care are for Deferred Payment Agreements (DPAs). DPAs are a form of loan for home owners who move into residential care, enabling them to defer some of the costs of care which are then recovered from their estate or the sale of their property. The DPA fees relate to arrangement fees for DPAs at a cost recovery level plus third party charges and the charging of interest at the government rate on deferred payments.

3.6 It is proposed that the DPA arrangement fee for 2020/21 be increased by pay inflation of 2% from £514 to £524 plus third party charges.

3.7 Interest charged on Deferred Payments was set at the interest rate set by Government and was to be adjusted when interest rate changes are notified. This is now reviewed every 6 months on 1 January and July. The current interest is 1.05% as at the 1 July.

Learning and Skills – School Improvement Service

3.8 Services available to schools and charges for school improvement depend upon two factors:

- the category of the school identified through risk assessment shared with the school
- the status of each individual school i.e. is the school maintained or Academy/ Free School. Independent schools have a further, higher charging scale.

3.9 The charging structures for schools have been reviewed and increased in line with pay inflation.

4 PLACES DIRECTORATE PROPOSALS

4.1 Fees which are set nationally are set out in **Appendix 2**. Locally set fees are set out in **Appendix 3**.

4.2 Many of services in the Places Directorate are provided by Peterborough City Council (PCC) on behalf of Rutland. Where fees are charged to cover costs then the Council has received assurances from PCC that this is the case.

Highways

4.3 New charges of £135 (in line with Leicestershire County Council) are proposed for illegally placed skips and scaffolds/hoardings on the highway. There are also new charges proposed for skips creating suspension of parking bays at £25 per day per 6m². This charge is on top of the skip permit charge.

- 4.4 A change to the Section 50 licence for opening of street/road for new/existing services is proposed so the current charges cover works to 200m (not previously stipulated) and a new charge of £150 per 200m for works in excess of 200m.
- 4.5 There is a proposal for Temporary Road Closures applications of more than 5 days to be charged at £1,200 including advertising (2020/21 £803 for all applications) to cover costs.

Taxis

- 4.6 There are currently 2 standard fees in place for taxi operators licenses based on a 3 year and a 5 year licence irrespective of the number of vehicles operated. These have been increased by 2%, but the fees and fee structure will be subject to change based on the outcome of a forthcoming consultation exercise and be brought back for approval following that consultation.

Waste Management

- 4.7 Appendix 3 includes the Green Waste charge increased by £5 to £40 for 2021/22 as agreed by Council on 9 November (Report No: 143/2020).
- 4.8 Waste collection and disposal fees have been increased by 2% in line with average rate of inflation for contracts.

Museum

- 4.9 New charges are proposed in respect of storage of archaeological items. To encourage deposits of older material, a storage fee of £45 plus VAT for items pre 2017 is available (£25 less than the current fee of £70 for items 2017–to date).
- 4.10 To encourage deposits to be compiled accurately a fee of £45 is also proposed for archive administration fee (charged when archives do not meet standard guidelines) per hour plus VAT.

Development Control and Land Charges

- 4.11 Development control fees are set nationally.
- 4.12 A new one-off charge of £100 is proposed for Declarations under s31 of the Highways Act made in respect of landowner's documents previously deposited.

Parking

- 4.13 There are no increases proposed for parking tariffs at present pending the parking strategy review in the spring. The parking tariffs were last changed in April 2019 including a free 30 minute tariff to support town centre shopping. Parking income has dropped significantly in 2020/21 due to Covid-19 restrictions. The Q2 forecast income was £269k compared to £566k in 2018/19 and £576k in 2019/20. Any changes to tariffs will incur expenditure on changes to signage, reprogramming machines and pay by phone fees.

Room Hire Charges

- 4.14 New room hire charges introduced in 2019/20 for external users of the Council

Chamber, Alstoe, Wytchley and Martinsley, have not been increased due to limited take up. Room hire at the Museum and Castle has been increased by 4% reflecting increased staffing costs and cleaning.

5 RESOURCES DIRECTORATE PROPOSALS

- 5.1 A detailed schedule of all fees and charges is provided at Appendix 4. There are no proposed changes to the 2019/20 fees and charges.

Reprographics Services

- 5.2 The Council is permitted to make a charge for ad-hoc copying of information subject to the Local Government (Access to Information) Act 1985 and for information requested under the Freedom of Information Act 2000. This legislation allows the Council to recover reasonable costs in respect of providing the documentation. This includes direct material costs plus overheads.
- 5.3 No increase is proposed to this charge as the Council's costs in this area have not changed.

Legal services

- 5.4 Charges for the provision of certain legal services under a fee structure are common practice across all areas of Local Government. Developers are required to pay the legal costs associated with s106 agreements, s38 agreements and s278 agreements this fee income is administered by Peterborough Legal under the Council's shared service agreement. Legal fees for planning and highways agreements will be £180 per hour, with a minimum fee of £720 which equates to 4 hours work. Time recording accurately records the time spent on each individual matter to ensure the developer is charged appropriately.
- 5.5 The Council charges £85 per hour to be applied in relation to any matters that require legal advice and can be recharged to customers in 2020/21. There has been no use of this charge in 2020/21. It is proposed to continue with this level of charge in 2021/22

Elections & Referendums – Charges to Parishes

- 5.6 The representation of the People Act 1983, Section 36 (4) requires the Council to cover all expenditure incurred by the Returning Officer in the holding of an election (or the Counting Office in the holding of a referendum). The fees for conducting Parliamentary, and European Parliamentary and Police and Crime Commissioner elections are regulated by the Returning Officers' Fees and Charges Orders made by the Government.
- 5.7 The Act allows the Council to recharge the costs of elections and referendums to parish councils. The Council works collaboratively with other authorities across Leicestershire to agree consistent fees.
- 5.8 The Council recharged Parishes for Parish Elections based on the actual amount incurred for the 2019 Parish Elections and this process will continue.

Disclosure and Barring Service (DBS) Checks

5.9 The HR Service acts as the 'administrator' for processing DBS Applications for:

- Employees and volunteers engaged by the Council
- Organisations who have some 'affiliation' to the Council or its services and provide voluntary services
- Fostering/Adoption service

5.10 An administration fee for undertaking these checks is charged, as permitted under section 93 of the Local Government Act 2003. This is not a statutory service – RCC and other organisations are able to secure the service from another Registered Body. We process approximately 60 applications per year for voluntary organisations.

5.11 We have developed an on-line application process. Taking into account the time involved in processing the application, the fee was set at £10 and there is no reasons to change this at this time.

Other resources fees and charges

5.12 Charges levied for Subject Access Requests (SARs) made under the Data Protection Act 1998 will remain at £10 per request in line with statutory limitations.

5.13 Charges levied for Blue Badges (disabled parking permits) will remain at £10 per badge in line with the national Blue Badge Scheme, which allows for Local Authorities to charge successful applicants a maximum of £10.

6 CONSULTATION

6.1 The proposals will be considered by each of the Scrutiny Panels in January as part of budget setting.

6.2 With the exception of drivers' licences, the Council is required to consult upon the fees it intends to levy for taxi licences through a public notice procedure and as such these fees will be subject to change based on the outcome of a forthcoming consultation exercise.

7 ALTERNATIVE OPTIONS

7.1 The alternative options are to retain the current level of fees and charges or propose alternatives. To do so could have a negative impact on the Council's financial position and in some instances mean the actual costs of services provided are not recovered. Costs increase year on year and as such need to be reflected in this Policy.

8 FINANCIAL IMPLICATIONS

8.1 Income budgets are in many instances driven by demand and can be volatile. It is not always the case that an increase in charges will lead to increases in income received. There are two reasons for this: a) demand for the service may reduce, and b) additional income received helps address the underachievement of income targets rather than generate new income above existing budgets. For this reason, even where fees and charges are increased, income budgets are not always

amended and this is the case this year.

9 LEGAL AND GOVERNANCE CONSIDERATIONS

- 9.1 The annual review of fees and charges is an integral part of the budget and Council Tax Setting process. The approved fees and charges will form part of the overall budget presented to full Council for approval in February.

10 DATA PROTECTION IMPLICATIONS

- 10.1 A Data Protection Impact Assessment (DPIA) has not been completed because there are no service, policy or organisational changes being proposed.

11 EQUALITY IMPACT ASSESSMENT

- 11.1 An Equality Impact Assessment Screening Report has been completed and reviewed by the Equality and Diversity Group. As implementing the fees and charges proposed does not have any impact on how the authority complies with its duties it is deemed by the Group that no further assessment is required.

12 COMMUNITY SAFETY IMPLICATIONS

- 12.1 There are no community safety implications arising from this report.

13 HEALTH AND WELLBEING IMPLICATIONS

- 13.1 There are no health and wellbeing implications arising from this report.

14 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

- 14.1 The annual review of fees and charges is an integral part of the budget and council tax setting process and is also to ensure the Council is compliant with legislative guidance. It is therefore recommended that Cabinet approve the proposals set out in the document.

15 BACKGROUND PAPERS

- 15.1 There are no additional background papers to the report

16 APPENDICES

- 16.1 Appendix 1 – People Directorate proposed fees and charges 2021/22
- 16.2 Appendix 2 – Places Directorate nationally set fees and charges 2021/22
- 16.3 Appendix 3 – Places Directorate locally set fees and charges 2021/22
- 16.4 Appendix 4 – Resources Directorate proposed fees and charges 2021/22

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People Fees and Charges 2021/22				
Item	2020/21	2021/22	Proposal	Additional information
ADULT SOCIAL CARE				
Weekly residential care rates				
Residential care	£ 478.00	TBC		
Residential care, dementia	£ 511.00	TBC		Will reflect increases agreed with providers
Residential care, nursing	£ 556.00	TBC		
Home care rates				
Hourly cost of care, up to individual applicable affordability ceilings	£ 17.20	£ 17.20		
Additionally, the Council will pay the Care Quality Commission (CQC) fee for each new service user.	£ 45.77	£ 45.77		Per new service user at the start of each new care package
Maximum weekly home care costs	£ 478.00	TBC		Aligned to the weekly cost of residential care.
Administrative fee to help individuals with over £23,250 setting up a care package	£ 120.00	£ 120.00		This one-off charge was introduced in October 2016.
Deferred Payment Agreements (DPAs)				
DPA setup and management fee	£ 514.00	£ 524.00		Increases inline with Inflation (2%)
Interest on deferred payments	1.45%	1.05%		Tracks the rate set by government, which is reviewed every 6 months and subject to change. (the rate for 1/07/2020 - 31/12/2020 is quoted for 2021/22). The actual rate charged will be aligned to the latest published rate
Learning Disability Day Centre Places - charges to third parties				
Level 1	£ 50.50	£ 50.50		The charges are balanced to recover costs and remain competitive.
Level 2 (standard)	£ 70.70	£ 70.70		The charges are balanced to recover costs and remain competitive.
Level 3 (1:1 / complex support), daily rate	£ 90.60	£ 90.60		The charges are balanced to recover costs and remain competitive.

People Fees and Charges 2021/22					
Item	2020/21		2021/22		Additional information
			Proposal		
SCHOOL IMPROVEMENT, INCLUSION AND SUPPORT CHARGES					
All the school charges below run in academic years so increases commence 1 September 2021					
Moderation of year 2 and year 6 statutory assessments	£	445	£	434	As per the School forum minutes from 18th June 2020
Admissions (Support, Ranking and Distance Measurements)					
Three Support Packages					
Level 1					
Ranking (per hour) - Based on number of applications received for the school	£	37	£	38	
Advice and Support (fixed fee)	£	50	£	51	
Distance Measurement Primary Schools (fixed fee)	£	60	£	62	
Distance Measurement Secondary Schools (fixed fee)	£	85	£	87	
Level 2					
Advice and Support (fixed fee)	£	50	£	51	
Distance Measurement Primary Schools (fixed fee)	£	60	£	62	
Distance Measurement Secondary Schools (fixed fee)	£	85	£	87	
Level 3					
Advice and Support (fixed fee)	£	75	£	77	
Inclusion officer (Early years, ASD or EBD)					
Per hour	£	73	£	74	
Per half day	£	209	£	213	2% MTFP inflationary increases and CPI
Per day	£	366	£	373	
Educational psychologist (non statutory element)					
Per hour	£	125	£	128	
Per half day	£	366	£	373	2% MTFP inflationary increases and CPI
Per day	£	601	£	613	
Bespoke training for SEN					
Per hour	£	125	£	128	
Per half day	£	366	£	373	2% MTFP inflationary increases and CPI
Per day	£	601	£	613	
Specialist school improvement services, beyond free of charge entitlement, academies/free schools					
Per hour	£	125	£	128	
Per half day	£	366	£	373	2% MTFP inflationary increases and CPI
Per day	£	601	£	613	
Specialist school improvement services, beyond free of charge entitlement, independent schools					
Per hour					
Per half day		Full cost recovery		Full cost recovery	Cost is confirmed depending on requirements.
Per day					

Fees and Charges 2021/22			
Item	2020/21	2021/22	Additional information 2021/22
Development Control Planning Application Fees			
Planning Application Fees - Apply from 17 January 2018 onwards. Based upon The Town and Country Planning Regulations 2012 (as amended) - Please see link.			Apply for Planning Permission Rutland County Council
Environmental Services			
EPA - annual subsistence charge (low risk)	£ 749	£ 749	Nationally set. Add £35 if paid quarterly.
EPA - annual subsistence charge (medium risk)	£ 1,125	£ 1,125	Nationally set. Add £35 if paid quarterly.
EPA - reduce fee activities (dry cleaners, petrol vapour recovery, waste oil burners)	£ 77	£ 77	Nationally set
EPA - odorising of natural gas	£ 378	£ 378	Nationally set
Explosives - (licence to store) new application (separation greater than 0 metres) 1 year	£ 185	£ 185	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 2 year	£ 243	£ 243	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 3 year	£ 304	£ 304	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 4 year	£ 374	£ 374	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 5 year	£ 423	£ 423	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (no minimum separation distance) 1 year	£ 109	£ 109	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (no minimum separation distance) 2 year	£ 141	£ 141	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (no minimum separation distance) 3 year	£ 173	£ 173	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (no minimum separation distance) 4 year	£ 206	£ 206	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (no minimum separation distance) 5 year	£ 238	£ 238	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 1 year	£ 86	£ 86	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 2 year	£ 147	£ 147	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 3 year	£ 206	£ 206	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 4 year	£ 266	£ 266	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) new application (separation greater than 0 metres) 5 year	£ 326	£ 326	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) renewal of application (no minimum separation distance) 1 year	£ 54	£ 54	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) renewal of application (no minimum separation distance) 2 year	£ 86	£ 86	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) renewal of application (no minimum separation distance) 3 year	£ 120	£ 120	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) renewal of application (no minimum separation distance) 4 year	£ 152	£ 152	Nationally set - The Explosives Regulations 2014 - Regulation 13
Explosives - (licence to store) renewal of application (no minimum separation distance) 5 year	£ 185	£ 185	Nationally set - The Explosives Regulations 2014 - Regulation 13

**Report No /2020 - Appendix 2
Places Directorate Nationally Set**

Fees and Charges 2021/22			
Item	2020/21	2021/22	Additional information 2021/22
Explosives - (licence to store) transfer/variation/replacement	£ 36	£ 36	Nationally set - The Explosives Regulations 2014 - Regulations 16 and 17
Gambling - Gambling Act Permits Family Entertainment Centres (Application fee)	£ 300	£ 300	Nationally set
Gambling - Gambling Act Permits Family Entertainment Centres (Renewal fee)	£ 300	£ 300	Nationally set
Gambling - Gambling Act Permits Family Entertainment Centres (Change of name)	£ 25	£ 25	Nationally set
Gambling - Gambling Act Permits Family Entertainment Centres (Copy of permit)	£ 15	£ 15	Nationally set
Gambling - Gambling Act Permits Prize Gaming (Application fee)	£ 300	£ 300	Nationally set
Gambling - Gambling Act Permits Prize Gaming (Renewal fee)	£ 300	£ 300	Nationally set
Gambling - Gambling Act Permits Prize Gaming (Change of name)	£ 25	£ 25	Nationally set
Gambling - Gambling Act Permits Prize Gaming (Copy of Permit)	£ 15	£ 15	Nationally set
Gambling - Gambling Act Permits Notification of two machines (Application fee)	£ 50	£ 50	Nationally set
Gambling - Gambling Act Permits ALGMP (Application fee)	£ 150	£ 150	Nationally set
Gambling - Gambling Act Permits ALGMP (Annual fee)	£ 50	£ 50	Nationally set
Gambling - Gambling Act Permits ALGMP (Change of name)	£ 25	£ 25	Nationally set
Gambling - Gambling Act Permits ALGMP (Copy of permit)	£ 15	£ 15	Nationally set
Gambling - Gambling Act Permits ALGMP (Variation fee)	£ 100	£ 100	Nationally set
Gambling - Gambling Act Permits ALGMP (Transfer)	£ 25	£ 25	Nationally set
Gambling - Gambling Act Permits Club Gaming and Machine (Application fee)	£ 200	£ 200	Nationally set
Gambling - Gambling Act Permits Club Gaming and Machine (Annual fee)	£ 50	£ 50	Nationally set
Gambling - Gambling Act Permits Club Gaming and Machine (Renewal fee)	£ 200	£ 200	Nationally set
Gambling - Gambling Act Permits Club Gaming and Machine (Variation fee)	£ 100	£ 100	Nationally set
Gambling - Gambling Act Permits Club Gaming and Machine (Copy of permit)	£ 15	£ 15	Nationally set
Gambling - lottery (new application)	£ 40	£ 40	Nationally set
Gambling - lottery (renewals)	£ 20	£ 20	Nationally set
Licensing - Licensing Act Annual Premises Licence Fee (based on rateable value of premises) - A	£ 70	£ 70	Nationally set
Licensing - Licensing Act Annual Premises Licence Fee (based on rateable value of premises) - B	£ 180	£ 180	Nationally set
Licensing - Licensing Act Annual Premises Licence Fee (based on rateable value of premises) - C	£ 295	£ 295	Nationally set
Licensing - Licensing Act Annual Premises Licence Fee (based on rateable value of premises) - D	£ 320	£ 320	Nationally set

Fees and Charges 2021/22			
Item	2020/21	2021/22	Additional information 2021/22
Licensing - Licensing Act Annual Premises Licence Fee (based on rateable value of premises) - E	£ 350	£ 350	Nationally set
Licensing - Licensing Act Annual Club Premises Certificate (based on rateable value of premises) - A	£ 70	£ 70	Nationally set
Licensing - Licensing Act Annual Club Premises Certificate (based on rateable value of premises) - B	£ 180	£ 180	Nationally set
Licensing - Licensing Act Annual Club Premises Certificate (based on rateable value of premises) - C	£ 295	£ 295	Nationally set
Licensing - Licensing Act Annual Club Premises Certificate (based on rateable value of premises) - D	£ 320	£ 320	Nationally set
Licensing - Licensing Act Annual Club Premises Certificate (based on rateable value of premises) - E	£ 350	£ 350	Nationally set
Licensing - Licensing Act Temporary Event Notice	£ 21	£ 21	Nationally set
Licensing - Licensing Act Personal Licence	£ 37	£ 37	Nationally set
Licensing - Licensing Act Premises licence Transfer	£ 23	£ 23	Nationally set
Licensing - Licensing Act Premises Licence Variation of DPS	£ 23	£ 23	Nationally set
Licensing - Licensing Act Premises Licence Minor Variation	£ 89	£ 89	Nationally set
Licensing - Licensing Act Premises Licence Notification of Interest	£ 21	£ 21	Nationally set
Licensing - Licensing Act Premises Licence Interim Authority Notice	£ 23	£ 23	Nationally set
Licensing - Licensing Act Premises/Club Copy of Licence	£ 11	£ 11	Nationally set
Licensing - Licensing Act Premises/Club Notification of change	£ 11	£ 11	Nationally set
Taxis - vehicle plate deposit	£ 20	£ 20	Nationally set
Petroleum - Licence to keep petroleum spirit (of a quantity not exceeding 2,500 litres)	£ 43	£ 43	Nationally set
Petroleum - Licence to keep petroleum spirit (of a quantity exceeding 2,500 litres but not exceeding 50,000 litres)	£ 59	£ 59	Nationally set
Petroleum - Licence to keep petroleum spirit (of a quantity exceeding 50,000 litres)	£ 123	£ 123	Nationally set
Petroleum - transfer of petroleum fee	£ 8	£ 8	Nationally set
Petroleum - Driver controlled licence (initial fee)	£ 205	£ 205	Nationally set
Petroleum - Driver controlled licence (transfer of petroleum fee)	£ 31	£ 31	Nationally set
Petroleum - Driver controlled licence (notices fee)	£ 5	£ 5	Nationally set
Dogs - dog recovery fee	£ 25	£ 25	Nationally set
Abandoned Vehicles - removal of vehicles equal to or less than 3.5 tonnes (vehicle on road, upright and not substantially damaged, or removal of any two-wheeled vehicle)	£ 150	£ 150	Nationally set
Abandoned Vehicles - removal of vehicles equal to or less than 3.5 tonnes, other than two-wheeled vehicles (vehicle on road but either not upright, substantially damaged or both)	£ 250	£ 250	Nationally set
Abandoned Vehicles - removal of vehicles equal to or less than 3.5 tonnes, other than two-wheeled vehicles (vehicle off road, upright and not substantially damaged)	£ 200	£ 200	Nationally set

Fees and Charges 2021/22			
Item	2020/21	2021/22	Additional information 2021/22
Abandoned Vehicles - removal of vehicles equal to or less than 3.5 tonnes, other than two-wheeled vehicles (vehicle off road but either not upright, substantially damaged or both)	£ 300	£ 300	Nationally set
Abandoned Vehicles - storage of two-wheeled vehicles (per day)	£ 10	£ 10	Nationally set
Abandoned vehicles - storage of vehicles equal to or less than 3.5 tonnes, other than two-wheeled vehicles (per day)	£ 20	£ 20	Nationally set
Abandoned Vehicles - disposal of two-wheeled vehicles	£ 50	£ 50	Nationally set
Abandoned Vehicles - disposal of vehicles equal to or less than 3.5 tonnes, other than two-wheeled vehicles	£ 75	£ 75	Nationally set
Highways			
Inspection of works and reinstatement following:			
Charges in relation to works occupying the carriageway during period of overrun (Prescribed by legislation - New Roads and Street Works Act 1991)			
Traffic-sensitive street or protected street not in road category 2, 3 or 4. - First 3 days	£ 5,000	£ 5,000	Fixed National Rate (subject to National Change)
Amount (£) each subsequent day	£ 10,000	£ 10,000	Fixed National Rate (subject to National Change)
Other street not in road category 2, 3 or 4.	£ 2,500	£ 2,500	Fixed National Rate (subject to National Change)
Amount (£) each subsequent day	£ 2,500	£ 2,500	Fixed National Rate (subject to National Change)
Traffic-sensitive street or protected street in road category 2.	£ 3,000	£ 3,000	Fixed National Rate (subject to National Change)
Amount (£) each subsequent day	£ 8,000	£ 8,000	Fixed National Rate (subject to National Change)
Other street in road category 2.	£ 2,000	£ 2,000	Fixed National Rate (subject to National Change)
Amount (£) each subsequent day	£ 2,000	£ 2,000	Fixed National Rate (subject to National Change)
Traffic-sensitive street or protected street in road category 3 or 4.	£ 750	£ 750	Fixed National Rate (subject to National Change)
Amount (£) each subsequent day	£ 750	£ 750	Fixed National Rate (subject to National Change)
Other street in road category 3 or 4.	£ 250	£ 250	Fixed National Rate (subject to National Change)
Amount (£) each subsequent day	£ 750	£ 750	Fixed National Rate (subject to National Change)
NRSWA sample inspections	£ 50	£ 50	Fixed National Rate (subject to National Change)
Defect Inspection	£ 47.50	£ 47.50	Fixed National Rate (subject to National Change)
Third Party Defect	£ 68	£ 68	Fixed National Rate (subject to National Change)
Traffic Management Act 2004 (Section 41)			
Fixed Penalty Notice as prescribed in Traffic Management Act - Incorrect ETON Notices	£ 120	£ 120	Fixed National Rate
	£ 80	£ 80	If paid within 28 days
Section 74 Traffic Management Act 2004			
Fixed Penalty Notices	£ 120	£ 120	Fixed Fee. As per code of practice (set by central government/as revised by The Traffic Management Act)
Discounted rate	£ 80	£ 80	Fixed Fee. As per code of practice (set by central government/as revised by The Traffic Management Act)

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Land Charges			
Inspection of documents filed in respect of each parcel of land	£ 3	£ 3.50	Increased by 4% (last increase 2019/20)
Official search (including issue of official certificate of search)			
(a) in any one part of the register	£ 12.00	£ 13.00	Increased by 4% (last increase 2019/20)
(b) in the whole of the register			
(i) where the requisition is made by electronic means	£ 23.00	£ 24.00	
(ii) in any other case	£ 23.00	£ 24.00	
(c) in addition, in respect of each parcel of land above one, where more than one parcel is included in the same requisition (whether the requisition is for a search in the whole or any part of the register)	£ 10.00	£ 10.00	
Office copy of any entry in the register (not including a copy or extract of any plan or document filed)	As reprographics charges		
Standard enquiries (CON29R).	£ 92.00	£ 96.00	Increased by 4% (last increase 2019/20)
Additional parcel of land	£ 20.00	£ 21.00	
Optional enquiry (CON 290)	£ 14.00	£ 15.00	
Additional typed enquiry	£ 37.00	£ 38.00	
Charges for landowner statements made under s15A of the			
Deposit of a Statement and Map . Fee includes provision for a single site notice erected on an existing structure.	£ 219	£ 228	A4 (Fee varies by size of application map)
	£ 247	£ 257	A3
	£ 273	£ 284	A2
	£ 299	£ 311	A1
	£ 326	£ 339	A0
Additional deposit notice (price per notice). Each application (fee) includes provision of a single notice. Deposits with multiple parcels of land will require additional notices	£ 27	£ 28	A4 (Fee varies by size of notice map)
	£ 32	£ 33	A3
	£ 43	£ 45	A2
	£ 53	£ 55	A1
	£ 69	£ 72	A0
Additional fee for joint applications made under s31 Highways Act			
Charge added to fees described above	£ 26	£ 27	2% inflation applied
Declarations under s31 of the Highways Act made in respect of			
Charge in addition to fee for deposit	£ -	£ 100	New Charge
Village Greens corrective applications			
To remove buildings/land wrongly registered	£ 1,000	£ 1,000	
Correction of a mistake made by the Commons Registration authority	No fee	No fee	Cannot charge for this

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Development Control			
Copies of planning documents	As reprographics charges	As reprographics charges	
Copy Decision Notices (No charge for Parish Councils)	As reprographics	As reprographics charges	
Preliminary Planning Advice			
Commercial, minerals and waste, wind or solar installations			
0m ² to 99m ²	£ 150	£ 153	2% inflation applied
100m ² to 499m ²	£ 250	£ 255	
500m ² to 999m ²	£ 500	£ 510	
1000m ² plus	10% of planning	10% of planning application fee	
Householder and other applications	£ 68	£ 69	2% inflation applied
Residential			
1 to 4 dwellings	£ 200	£ 204	2% inflation applied
5 to 9 dwellings (first 5)	£ 250	£ 255	
5 to 9 dwellings (each additional dwelling over 5)	£ 50	£ 51	
10 to 24	£ 1,000	£ 1,020	
25 plus	10% of planning application fee	10% of planning application fee	
Additional time (in excess of 3hrs) & communications requested by applicant (per hour)	£ 73	£ 74	2% inflation applied
High Hedge Complaint	£ 420	£ 428	2% inflation applied
Building Control			
Completion Certificate (Re-issue)	£ 30	£ 31	2% inflation applied
Completion Certificate (Re-issue)	£ 50	£ 51	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Environmental Services			
Housing - House of Multiple Occupation (HMO) licence fee	£ 784	£ 800	2% inflation applied
Housing - immigration inspection fee	£ 106	£ 108	2% inflation applied
Housing - improvement notice charge	£ 180	£ 184	2% inflation applied
Housing - prohibition notice charge	£ 69	£ 70	2% inflation applied
Housing - works in default per hour (maximum rate, depending on officer grade)	£ 33	£ 34	2% inflation applied
H&S - (registrations) Food Premises	Free	Free	
H&S - (registrations) Person Registrations (acupuncture, ear piercing, electrolysis, hairdressing, skin piercing, tattooist)	£ 95	£ 97	2% inflation applied
H&S - (registrations) Premises Registrations (acupuncture, ear piercing, electrolysis, hairdressing, skin piercing, tattooist)	£ 212	£ 216	2% inflation applied
Animal welfare - Selling animals as pets first application fee Part A	£ 288	£ 294	2% inflation applied
Animal welfare - Selling animals as pets renewal application fee Part A	£ 205	£ 209	2% inflation applied
Animal welfare - Selling animals as pets grant fee 1 year licence Part B	£ 251	£ 256	2% inflation applied
Animal welfare - Selling animals as pets grant fee 2 year licence Part B	£ 326	£ 333	2% inflation applied
Animal welfare - Selling animals as pets grant fee 3 year licence Part B	£ 401	£ 409	2% inflation applied
Animal welfare - Selling animals as pets full re-inspection / variation fee	£ 166	£ 169	2% inflation applied
Animal welfare - Providing or arranging for the provision of boarding (franchise premises) - first application fee Part A	£ 383	£ 391	2% inflation applied
Animal welfare - Providing or arranging for the provision of boarding (franchise premises) - renewal application fee Part A	£ 255	£ 260	2% inflation applied
Animal welfare - Providing or arranging for the provision of boarding (franchise premises) - grant fee 1 year licence Part B	£ 289	£ 295	2% inflation applied
Animal welfare - Providing or arranging for the provision of boarding (franchise premises) - grant fee 2 year licence Part B	£ 364	£ 371	2% inflation applied
Animal welfare - Providing or arranging for the provision of boarding (franchise premises) - grant fee 3 year licence Part B	£ 439	£ 448	2% inflation applied
Animal welfare - Providing or arranging for the provision of boarding (franchise premises) - full re-inspection / variation fee	£ 223	£ 227	2% inflation applied
Animal welfare - Commercial operation - one animal type: kennels or catteries, including commercial dog day-care - first application fee Part A	£ 272	£ 277	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Animal welfare - Commercial operation - one animal type: kennels or catteries, including commercial dog day-care - renewal application fee Part A	£ 190	£ 194	2% inflation applied
Animal welfare - Commercial operation - one animal type: kennels or catteries, including commercial dog day-care - grant fee 1 year licence Part B	£ 251	£ 256	2% inflation applied
Animal welfare - Commercial operation - one animal type: kennels or catteries, including commercial dog day-care - grant fee 2 year licence Part B	£ 326	£ 333	2% inflation applied
Animal welfare - Commercial operation - one animal type: kennels or catteries, including commercial dog day-care - grant fee 3 year licence Part B	£ 401	£ 409	2% inflation applied
Animal welfare - Commercial operation - one animal type: kennels or catteries, including commercial dog day-care - full re-inspection / variation fee	£ 166	£ 169	2% inflation applied
Animal welfare - Commercial operation - two animal types: kennels with catteries and kennels with dog day-care - first application fee Part A	£ 383	£ 391	2% inflation applied
Animal welfare - Commercial operation - two animal types: kennels with catteries and kennels with dog day-care - renewal application fee Part A	£ 255	£ 260	2% inflation applied
Animal welfare - Commercial operation - two animal types: kennels with catteries and kennels with dog day-care - grant fee 1 year licence Part B	£ 289	£ 295	2% inflation applied
Animal welfare - Commercial operation - two animal types: kennels with catteries and kennels with dog day-care - grant fee 2 year licence Part B	£ 364	£ 371	2% inflation applied
Animal welfare - Commercial operation - two animal types: kennels with catteries and kennels with dog day-care - grant	£ 439	£ 448	2% inflation applied
Animal welfare - Commercial operation - two animal types: kennels with catteries and kennels with dog day-care - full re-inspection / variation fee	£ 223	£ 227	2% inflation applied
Animal welfare - Home activities boarding / day-care - first application fee Part A	£ 161	£ 164	2% inflation applied
Animal welfare - Home activities boarding / day-care - renewal application fee Part A	£ 125	£ 128	2% inflation applied
Animal welfare - Home activities boarding / day-care - grant fee 1 year licence Part B	£ 165	£ 168	2% inflation applied
Animal welfare - Home activities boarding / day-care - grant fee 2 year	£ 230	£ 235	2% inflation applied
Animal welfare - Home activities boarding / day-care - grant fee 3 year licence Part B	£ 295	£ 301	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Animal welfare - Home activities boarding / day-care - full re-inspection / variation fee	£ 109	£ 111	2% inflation applied
Animal welfare - Hiring out horses - first application fee Part A	£ 277	£ 283	2% inflation applied plus annual vet inspection fee
Animal welfare - Hiring out horses - renewal application fee Part A	£ 195	£ 199	2% inflation applied plus annual vet inspection fee
Animal welfare - Hiring out horses - grant fee 1 year licence Part B	£ 256	£ 261	2% inflation applied plus annual vet inspection fee
Animal welfare - Hiring out horses - grant fee 2 year licence Part B	£ 337	£ 344	2% inflation applied plus annual vet inspection fee
Animal welfare - Hiring out horses - grant fee 3 year licence Part B	£ 417	£ 425	2% inflation applied plus annual vet inspection fee
Animal welfare - Hiring out horses - full re-inspection / variation fee	£ 166	£ 169	2% inflation applied plus annual vet inspection fee if applicable
Animal welfare - Breeding dogs - first application fee Part A	£ 277	£ 283	2% inflation applied plus annual vet fees
Animal welfare - Breeding dogs - renewal application fee Part A	£ 190	£ 194	2% inflation applied
Animal welfare - Breeding dogs - grant fee 1 year licence Part B	£ 251	£ 256	2% inflation applied
Animal welfare - Breeding dogs - grant fee 2 year licence Part B	£ 326	£ 333	2% inflation applied
Animal welfare - Breeding dogs - grant fee 3 year licence Part B	£ 401	£ 409	2% inflation applied
Animal welfare - Breeding dogs - full re-inspection / variation fee	£ 166	£ 169	2% inflation applied plus annual vet inspection fee if applicable
Animal welfare - Keeping or training animals for exhibition - first application fee Part A	£ 161	£ 164	2% inflation applied
Animal welfare - Keeping or training animals for exhibition - renewal application fee Part A	£ 125	£ 128	2% inflation applied
Animal welfare - Keeping or training animals for exhibition - grant fee 3 year licence Part B	£ 295	£ 301	2% inflation applied
Animal welfare - Keeping or training animals for exhibition - full re-inspection / variation fee	£ 109	£ 111	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Gambling - Gambling Act premises licence - new application - Bingo	£ 2,929	£ 2,988	2% inflation applied
Gambling - Gambling Act premises licence - new application - Betting premises	£ 2,073	£ 2,114	2% inflation applied
Gambling - Gambling Act premises licence - new application - Tracks	£ 2,073	£ 2,114	2% inflation applied
Gambling - Gambling Act premises licence - new application - Family entertainment centres	£ 1,659	£ 1,692	2% inflation applied
Gambling - Gambling Act premises licence - new application - Adult gaming centre	£ 1,659	£ 1,692	2% inflation applied
Gambling - Gambling Act premises licence - annual fee - Bingo	£ 872	£ 889	2% inflation applied
Gambling - Gambling Act premises licence - annual fee - Betting premises	£ 525	£ 536	2% inflation applied
Gambling - Gambling Act premises licence - annual fee - Tracks	£ 872	£ 889	2% inflation applied
Gambling - Gambling Act premises licence - annual fee - Family entertainment centres	£ 657	£ 670	2% inflation applied
Gambling - Gambling Act premises licence - annual fee - Adult gaming centre	£ 872	£ 889	2% inflation applied
Gambling - Gambling Act premises licence - variation application - Bingo	£ 1,453	£ 1,482	2% inflation applied
Gambling - Gambling Act premises licence - variation application - Betting premises	£ 1,246	£ 1,271	2% inflation applied
Gambling - Gambling Act premises licence - variation application - Tracks	£ 1,038	£ 1,059	2% inflation applied
Gambling - Gambling Act premises licence - variation application - Family entertainment centres	£ 831	£ 848	2% inflation applied
Gambling - Gambling Act premises licence - variation application - Adult gaming centre	£ 831	£ 848	2% inflation applied
Gambling - Gambling Act premises licence - transfer fee - Bingo	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - transfer fee - Betting premises	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - transfer fee - Tracks	£ 789	£ 805	2% inflation applied
Gambling - Gambling Act premises licence - transfer fee - Family entertainment centres	£ 788	£ 804	2% inflation applied
Gambling - Gambling Act premises licence - transfer fee - Adult gaming centre	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - application for re-instatement - Bingo	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - application for re-instatement - Betting premises	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - application for re-instatement - Tracks	£ 789	£ 805	2% inflation applied
Gambling - Gambling Act premises licence - application for re-instatement - Family entertainment centres	£ 788	£ 804	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Gambling - Gambling Act premises licence - application for re-instatement - Adult gaming centre	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement - Bingo	£ 2,929	£ 2,988	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement - Betting premises	£ 2,392	£ 2,440	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement - Tracks	£ 2,073	£ 2,114	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement - Family entertainment centres	£ 1,660	£ 1,693	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement - Adult gaming centre	£ 1,660	£ 1,693	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement holders - Bingo	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement holders - Betting premises	£ 998	£ 1,018	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement holders - Tracks	£ 789	£ 805	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement holders - Family entertainment centres	£ 788	£ 804	2% inflation applied
Gambling - Gambling Act premises licence - application for provisional statement holders - Adult gaming centre	£ 958	£ 977	2% inflation applied
Gambling - Gambling Act premises licence - copy licence	£ 12	£ 12	2% inflation applied
Gambling - Gambling Act premises licence - notification of change	£ 27	£ 28	2% inflation applied
Private water supplies - Risk assessment	£ 42	£ 43	2% inflation applied
Private water supplies - Sampling visit	£ 42	£ 43	2% inflation applied
Private water supplies - Investigation	£ 42	£ 43	2% inflation applied
Private water supplies - Authorisation	£ 42	£ 43	2% inflation applied
Private water supplies - Analysis - under reg. 10 (domestic supplies)	£ 27	£ 28	2% inflation applied
Private water supplies - Analysis - check monitoring (commercial supplies)	£ 37	£ 38	2% inflation applied
Private water supplies - Analysis - audit monitoring (commercial supplies)	£ 84	£ 86	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Scrap Metal - Site licence fee	£ 332	£ 339	2% inflation applied
Scrap Metal - Metal Collectors licence fee	£ 232	£ 237	2% inflation applied
Scrap Metal - Licence variation fee	£ 42	£ 43	2% inflation applied
Scrap Metal - Replacement licence fee	£ 27	£ 28	2% inflation applied
Street Trading - A1 laybys	£ 717	£ 731	2% inflation applied
Street Trading - non-A1 laybys	£ 245	£ 250	2% inflation applied
Street Trading - service charge	£ 2,084	£ 2,126	2% inflation applied
Taxis - Hackney carriage driver's licence - 3 year (new)	£ 142	£ 145	2% inflation applied
Taxis - Private hire driver's licence - 3 year (new)	£ 142	£ 145	2% inflation applied
Taxis - Hackney carriage driver's licence - 3 year (renewal)	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire driver's licence - 3 year (renewal)	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Driver's licence change between hackney carriage and private hire	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Hackney carriage vehicle licence fee (new / renewal) (yearly)*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire vehicle licence fee (new / renewal) (yearly)*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Speciality vehicle licence fee (new / renewal) (yearly)*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Limousine vehicle licence fee (new) (yearly)*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Limousine vehicle licence fee (renewal) (yearly)*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 1 year - 1 to 5 vehicles*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 1 year - 6 to 10 vehicles*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 1 year - 11 to 30 vehicles*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 1 year - 31 to 50 vehicles*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 1 year - 51+ vehicles*	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 5 years - 1 to 5 vehicles*	£ 327	£ 334	2% inflation applied. Will be subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 5 years - 6 to 10 vehicles*	£ 327	£ 334	2% inflation applied. Will be subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 5 years - 11 to 30 vehicles*	£ 327	£ 334	2% inflation applied. Will be subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 5 years - 31 to 50 vehicles*	£ 327	£ 334	2% inflation applied. Will be subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire operators licence - 5 years - 51+ vehicles*	£ 327	£ 334	2% inflation applied. Will be subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire - replacement door stickers	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Meter sealing fee	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Plate transfer (change of vehicle)	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Replacement plate and / or replacement bracket	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Taxis - Replacement vehicle and reinstatement of place (accident)	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Replacement vehicle	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Replacement driver's badge	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire plate exemption (new)	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Private hire plate exemption (renewal)	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Change of address	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Replacement exemption certificate or replacement driver's	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
Taxis - Late badge renewal application penalty	TBC	TBC	Subject to change based on outcome of forthcoming consultation exercise.
* Taxis licences which require consultation upon the fees to be levied			
Bulky Waste - collection of up to four items of bulky waste (exemptions apply)	£ 34	£ 35	2% inflation applied
Bulky Waste - collection of up to four heavy duty bags full of soils and rubble (bags provided by the Council)	£ 49	£ 50	2% inflation applied
Waste Disposal - chargeable household waste (per tonne)	£ 121	£ 123	2% inflation applied
Waste Disposal - Trade Waste (per tonne)	£ 121	£ 123	2% inflation applied
Waste Collection - 1100 litre size Recycling (per collection, excluding disposal costs)	£ 8.40	£ 9	2% inflation applied
Waste Collection - 660 litre size Recycling (per collection, excluding disposal costs)	£ 8.40	£ 9	2% inflation applied
Waste Collection - 240 litre size Recycling (per collection, excluding disposal costs)	£ 8.40	£ 9	2% inflation applied
Waste Collection - 1100 litre size Residual Waste (per collection, excluding disposal costs)	£ 10	£ 10	2% inflation applied
Waste Collection - 660 litre size Residual Waste (per collection, excluding disposal costs)	£ 10	£ 10	2% inflation applied
Waste Collection - 240 litre size Residual Waste (per collection, excluding disposal costs)	£ 10	£ 10	2% inflation applied
Waste Collection/Disposal - 1100 Litre size Recycling (per collection)	£ 8.40	£ 9	2% inflation applied
Waste Collection/Disposal - 660 Litre size Recycling (per collection)	£ 8.40	£ 9	2% inflation applied
Waste Collection/Disposal - 240 Litre size Recycling (per collection)	£ 8.40	£ 9	2% inflation applied
Waste Collection/Disposal - 1100 Litre size Refuse (per collection)	£ 22	£ 22	2% inflation applied
Waste Collection/Disposal - 660 Litre size Refuse (per collection)	£ 17	£ 17	2% inflation applied
Waste Collection/Disposal - 240 Litre size Refuse (per collection)	£ 12	£ 12	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Green Waste collection charge (annual, per bin)	£ 35	£ 40	2% inflation applied
Burials - reservation for the next available plot	£ 85	£ 87	2% inflation applied
Burials - reservation for a chosen plot	£ 105	£ 107	2% inflation applied
Burials - reservation for non-Rutland residents	£ 125	£ 128	2% inflation applied
Burials - interment of the body of a stillborn child or child whose age at death did not exceed one year *	£ -	£ -	Fees now waived by local authority and met by government funding.
Burials - interment of the body of a child under the age of 18	£ -	£ -	Fees now waived by local authority and met by government funding.
Burials - interment of the body of a person whose age at death was over the age of seventeen *	£ 943	£ 962	2% inflation applied
Burials - interment of cremated remains *	£ 329	£ 336	2% inflation applied
Burials - additional charge for interment at a depth exceeding five feet *	£ 135	£ 138	2% inflation applied
Burials - exclusive right of burial in earthen graves (child's grave) *	£ 139	£ 142	2% inflation applied
Burials - exclusive right of burial in earthen graves (single grave up to five feet in depth) *	£ 2,179	£ 2,223	2% inflation applied
Burials - a flat stone on a single grave space *	£ 281	£ 287	2% inflation applied
Burials - a flat stone on a double grave space *	£ 389	£ 397	2% inflation applied
Burials - a headstone on a single grave space *	£ 281	£ 287	2% inflation applied
Burials - a headstone on a double grave space *	£ 389	£ 397	2% inflation applied
Burials - a footstone on a single grave space *	£ 281	£ 287	2% inflation applied
Burials - a footstone on a double grave space *	£ 389	£ 397	2% inflation applied
Burials - kerbstones or border stones on a single grave space *	£ 281	£ 287	2% inflation applied
Burials - kerbstones or border stones on a double grave space *	£ 389	£ 397	2% inflation applied
Burials - vase (not exceeding twelve inches in height) *	£ 77	£ 79	2% inflation applied
Burials - vase (exceeding twelve inches in height) *	£ 84	£ 86	2% inflation applied
Burials - tablet on any grave, gardens of remembrance or in the Chapel (to include Vase in the gardens of ...)	£ 77	£ 79	2% inflation applied
Burials - any other monument not exceeding two feet in height on a single grave space *	£ 106	£ 108	2% inflation applied
Burials - any other monument exceeding two feet in height on a grave space *	£ 188	£ 192	2% inflation applied
Burials - charge for additional inscriptions *	£ 67	£ 68	2% inflation applied
Burials - charge for placing a vase not exceeding twelve inches on a grave without exclusive right of burial *	£ 67	£ 68	2% inflation applied
* Burial fees doubled for non-Rutland			

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Forestry			
Forestry Advice & Inspections/hour	£ 53	£ 55	
Highways			
Section 50 licence			
Opening of street/road for new service	£ 533	£ 544	2% inflation applied
Additional charge per 200m for works in excess of 200m		£ 150	In line with Leicestershire County Council
Opening of street/road for existing service repairs	£ 376	£ 384	2% inflation applied
Section 171 trial hole	£ 324	£ 330	2% inflation applied
Inspection of works and reinstatement following:			
Brown Signs			
Initial assessment fee (non refundable)	£ 235	£ 240	2% inflation applied
Design fee per sign	£ 120	£ 122	2% inflation applied
Sign washing fee per sign	£ 47	£ 53	Contractor labour and van rates plus 10% admin fee
Manufacture and installation	Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time		Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time
Removal fee (at end of agreement period, if agreement not re-applied for and approved)	Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time		Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time
Temporary Direction signs (e.g. to new housing developments)			
Application fee	As per Brown Signs (all additional costs calculable in the same way)		As per Brown Signs (all additional costs calculable in the same way)
Manufacture and installation fee	Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time		
Sign cleaning fee	£ 47	£ 53	Cost of 2 men and van from Tarmac rates plus 10% admin fee
Removal fee (at end of agreement period, if agreement not re-applied for and approved)	Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time		Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time
Other licences			
Skips - 1 week period – or part thereof	£ 21	£ 30	Leicestershire charge £40. Lincolnshire charge £45 for 14 days
Skips - Extension for 1 weeks or part thereof	£ 16	£ 30	Leicestershire charge £40. Lincolnshire charge £45
Skips - in addition to skip permit where suspension of parking bay per 6m2 per day		£ 25	
Weekly charge for skips illegally placed on the highway or found to have exceeded its permit		£ 135	In line with Leicestershire charge
Scaffolds/Hoardings - 4 week period – or part thereof	£ 105	£ 107	2% inflation applied
Scaffold/Hoarding - Extension for 4 weeks or part thereof	£ 78	£ 80	2% inflation applied
Weekly charge for any scaffolding illegally placed on the highway or found to have exceeded its permit		£ 135	In line with Leicestershire charge
Mobile scaffold tower - per day	£ 105	£ 107	2% inflation applied
Mobile tower extension - per day	£ 78	£ 80	2% inflation applied
Cherry picker - per day	£ 105	£ 107	2% inflation applied

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Cherry picker extension - per day	£ 78	£ 80	2% inflation applied
Building Material on the Highway - per week	£ 37	£ 38	2% inflation applied
Building Material on the Highway - per additional week	£ 16	£ 16	
To place benches or obstruction ie notice board in Highway (initial fee to make or amend license)	£ 261	£ 271	Costs are based on officer time so should increase inline with staff costs (4%?)
To amend bench or obstruction license	£ 157	£ 200	As above (officer time)
Annual			
License to Cultivate	£ 68	£ 72	As above (officer time)
License to Cultivate (historical)	£ 31		Proposing that we remove this line...
Street Café License - initial fee	£ 261	£ 271	Costs are based on officer time so should increase inline with staff costs (4%?)
Street Café License - renewal	£ 131	£ 136	So this is the annual renewal fee?
Pavement License		£ 100	This is a temporary (1 year) Street Café license granted under the Business and Planning Act 2020 (fee is capped by legislation).
To place A-board in highway - initial license	£ 52	£ 53	2% inflation charge
To place A-board in highway - annual renewal	£ 26	£ 27	2% inflation charge
Vehicle Access Permit			
There is an initial non-refundable application fee of £150 for an Officer to process the application to assess whether an access will be allowed. This fee must be sent with the application form. Access construction costs at Term Maintenance rates + 10% admin fee	£ 157	£ 160	2% inflation charge
If your application is approved and a private contractor is used then a further payment of £240 (Permit Fee) will be required before the permit is issued.	£ 251	£ 256	2% inflation charge
H-Bar Marking	£ 162	£ 165	2% inflation charge
Other Charges			
Request for accident data – enquiry with no accidents (N.B. to commercial organisations – cost to litigants)	£ 47	£ 48	2% inflation charge
Request for accident data (raw data – any enquiry up to 50 accidents) (N.B. to commercial organisations – cost to litigants)	£ 89	£ 91	2% inflation charge
Request for accident data (major enquiry – over 50 accidents) (N.B. to commercial organisations – cost to litigants)			Cost plus F.O.I. duplicating & postage charges
Speed Surveys	£ 418	£ 426	2% inflation charge
Post for speed survey			Post at Term Maintenance Contract actual costs, plus staff time
Land charges enquiry	£50 inc. VAT	£50 inc. VAT	
Section 38, 278 and 106 Agreements			
11% to £100,000 then 5% plus legal fees (as quoted in Appendix - Resources)			

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Road Closures and Traffic Management [TM]			
Temporary Road Closure Application	£ 803	£ 819	
(including advertising for works longer than 5 days)	N/A	£ 1,200	New charge in line with Other authorities
Temporary Traffic Regulation Order Application	£ 803	£ 819	2% inflation charge
Deferring start date of an order already processed	£ 402	£ 410	2% inflation charge
Emergency Road Closure (by Notice)	£ 535	£ 546	2% inflation charge
Advertising Fees for Temporary Traffic Regulation Order	At cost plus 10% administration fee		
Turning off of traffic signals for required works	£ 324	£ 330	2% inflation charge
Temporary Traffic Signals	£ 57	£ 58	2% inflation charge
Review of TM proposal:			
Major	£ 214	£ 218	2% inflation charge
Minor	£ 57	£ 58	2% inflation charge
re-submit	£ 57	£ 58	2% inflation charge
design of TM	£ 268	£ 273	2% inflation charge
installation of TM	Sign(s) and post(s) at Term Maintenance Contract actual costs, plus 10% staff time		
Traffic Regulation Orders on / for new development	Highway's staff time, advertising, works at cost, legal fees plus duplication and postage as required		
Materials & works ordered on behalf of third parties (e.g. Parish Councils)	Term Maintenance Contract actual costs, plus 10% staff time		
Filling of Parish Grit Bins	£ 61	£ 62	2% inflation increase
The Removal, Storage and Disposal of Structure with Highway i.e. Caravan. Highways Act 1980			
Removal of vehicles equal to or less than 3.5 tonnes:			
Vehicle on road, upright and not substantially damaged or any two	£ 214	£ 218	2% inflation increase
Land Drainage			
Land drainage consent application	£ 50	£ 51	2% inflation increase
Road Traffic Accidents			
If fatal and no-one convicted of an offence	No Charge		
Otherwise:	Term Maintenance Contract actual costs, plus 10% staff time		
Minimum charge	£ 209	£ 213	2% inflation increase

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Parking			
Penalty Charge Notices			No fee increase
Car Parking Contravention - Higher Level Penalty	£ 70	£ 70	
Car Parking Contravention - Lower Level Penalty	£ 50	£ 50	
Littering from Vehicles - Higher Level Penalty	£ 300	£ 300	
Littering from Vehicles - Lower Level Penalty	£ 150	£ 150	
Car park tariffs			No fee increase
1 hour	£ 1.00	£ 1.00	
3 hours	£ 2.50	£ 2.50	
Up to six hours	£ 4.30	£ 4.30	
Day	£ 4.80	£ 4.80	
Weekly (Monday - Saturday = MS)	£ 17.30	£ 17.30	
1 month (MS)	£ 46.10	£ 46.10	
3 months (MS)	£ 138.20	£ 138.20	
6 months (MS)	£ 276.50	£ 276.50	
Season (MS)	£ 553.00	£ 553.00	
Dispensation (week)	£ 25.00	£ 25.00	
Resident Permit	£ 40.00	£ 40.00	
Barleythorpe Road Car Park	£ 262.00	£ 262.00	
Business Space	£ 1,000.00	£ 1,000.00	

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Transport			
Home to School Transport			
Concessionary fare -Students living in Rutland and attending their qualifying school but lives under the 2 mile primary or 3 mile secondary distance criteria	£107 or £37 per double term	£150 per year	In line with other authorities
Concessionary fare -Students living in Rutland but not attending their qualifying school	£278 per year or £93 per double term	£300 per year	In line with other authorities
Concessionary fare -Students living outside Rutland	£523 per year or £174 per double term.	£575 per year	In line with other authorities
Replacement bus pass	£ 10	£ 10	
Post 16 Transport			
Student charge – for receiving assisted transport.	£ 532	£ 550	In line with other authorities
Concessionary Travel			
English National Concessionary Travel pass – Access & Freedom travel schemes. Initial and replacing life expired passes	Free	Free	
English National Concessionary Travel pass – Access & Freedom travel schemes. Issue of replacement passes for lost or stolen passes	£ 10	£ 10	
Delivery charges			
Delivery of post/meals to schools/colleges and voluntary organisations within Rutland	£14 standard hourly charge plus 0.35p per mile of full journey	£14 standard hourly charge plus 0.35p per mile of full journey	
Electric Bike loan scheme	£40 per month charge (£20 per month for low income households), £80 deposit held	£40 per month charge (£20 per month for low income households), £80 deposit held	New trial scheme – need decision on continuation before considering increase
One to one cycle training (on or off road/ all ages). 1 instructor	Officer time plus any additional costs to deliver training	New trial scheme – need decision on continuation before considering increase	New/ revised charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. £25/ hour set based on other authority and organisation charges. Please note additional charge marked by asterisk.

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Playground/ off the road group cycle training sessions (all ages). Minimum group size of 6. 2 instructors		£8 per hour/ rider*. Number of hours determined by course offered and riders ability.	New charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. Other LAs charge approx £5 per hour, but this would restrict our ability to deliver sessions with lower group sizes (have worked towards covering £25/hour). Please note additional charge marked by asterisk.
On and off road, beginners group cycle training sessions for children and young adults (minimum group size of 6) - 2 instructors		£8 per hour/ rider*. Number of hours determined by course offered and riders ability.	New charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. Other LAs charge approx £5 per hour, but this would restrict our ability to deliver sessions with lower group sizes (have worked towards covering £25/hours). Please note additional charge marked by asterisk.
On road, advanced group cycle training sessions for children and young adults (groups of 4) - 2 instructors		£12.50 per hour/ rider*. Number of hours determined by course offered and riders ability.	New charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. Cost based on £25/ hour. Please note additional charge marked by asterisk.
On and off road, group cycle training sessions for adults (groups of 2) - 1 instructor		£12.50 per hour/ rider*. Number of hours determined by course offered and riders ability.	New charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. Cost based on £25/ hour. Please note additional charge marked by asterisk.

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Playground/ off the road family cycle training sessions for children and parents/ guardians (groups of 6) - 1 instructor		£25 per hour for family groups up to 6*. Number of hours determined by riders ability.	New charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. Cost based on £25/ hour. Please note additional charge marked by asterisk.
On and off road, family cycle training sessions for children and parents/ guardians (groups of 6) - 2 instructors		£50 per hour for family groups up to 6*. Number of hours determined by riders ability.	New charge. Standardises charges and helps cover admin costs previously not factored in. Helps provide funding to deliver overall service - including provision of free training to low income residents. Cost based on £25/ hour. Please note additional charge marked by asterisk.
* £5 additional charge per individual or £10 additional charge per family booking for non Rutland residents. Subject to staff capacity, free training will be available for low income Rutland families/ individuals.			
Electric Bike loan scheme	£40 per month charge (£20)		
Road Closures and Traffic Management			
Public Path Orders	Officer time, advertising, works at cost, legal fees plus duplication and postage as required.		Estimated cost ~£1600
Charges for Definitive Map Extracts (rights of way searches)			
A4, first copy	£ 48	£ 49	Each additional copy £9. 2.% increase applied
A3, first copy	£ 68	£ 69	Each additional copy £9. 2.% increase applied
A2, first copy	£ 83	£ 85	Each additional copy £9. 2.% increase applied
A1, first copy	£ 89	£ 91	Each additional copy £9. 2.% increase applied
Charges for highways statements made under section 31(6) of the Highways Act. These may be waived at the discretion of the Director			
Deposit of a Statement and Map under section 31(6) of the Highways Act.	£ 189	£ 193	2% inflation applied
	£ 210	£ 214	2% inflation applied
	£ 225	£ 230	2% inflation applied
	£ 241	£ 245	2% inflation applied
	£ 251	£ 256	2% inflation applied
Additional fee for joint applications made under s31 Highways Act 1980 AND s15A of the Commons Act 2006			
Charge added to fees described above	£ 25	£ 25	
Declarations under s31 of the Highways Act made in respect of documents previously deposited			
Charge in addition to fee for deposit		£ 100	
Rights of Way enforcement action	Total of various costs including (not limited to) officer time, tools and machinery, contractor time		
Planning Policy			
Local Plan			
Rutland Core Strategy - Adopted July 2011	£ 31	£ 32	2% inflation increase
Minerals Core Strategy & Development Control Policies DPD - Adopted October 2010	£ 31	£ 32	2% inflation increase

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Site Allocations & Policies Document - Adopted October 2014	£ 40	£ 41	2% inflation increase
Neighbourhood Plans	£ 13	£ 14	Fees have been increased biannually to catch up with inflation.
Supplementary Planning Documents	£ 13	£ 14	
Local Development Scheme (April 2018)	£ 13	£ 14	
Statement of Community Involvement (January 2014)	£ 13	£ 14	
Annual Monitoring Report 1 April 2016-31 March 2017 (November 2017)	£ 13	£ 14	
Conservation Area Appraisals	£ 13	£ 14	
Housing Strategy			
Homelessness Review	£ 13	£ 14	Fees have been increased biannually to catch up with inflation.
Housing Strategy	£ 13	£ 14	
Tenancy Strategy - Adopted January 2013	£ 3	£ 4	
Self-build and Custom Housebuilding			
New entry to the register	£ 80	£ 82	2% inflation increase
Museum			
Research Fees			
First 30 minutes free			
Subsequent time, per hour	£ 35	£ 36	Increase by 4%
Postage, Packing and Handling			
All sales	£ 3.40	£ 3.50	Increase by 4%
Storage of archaeological items			
(per standard box) 2017- current	£ 65	£ 70	Increase by 4%
(per standard box) pre-2017	£ -	£ 45	New charge to encourage deposits of older material

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Storage of paper archive (per standard box)	£ 45	£ 45	Retain current rate - higher levels of charge may discourage deposits
Archive administration fee (charged when archives do not meet standard guidelines) per hour plus VAT	£ -	£ 45	New charge to encourage deposits to be compiled accurately
Room Hire Charges (Community Users)			
Use during opening hours, per hour	£ 15	£ 16	Increase by 4%
Use outside of opening hours, per hour (plus 1 hour for set up and tidy up)	£ 30	£ 32	Increase by 4%
Room Hire Charges (Commercial Users)			
Use during opening hours, per hour	£ 30	£ 32	Increase by 4%
Use outside of opening hours, per hour (plus 1 hour for set up and tidy up)	£ 60	£ 64	Increase by 4%
Exhibition Space Charges (Commercial Users)			
Use during opening hours, per day	£ 55	£ 60	Increase by 4%
Museum & Library Hire Charges (Whole Site)			
Use outside of opening hours, per hour (plus 1 hour for set up and tidy up)			
Events serving alcohol or undertaking licensable or commercial activities	£ 120	£ 125	Increase by 4%
Weekdays	£ 45	£ 50	Increase by 4%
Saturdays	£ 55	£ 60	Increase by 4%
Sundays	£ 75	£ 80	Increase by 4%
Castle Hire Charges Whole Site Except Weddings			
Use outside of opening hours, per hour (plus 1 hour for set up and tidy up)			
Events serving alcohol or undertaking licensable or commercial activities	£ 120	£ 125	Increase by 4%
Weekdays	£ 80	£ 85	Increase by 4%
Saturdays	£ 100	£ 105	Increase by 4%
Sundays	£ 120	£ 125	Increase by 4%
Use of castle grounds	£ 300	£ 320	Increase by 4%
Room Hire Deposit - All users except weddings (50% non-refundable)	£ 100	£ 105	Increase by 4%

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal	Additional information 2021/22
Civil Ceremonies at Oakham Castle: including Marriages, Civil			
Use of Great Hall, including photography permit			
Monday-Thursday	£ 630	£ 630	Retain current rate - ceremonies currently greatly reduced in length and capacity due to pandemic
Friday & Saturday	£ 785	£ 785	Retain current rate - ceremonies currently greatly reduced in length and capacity due to pandemic
Sunday	£ 630	£ 630	Retain current rate - ceremonies currently greatly reduced in length and capacity due to pandemic
Use of grounds only, for photography	£ 90	£ 95	Increase by 4%
Cancellation charges:			
More than 12 weeks in advance (Non-Refundable Deposit)	£ 200	£ 200	No change
Less than 12 weeks in advance	50% of full charge	50% of full charge	No change
Less than 72 hours notice	Full charge	Full charge	No change
Registrars			
The majority of Registrars Fees are set nationally, however there are			
Wedding and Civil Partnership Ceremonies at Approved Premises			
Monday - Thursday	£ 360	£ 375	Increase of 4% and rounding applied - Approved Premises ceremonies usually booked 1-2yrs in advance so bookings from April 2021 likely to be for 2022 or 2023
Friday	£ 380	£ 395	Increase of 4% and rounding applied - Approved Premises ceremonies usually booked 1-2yrs in advance so bookings from April 2021 likely to be for 2022 or 2023
Saturday	£ 470	£ 490	Increase of 4% and rounding applied - Approved Premises ceremonies usually booked 1-2yrs in advance so bookings from April 2021 likely to be for 2022 or 2023
Sundays & Bank Holidays	£ 575	£ 600	Increase of 4% and rounding applied - Approved Premises ceremonies usually booked 1-2yrs in advance so bookings from April 2021 likely to be for 2022 or 2023
Non-Refundable Deposit	£ 70	£ 70	No change
Licence Fee for Approval of Premises	£ 1,750	£ 1,850	Increase by 4%
Licence Amendment Fee	£ 250	£ 260	Increase by 4%
Use of the decommissioned Register Office room as an Approved Premises			
Monday - Thursday	£ 210	£ 210	Retain current rate - ceremonies usually booked within the year & currently greatly reduced in length and capacity due to pandemic
Friday	£ 270	£ 270	
Saturday	£ 320	£ 320	
Sundays & Bank Holidays	£ 370	£ 370	Retain current rate - ceremonies usually booked within the year & currently greatly reduced in length and capacity due to pandemic
Non-Refundable Deposit	£ 70	£ 70	No change
Fee for diary amendment to an Approved Premise or Decommissioned Room ceremony	£ 35	£ 35	No change

Fees and Charges 2021/22			
Item	2020/21	2021/22 Proposal Library	Additional information 2021/22
Service Charges			
Requests for Rutland residents	£ 1.80	£ 1.90	Increase by 4%
Requests for non-Rutland residents	£ 6.60	£ 6.80	Increase by 4%
Requests for items that are in stock or on order are free			
DVDs & Blu-ray (7 day loan)	£ 2.50	£ 2.00	Significant reduction in demand, decrease price to maximise use of collection
Childs "U" Cert. DVDs & Blu-ray (7 day loan)	£ 1.00	Free	Significant reduction in demand, remove price to maximise use of collection
Self-service Printer/Photocopier			£ -
B&W A4 per side	£ 0.10	£ 0.10	Coin operated
Colour A4 per side	£ 1.00	£ 1.00	Coin operated
B&W A3 per side	£ 0.20	£ 0.20	Coin operated
Colour A3 per side	£ 1.50	£ 1.50	Coin operated
Postage, Packing and Handling			
All sales	£ 3.40	£ 3.50	Increase by 4%
Admin Buildings			
Room Hire Charges (External Users)			
Monday - Friday 08:00 to 21:00			
Council Chamber			
Hourly rate	£ 65	£ 65	New charge for 2019-20 limited take up so no change.
Full day rate (08:00-18:00)*	£ 390	£ 390	
Alstoe/Wytchley/Martinsley			
Hourly rate	£ 25	£ 25	
Full day rate (08:00-18:00)*	£ 150	£ 150	
*note that the full day rates applies to 08:00 – 18:00. Additional hours to be charged at the hourly rate.			

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Resources Fees and Charges 2021/22			
Item	2020/21 Proposal	2021/22 Proposal	Additional information 2020/21
Reprographics Service			
Fees and charges for ad-hoc copying of information subject to the Local Government (Access to Information) Act 1985 and for information requested under the Freedom of Information Act:			
Price per copy	£ 0.10	£ 0.10	No increase applied
Disclosure and Barring Service Checks (DBS)			
Administration fee for voluntary organisations, per check	£ 10.00	£ 10.00	No increase applied
Data Protection			
Subject Access Request Fee	£ 10.00	£ 10.00	No increase as statutory charge
Blue Badge Scheme			
Fee per application	£ 10.00	£ 10.00	No increase as statutory charge
Legal services			
Highways			
Section 38 Agreement	£ 720.00	£ 720.00	Minimum charge (4 hours). Thereafter charged at £180 per hour.
Section 278 Agreement	£ 720.00	£ 720.00	Minimum charge (4 hours). Thereafter charged at £180 per hour.
Planning Unilateral Undertaking	£ 720.00	£ 720.00	Minimum charge (4 hours). Thereafter charged at £180 per hour.
Planning Section 106 Agreement	£ 720.00	£ 720.00	Minimum charge (4 hours). Thereafter charged at £180 per hour.
Planning Section 106 Agreement - Affordable Housing	£ 720.00	£ 720.00	Minimum charge (4 hours). Thereafter charged at £180 per hour.
Legal Advice	£ 85.00	£ 85.00	Charge to be applied to any matters that require legal advice and can be recharged to customers.

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CABINET

12th January 2020

**PRIVATE SECTOR HOUSING RENEWAL POLICY (INCLUDING
DISABLED ADAPTATIONS)**

Report of the Strategic Director - Places

Strategic Aim:	Vibrant Communities Protecting the vulnerable	
Key Decision: Yes	Forward Plan Reference: FP/250920	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr G Brown, Portfolio Holder for Planning and Finance Mrs L Stephenson: Portfolio Holder for Culture and Leisure, Environment, Highways & Transportation & Road Safety Mr A Walters: Safeguarding – Adults, Public Health, Health Commissioning & Community Safety	
Contact Officer(s):	Penny Sharp, Strategic Director - Places	01572 722577 psharp@rutland.gov.uk
	James Faircliffe, Housing Strategy and Enabling Officer	01572 758238 jfaircliffe@rutland.gov.uk
Ward Councillors	All	

DECISION RECOMMENDATIONS

That Cabinet approves the revised Private Sector Housing Renewal Policy attached at Appendix A.

1 PURPOSE OF THE REPORT

- 1.1 This report asks Cabinet to approve a revised Private Sector Housing Renewal Policy for the period 2021-25, to replace the previous document which covered 2017-21 and was due for review in 2020. The review provided the opportunity for the Policy to be updated to reflect the in-house delivery of some elements and other operational changes.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 The current Policy was introduced on 6 December 2017 and considers private stock condition in Rutland as well as disabled adaptations for all tenures. It reflects the opportunities of the Better Care Fund and helps to meet the Council's responsibilities under the Care Act 2014. It sits alongside the Council's Private Sector Housing Enforcement Policy.
- 2.2 Article 3 of the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 gives local authorities the power to provide assistance (either directly or indirectly) to any person for the purpose of improving living conditions in the local authority area. The clause allows this assistance to be provided in any form, but also contains certain restrictions.
- 2.3 The current policy introduced HaP (Health and Prevention) Grants which provided a more flexible way of dealing with adaptations such as stair-lifts. It is proposed that this form of grant be continued, albeit with a reduced maximum size of grant from £10,000 to £5,000 (exceptionally, £6,000). Grants larger than this would generally be means-tested through the Disabled Facilities Grants (DFGs) route.
- 2.4 The Policy does not include grants for minor adaptations or assistive technology, which are covered by other policies within the same overall strategic approach to prevention. These include a £43,500 budget for Minor Adaptation Services and £38,381 for Assistive Technology Services, both of which are delivered by the Longhurst Group and commissioned by the Council.
- 2.5 The Policy also does not include grants for repairs, which have not been included in the Council's budgets for some time due to limited resources. The exception to this is an £8,300 budget for equipment repair, which does not apply to recent installations as service users are now responsible for many repairs.
- 2.6 The Housing MOT is a home check service delivered across Rutland by the Longhurst Group (regardless of property tenure) which provides information, advice and support to help people to maintain their independence and live as safely as possible in their own home for as long as they choose. At the home visit, an assessment of the property and individual needs will be carried out. 255 Housing MOT visits were completed in the year 1 October 2019 to 30 September 2020.
- 2.7 The Council funds a range of organisations which can provide advice on welfare rights and options to service users, including Citizens' Advice Rutland and specialist advocacy and support groups. Measuring the effectiveness of this funding is wide and varied. It is about having clear monitoring systems to extract data for analysis, to ensure the outcomes for people and communities are being delivered and that money is used wisely and to the best effect. Regulatory Reform

Order funding is referenced within the Policy to ensure that all relevant Council staff are aware. Staff can seek further advice with regard to use of this funding through the Principal Occupational Therapists. The latter are in regular consultation with Foundations which is a Government-backed advisory group on grant funding.

3 DISABLED FACILITIES GRANTS

- 3.1 Statutory funding for major adaptations in the home is provided through Disabled Facilities Grants (DFGs). Since 2015/16, the Government funding towards these has been a component within the Better Care Fund (BCF), which is a pooled budget operating between the NHS and the local upper tier council. The rationale for this change is to encourage areas to think strategically about the use of home adaptations and technologies and to take a joined up approach to improve outcomes across health, social care and housing. This is linked to an increase in the funding received for DFGs, to £238,000 in 2020/21 and with the same level forecast for 2021/22. This enables the Council to operate HaP Grants whilst remaining within the approved budget.
- 3.2 The Council is required to award mandatory DFGs to households that meet the national criteria. The maximum mandatory grant possible is £30,000. The vast majority of DFGs are below this level; but in a few cases where (for instance) extensions are required to properties, the required work can sometimes exceed this. The revised policy includes clear provision for discretionary top-ups of up to a maximum of £20,000 for mandatory Disabled Facilities Grants where these are required.
- 3.3 The Council will continue to offer relocation grants for cases where the person's existing home would require adaptation, but where a move to a more suitable property which could be more easily adapted would be more appropriate.
- 3.4 Under national rules, Disabled Facilities Grants and relocation grants are not means-tested where they are awarded for the needs of children. Otherwise, this assistance is means-tested, with the exception of HaP Grants where means-testing can be applied dependent on the availability of funding.

4 CONSULTATION

- 4.1 There was a partner event 'Putting Rutland into Place' on 28 February 2020, where place-based approaches to health and care were discussed, including preventative measures. The aim of the session was to explore how partners could work together towards the future development of Rutland's health, care and wellbeing services and to agree on the main key areas for further development. While immediate follow through was delayed by the pandemic, some of the priorities discussed have been progressed as part of the pandemic response, including remote and digital delivery of care and social prescribing via the GP. Place planning has now restarted, with a virtual public engagement event held on 3 December 2020, led by the CCG. The Place plans would encompass the scope of the Better Care Fund programme, of which Disabled Facilities Grants and HaP Grants are a part.
- 4.2 User satisfaction surveys are used to monitor delivery of completed grant funded projects. In September, 88% of forms returned for the Housing MOT agreed that,

“It has reduced my risk of falling.”

5 ALTERNATIVE OPTIONS

- 5.1 The Council does not have to offer discretionary grants but failure to do so could leave people potentially at risk from unsuitable properties, increasing the risk of hospital admissions and delaying transfers of care from hospital.
- 5.2 The maximum levels of discretionary assistance could be increased, but this could lead to unrealistic expectations and insufficient resources to meet the need for grants.
- 5.3 The maximum levels of discretionary grant could be decreased, but this may mean that some households do not receive the adaptations they may need. The policy does allow expenditure on discretionary grants to be managed within the available budget.
- 5.4 The Council could provide grants addressing properties in poor condition, but this would not be the best use of available resources. The Council ensures the provision of the Housing MOT service and a proportionate private sector housing enforcement service. We also work with partners to help ensure affordable warmth.
- 5.5 The Policy could have provided for the Council to make loans of various types to meet non-mandatory needs, but these are already available to some people through the private market. If the Council did provide loans, the Council would still need to provide grants for those who could not afford a loan or who had insufficient equity in their properties. The potential for any loan system will be kept under review as part of the future evaluation of this Policy.
- 5.6 The HaP grant was introduced as Rutland residents were failing prohibitive means testing for adaptations. This left residents at risk who were not able to fund adaptations which RCC had assessed for. Consideration was given to applying a means test to this type of grant however we felt criteria with a focus of reducing care, minimising carer strain, maximising independence and preventing admission was more in accordance with our preventative agenda than applying a financial criterion. The HaP is successfully fulfilling this requirement and reintroducing a means test would impact on our preventative work. The policy does permit means-testing but for these reasons this is not undertaken at the moment.

6 FINANCIAL IMPLICATIONS

- 6.1 The Report does not amend any approved budgets and has no direct financial implications. However, this proactive, targeted approach will continue to assist those that need support earlier and will help to delay or avoid potential crises. It will also help to make best use of the Council's allocation within the BCF for DFGs.

7 LEGAL AND GOVERNANCE CONSIDERATIONS

- 7.1 The Council has a duty under section 3 of the Housing Act 2004 to keep the housing conditions in its area under review, with a view to identifying whether statutory action is required. This requirement is fulfilled by the Private Sector Housing Renewal Policy, in conjunction with the Housing and Homelessness

Strategy 2017-22 and the Strategic Housing Market Assessment (SHMA) Update 2019.

- 7.2 The Private Sector Housing Renewal Policy fulfils the requirements of article 4 of the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002, for the Council to publish a policy regarding the types of grants it will award and their criteria, amounts and the circumstances under which they might have to be repaid. The approach proposed will also help to meet the requirements of the Care Act 2014.

8 DATA PROTECTION IMPLICATIONS

- 8.1 A Data Protection Impact Assessment has not been completed because there is no new data processing required by this report.

9 EQUALITY IMPACT ASSESSMENT

- 9.1 An equality screening template has been completed. This found that the policy particularly assisted older people and people with disabilities and that any differential impact was positive and justified.

10 COMMUNITY SAFETY IMPLICATIONS

- 10.1 The report includes measures to address hoarding.

11 HEALTH AND WELLBEING IMPLICATIONS

- 11.1 Housing is one of the 'Wider Determinants of Health'. People with chronic long term conditions may have physical needs which require adaptation of existing properties. Cold or damp homes can pose a threat to vulnerable people, through depression, stroke, heart disease and pneumonia. These can contribute to excess winter deaths.
- 11.2 This Policy will help local residents to have the choice and control to manage their independence in a home environment that is safe, warm and meets their needs.

12 ORGANISATIONAL IMPLICATIONS

- 12.1 Environmental implications
- 12.2 Local housing conditions in Rutland do not require the Private Sector Housing Renewal Policy to drive environmental regeneration. The Private Sector Housing Enforcement Policy addresses environmental issues arising from individual properties. This includes addressing issues with some empty properties. The 'Help to Address Fuel Poverty' section of the policy outlines the Council's approach to tackling fuel poverty and household carbon emissions, including access to third party grants and assistance.
- 12.3 The Council's policies assist with the reduction of energy consumption, to help residents save money and reduce carbon emissions. The report complements the Home Energy Conservation Act Progress Report 2019.

13 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

- 13.1 The revised Private Sector Housing Renewal Policy provides an up-to-date assessment of the condition of private sector housing and necessary assistance, together with the Housing, Homelessness and Rough Sleeping Strategy 2017-22, the Homelessness Review, the Home Energy Conservation Act Progress Report 2019 and the Strategic Housing Market Assessment 2019 Update.

14 BACKGROUND PAPERS

- 14.1 There are no background papers to this report.

15 APPENDICES

- 15.1 Appendix A. Private Sector Housing Renewal Policy 2021-25.

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A



Private sector housing renewal policy 2021-25

Version & Policy Number	Version 0.31A
Guardian	Senior Environmental Services Manager
Date Produced	10 December 2020
Next Review Date	1 November 2021

Approved by Scrutiny	-
Approved by Cabinet	12 January 2021
Approved by Full Council	Cabinet decision



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1.0 INTRODUCTION

1.1 The Purpose and Scope of this document

- 1.1.1 This Private Sector Housing Renewal Policy supports Rutland County Council's (RCC's) Housing and Homelessness Strategy and Adult Social Care Strategy. It sits alongside RCC's Private Sector Housing Enforcement Policy. It replaces the Private Sector Housing Renewal Policy that RCC adopted in 2017. It is also RCC's policy on disabled adaptations. Further information on RCC's action and partnership working regarding fuel poverty can be found in RCC's [Home Energy Conservation Act Progress Report](#).
- 1.1.2 In accordance with article 4 of the [Regulatory Reform \(Housing Assistance\) \(England and Wales\) Order 2002](#), this document sets out in full the policy that has been adopted by RCC, and includes details of –
- (a) how the RCC intends to exercise its article 3 powers and ensure that the statutory qualifications to that power are observed;
 - (b) the types of assistance RCC may make available;
 - (c) the circumstances in which persons will be eligible for assistance;
 - (d) how the amount of any assistance awarded will be calculated;
 - (e) the conditions that will apply to the provision of assistance;
 - (f) how and in what circumstances any assistance made may be repaid.
- 1.1.3 The right home environment is central to health and wellbeing throughout life. Adaptations improve the quality of life of the person, carers and other family members (Heywood and Turner 2007:14). This link between housing and wellbeing is well acknowledged by RCC and is promoted by the Private Sector Housing Renewal Policy, which also covers adaptations to social housing. RCC also has other arrangements, generally outside the scope of the Private Sector Housing Renewal Policy, covering minor aids and adaptations, telecare, telehealth and handyperson-type services.
- 1.1.4 RCC recognises that the best way to promote a person's wellbeing is through preventative measures that enable the person to live as independently as possible for as long as possible.
- 1.1.5 The budget for these grants is approved at full Council.

1.2 The legislative framework

- 1.2.1 RCC is required under section 3 of the [Housing Act 2004](#) to keep the housing conditions in their area under review, with a view to identifying any action that may need to be taken under the relevant private sector housing legislation. The Act also established the framework for the inspection and

assessment of properties under the Housing Health and Safety Rating System (HHSRS).

- 1.2.2 Article 3 of the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 gives local authorities the power to provide assistance (either directly or indirectly) to any person for the purpose of improving living conditions in the local authority area. The clause allows this assistance to be provided in any form, but also contains certain restrictions. Local housing authorities have the power to make assistance subject to certain conditions, including making repayment or a contribution.
- 1.2.3 Article 4 of the Order prevents local housing authorities from exercising their article 3 power unless they have adopted a policy for the provision of assistance under that article and given publicity to the policy and act in accordance with it.
- 1.2.4 The [Care Act 2014](#) ensures that the focus of the provision of care and support starts with the individual and their needs, and their chosen goals or outcomes. Its underpinning precepts is that the central purpose of adult care and support is to support individuals achieve outcomes that matter to them in their life. [Government guidance](#) states “*Local authorities must provide or arrange services, resources or facilities that maximise independence for those already with such needs, for example interventions such as rehabilitation/reablement services, e.g. community equipment services and adaptations.*” The guidance goes on to state “*Integrated services built around an individual’s needs are often best met within the home. The suitability of living accommodation is a core component of an individual’s wellbeing and when developing integrated services, local authorities should consider the central role of housing within integration.*”
- 1.2.5 The [Housing Grants, Construction and Regeneration Act 1996 \(as amended\)](#) sets out the legislative basis for Disabled Facilities Grants.
- 1.2.6 RCC has also taken account of its duties under the [Equality Act 2010](#) to promote equality for groups with protected characteristics when delivering its services. An assessment has been carried out and [is available on request](#).

1.3 Commencement and transitional arrangements

- 1.3.1 This revised policy shall have effect from 1st April 2021.
- 1.3.2 From 1st April 2021 a valid application for assistance made under a power derived under article 3 of the Order will be determined under the provisions of the policy described in this document.
- 1.3.3 Grants approved before 1st June 2017 are covered by the terms of the [Private Sector Housing Renewal Policy 2009](#), except in cases where the recipient could benefit under the change of rules regarding the discretionary

waiving of repayment of Disabled Facilities Grant.

2.0 THE NATIONAL CONTEXT

2.1 The Housing Health and Safety Rating System

2.1.1 The Ministry of Housing, Communities and Local Government's (MHCLG) [English Housing Survey 2017 – 2018](#) stated:

- Of the estimated 23.2 million households in England in 2017-18, 14.8 million (64%) were owner occupied. 4.5 million (19%) households were privately renting and 4.0 million (17%) households lived in the social rented sector ([Annex Table 1.1 to headline report](#)).
- In 2017, 4.5 million homes (19% of the total number of properties) failed to meet the decent homes standard. The private rented sector had the highest proportion of non-decent homes (25%). 19% of owner occupied homes failed to meet the decent homes standard, as did 13% of social rented homes ([MHCLG Table DA3201](#)).
- The energy efficiency of English housing stock has continued to improve and in 2017 the average Standard Assessment Procedure (SAP) rating for households was 62 compared with 60 in 2013 ([MHCLG Table DA7103](#)).

2.1.2 The Housing Act 2004 brought about changes to the way in which properties are assessed and has replaced the former system based on the test of fitness for human habitation. The Housing Health & Safety Rating System [HHSRS] assessment process incorporates a full inspection of the residential premises to identify any deficiencies. The inspecting officer will judge whether the deficiencies mean that there are any hazards that are significantly worse than the average for residential premises of that age and type. The inspecting officer then assesses the likelihood of an occurrence that could cause harm over the next twelve months and the severity of the outcomes from such an occurrence.

2.1.3 A hazard is a situation where there is risk of harm. The hazards assessed by the inspecting officer are:

- Damp and mould growth – exposure to dust mites, damp, mould or fungal growth
- Excess cold – exposure to low temperatures
- Excess heat – exposure to high temperatures
- Exposure to asbestos & manufactured mineral fibres
- Biocides – exposure to chemicals used to treat timber and mould growth

- Carbon Monoxide and fuel combustion products – exposure to carbon monoxide, nitrogen dioxide, sulphur dioxide and smoke
- Ingestion of lead
- Exposure to radiation (e.g. radon gas)
- Exposure to uncombusted fuel gas
- Exposure to volatile organic compounds
- A lack of adequate space for living and sleeping
- Difficulty in keeping the dwelling secure against unauthorised entry
- A lack of adequate lighting
- Exposure to noise
- Domestic hygiene, pests and refuse – poor design, layout or construction such that the dwelling cannot readily be kept clean, exposure to pests; an adequate provision for the hygienic storage and disposal of household waste
- Food Safety – an inadequate provision of facilities for the storage, preparation and cooking of food
- Personal hygiene, sanitation and drainage – an inadequate provision of facilities for maintaining good personal hygiene, sanitation and drainage
- Water supply – an inadequate supply of water free from contamination, for drinking and other domestic purposes
- Falls associated with toilets, baths, showers or other washing facilities
- Falling on any level surface or falling between surfaces where the change of level is less than 300 mm
- Falling on stairs, steps or ramps where the change of level is 300 mm or more
- Falling between levels where the difference in levels is 300 mm or more
- Exposure to electricity
- Exposure to uncontrolled fire and associated smoke
- Contact with controlled fire or flames, hot objects, liquid or vapours
- Collision with, or entrapment of body parts in doors, windows or other architectural features
- An explosion in the dwelling
- The position, location and operability of amenities, fittings and equipment
- The collapse of the whole or part of the dwelling.

2.1.4 To allow for the comparison of the significance of the widely differing hazards, the HHSRS uses a formula to generate hazard scores. Hazards are classified as either Category 1 or Category 2.

2.1.5 The Housing Act 2004 imposes a duty on Local Authorities to deal with

identified Category 1 hazards and a power to deal with Category 2 hazards. Providing financial assistance to owner occupiers who have low incomes or who are at risk - as well as taking appropriate and proportionate enforcement action - are two ways Local Authorities may exercise that duty and power.

2.1.6 The Decent Homes Standard applies to both the social and private housing sectors. To meet the decent homes standard, a property must:

- (i) be free of health and safety hazards assessed as Category 1 under the Housing Health & Safety Rating System
- (ii) be in a reasonable state of repair
- (iii) have reasonably modern facilities (i.e. kitchen and bathroom) and
- (iv) provide a reasonable degree of thermal comfort (i.e. adequate heating and insulation).

2.1.7 In 2019 there were 648,000 empty homes in England of which 226,000 were long term empty (empty for more than 6 months) (source: [MHCLG, Dwelling Stock Estimates \(21 May 2020\)](#)). Bringing empty property back into use will contribute towards the increase of the supply of available housing with the potential reduction of homelessness. This coupled with community related benefits including the enhancement of local neighbourhoods, the reduction of vandalism and anti-social behaviour and the improvement of housing standards should be priorities for councils to improve the quality of life and the environment of their residents.

2.2 Housing and Health

2.2.1 The Building Research Establishment (BRE), supported by the Chartered Institute of Environmental Health, published a report “The real cost of poor housing” in 2010. Using BRE methodology developed for this study, it was estimated that it was costing the NHS some £600 million per annum in first year treatment costs to leave people living in the poorest housing in England (that which has a HHSRS Category 1 hazard). A later review of the methodology and data sources suggested that this figure was an underestimate and a more realistic cost to the NHS was £1.4 billion per annum for people living in the poorest 15% of housing stock in England, rising to £2.0 billion when all English homes with a significant HHSRS hazard were allowed for.

2.2.2 A comparison was made of the costs to the NHS from other common health hazards, illustrated in the table below:

Risk Factor	Total Cost Burden to the NHS
Physical Inactivity	£0.9 - £1.0 billion
Overweight & Obesity	£5.1 - £5.2 billion
Smoking	£2.3 - £3.3 billion
Alcohol Intake	£3.2 billion
Housing	£1.4 - £2.0 billion

Housing Cost to NHS compared with other common health hazards

- 2.2.3 The estimate for housing is perhaps similar to that of smoking or alcohol but programmes to educate people on the health and safety risks in their own homes are not as prevalent as these other health hazards.
- 2.2.4 The BRE produced a research paper “Homes and Ageing in England”, again using the methodology devised for “The Cost of Poor Housing” Report and the English Housing Survey (EHS). The key messages from this research were:
- Over one fifth of all older household groups (55 – 64, 65 – 74, over 75 and over 80) lived in a home that failed to meet the Decent Homes standard.
 - 780,000 households aged 55 years and over were in fuel poverty.
 - 1.3 million households aged 55 years and older lived in a home with at least one category 1 hazard.
 - The BRE estimates that, for older households aged 55 years or more, the cost of poor housing to the NHS (for first year treatment costs) is £624 million with these costs dominated by excess cold hazards and those associated with falls (on stairs and on the level).
 - The proportion of older households living in a home with the four “visitability” accessibility features assessed by the English Housing Survey (level access, flush threshold, WC at entrance level and sufficiently wide doors and circulation space) ranged from 4% (aged 55 – 64 years) to 7% (aged 80 years and over). Around a fifth of homes occupied by all age groups aged 65 years and over had none of these key features and this figure was 24% for households aged 55 – 64 years. A permanent home for a person with restricted mobility requires suitable parking, downstairs living space, shower on the ground floor, wheelchair turning space, bed space on the ground floor and the entrance illuminated or covered. The research estimated that only 110,000 dwellings (0.5%) were fully accessible.
- 2.2.5 Disabled Facility Grants provide funding to older and disabled people in owner occupied, private rented and registered provider properties to help them make changes to their home environment. Facilities can include the installation of showers and lifts and suitable ground floor wheelchair accessible rooms in order for them to remain living in their own homes and reduce the cost of care.
- 2.2.6 The Public Health Outcomes Framework “Healthy Lives, Healthy People: Improving Outcomes and Supporting Transparency” (Department of Health 2013, updated 2016) sets out desired outcomes for public health and how they will be measured. Many of the measurements have links to housing including falls and injuries in over 65s, Fuel Poverty and Excess Winter Deaths.

2.2.7 Through the Energy Act 2013, the Government changed the definition of fuel poverty in England to the Low Income High Costs Indicator (LIHC). Using LIHC, a household is considered to be fuel poor if:

- they have required fuel costs that are above average (the national median level)
- were they to spend that amount, they would be left with a residual income below the official poverty line.

3.0 THE RUTLAND CONTEXT

3.1 Housing Conditions and Priorities

3.1.1 There are currently 17,755 dwellings in Rutland (source: Housing Flows Reconciliation Return 2020). Rutland is part of a Housing Market Area (HMA) which also consists of South Holland, South Kesteven and Peterborough councils' areas. The Census 2011 (quoted in Strategic Housing Market Assessment 2014) found that 70% of properties were owner-occupied, 11% were social rented and 16% private rented.

3.1.2 The vision for Rutland's Housing and Homelessness Strategy 2017-22 is: "fair access to suitable and sustainable housing for everyone in Rutland, particularly those whose needs are not readily met through the open market."

3.1.3 The strategy supports RCC's Corporate Plan and the Adult Social Care Strategy. Two of the Housing and Homelessness Strategy's aims are particularly relevant to the Private Sector Housing Renewal Policy:

- **Aim 2 – Provide targeted support for vulnerable households**
 - *Working with partner organisations to see that people get the help or advice they need to remain safe and independent.*
- **Aim 4 – Ensure existing homes are fit-for-purpose**
 - *Safe, warm, occupied homes with the adaptations people need.*

3.1.4 There are four cross-cutting themes that underpin how the Housing and Homelessness Strategy's Aims are delivered. These are equally relevant to the Private Sector Housing Renewal Policy:

- a good quality service which is within available resources
- promoting independence, through where possible, prevention and early intervention
- safeguarding adults at risk, children and young people in line with Council policy

- partnership working.

3.1.5 Rutland has a strong housing market, but one which is challenged by affordability issues, a housing stock with more than the average number of bedrooms and an ageing population. Further information on this and its implications is in the Housing, Homelessness and Rough Sleeping Strategy, its 2019 Progress Report and refreshed Action Plan and in the Strategic Housing Market Assessment.

	Number of properties with 1 bedroom	Number of properties with 2 bedrooms	Number of properties with 3 bedrooms	Number of properties with 4 or more bedrooms
East Midlands	8%	27%	45%	19%
Housing Market Area	8%	25%	44%	23%
Rutland 31/3/15	6%	20%	46%	28%

Source: Rutland - calculated from 31/3/15 VOA data from HI4EM; East Midlands & HMA data from Table 6 SHMA 2014 from Census 2011

3.1.6 Key findings of the stock modelling which informs this Policy are summarised below.

Indicator	Private Sector Stock		
	Rutland	Rutland %	2011 EHS England %
No of private dwellings	14,320 ¹		
All Category 1 hazards	2,450 ²	17%	17%
Falls	1,486 ³	10%	10%
Disrepair	1,019 ⁴	7%	11% ⁵
Damp	466 ⁶	3%	4% ⁷

Estimates of dwellings meeting key indicator criteria

3.1.7 There are no areas of private sector housing in Rutland which are in need of area based improvement.

3.1.8 RCC transferred its housing stock of 1,242 dwellings to Spire Homes on 9 November 2009, following an evaluation of options for bringing the dwellings up to the Decent Homes Standard. The sale price Spire had to pay for the homes took into account the future income from their continued use as social rented housing and the amount of work which needed to be carried out to the

¹ CLG Live Table 100, 2015 plus private sector completions from AMR 2015/16.

² I.e. Bands A to C, Private Sector House Condition & Energy Survey Report 2005 draft (Fig. 12.2).

³ Rutland average across 2005 survey area for moderate & severe risk.

⁴ Decent Homes definition for Rutland, BRE 2007 model, HI4EM table, adjusted to 2016 stock levels.

⁵ English Housing Survey 2011, Annex Table 3.16, 'substantial disrepair'.

⁶ Rutland average across 2005 survey area for moderate & severe risk.

⁷ English Housing Survey 2011, Annex Table 3.16, 'damp in one or more rooms'.

properties. By 2015, Spire had:

- spent £21 million on improvements
- replaced 956 kitchens & 920 bathrooms
- upgraded 745 heating systems
- replaced 176 roofs
- carried out environmental improvements
- regenerated two run-down garage sites and a low demand sheltered housing scheme at Branston Road, Uppingham and replaced them with 38 homes (36 of which were affordable)
- had plans well advanced to regenerate a low demand sheltered housing scheme at Beckworth Court, Empingham and refurbish or replace outdated concrete housing at a range of locations. This has since led to the construction of 21 new affordable homes in Empingham and 18 at Brooke Road, Oakham.

3.1.9 The vast majority of the other housing association properties in Rutland are new builds constructed from 1980 onwards and are generally in good condition.

3.1.10 The Housing and Homelessness Strategy 2017-22 contains a target to reduce the number of properties vacant in Rutland for more than 6 months by 15% between 31/3/16 and 31/3/19. The Empty Homes Officer, employed by Peterborough City Council in a shared service arrangement, works actively with owners and partners to bring empty properties back into use.

3.1.11 There are a relatively small proportion of housing association properties which some tenants may still find unsatisfactory. These are addressed in more detail in our Home Energy Conservation Act Progress Report 2017.

3.2 Housing and Health

3.2.1 RCC recognises the threat cold or damp homes can pose to vulnerable people, through depression, stroke, heart disease and pneumonia. These can contribute to excess winter deaths. Safe, warm and good quality housing can promote good health, good employment and good educational attainment for Rutland's residents.

3.2.2 RCC promotes the reduction of energy consumption, to help residents save money and reduce carbon emissions. It is also a priority for RCC's Housing, Homelessness and Rough Sleeping Strategy and Private Sector Housing Renewal Policy. RCC's Home Energy Conservation Act Progress Reports 2017 and 2019 set out further statistics regarding property condition and targets for reducing fuel poverty locally through information and practical action.

3.2.3 The table below shows the proportion of fuel poor households in Rutland against the Low Income High Costs target.

	2011 %	2012 %	2013 %	2014 %	2015 %	2016 %	2017 %	2018 %
Rutland	13.6	11.9	9.3	10.6	11.3	10.3	8.0	10.9
East Midlands	13.3	13.2	10.4	10.1	12.7	11.7	9.3	10.9
England	11.1	10.8	10.4	10.6	11.0	11.1	10.9	10.3

Proportion of fuel poor households (all tenures) – source BEIS tables

3.2.4 Housing is one of the ‘Wider Determinants of Health’ and is an integral part of RCC’s social care assessment and support planning responsibilities under the Care Act 2014. The Rutland Health and Wellbeing Board oversees RCC’s public health responsibilities.

3.2.5 RCC’s Adult Social Care Strategy (the Future of Adult Social Care in Rutland) sits alongside other complementary strategies, notably the Better Care Together programme and Rutland’s Better Care Fund plan. The latter is a locally-held budget to improve the ways health services and social care services work together, starting with services for older people and people with long term conditions, to support them to remain independent for as long as possible and to reduce the risk of non-elective admissions to acute settings.

3.2.6 As a result we have embedded a fully integrated and multi-disciplinary hospital and reablement team to support the hospital discharge process. The team works closely with health partners both in our local health area and across borders. Its assessments and the delivery of care are therapy led which seeks to improve wellbeing and maximise independence and continues to support people in the community after discharge for a maximum of six weeks.

3.2.7 Disabled Facilities Grants are now a component within the Better Care Fund. We are looking at flexibilities within the Better Care Fund to see if our increased Disabled Facilities Grant funding can be used in a more flexible way, to maximise the benefits for service users.

3.2.8 These programmes are integrating social care with health services, to extend the range and reach of provision in the community. Projects are supporting falls prevention through awareness-raising about hazards and accessible design in the home, which may in turn influence people’s own housing choices.

3.2.9 RCC funds a range of organisations which can provide advice to service users, including Citizens’ Advice Rutland, specialist advocacy and support groups, the Housing MoT and the Home Improvement Agency. It may also be appropriate for service users to seek their own legal advice in some cases.

3.2.10 A Housing MOT is a home check service delivered across Rutland which provides information, advice and support to help people to maintain their independence and live as safely as possible in their own home for as long as they choose. At the home visit, an assessment of the property and individual needs will be carried out, which includes discussions about:

- general wellbeing;
- how you are managing in your home;
- falls prevention;
- general housing conditions;
- alternative housing options;
- minor and major adaptations;
- assistive technology;
- minor handyperson works;
- warm home/energy advice and support; and
- eligibility for welfare benefits and grants.

3.2.11 Radon is a natural radioactive gas which is present in all parts of the UK. In some parts of the County, some buildings contain a higher than average amount of radon due to local geological conditions. Sometimes, owners of older properties need to carry out works in order to reduce radon to a safe level. This can help to prevent health problems in the future.

4.0 HELP TO ADDRESS FUEL POVERTY

4.1 RCC works with partners to provide advice on home energy efficiency and choosing a cost-effective energy tariff. The Energy Company Obligation (ECO) is a government energy efficiency scheme to help reduce carbon emissions and tackle fuel poverty. Under the scheme, larger energy suppliers have to deliver energy efficiency measures to homes and are given targets based on their share of the domestic gas and electricity market. The scheme focuses on the installation of insulation and heating measures and supports vulnerable consumer groups. RCC works with services to advise customers on options and where to seek advice. This includes Peterborough City Council and the LEAP project. Information is also available from the national Simple Energy Advice line on 0800 444 222 and from RCC's website www.rutland.gov.uk.

4.2 ECO includes local flexibility for councils to guide where a proportion of this funding is spent by providers. In RCC's case this supports LEAP. RCC's main priorities regarding local flexibility are to:

- a. reduce the number of fuel poor households;
- b. improve levels of energy efficiency in private sector housing and reduce carbon dioxide emissions;

c. target resources to households on specified benefits, to older households and lower income households with children.

4.3 Further information, including statistics on energy efficiency in Rutland, is in the HECA Progress Report and in RCC's Housing and Homelessness Strategy.

5.0 DISABLED FACILITIES GRANTS (DFGs)

5.1 Mandatory DFGs

5.1.1 RCC has a responsibility to provide and assess a grant application form and approve all valid applications. Applications must be submitted in writing. The need to use a Government application form was removed in 2010.

5.1.2 The following types of work and all associated fees and charges are eligible for grant funding provided it is "necessary and appropriate" and "reasonable and practicable" having regard to the age and condition of the property:-

- Making the building or dwelling safe
- Facilitating access to and from the building
- Facilitating access to or providing a bedroom
- Facilitating access to the principal family room
- Provision of a room containing a bath or shower or facilitating the use of such a facility
- Provision of a room containing a WC or facilitating the use of such a facility
- Provision of a room containing a wash hand basin or facilitating the use of such a facility
- Facilitating the preparation and cooking of food (only if used by the disabled person)
- Providing or improving a heating system
- Facilitating the use of power, light or heat by altering the same or by providing additional means of control
- Facilitating access and movement around the dwelling to enable the disabled person to provide care for another person.

5.1.3 The provisions governing Mandatory DFGs are set out in the Housing Grants, Construction and Regeneration Act 1996, as amended by the Regulatory Reform (Housing Assistance) (England & Wales) Order 2002. Further information is given in section 9 of this Private Sector Housing Renewal Policy.

- 5.1.4 A statutory limit of £30,000 applies to all DFGs in any one application and will be subject to a means test on the disabled person, his or her spouse and any dependent children.
- 5.1.5 The parents of disabled children are not means tested for DFG applications.
- 5.1.6 To qualify for assistance an applicant should be the homeowner or tenant, but the grant is available to adapt the home to meet the needs of any disabled person living in the property to enable them to continue living there. Landlords may also apply for a DFG on behalf of a disabled tenant but must satisfy the requirements of future occupancy. Tenants of housing associations / Registered Providers of social housing can apply for DFGs and are assessed for needs on the same basis as private owners and under the same means testing arrangements, with the proviso that RCC will liaise with Registered Providers of social housing to award tenants who are entitled to a mandatory DFG funding on a 50:50 split or any other funding amount agreed.
- 5.1.7 Customers in receipt of the following income related benefits at the time the application is made, will be exempt from the means testing process.
- Income support
 - Income-related Jobseeker's Allowance
 - Income based Employment Support Allowance
 - Guaranteed Pension Credit
 - Housing Benefit
 - Working Tax or Child Tax Credit with income under £15,050 (subject to review)
 - Universal Credit
- 5.1.8 Where the works cost over £30,000 and the applicant and/or their family is considered to be in financial hardship:
- RCC will investigate alternative means of funding, including charitable contributions to meet the applicant's costs above the value of the DFG.
 - If alternative sources of funding are not forthcoming, consideration will be given, subject to funding, to awarding a discretionary DFG in addition to the mandatory DFG.
- 5.1.9 In certain circumstances it may be required to undertake a feasibility visit to look at identified needs and to establish the most suitable housing solution to meet those needs. In this instance a Contractor / Surveyor may be requested to support with this visit.
- 5.1.10 The most cost effective adaptation that meets the customer's needs will be recommended for grant aid. In most cases, properties can be adapted internally rather than extended.

- 5.1.11 If the property does not lend itself to internal adaptation, consideration will be given to assessing the disabled person's (and family's) ability to relocate to a more suitable property. The Disabled Person's Relocation Grant is covered in section 8 of this policy.
- 5.1.12 Only when internal adaptation, rearrangement or relocation is not feasible will consideration be given to providing additional sleeping and/or bathing accommodation by way of an extension to the existing dwelling.
- 5.1.13 In circumstances where the applicant wishes to and can demonstrate to RCC that they have the financial resources to pay for an enhanced scheme which exceeds that which RCC has deemed necessary to meet the needs of the disabled person, RCC may consider funding elements of the adaptation which it could have funded under the mandatory DFG.
- 5.1.14 Grant aid can be given to enable a disabled occupant access around the dwelling in order to care for another person who normally resides there. This may include spouse, partner or a family member, another disabled person or a child. The dependent being cared for need not be disabled. Such works could include adaptations to part of the dwelling to which the disabled person would not normally need access but which is used by a person to whom they are providing care.

5.2 Discretionary top-up to mandatory DFGs

- 5.2.1 A Discretionary Grant up to £20,000, subject to available funding, may be awarded in order to provide assistance where the cost of eligible works exceeds the current mandatory maximum grant limit of £30,000. The Discretionary Grant will contribute to the total cost of eligible works to meet the needs of the disabled person. All work must be "necessary and appropriate" and considered "reasonable and practicable".
- 5.2.2 The arrangements for the Test of Resources are the same as for mandatory grants, except that those households which have to pay the mandatory £30,000 themselves can be assessed to see whether they would be entitled to assistance towards a top-up.
- 5.2.3 The applicant must have an owner's interest in the property or be a leaseholder with a legal obligation to repair with a minimum of 5 years left unexpired. The charge on the adapted property will last for 10 years from the completion of the Discretionary Top-up and will be placed on the local land charges register.

6.0 MAKING A VALID APPLICATION

- 6.1 The applicant has to provide all such information and/or evidence (including information relating to the disabled person's financial circumstances) as may reasonably be required for determining an application for a grant.

- 6.2 An owner's application will only be considered as valid if it is accompanied by an owner-occupation certificate.
- 6.3 A tenant's application will only be considered as valid if it is accompanied by a tenant's certificate and a statement of consent to the works signed by the person who, at the time of application, is the landlord under the tenancy.
- 6.4 **Determining a valid application for grant – eligibility conditions**
All applications for DFG, HaP Grants or RROs will be managed by RCC. Financial means tests will be completed by RCC's appointed Home Improvement Agency. In all cases and for all types of grant, the proposed works, their cost and the level of fees must constitute good value for money in the opinion of RCC. Applicants must be willing to agree by any reasonable conditions imposed by RCC to protect public funds from misuse.

7.0 DISCRETIONARY ASSISTANCE

7.1 Regulatory Reform Order (including HaP Grants)

- 7.1.1 The Ministry of Housing, Communities and Local Government February 2020 outlines the need for local authorities to provide a vehicle for funding essential repairs to reduce injury and accidents in the home, to ensure homes are adequately heated, and to expand the scope of adaptations available under the DFG legislation. Local authorities can also use the RRO to create assistance schemes which help people meet their needs without going through the full DFG process. Schemes such as these can, for example, provide 'fast track' mechanisms for low level adaptations, which do not require a full social care assessment or means test.
- 7.1.2 In Rutland, a grant to support Health, wellbeing and Prevention policy priorities (HaP Grant), subject to available funding, may be awarded on a discretionary basis as an alternative to the mandatory DFG to offer flexible support to disabled and vulnerable clients in order for them to live independently, to return from hospital and/or to potentially reduce expensive care packages and/or to make a carer's role more sustainable. The exercise of this discretion will be overseen by the Head of Prevention and Complex Care Services, on behalf of the Strategic Director - Places.
- 7.1.3 All work must be "necessary and appropriate" and considered "reasonable and practicable". Please see below for funding thresholds:
- **Up to the value of £5000** - HaP Grant
 - **£5000 - £6000** - Application presented to OT Team Manager who will consider awarding additional HaP funding on a case by case basis.
 - **Over £6000** -DFG Grant

7.1.4 The use of HaP Grants to support health, wellbeing and prevention policy priorities will be provided under the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002. The below are examples of adaptations which can be considered under the HaP:

- Bathroom conversions to wet rooms
- Stairlifts
- Equipment to facilitate single handed care such as Ceiling Track Hoists
- Access such as ramping
- Necessary work to promote a hospital discharge or independent living, prevent readmission, or deterioration of health.

7.1.5 To qualify, the applicant (or the landlord, who must support the application) must have an owner's interest in the property or be a leaseholder with a legal obligation to repair with a minimum of 5 years left unexpired. A legal charge will be placed on the property for 10 years where RCC's contribution exceeds £5,000, unless there are exceptional circumstances.

7.1.6 Tenants of housing associations / Registered Providers of social housing can apply for HaP and are assessed for needs on the same basis as private owners, with the proviso that RCC will liaise with Registered Providers of social housing to award tenants who are entitled to a HaP funding on a 50:50 split or any other funding amount agreed.

7.1.7 RCC may limit awards to help ensure a more even spend of the funding available for grants under this scheme and/or introduce a Test of Resources if necessary, using the Fairer Charging System on the same basis as Domiciliary Care. This process will be monitored by the manager's quarterly budget meetings. RCC occupational therapists and their management may also prioritise according to the level of risk prevention.

7.2 Joint residency arrangements for a disabled child

These cases will be considered on a case by case basis. Please refer to Annex C, point 58, page 104 of the Home Adaptations for Disabled People: A detailed guide to related legislation, guidance and good practice.

8.0 DISABLED PERSON'S RELOCATION GRANT

8.1 Applications for assistance to move to more suitable accommodation may be approved if:

- a) An adaptation recommendation has been received from a relevant occupational therapist or a relevant healthcare professional.

b) In RCC's opinion the disabled person's existing accommodation is not reasonably and practically capable of being adapted to meet the needs of the disabled person or for cost or social reasons.

- 8.2 To qualify, the applicant must have an owner's interest in the property or is proposing to acquire an owner's interest or be a leaseholder with a legal obligation to repair with a minimum of 5 years left unexpired. Tenants moving into housing association (or registered provider of social housing) properties will be considered on a case by case basis. The new property must be the disabled person's main residence.
- 8.3 The Relocation Grant scheme will be subject to the same Test of Resources as the mandatory Disabled Facilities Grant scheme unless the relocation is for a disabled child in which case no test will be applied.
- 8.4 No repeat relocation grants will be awarded.
- 8.5 A visit will be made to the property being considered for relocation by an Occupational Therapist to ensure that it is suitable and will meet the needs of the disabled person.
- 8.6 A DFG may also be subsequently awarded after relocation in order to provide internal adaptations to meet the disabled person's needs within Rutland.
- 8.7 An award made under this section may include the cost of expenses (not exceeding £5,000) considered reasonable. The maximum grant payable will be £30,000 which includes both the relocation element and the adaptation costs in the new property.
- 8.8 Disabled Person's Relocation Grants will be secured as a legal land charge for a period of 10 years from the certified completion date and will be required to be repaid on sale or transfer of the freehold or leasehold.
- 8.9 Where an award has been made under this section of the Policy and the applicant deceases before the relocation has taken place, RCC may decide not to pay some or all of the relocation grant.
- 8.10 Disabled Person's Relocation Grant is discretionary and is provided subject to funding availability.

9.0 CONDITIONS ON FINANCIAL ASSISTANCE

- 9.1 This section (which should be read alongside the Housing Grants, Construction and Regeneration Act 1996 and relevant regulations⁸) will apply

⁸ The Regulatory Reform (Housing Assistance) (England & Wales) Order 2002, the Disabled Facilities Grants (Maximum Amounts and Additional Purposes) (England) Order 2008, the various Housing Renewal Grants regulations 1996 and the Disabled Facilities Grant (Condition relating to approval or

when an owner occupier's application for assistance has been approved by RCC and an offer made to the applicant which the applicant has accepted. The term "assistance" means any form of financial assistance approved for the purpose of housing renewal, maintenance, improvement or adaptation. "Condition" means any condition attached to any such assistance. Grants approved before this policy came into force are covered by the terms of the Private Sector Housing Policy 2009, except in cases where the recipient could benefit under the change of rules regarding the discretionary waiving of repayment of Disabled Facilities Grant.

- 9.2 Any reference to "owner" or "person responsible" is to be taken to mean any owner or other person who is responsible for the relevant condition(s), assistance either singly or jointly. This includes the original person(s) who applied for and/or received the assistance, as well as any other person who has subsequently become responsible for any condition as a result of acquiring the property or an interest in it.
- 9.3 Conditions come into force from the date the assistance is approved so that RCC may recover any interim payments or costs incurred where necessary. Where a condition period is specified, this takes effect from the certified date of completion of the eligible works.
- 9.4 The premises must qualify as a dwelling for the purpose of payment of Council Tax. Any financial assistance and related conditions will be secured as a legal charge against the property, where breach of condition would require the repayment of all or part of the assistance. This charge will not be removed until either the condition period expires or until the assistance is repaid, together with any interest that may apply.
- 9.5 In some cases, if the conditions are broken RCC may specify that only part of the assistance has to be repaid. In these cases the charge will be removed upon payment of the specified part of the assistance.
- 9.6 Where RCC has the right to demand repayment, it may at its discretion determine not to demand payment or to demand a lesser amount if the recipient of the grant would suffer undue financial hardship (or be unable to make a move necessary for welfare reasons) were s/he required to repay all or any of the grant, taking into account his/her care and medical needs and those of any family member who is disabled, aged over 75, or a person at risk.
- 9.7 A charge on the property is binding on any person who is, for the time being, an owner of the property concerned.
- 9.8 Where a condition is in force, RCC may require the person responsible to provide any information to satisfy RCC that the condition is being complied

payment of grant) General Consent 2008.

with. RCC can require this information in writing or in any other reasonable form. It is a condition that this information is provided in a reasonable time period specified by RCC and as fully, accurately and honestly as reasonably possible. Failure to comply with this requirement is a breach of conditions in itself and the assistance, or part assistance where this is specified, must then be repaid to RCC.

9.9 It is the responsibility of the person responsible for any condition to demonstrate to RCC's satisfaction that the condition is being complied with. Failure to do so will be treated as failure to comply with the condition. RCC does not have the burden of having to prove that the condition is not being complied with.

9.10 Any reference to a member of a person's family is to be taken to mean someone who is their:

- Parent
- Grandparent
- Child
- Grandchild
- Brother or Sister
- Uncle or Aunt
- Nephew or niece
- Long term foster relation / guardian.

A relationship by marriage is treated as if it were a relationship by blood. A half-blood relationship is treated as a full blood relationship.

9.11 "Disposal" means

- A conveyance of the freehold
- An assignment of the lease - where the lease was used to qualify for the assistance, e.g. a long lease that was treated as effective ownership
- The grant of a lease, other than a mortgage term, for a term of more than 21 years otherwise than at a rack rent
- In the case of a mobile home or a houseboat, the sale, pledge or assignment of the mobile home or houseboat.

It is assumed that any option to renew or extend a lease or sub-lease, whether or not forming part of a series of options, is exercised and that any option to terminate a lease or sub-lease is not exercised. Also, the grant of an option enabling a person to call for a disposal shall be treated as such a disposal made to that person.

9.12 An exempt disposal means that there is no requirement to repay. However, all the conditions do then continue to apply and are binding upon the person or persons to whom the disposal is made for the remainder of the condition

period. A disposal is classed as exempt where the person, or each of the persons, to whom it is made is:

- The person, or one of the persons, by whom the disposal is made
- A member of the family of that person, or one of those persons
- The spouse or former spouse of that person, or one of those persons, in the case of a company, an associated company of the company by whom the disposal is made.

- 9.13 No retrospective application or request for financial assistance will be considered where the relevant work has already started or completed.
- 9.14 Unless otherwise specified, all relevant work must be completed, to the satisfaction of RCC, within 12 months of the approval date of the assistance. RCC may agree, in writing, an extension to this period, but this will only be done if there is an extremely good reason.
- 9.15 Work must be carried out by the contractor who provided the estimate or who was allocated from the Schedule of Rates Framework. RCC will carry out checks on all properties receiving grant assistance. The check will consider information provided in the application process as well as the quality and cost of the works carried out. Access **must** be provided for the purpose of follow up surveys if a property is selected. Failure to provide access could lead to a requirement for the grant to be repaid.
- 9.16 A grant will only be paid when RCC receives a satisfactory invoice in relation to the work, together with any supporting documentation or information requested by the RCC.
- 9.17 The approval of assistance does not give or imply RCC's approval of any consents that may be required, such as planning permission or Building Regulation consent.
- 9.18 It is a condition of any assistance that the applicant takes all reasonable steps to pursue any insurance or legal claim that may be relevant to any part of the work to be carried out and to repay RCC the assistance, so far as appropriate, out of the proceeds of such a claim. A claim is relevant if it relates to any damage or defect to the property, to the extent that the works required to make good damage or defect are works to which the assistance relates. It is also relevant if it is a claim for an injury received elsewhere and is intended in part to pay for adaptations to make housing suitable.
- 9.19 Conditions will generally be enforced in all cases.

9.20 Condition Periods

Assistance Type	Value	Condition Period from Certified Completion Date	Interest Applied
Mandatory DFG	Amount of Grant over £5,000 to a max of £30,000	10 years	No
Discretionary Top Up DFG	Up to £20,000	10 years	Yes
HaP Grant	Up to £5,000	5 years (10 years where the contribution exceeds £5,000)	No
Disabled Persons Relocation Grant	Up to £30,000	10 years	Yes
Empty Homes Assistance	Up to £20,000	Duration of Lease period	Yes

10.0 OTHER MATTERS

10.1 Decision Review

10.1.1 Any decision made under the Policy may be reviewed at the request of the applicant. The review request should be addressed to the officer who made the decision being appealed against in writing, and within 21 days of the date of the decision letter unless RCC determines otherwise in any particular case.

10.1.2 The review will be conducted by a senior RCC officer not previously connected with the case (the "Review Officer").

10.1.3 The Review Officer will make such enquiries and request such evidence as he/she thinks necessary and will inform the appellant in writing of his/her decision within ten working days of receiving such evidence.

10.1.4 Where he/she refuses an appeal, the Review Officer will inform the appellant of his/her rights under the appropriate Council's complaint procedure and the Local Authority Ombudsman procedure.

10.2 Reviewing the Policy

10.2.1 This Policy was approved by Cabinet on 12 January 2021 and came into force on 1 April 2021. RCC reserves the right to vary the eligibility criteria specified in the policy based on changes to funding amounts, benefit criteria, legislation and national guidance.

10.2.2 Minor changes which do not affect the broad scope of the policy may from time to time be made by the Strategic Director - Places in consultation with the Strategic Director - People; the Leader of the Council; the Portfolio Holder for Environment, Planning, Property, and Finance and the Portfolio Holder for Safeguarding – Adults, Public Health, Health Commissioning & Community Safety.

10.2.3 More significant changes to the Policy may be made by Cabinet, including (but not limited to) the addition of appendices to cover any new types of grant or loan that may become available.

10.3 Performance

10.3.1 The performance of the policy will be monitored by the Senior Environmental Services Manager, in consultation with the Deputy Director – Adult Services.

10.4 Cases falling outside of the policy

10.4.1 For those applicants whose circumstances fall outside the normal scope of this policy but where they believe that there are exceptional circumstances, the applicant must put their case in writing to RCC's Senior Environmental Services Manager who will review the circumstances of the case with the Head of Prevention and Complex Care Services. Should the case be refused the applicant can exercise their right to complain through the appropriate RCC complaints procedure.

A large print version of this document is available on request



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CABINET

12th January 2021

LEISURE REVIEW PROJECT COMMENCEMENT

Report of the Strategic Director for Places

Strategic Aim:	Vibrant communities	
Key Decision: Yes	Forward Plan Reference: FP/201120	
Exempt Information	N/A	
Cabinet Member(s) Responsible:	Mrs L Stephenson, Portfolio Holder for Culture & Leisure, Environment, Highways, Transportation and Road Safety Mr G Brown, Deputy Leader and Portfolio Holder for Planning and Finance	
Contact Officer(s):	Robert Clayton, Head of Culture & Registration	01572 758435 rclayton@rutland.gov.uk
Ward Councillors	All	

DECISION RECOMMENDATIONS

That Cabinet:

1. Authorises the Director for Places to form a Project Board and associated structures (attached as Appendix A) in order to undertake a leisure provision needs analysis, and if required subsequent procurement.
2. Approves the content of the Needs Analysis and Options Appraisal Brief as attached at Appendix B, and authorises the Director for Places and Portfolio Holder for Culture & Leisure to make any necessary subsequent amendments if required.
3. Approves the extension of the present Leisure Management contract with Stevenage Leisure Ltd (SLL) for up to one year (to 31st March 2023) if required to complete procurement processes.
4. Authorises the Director for Places and the Director for Resources, in consultation with the Cabinet Member with Portfolio for Finance and the Cabinet Member with Portfolio for Culture & Leisure, to agree financial support for the present Leisure Management Contract of up to £100,000 in 2022/23, subject to interim performance reviews.

1 PURPOSE OF THE REPORT

- 1.1 The Covid-19 Pandemic continues to have a dramatic impact on the country, and although medical science is progressing a number of vaccines, current advice is that it will be many months before life returns to a more normal footing. While the country lives under social distancing restrictions, normal leisure operations have been greatly impacted.
- 1.2 Cabinet approval is sought to form a Project Board to oversee an initial Needs Analysis / Options Appraisal that will underpin decisions on future leisure service provision. Project Board documentation is attached as Appendix A. The Brief for the Needs Analysis is attached as Appendix B.
- 1.3 Cabinet agreed on 16 January and 15 September 2020 that the present leisure management contract for Catmose Sports with Stevenage Leisure Ltd (SLL) could be extended by a year, and financial support could be provided as a result of the impact of the pandemic.
- 1.4 Approval is sought to agree a further one year extension to the current leisure contract, with discretionary financial support, to ensure that if required, sufficient time is available to undertake a robust procurement, and to maximise the chances that a competitive leisure market will be available to respond to the procurement.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 Members will be all too familiar with the impact of the Covid-19 pandemic on the lives of the county's residents. Although following the initial countrywide lockdown, some elements of leisure services were able to resume limited operations over the summer, the second lockdown of November resulted in the closure of many leisure and hospitality businesses, and increased concerns about the viability of operations. Rutland entered "Level 2" restrictions in early December, which has allowed some elements of SLL's services to recommence, however future limitations and restrictions cannot be ruled out.
- 2.2 Rutland's experience has been mirrored across the country, and has led to a number of leisure operators ceasing trading, and most others becoming highly reliant on financial support from their Local Authorities. Under these conditions, the approval previously granted by the Council to extend the contract has proved to be prudent, as the leisure market is currently in a highly fragile state, with financially advantageous contracts extremely unlikely to be secured, as Contractors price in the risks of both longer term national restrictions, and changes in users' previous habits.
- 2.3 Officers have readied the project structures required to undertake a needs analysis and options appraisal to underpin future leisure provision for the County. Cabinet is requested to approve these arrangements, and the initial assessment works. The results of these investigations will be reported back to Scrutiny, Cabinet and Council, in order to secure approval for any future leisure provision, as deemed necessary as a result of the assessments. As the project progresses, if amendments are needed Cabinet is requested to authorise the Director for Places and Portfolio Holder for Culture & Leisure to make any required changes.
- 2.4 As per the Council's agreed project management framework, this project was analysed against the risk matrix and it was deemed a High Risk project – this would entail a governance structure of a project team, reporting into a project board and

using Cabinet at the primary decision making body.

- 2.5 In scoping the timeline for these works, Officers have assessed that there is a risk that work will not be completed before the end of the current SLL contract. It is also likely as time moves on that the leisure market will become more stable and responsive to a more optimistic post-pandemic landscape. Officers therefore request approval to extend the existing SLL contract for one further year, if required, with appropriate break clauses to enable any new leisure contract to be brought on stream as soon as is practical, but in any case by 31st March 2023 at the latest.

3 CONSULTATION

- 3.1 The contractual position and potential financial impact has been discussed with the Leader, the Portfolio Holder for Finance, the Portfolio Holder for Culture, the Strategic Directors for Resources and Places, and the Deputy Director Corporate Governance, along with management of Catmose College, the Catmose Sports site owners.
- 3.2 The Needs Analysis work includes engaging stakeholders to ensure that future provision reflects the voices of community, health and wellbeing groups.

4 ALTERNATIVE OPTIONS

- 4.1 Re-procurement of a contract similar to the existing SLL contract could be undertaken by the end of the current contract, however this would not provide Council with any certainty that the provision would meet the present and future needs of Rutland residents, and would be highly likely to result in a significantly less favourable contract than under current arrangements.
- 4.2 The results of the needs analysis / options appraisal, together with a condition survey of the existing assets, will give a clear picture to Council of risks and opportunities that could be realised over the next 10 to 15 years.
- 4.3 Officers are discussing other approaches for leisure service provision with neighbouring authorities, which are facing similar issues. Any opportunities identified will be incorporated in to the Options Appraisal and reported to Cabinet and Council.

5 FINANCIAL IMPLICATIONS

- 5.1 Funding to undertake the project work specified in this report has been included in the 2020/21 budget and 2021/22 draft budget. At this stage no additional funding is required to undertake the project.
- 5.2 Financial support of £100,000 for the additional year of 2022/23 is not built in to the Medium Term Financial Plan, and would therefore be an additional pressure. Providing an allowance for a further year's financial support to SLL would ensure that residents are able to continue to access provision to improve their health and wellbeing. The age of the equipment used at the site may require some replacements to be purchased, which would be undertaken as a separate process, under the authority of the Director of Places.
- 5.3 Officers will continue to monitor and review the performance of SLL, and if the company returns to a break-even or better state, the financial support will not be required.

6 LEGAL AND GOVERNANCE CONSIDERATIONS

- 6.1 The Council's Contract Procedure Rules (CPRs) require that if a contract is required to be extended beyond the term permissible in the original contract documents, advice must be sought from the Monitoring Officer (CPRs section 17.3.4). Advice has been sought as required and incorporated in to this document. Approving further financial support is a Key Decision and Cabinet authority is therefore requested for this work.
- 6.2 Cabinet Office procurement Policy Note "Supplier relief due to COVID-19. Action note PPN 02/20 March 2020" provides assurance that support measures do not constitute unlawful state aid because the ability to offer financial support has arisen through the existing, pre-procured contractual mechanisms that were already in place.

7 DATA PROTECTION IMPLICATIONS

- 7.1 A Stage 1 Data Protection Impact Assessment (DPIA) has been completed which indicates that as no new personal information or methods of collection will be caused by the proposed support provision, there is no requirement for a full Impact Assessment to be completed.

8 EQUALITY IMPACT ASSESSMENT

- 8.1 If support for the contract is not agreed, there may be equality and diversity impacts. A full Equality Impact Assessment (EqIA) has been completed which outlines the potential areas of impact. Agreeing a support package for SLL to continue operating their established range of provision would result in no detrimental equalities implications.

9 COMMUNITY SAFETY IMPLICATIONS

- 9.1 Provision of accessible, good quality sports and recreation facilities helps to reduce levels of anti-social behaviour, by providing diversionary activities. Formal membership of sports and recreation organisations helps to build community bonds and a sense of local pride.

10 HEALTH AND WELLBEING IMPLICATIONS

- 10.1 Provision of a comprehensive and accessible network of facilities to enable individuals and groups to participate in sports and recreation can be a huge benefit to the health and wellbeing of the community. A vibrant sports community already exists in Rutland, and is a significant contribution to the generally high levels of health and wellbeing recorded in the County. A positive attitude to physical fitness and personal health has also been shown to improve the mental wellbeing of individuals. The range of facilities and pursuits available in Rutland is also a strong draw for persons considering relocating to the area.
- 10.2 The Catmose Sports facility is a key asset of community value and critical element of Rutland's sports provision, being the County's only pay and play facility where members of the public can access facilities without paying regular membership fees. The centre is hub of the GP Exercise Referral provision, organising and assessing individuals who have been recommended to undertake physical activity to address their health issues.

11 ORGANISATIONAL IMPLICATIONS

11.1 Procurement Implications

11.1.1 Regulation 72(1)(b) of the Public Contracts Regulations 2015 allows for a contract to be varied where additional services become necessary which were not initially included in the original procurement, where a change of contractor cannot be made for economic or technical reasons and would cause significant inconvenience or substantial duplication of costs for the Council.

11.1.2 The services provided during the extended period would be additional to those under the original Contract as they would be provided for a longer period that was not envisioned under the original Contract. Furthermore, the current pandemic has created circumstances whereby the Council would otherwise be inconvenienced and caused substantial duplication of costs were it to seek to re procure the service at this point in time. The extension would enable recovery from the current situation and to restore the value for money of the current arrangements.

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

12.1 The formation of a Project Board to oversee the initial Needs Analysis / Options Appraisal work will underpin decisions on future leisure service needs and any successor contract if required.

12.2 The further one year extension to the current leisure contract, with discretionary financial support, will ensure that if required, sufficient time is available to undertake a robust procurement, and to maximise the chances that a competitive leisure market will be available to respond to the procurement.

13 BACKGROUND PAPERS

13.1 There are no additional background papers to the report.

14 APPENDICES

14.1 Appendix A: Proposed Project Board documentation

14.2 Appendix B: Needs Analysis and Options Appraisal Brief

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

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Rutland
County Council

Rutland County Council
Leisure Review Project
Project Initiation Document (PID)

Document Owner:	Robert Clayton Rutland County Council
Author:	Robert Clayton
Version:	V1.1
Date:	Dec 2020
Classification	NOT PROTECTIVELY MARKED

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Version Control

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V0.03	Nov 2020	Comments from Working Group
V1.0	Nov 2020	Signed off by Working Group
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Sponsor		
Project Board		

Document Distribution

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Name	Method	Date
Project Team, Project Board		

Project Details

Project	Leisure Review
<p>Background</p>	<p>The project will determine the future leisure and wellbeing provision for Rutland, including the leisure contract for the Catmose Sports facility. The contract is due to cease on 31/03/2022.</p> <p>If the review determines that a successor contract is required, a procurement exercise for the delivery of Leisure and Wellbeing facilities in Rutland would follow as part of the project.</p> <p>If agreed new service delivery elements would commence on 01/04/2022 (if a further 12 month extension is not approved by Cabinet).</p> <p>Strategic objectives of the project are:</p> <ol style="list-style-type: none"> a. Cost neutral leisure provision in financial terms over the medium term b. Providing Sport & Leisure facilities for our residents to support health & wellbeing c. Ensuring those who are most in need can access sport and leisure provision d. Enabling individuals to help themselves in having a healthy lifestyle
<p>Project Objectives</p>	<ul style="list-style-type: none"> • PHASE ZERO <ol style="list-style-type: none"> a. To obtain approval to commence project (CABINET) • PHASE ONE <ol style="list-style-type: none"> a. To identify the extent of Leisure and Wellbeing provision required to meet the needs of the Rutland population b. To identify the financial envelope within which the Leisure and Wellbeing provision must be delivered c. To secure agreement with stakeholders to the principles and operational arrangements for the provision d. To communicate in a transparent manner the principles and outcome of the project with the general public, stakeholders and Members e. To conclude a Procure / Exit decision – CABINET, COUNCIL + SCRUTINY (if needed) GATEWAY • PHASE TWO A - PROCURE <ol style="list-style-type: none"> a. To undertake a robust and compliant procurement exercise to maximise the value and minimise the cost of the Leisure and Wellbeing provision

	<ul style="list-style-type: none"> b. To appoint a supplier to provide Rutland’s Leisure and Wellbeing services c. To ensure a smooth transition from the existing provision to the agreed future provision d. To approve the supplier – CABINET GATEWAY • PHASE TWO B – EXIT <ul style="list-style-type: none"> a. To agree legal and contractual arrangements with Catmose College for exiting from leisure provision on their site b. To agree any successor / alternate provision c. To implement exist arrangements d. To approve the exit – CABINET GATEWAY
<p>Activities / Scope</p>	<p>The project will ensure that at the end of the current contract period, an agreed position has been reached and communicated with the public and stakeholders around the future of the Catmose Sports facilities. The agreed position will be fully implemented, with all governance requirements met, and impacts on the Council’s MTFP mitigated as far as possible.</p>
<p>Deliverables</p>	<ol style="list-style-type: none"> 1) Rutland Leisure and Wellbeing Needs Analysis 2) Options Summary and Costs Matrix 3) Approval Process for Chosen Solution 4) Procurement Schedule and Delivery Plan 5) Transition Plan (including mobilization, decommissioning and transfer) 6) End of project evaluation
<p>Timing</p>	<p>The overall project will be split into three key phases: (see table below for deliverables)</p> <ol style="list-style-type: none"> 1) Pre-procurement, incorporating a Procure / Exit decision gateway 2) Procurement or Exit (alternate provision / legals) 3) Transition to new provision <p>March 2022 is the current contract end date, when a new provider would need to be in place</p>
<p>Exclusions</p>	<ul style="list-style-type: none"> •
<p>Dependencies & Assumptions</p>	<p>Dependencies</p> <ul style="list-style-type: none"> • Availability of resources • Existing Catmose Sports Contract • Conclusion of process to implement existing contract extension to 2022 • RCC leases with Catmose College for the “new” sports facilities (to 2051) and “old” sports facilities (to 2032)

	<ul style="list-style-type: none"> • National policy/strategies and legislative constraints • RCC Leisure Facilities Strategy <p>Assumptions</p> <ul style="list-style-type: none"> • Budget (£43k) is sufficient • Council approve proceeding to procurement if recommended by the Board/Cabinet • Council approve the chosen provider, as recommended by the Board/Cabinet • Service providers will bid for the contracts if procurement is pursued • Site landlord (Catmose College) supports and engages with process
<p>Resources</p>	<p>The staff involved in this project will primarily be the following officers, providing support in addition to their day jobs:</p> <ul style="list-style-type: none"> • Robert Clayton (Overall procurement lead) • Sarah Khawaja (Legal Lead) • Andrew Merry (Finance Lead) • Dee Rajput (Project Manager) • Mona Walsh (Property Lead) • Louise Gallagher (Contracts/Procurement) • Amy Myers (Welland Procurement) <p>Additional support will be required by external consultants who will be brought in to provide technical and legal input the overall process.</p> <p>External Stakeholder input will be desirable particularly during the options appraisal stage, which could include:</p> <ul style="list-style-type: none"> • Catmose College senior representative • Rutland Local Sports Alliance senior representative • Health & Wellbeing Board or Primary Care Network representative • Site Users representative

Estimated Cost	<i>Total budgeted cost for the project is £43,200 (cost centre RC1029)</i>		
	<i>Initial estimated breakdown of costs as follows:</i>		
		Planned	Actual
	<i>Condition Survey</i>	<i>£15,000</i>	
	<i>Options Appraisal</i>	<i>£10,000</i>	
	<i>Procurement Support</i>	<i>£10,000</i>	
	<i>External Legal Advice</i>	<i>£5,000</i>	
	<i>Contingency</i>	<i>£3,200</i>	
	TOTAL	£43,200	
	*		

Rutland County Council

Leisure Review Project – Governance Structure

Document Owner: Robert Clayton - Head of Culture & Leisure Services
Rutland County Council

Author: Dee Rajput
Rutland County Council

Version: V1.1

Date: Nov 2020

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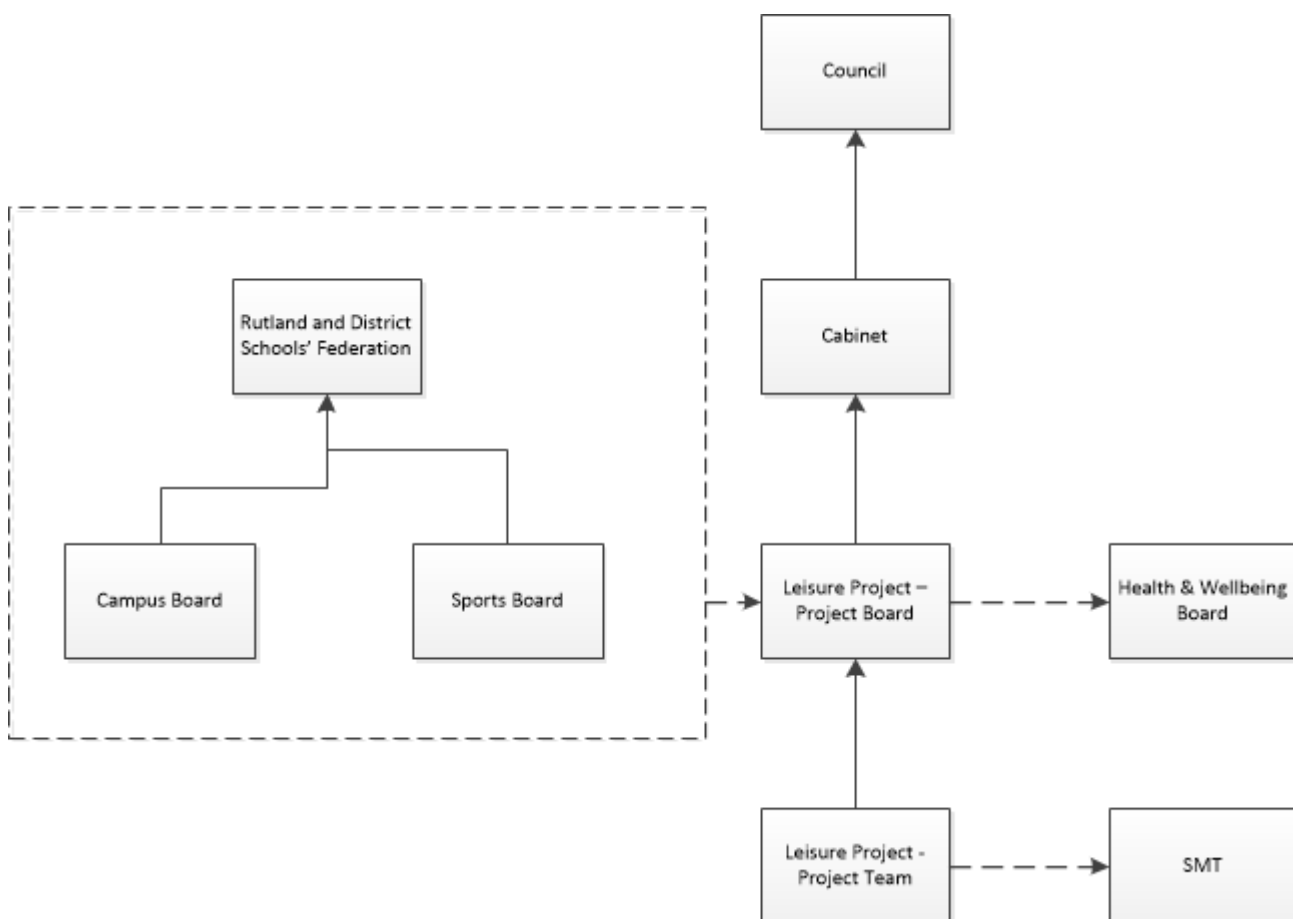
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Introduction

This document outlines the governance structure to be deployed for the Leisure Review project. The governance of the project is important as it allows the project to ensure the correct decisions are being made and communicated accordingly.

Project Details



Governing Body	Responsibilities (in relation to the project)
Leisure Project – Project Team	Operational group to deliver the project managing actions, issues and risks
Leisure Project – Project Board	Strategic group to oversee the delivery of the project to ensure due process is being followed and to provide support/guidance for decision making
Cabinet	Formal Council governance body to provide decisions on project progress
Council	Formal Council governance body to provide decisions on project progress, outside of the remit of Cabinet (as per the Project Management Framework)

SMT	Senior Management Team to provide support/guidance on operational risks and issues, ensuring blockers to progress are removed
Health & Wellbeing Board	Formal Committee which advises on health and wellbeing aspects of the Council's activities, and links to NHS Leicestershire County & Rutland, and East Leicestershire & Rutland CCG.
Campus Board	Formal Board overseeing the management of shared areas of the Catmose Campus, to facilitate shared community use
Sports Board	Formal Board overseeing the management of sports facilities of the Catmose Campus, to facilitate shared community use
Rutland and District Schools' Federation	The Trust which manages the operation and performance of Catmose College, to provide decisions on any changes to use of the facilities (includes the Executive Principal, CFO, Governors etc.)

Rutland County Council

Leisure Review (LR) Project

Project Board - Terms of Reference (ToR)

Document Owner:	Robert Clayton Rutland County Council
Author:	Dee Rajput Rutland County Council
Version:	V1.1
Date:	Nov 2020
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Project Sponsor		
Project Board		

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Name	Method	Date
Project Team, Project Board		

Introduction

The purpose of this terms of reference document is to state the responsibilities of the Leisure Review Project Board and to provide leadership in delivering the project required within the Council.

The project may include the procurement of supplier(s) to provide Leisure services, on behalf of the Council.

Membership & Chairing

The Board will be chaired by the Director of Places, Penny Sharp. In the absence of the Chair, the meeting membership may elect any other member to act as Chair for that meeting.

Membership of the Board has been agreed by Rutland County Council. The composition of this Board and team members:

- Penny Sharp (Director Places + Chair + Sponsor)
- Cllr. Gordon Brown (Portfolio Holder – Finance)
- Cllr Lucy Stephenson (Portfolio Holder – Culture)
- Sav Della Rocca (Director for Resources + Finance Lead)
- Robert Clayton (Culture Lead + Project Lead)
- Dee Rajput (Project Manager)
- Sarah Khawaja (Legal Lead)
- Karen Kibblewhite (Head of Commissioning)
- Holly Bremner (Head of Communications)

Members may send deputies by exception only. Dee Rajput will support the provision and running of this Board as the project manager.

Frequency of the Board

Meetings will be held monthly (TBC at the first project board). Ad-hoc meetings may be held by agreement of the Chair as and when required. Meetings may, exceptionally, be cancelled by the Chair.

Responsibilities of the Board

The board fulfils their leadership role by:

- Taking strategic decisions on the project and how it will impact on the Council
- Effectively allocating and managing resources for the project implementation and delivery
- Communicating the purpose of the board to staff and other stakeholders
- Monitoring the implementation, procurement and delivery of the project to improve its effectiveness
- Overview of project budget

- Management of change
- Issues and risk management

Reporting

The board members shall draw to the attention of this Board, any issues that require further action or disclosure to the relevant management structures. In exceptional cases any RCC members of the Board may escalate issues to the Senior Management Team.

The minutes of these meetings will be formally recorded and available to Board members. When approved by the Board the minutes will be published to all.

Papers

Agenda items may be raised by any member of the Board and should be communicated to the Project Manager at least 7 working days in advance of any meeting.

Draft minutes of each meeting will be circulated within 2 working days of the next meeting to Board Members for comment and will provide a clear record of decisions reached and actions agreed.

Minutes will be formally approved by the Board at the subsequent meeting. The Project Manager will maintain an Actions Log and a Risk & Issues Log, which will be reviewed at each meeting.

Project Name: Leisure Review										
Risk & Issues										
Last Reviewed: 10/12/2020										
Risk refers to the combined likelihood the event will occur and the impact on the project if it does occur										
Ref	Date Raised	Risk or Issue Description	Risk or Issue	Likelihood	Impact	Severity	Mitigation or Action Plan	Owner	Status	Date Closed
LR-RI-001	14/10/2020	The current extension period may not be sufficient enough to carry out a full procurement exercise	R	4	5	20	14/10 - Review of the procurement process and exploration as to whether a further extension can be carried out	Robert Clayton	Open	
LR-RI-002	14/10/2020	The budget available may be insufficient for the purpose of a full re-procurement	R	4	5	20	14/10 - Once an understanding of the route the project is likely to take, a budget review will be required	Penny Sharp	Open	
LR-RI-003	02/11/2020	The event of the second Covid wave and lockdown could impact the procurement process and timescales	R	5	5	25	02/11 - Further 12 month extension being sought (which could be approved based on the Reg 72 rules)	Penny Sharp	Open	
LR-RI-004	02/11/2020	Once the procurement exercise commences, there is a risk there are no organisations (or a limited number) in the market willing to bid for the work	R	3	5	15	02/11 - Plans will need to be made for all scenarios	Penny Sharp	Open	

LR-RI-005	09/11/2020	Resource requirement for the project is already tight and could cause delays - the Covid effect could indeed increase the risk level	R	2	4	8	09/11 - Additional 12 month extension is being considered to provide more time for the re-procurement 16/11 - The Covid situation is improving and therefore, the risk has decreased from 12 to 8	Penny Sharp	Open	
LR-RI-006	10/11/2020	This project could potentially be part of the larger procurement work taking place across other parts of the Council	I				10/11 - Need to ensure a wider view is taken of all procurements taking place	Penny Sharp	Open	
LR-RI-007	10/11/2020	There is a risk the current provider SLL could fold under the Covid market pressures	R	2	5	10	10/11 - part of the needs analysis will help understand how much of a risk this could be	Robert Clayton	Open	
LR-RI-008	16/11/2020	Conditions Survey outcomes could be a risk to the project	R	3	4	12	16/11 - The sooner the conditions survey is complete, the more time will be available to understand its impact on the procurement exercise	Robert Clayton	Open	
LR-RI-009	07/12/2020	Risk of delay of the conditions survey	R	2	3	6	07/12 - Due to exams taking place in the school sports hall, this could delay access to the required sites	Mona Walsh	Open	

LR-RI-010	07/12/2020	For the extension period agreed, there is a risk of additional capital spend for the equipment required in the sports centres	R	2	4	8	07/12 - may need to plan for additional spend but to try to keep that to a minimum. Could look to use some s106 monies	Robert Clayton	Open	
LR-RI-011	10/12/2020	Risk of working with other areas and its impact on the timeline for the Needs Analysis	R	2	3	6	10/12 - need to ensure all are working to the required timescales	Robert Clayton	Open	

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Rutland Leisure Review Project
Leisure and Wellbeing Facilities
Needs Analysis & Options Appraisal

December 2020

Invitation to Quote

Rutland County Council is inviting quotations from appropriately qualified and experienced consultants to assist the Authority in undertaking a review of leisure provision and evidence gathering to support the decision making on future provision in the County.

1.0 Background

Rutland County Council is undertaking a review of the current sport and leisure provision in the local authority area. The purpose of undertaking the review is to inform options for future provision of council services from 2022 and beyond. This work does not require an Open Spaces Audit or Playing Pitch Strategy.

The Council currently operates two leisure and wellbeing facilities, providing a mix of wet and dry side provision, through a leisure management contract with Stevenage Leisure Ltd (SLL) and in house management. The main leisure centre, Catmose Sports, is part of the campus of Oakham's state secondary school, Catmose College (an academy trust) who own the site. The Council has a lease on the sports facilities in order to provide public access. A smaller facility, the Active Rutland Hub, is owned by the Local Authority and is located just outside the town of Oakham.

The existing SLL leisure centre contract is due to expire on 31 March 2022, and so to inform future service decisions the Authority is seeking consultancy support to review, analyse and recommend options for future leisure provision.

Prior to the consideration of any renewal of leisure centre contracts in the Rutland area the Authority wishes to consider all options for future leisure and wellbeing provision as part of an efficiency process. In addition the Authority has identified in its Medium Term Financial Plan the need to generate net revenue from leisure provision (the current provision is designed to be revenue cost neutral). External specialist support is required during 2020-21 to support the review process and make recommendations for future provision and any procurement of leisure services and wider access to sports and wellbeing.

In undertaking the review the Authority wishes to address four core objectives;

APPENDIX B

- I. To review the existing and provide an options appraisal for future leisure and wellbeing provision.
- II. Provide a headline procurement and management model options appraisal, for future council commissioned leisure and wellbeing facilities if required. The model should provide an optimal balance between meeting sport and physical activity market demands, providing sufficient capacity, generating net revenue and addressing local sport and wellbeing development needs – including social prescribing / exercise referral.
- III. To audit and report on the wider supply and demand for provision in the Rutland area and identify a mixed model of provision (public private voluntary) capable of meeting future demand for sport and physical activity.
- IV. Identify opportunities for allocating capital resources (council owned or third party) to achieve better outcomes for people in relation to health, social and economic inclusion.

Within the Rutland area there is a mix of council owned leisure provision, education (schools / FE/HE) and voluntary and private sector facilities that provide community use opportunities for sport and physical activity. One of the intended outcomes of this review is to propose an affordable (to the council) model of this mixed provision that both optimises the needs of the local population and ensures a sustainable co-existence between the sectors and providers of these facilities.

In addition there is an underlying ambition to ensure that future Council resources for sport and physical activity are focused on those who are most inactive / most in need of support and to eliminate subsidy for mainstream sports facility provision where the private sector could meet demand.

2.0 Scope

General

Where appropriate the delivery of the review should adopt and follow Sport England's Assessing Needs and Opportunities Guidance (ANOG) and utilise available Sport England planning, data and guidance tools. There are various relevant existing strategies, plans and reports available for analysis as part of this review and access will be provided to these documents for the appointed consultant. Facilities Planning Model (fpm) data and associated reports may need to be procured as part of the project.

Needs

A key component of the review will be to demonstrate the need for specific leisure and wellbeing provision appropriate to the local area (and to avoid over-provision). As one of the Council's priorities, the health and wellbeing of the population needs to be a central consideration of all decision making.

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Leisure and wellbeing infrastructure can enable, encourage and motivate residents to make healthy lifestyle choices. A list of Public Health Outcomes and the Joint Strategic Needs Assessment for Rutland will be made available to the successful consultants at the time of appointment. Wellbeing and activity needs that can be articulated in the document include: the management of long term conditions; reducing levels of obesity; tackling inequalities; mental health issues; smoking cessation and falls prevention. The review will also need to consider the cost to the consumer of the provision, and how this may impact on demand.

Facilities and Geography

The scope of this review will in the main be contained to provision and the demand for sport and wellbeing within the Local Authority geographic boundaries of the Rutland area. It is acknowledged however that consideration should be given to bordering provision in neighbouring authority areas, in relation to exported and imported demand and supply. The key facility types to be considered within this review are;

- Swimming Pools
- Larger Accessible Sports Halls (of at least 2 badminton courts or min 300 m²)
- Synthetic Sports Pitches
- Fitness Gyms and Studios
- Indoor Tennis Centres
- Other purpose built indoor sports facilities

Consultation

In gathering relevant data and information it is expected that consultation will be extended but not limited to;

- Rutland Council staff and Members
- Current leisure centre management contractors
- Catmose College and other Education providers
- Parish / Town Councils
- Sports Clubs / Rutland Local Sports Alliance (Active Rutland)
- Voluntary sector bodies
- Rutland Primary Care Network
- Rutland Community Wellbeing Service
- Rutland Health & Wellbeing Board
- Rutland Social Prescribing Service (RISE)
- Sports and Leisure Provision Users (Organisations and Individuals)
- Leicestershire & Rutland Sport (Active Partnership)

The full review process, at this stage is divided broadly in to two stages;

Stage 1 – Needs Analysis and Value Assessment of Current Provision

To undertake an analysis of the current leisure provision / services and report on:

APPENDIX B

- a) Assessment of need, demand and latent demand for sports and wellbeing across the Authority area, with a specific focus on health benefits.
- b) Fit for purpose and cost / benefit analysis of the current leisure centre sites and current service offered by the facilities and operators to the local population.
- c) Identification of current gaps in leisure service provision and latent demand for sport and physical activity, particularly where these can drive additional revenue generation.
- d) Future viability of operating the current leisure centre stock in its existing form and locations
- e) Audit and assessment of supply (and potential supply) of third party sport facility (community accessible) provision.
- f) Understanding of any relevant legislative requirements that may impact of service provision during the term of the new contract

Stage 2 – Headline Options Appraisal

To provide a headline options appraisal for the future provision of leisure and sports across the Authority area to include:

- a) A model of provision that delivers net revenue to the Council whilst meeting the needs for sport and wellbeing activity among the local population.
- b) The location and facility mix of sports provision on existing or new sites, to include council leisure centres and other indoor sports facilities
- c) Potential use of third party owned facilities (schools, colleges, third sector facilities) to meet demand where required.
- d) Headline options for procurement and management models of any existing or new sport and leisure provision.

3.0 Supporting Information

Use of the following will be required /considered to support the process:

- a. *Sport England's Assessing Needs and Opportunities Guide (ANOG), the SE approved methodology for assessing sports facility needs.*
- b. *Consideration will need to be given to all sports, particularly those aligned to the demography of the County, including Country Sports, non-traditional / adrenaline sports and commercially driven opportunities.*
- c. *The process must sit within the context of the Council's Plans and Policies.*
- d. *Consideration of the strategic priorities of NGBs and relating them to the future provision to support sports development and event opportunities.*
- e. *Use of Active People interactive, Market Segmentation information, local surveys of sports participation etc. should be used to establish local*

APPENDIX B

insight.

- f. Access to a validated baseline profile of participation (physical activity and sport) across the Authority area and a supply audit of current sports facility provision across LA and third party providers.*
- g. Consideration should be given to local sports clubs and other participation information, and trends in activity.*
- h. Commercial viability and value for money tests of leisure centre provision are required, and to be aligned with the Council financial strategies.*

4.0 Methodology Guidance

The approach to undertaking the review should include but not be limited to;

Stage 1 – Needs Analysis and Value Assessment of Current Facility Stock

- 4.1 An assessment of need, demand and latent demand for sports and wellbeing across the Authority area, with a specific focus on health benefits is required. This should be informed by the Rutland JSNA, demographic information, and data from current leisure providers.
- 4.2 An audit and assessment of current supply of sports facilities in the Rutland area and the immediate surrounding area should be undertaken involving visual technical assessments and site visits to
 - a) Council owned Leisure facilities
 - b) Larger third party sports halls where those halls are community accessible and at least 2 badminton courts or 300m². (Only sports halls that have the potential for community use need to be considered)
 - c) Third party swimming pools
 - d) Other relevant built sports facilities within the scope of this brief
- 4.3 Local authority controlled provision assessments should include;
 - a. Quantity of facilities including facility mix, size of individual places, and physical capacity for use, Quality of facilities, condition, age, fitness for purpose, including user surveys (existing), consultation with owners and operators, condition surveys, etc.
 - b. Accessibility – location and catchment to ascertain physical accessibility – using existing FPM and / or NFA data
 - c. Availability – management, ownership, programming, operating costs, opening times etc.
 - d. User base and associated demographic breakdown.
- 4.4 Third party community accessible sports facility assessments should include;

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- a. Quantity of facilities including facility mix, size of individual places, and physical capacity for use.
 - b. Visual technical condition assessment of facilities, where appropriate
 - c. Accessibility – location and catchment to ascertain physical accessibility and user base
 - d. Availability – management, ownership, programming, pricing, opening times etc.
- 4.5 The assessments should include all reasonable methods to identifying current quality and value to the local communities and discussions with facility operators and managers and facility staff.
- 4.6 The assessment should provide analysis of any available condition surveys relating to Council Leisure Centres. (The Council's Property team are undertaking a technical / condition assessment of the Catmose Sports centres and this information will be available)
- 4.7 The assessments should include a review of the current facility management operations and appropriate benchmarking exercise to provide a baseline value assessment.
- 4.8 An assessment from validated and credible data sources should be undertaken to provide a baseline assessment of demand for access to the Councils leisure centres and other sports facilities and include;
- a) FPM data, Active Places Power, Sports Facilities Calculator.
 - b) Analysis of local data on population, participation, unmet demand, etc.
 - c) Identification of latent demand.
 - d) Consultation with local sports clubs, voluntary and private providers and other internal and external consultees.
 - e) Identification of future demand from the data, NGB trends and changes in activities.
 - f) Analysis of walking/driving distance thresholds, availability of public transport links.
 - g) Headline analysis of population growth / Local Plan indicators that may affect future supply / demand.

5.0 Stage Two

Identification of new modelled provision and procurement options

- 5.1 Utilising the needs, supply and demand data analysis gained from the stage one process an options appraisal should be undertaken to identify a suitable future model of leisure provision for Rutland. The options analysis should focus on the development and procurement options with a focus on;
- a. The facility typology and facility mix (wet and dry).
 - b. The need to refurbish, renew, dispose, relocate etc.

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- c. The optimum location of key facilities within the financial and ownership constraints of the Authority.
 - d. The management model for operating the facilities (e.g. in-house / trust etc.)
 - e. The estimated capital and revenue liabilities for the Authority associated with the options available.
- 5.2 The appraisal should take into consideration that the Authority is seeking to adopt a model of leisure centre provision that is net revenue generating for the future operational management of council leisure centres, and addresses the Council's aspiration to significantly reduce its carbon output.
- 5.3 The Authority is focused on provision of leisure, sport and physical activity services that targets those in the community who participate the least (in physical activity), have less opportunity and would benefit most from engaging in physical activity programmes. It is recognised that traditional leisure centre services do not always reach the key underrepresented target groups e.g. people on low incomes, people with disabilities, and people with long term health conditions and alternative methods of providing physical activity and sporting opportunities to these groups will need to be developed.
- 5.4 Recommendations are sought on the most appropriate model for future leisure provision across Rutland that meets the geographic, demographic and participation needs of the local communities.
- 5.5 Procurement**
- 5.6 A headline procurement options appraisal is required to support future modelling and capital planning of leisure for the Authority. Based on the evidence established at stage 1, advice is sought on the most appropriate procurement method for future leisure provision to achieve both value for money and optimum sport and physical activity service for local communities.
- 5.7 Consideration should be given to options to create operational, service and cost efficiencies.
- 5.8 All procurement options should be considered (in light of suggested management options appraisal from stage 1) e.g. design and build / design, build manage, operate etc. and detail the benefits and liabilities in relation to;
- The nature of the procurement (refurbishment/ renew etc.).
 - Headline Implications from any required site disposal.
 - Headline Capital investment requirements by the Authority.

APPENDIX B

- Revenue implications for the Authority from proposed procurement options.
- Contract type and length (where required).
- New site allocation headline costs.

6.0 Stage 1 Output.

As a minimum the following outputs are required

- 6.1** A soft technical and qualitative report on the need, supply and demand of sports provision based on the current local and user profile, that identifies;
- a. Whether the existing LA facility stock is fit for purpose, being optimised, providing value for money and is meeting local needs, (overall effectiveness score).
 - b. Collection of data that provides a baseline assessment of the provision, offer and usage of sites.
 - c. Commentary and cost / benefit analysis of the effectiveness of the current leisure provision and operating model against the need to encourage increased levels of physical activity within the area. This could include;
 - I. Benchmarking against comparable LA areas
 - II. Headline assessment of community needs.
 - III. Assessment of programming and pricing
 - d. Estimated expiry of fit for purpose status (forward period) of current LA controlled stock and effectiveness in respect of service delivery.
 - e. Identification of headline unmet demand for key activity / facility typologies.
 - f. An evaluation and estimated future capital and maintenance cost liabilities for existing council leisure centres.
 - g. Identification of third party facilities providing community access for sport and physical activity and the type and level of provision available within these facilities.
- 6.2** A report to establish what sports provision is needed for Rutland, taking into account local need, national recommendations / benchmarking standards / practices and affordability. The report should include;
- a. Modelled forward projection of demand for provision of sport and physical activity
 - b. The location, facility mix, customer base and services of any proposed council leisure provision
 - c. Proposed use of third party facilities (e.g. schools, voluntary clubs) identifying the facility mix, services and customer base

APPENDIX B

- d. Estimated capital investment for the use and access to any proposed third party facilities

7.0 Stage 2 Output

A procurement options report and proposal that details the most appropriate delivery option and business case for future leisure provision that;

- Maps the quantity, location and facility mix of the proposed leisure stock.
- Identifies in the new model of provision where disposal, refurbishment, rebuild or relocation of facilities (and their typology) is required.
- Details the core and secondary service offer of the facilities with identification of core intended user markets.
- Suggests the preferred procurement option and management model for all provision and the required capital investment and revenue liabilities.
- Details any necessary phasing requirements for developing a new leisure provision.

8.0 Time Scale

8.1 The table below sets out the indicative timetable for submitting quotations and undertaking the review

	Deadline for receipt of quotations and method statement
	Quotations Assessed
	Consultants notified
	Inception Meeting with appointed consultant
	Contract delivery (reporting and delivery timetable to be agreed)
	Final report (TBA)

9.0 Quotation Requirements

In submitting the quotation for this work interested consultants will be required to;

- 9.1 Provide an outline of the methodology, stages of work and timetable proposed to undertake the work for both stages 1 and 2
- 9.2 Provide a quotation for the overall cost of undertaking the work with appropriate elemental breakdown of costs and fees
- 9.3 Provide details of the consultants' experience of undertaking similar commissions

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10.0 Budget

10.1 The maximum budget available for all work undertaken is £10,000 plus VAT.

Further Information:

Robert Clayton, Head of Culture & Registration, Rutland County Council. Rutland County Museum, Catmos Street, Oakham, Rutland, LE15 6HW

rclayton@rutland.gov.uk

Tel: 0797 023 2019

CABINET

12th January 2021

HIGHWAY AND TRANSPORT CONCERN PROCESS

Report of the Strategic Director for Places

Strategic Aim:	Delivering sustainable development, Protecting the vulnerable, Customer-focussed services	
Key Decision: Yes	Forward Plan Reference: FP/250920	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mrs L Stephenson: Portfolio Holder for Culture and Leisure, Environment, Highways & Transportation & Road Safety	
Contact Officer(s):	Moaz Khan, Interim Head of Highways and Transport	Telephone 01572 758342 email: mkhan@rutland.gov.uk
Ward Councillors	All	

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves the revised Highway and Transport Concern Process (HTCP) and timeframes.
2. Note that a further report will be brought to Cabinet (anticipated in March 2021) on the overarching Integrated Transport Capital Programme and associated funding.

1 PURPOSE OF THE REPORT

- 1.1 This report provides an opportunity to further review the processes relating to the Highway and Transport Concern Process (HTCP) so that, ultimately, the best service within the budgets available is delivered. With this in mind, this report sets out:
- the key issues associated with the current HTCP,
 - clarification of the existing HTCP protocols,
 - proposals for enhancing the HTCP, to both help clear the case work, but also address the key issues identified and in doing so, improve the way with which concerns are handled, and
 - target timeframes for handling concerns.
- 1.2 Please note - a separate report on the overarching Integrated Transport Capital Programme of works and the associated funding will be brought to Cabinet, anticipated in March 2021. This report focuses primarily on the HTCP.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 The overall aim of the Highways and Transport department is to maintain a highway network that is accessible for all whilst maintaining the highest level of safety possible within budget. The HTCP should be viewed within this context: it is an essential conduit for residents and parishes to highlight concerns they have whether with regard to traffic management, walking and cycling infrastructure, parking provision or public transport infrastructure. This is a responsive process: analyzing concerns and where possible and reasonable offering engineering solutions to address them.
- 2.2 The HTCP works alongside the Highways Capital Maintenance Programme (which delivers asset management following DfT guidelines) and Fix My Street – a mechanism for residents to identify concerns relating to the maintenance of existing features.
- 2.3 The HTCP in its current form was approved at **September 2018 Cabinet**. The revised process aimed to speed up scheme approval, by removing the need to seek annual cabinet approval of the Integrated Transport Capital Programme.
- 2.4 The Integrated Transport Capital Programme is the name given to the programme of works delivered through funding received from the Department for Transport under the Integrated Transport Block.
- 2.5 Through the revised process, schemes to be funded through the Integrated Transport Capital Programme could be approved throughout the year via delegated approvals – with the Highway and Transport Working Group (also emanating from the 2018 report) providing a sounding board to discuss any contentious or complex schemes.
- 2.6 Since its inception, the HTCP has resulted in a greater output of completed

schemes and so has met the requirement for a more responsive service.

2.7 Lockdown, however, has resulted in a significant backlog of concerns, including many awaiting initial assessment. This has prompted a review of the whole process: whilst the system enables concerns to be raised with ease and throughout the year this has resulted in demand outstripping the available resources to manage the concerns effectively; the pandemic has highlighted this shortcoming which must be addressed if, as a Highways Authority, we are to deliver the best service possible for our residents.

2.8 Table 1 outlines the number of concerns (as of November 2020) currently in the HTCP – broken down by status.

2.9 *Table 1 - Number of concerns by status (at November 2020)*

Status	No of concerns
Closed (completed or determined schemes)	82
Open - scheduled for progress or construction	15
Open - in feasibility	8
Open - on hold (including new concerns) or awaiting initial assessment or feasibility	37
	142

2.10 Please note – when reviewing the remainder of this report, it should be noted that schemes approved through the HTCP make up just one element of the Integrated Transport Capital Programme. The Integrated Transport Capital Programme (see section 5) also includes schemes generated via the sources outlined in section 5.

2.11 This report focuses on the HTCP itself and not the Integrated Transport Capital Programme of works and the associated funding – this is due to be covered in a separate report to Cabinet, anticipated in March 2021.

3 KEY ISSUES

3.1 Upon review of the existing HTCP (summarised in Appendix A), a number of issues were identified. Within this section we identify those concerns and provide clarification or resolutions to address these. A revised process – summarising the clarifications and changes outlined in the remainder of this report can be found in Appendix B.

3.2 Submitting concerns

3.3 **The issue:** It has been flagged that the mechanism for submitting concerns is not always clearly understood. This is of particular note for individual members of the public, who being unaware of the process for raising concerns, submit a

'fixmystreet' ticket, bypassing the HTCP. As such, these concerns are responded to and redirected resulting in double handling.

- 3.4 **Clarification/ resolution:** Communication is required with the public to raise awareness and differentiate between issues that are normal maintenance and those where new infrastructure or highway changes are required to resolve their concern, and in turn the mechanism for reporting each of these.
- 3.5 Maintenance matters can be reported by members of the public via Fix My Street: <https://rutland.fixmystreet.com/>
- 3.6 Conversely, those areas where there is a concern that cannot be resolved through maintenance of existing provisions – such as speeding or lack of pedestrian or cycle infrastructure, are dealt with through the HTCP.
- 3.7 We anticipate that with further education, and support of the HTWG, that all local residents will be made aware of these different reporting mechanisms.
- 3.8 Whilst localism is a key component of integrating parishes with the HTCP, there is however no requirement that could compel any member of the public raising a concern to go via the appropriate parish. As such, we may still receive concerns directly from residents. In most circumstances, such concerns will be referred back to the parish who would need to decide whether to submit the concern via the HTCP or not. However, whilst it should not be understated the absolute benefit that strong parish liaison brings, in exceptional circumstances, if the matter is, in the view of officers, requiring immediate attention it may be promoted as a capital project outside the HTCP without first consulting the local parish.
- 3.9 Post Cabinet, communication regarding the HTCP along with guidance on submitting concerns will be circulated to parishes and ward members.
- 3.10 **Backlog**
- 3.11 **The issue:** A backlog of concerns from the previous arrangements (24 concerns) has increased (to 37 concerns awaiting consideration) as a result of staff turnover and Covid 19 (having to suspend survey work and officers being redirected towards responding to the Covid crisis).
- 3.12 **Clarification/ resolution:** Whilst short term additional resource has been provided to help address the current backlog, as mentioned this is indicative of a need to address the volume of concerns in a timely and a well communicated manner.
- 3.13 The current process requires that an initial assessment should be carried out to identify if there is evidence to indicate a problem and as such, justify a full feasibility study. There is no requirement for all concerns to undergo a feasibility study.
- 3.14 Going forward this step will be retained and strengthened to enable concerns to be considered more quickly and to ensure officer time is directed towards those schemes that require a feasibility study.
- 3.15 Initial assessment will include a review of the following:
- police accident data and where available, evidenced local records

- any previous concerns / actions
- speed / traffic count data (noting the date)
- and where necessary a site visit to note features of the current highway environment and any existing traffic calming features.

- 3.16 To help further manage expectations and provide clarity to applicants, parishes and ward members, a category based system is also proposed and will be used during the initial screening process to identify and address issues that are causing actual harm, whether to individuals or to the Authority, and thus the tax payer – for example through the repeated replacement of highway features. In doing so, officer time will be directed towards those schemes where there is a strong need for action.
- 3.17 Through the initial assessment, works to address concerns will be classified as one of the four categories below:
- (i) Essential – a scheme that must be delivered as soon as possible to address actual harm to persons i.e. serious injuries
 - (ii) Necessary – works that are required to address sites that historically have injury or maintenance harm but are not currently occurring, but may occur again if not acted upon.
 - (iii) Beneficial – works that would provide benefit to the current situation but are not addressing a recorded history of harm. These will be schemes where the concerns or perception relating to a location feeling unsafe can be addressed.
 - (iv) Amenity – works that would provide amenity opportunities only.
- 3.18 The above categorisation will enable funding to be directed towards those schemes most in need.
- 3.19 As such, funding will be prioritised on essential and necessary schemes, with applicants, the parish/s and ward member/s notified that ‘beneficial’ and ‘amenity’ schemes are unlikely to receive funding through the ITCP, but that such schemes will be kept on a list for consideration should grant funding or developer contributions become available in the future
- 3.20 Within any given year where all essential and necessary matters are or are being addressed and there is an underspend then a list of community led beneficial and amenity schemes will be reported to the HTWG for consideration. Whilst officers will recommend schemes, the HTWG will have the opportunity to provide feedback in such scenario.
- 3.21 The HTWG would be presented schemes which would provide clear benefits but would not usually be promoted by officers for delivery as the recorded evidence does not support the scheme as being ‘necessary’ or ‘essential’.
- 3.22 This additional information will help officers to explain recommendations to the HTWG, highlighting the need to identify schemes that address evidence based issues as a first priority.

- 3.23 An example of how the category system will work can be found in Appendix C.
- 3.24 The HTWG would be supported with Local Plan policies, the Local Transport Plan and neighbourhood plans to make best use of residual capital funding to promote and deliver schemes that support the local concerns and the vision of the council. As such the HTWG will be delivering the schemes that will establish the character and context of Rutland, with schemes that improve the use of the highway for all users.
- 3.25 In the event that a concern is not deemed as Essential or Necessary, the parish may wish to consider funding improvements through their own budgets. In such instances, work must be approved by RCC and will be subject to the process and regulations outlined in our Road Safety Guide.
- 3.26 **Timeframes**
- 3.27 **The issue:** Under normal circumstances feasibility studies (where required) will be started within 9 months of the concern being submitted. However, timeframes have exceeded beyond this due to a number of factors, including: the current backlog, staffing capacity compared to number of feasibility studies being delivered, the time required to gather data and seek approvals.
- 3.28 **Clarification/ resolution:** On 13th October 2020, communication was sent to all parishes and ward members to advise that as a result of the impact of Covid 19, a backlog of concerns had developed. The letter stated that new concerns (unless identified by officers as a safety concern) would not be progressed until a report on the process was taken to Cabinet. This hold on new concerns is to help allow officers time to clear the backlog.
- 3.29 Once the backlog has been cleared (anticipated by 31st March 2021) the following target timescales will be used. However, please note that the below are for guidance purposes. Whilst every effort will be made to meet the below time frames, they may be subject to vary depending on weather related work, future changes to Covid 19 restrictions (and impact on travel patterns) and urgent safety schemes – which must take highest priority for delivery due to the need to address actual harm as quickly as possible.
- 3.30 Updates on scheme status will be provided at quarterly HTWG meetings.
- 3.31 ***Concern raised to initial assessment taking place***
- 3.32 Initial assessment will include the following (as necessary): a site visit or desktop assessment, review of collision data and speed survey data along with any other relevant records available.
- 3.33 If sufficient data is available to undertake initial assessment – 5 working days.
- 3.34 If insufficient data is available to undertake initial assessment - assessment carried out by end of the following quarter (to enable any speed surveys to be procured).
- 3.35 ***Feasibility study completed***
- 3.36 3 months from feasibility start date.

3.37 ***Construction/ delivery***

3.38 3 – 6 months from feasibility decision date.

3.39 ***Review periods***

3.40 The review periods outlined within RCC's Road Safety Guide will be adhered to. The guide states the following:

3.41 Where no action is recommended, requests to review the area again will not be considered for 36 months from the decision date, unless material changes have occurred that would alter the situation. E.g. a large development or KSI (killed or seriously injured) accident.

3.42 Where works are recommended, the site will not be reviewed nor further works considered until a bedding in period of between 12 – 18 months has occurred following completion of the works.

3.43 By adhering to the timeframes outlined in the Road Safety Guide, officers will have more time to review new concerns rather than revisiting those previously addressed.

3.44 **Alternative recommendations**

3.45 **The issue:** Where parishes don't concur with an officer recommendation it can result in delays if it requires the request to be reviewed further and reported back to the HTWG.

3.46 **Clarification/ resolution:** Any measures recommended will be done so in accordance with guidance, legislation and RCC's Road Safety Guide.

3.47 Historically, concerns raised through the HTCP have also promoted potential solutions. Upon review of evidence officers have recommended engineering solutions that differ from the potential solution offered by the parish and as such do not always receive support – thus causing delays.

3.48 Engineering solutions are designed to address issues relative to survey findings. Some HTCP requests have merit but ultimately are not supported by the findings. However, if survey data identifies an issue the engineers must act responsibly and promote a scheme that addresses the measurable issues.

3.49 In the past, the differing stances have not been adequately understood on both sides. The proposed category system outlined in 3.17 will go some way to help explain and justify decisions.

3.50 To further ensure all parties understand the concern at hand and the reasoning behind decisions, consultation and communication will be delivered as per section 4.

3.51 Finally, where there is still lack of resolve, contentious concerns (where there is disagreement over categorisation or recommendations) will come to the HTWG for consideration as a matter of course.

3.52 **Lack of clarity about the decision making process**

- 3.53 **The issue:** It has become apparent that there is a misunderstanding that decisions can only be made at HTWG meetings.
- 3.54 **Clarification/ resolution:** For clarification purposes, this report serves as a reminder that schemes do not need to come forward to the HTWG for consideration.
- 3.55 Furthermore, to speed up the process and make HTWG meetings more efficient, future HTWG meetings will be reserved for discussion of key issues requiring consideration, rather than considering all concerns raised through the HTCP.
- 3.56 The majority of concerns will be determined outside of the HTWG meeting – this is not a change to the approved process, but clarifies the controls in place. Indeed, through the approved process, in the first instance officers will set out their recommendations, which are then reviewed by the Senior Highways Manager or Senior Transport Manager. A delegated decision form is then completed and submitted for approval – as per the delegations set out in the relevant funding report.
- 3.57 However, in a similar manner to planning committee, where a scheme is more complex or contentious, and would benefit from wider input, the Senior Highway or Transport manager, Strategic Director for Places or Portfolio Holder may request that a concern be taken to the HTWG for consideration.
- 3.58 **Unrecorded accidents**
- 3.59 **The issue:** Police data does not include all accidents – only those attended by the police and where an injury was sustained; this has been a regular source of differing opinion: recorded data as compared to anecdotal from residents / parishes.
- 3.60 **Clarification/ resolution:** We propose to send communication to parishes, requesting that they keep their own evidenced log of accidents within their parish. This log can then be used to support police data when undertaking an initial assessment and/ or feasibility study (where required).

4 CONSULTATION AND COMMUNICATION

- 4.1 Currently, Ward Member and Parish support is identified at the outset of the HTCP process, as part of the concern logging process.
- 4.2 Moving forward, to ensure consistency and the progress of safety schemes as quickly as possible, communication and consultation will be carried out with the relevant parish/s and ward members, along with the applicant (if not the parish/ ward member) at the below stages and will be carried out by the officer dealing with the concern (to ensure consistency):
- At the beginning and end of initial assessment (to understand the concern, identify any relevant local evidence of accidents and to update on the outcome of initial assessment).
 - Upon completion of feasibility study (where required) for safety schemes. For safety schemes, parishes and ward members will be notified of the intended

works, however the measures identified will be not require parish and ward member support, as recommended measures will be based on engineering and legislative grounds.

- Ward Member and Parish support will be required prior to a feasibility study taking place on a community requested beneficial or amenity scheme. This is to ensure there is demand within the community for the potential improvements/ measures.
- Upon completion of feasibility study (where required) for beneficial and amenity schemes. For these schemes, parishes and ward members will be consulted on proposals. Findings from the consultation will be considered, a summary of the feedback included within the study along with any required updates.
- Prior to any works, notification of work dates will be provided to relevant residents, ward members and parishes.
- One month prior to a HTWG meeting taking place the agenda and associated feasibility studies (for any schemes requiring HTWG review) will be published on the RCC website.
- Updates on the status of all active concerns will also be reported to the HTWG quarterly – and a progress report published on line:
<https://www.rutland.gov.uk/my-community/transport/transport-strategy/highway-and-transport-concerns/>

5 PROGRAMME OF WORKS

- 5.1 Alongside approved community led schemes identified through the HTCP, the following schemes may also be included within the Integrated Transport Capital Programme:
- 5.2 Safety schemes resulting from the identification and review of:
- Accident cluster sites
 - Fatal and serious accident sites
 - Pro active road safety engineering programmes.
- 5.3 Strategically identified capital schemes, relating to or within the remit of the service areas of the Highway and Transport department, including but not limited to:
- Highway schemes,
 - Integrated transport schemes,
 - Parking schemes,
 - Passenger transport infrastructure,
 - In house fleet,
 - Public rights of way schemes and
 - Accessibility schemes.
- 5.4 Schemes identified through the HTCP are demand / response led initiatives requiring feasibility work to ascertain the matters that can be addressed with

engineering solutions. As such, schemes are not 'off the shelf' so cannot be immediately programmed in for delivery. Therefore, the Integrated Transport Capital Programme of works is constantly updating.

To provide transparency and ensure officer time and funding is prioritised where it is most needed, it is proposed that the programme of works be updated on a quarterly basis, with the first programme published in the forthcoming associated March 2021 cabinet report and following iterations provided at the quarterly HTWG meetings.

6 ALTERNATIVE OPTIONS

- 6.1 Retain existing process – accepting the inherent delays and difficulties.
- 6.2 Move to a programme of work that is approved yearly – slowing the process further and reducing responsiveness.

7 FINANCIAL IMPLICATIONS

- 7.1 There are no direct financial implications arising from this report.
- 7.2 Approved schemes identified through the HTCP are funded by the Integrated Transport Capital Block grant, which is provided to highway authorities by the Department for Transport (DfT) to enable them to deliver the policies and projects set out in their local transport plan, and to tackle road safety issues.
- 7.3 Due to the complexity surrounding the HTCP, a separate report on the Integrated Transport Capital Programme of works and funding allocations will be brought to the March 2021 Cabinet.

8 LEGAL AND GOVERNANCE CONSIDERATIONS

- 8.1 The forthcoming March 2021 Cabinet report will seek approval for delegations required to approve funding and speed up the existing process.

9 DATA PROTECTION IMPLICATIONS

- 9.1 A Data Protection Impact Assessments (DPIA) has been completed. Risks/issues were identified and have been addresses in the following ways:
 - Retain statement on web form that refers to 'only submitting personal data where requested'.
 - Ensure concern submissions are read before being circulated to other parties. If personal data other than the initiator is included, respond to the applicant and advise them to resubmit a redacted version
 - Ensure feedback is safely stored.
 - Add paragraph to all correspondence containing personal data, stating: 'This correspondence contains personal data. Please do not forward or circulate this correspondence.'

9.2 A copy of the DPIA can be obtained from the Transport Strategy Manager.

10 EQUALITY IMPACT ASSESSMENT

10.1 An Equality Impact Assessment (EqIA) has not been completed as a screening Equality Impact Questionnaire was undertaken and no adverse or other significant issues were found that required a full Equality Impact Assessment to be carried out.

11 COMMUNITY SAFETY IMPLICATIONS

11.1 Investigation of KSI (killed or seriously injured) accident sites will identify if there is scope to undertake improvements that may reduce the number of accidents at these sites.

11.2 Some schemes may result in road safety improvements.

12 HEALTH AND WELLBEING IMPLICATIONS

12.1 Some schemes will encourage walking and cycling, which in turn has the potential to improve health.

12.2 A number of the schemes being considered could improve wellbeing due to improvements that tackle both perceived and actual speeding and traffic problems.

13 ORGANISATIONAL IMPLICATIONS

13.1 **Environmental implications:** Where engineering works take place, consideration will be given to the impact on the environment and climate. In larger schemes, where necessary, the need for an environmental assessment and/ or habitat regulation assessments will be considered.

13.2 **Human Resource implications:** Should the number of concerns continue to increase, additional resourcing may be required.

14 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

14.1 The recommendations are put forward with a view to speeding up the process going forward and ensuring a more responsive service.

15 BACKGROUND PAPERS

15.1 Cabinet report: 120/2019

16 APPENDICES

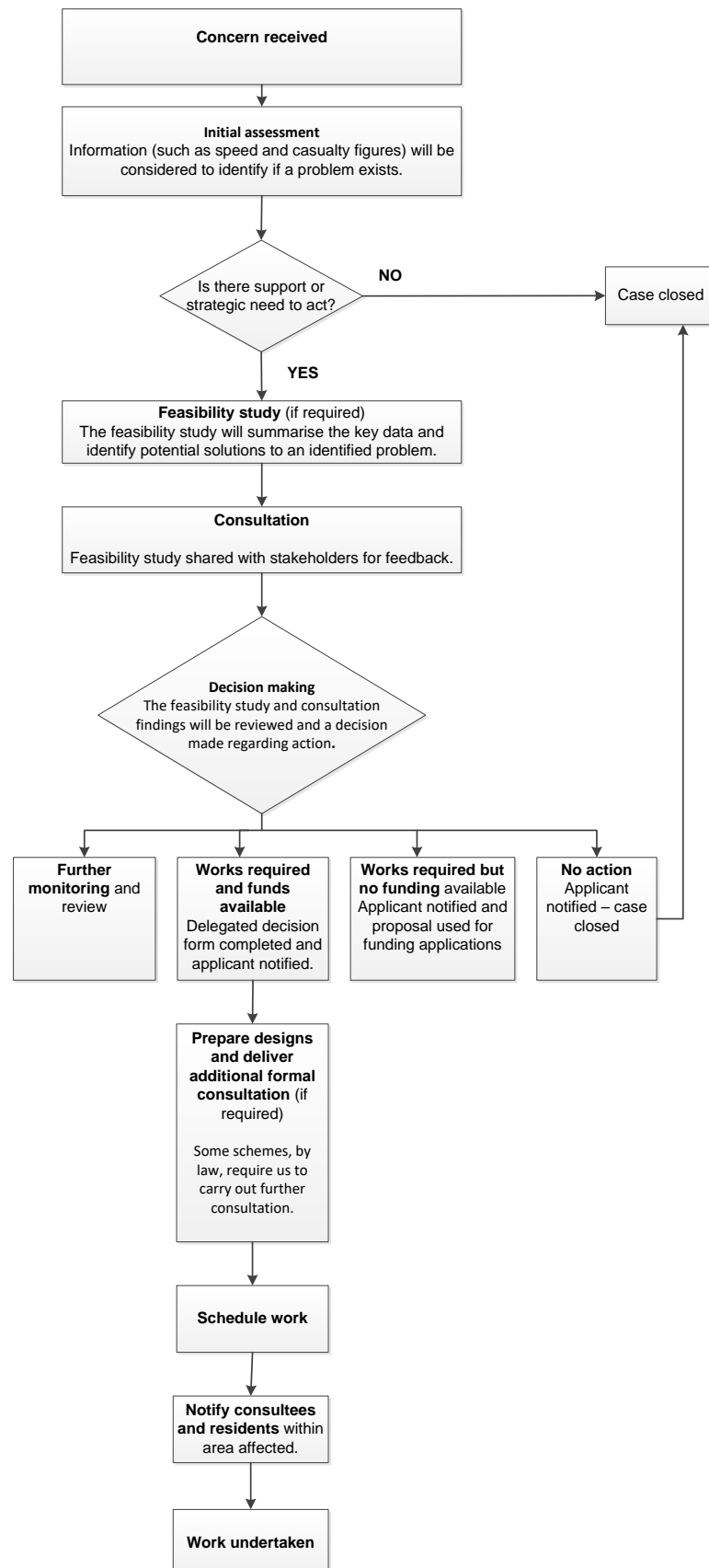
16.1 Appendix A: Highway and transport concern process flowchart.

16.2 Appendix B: Revised highway and transport concern process flowchart

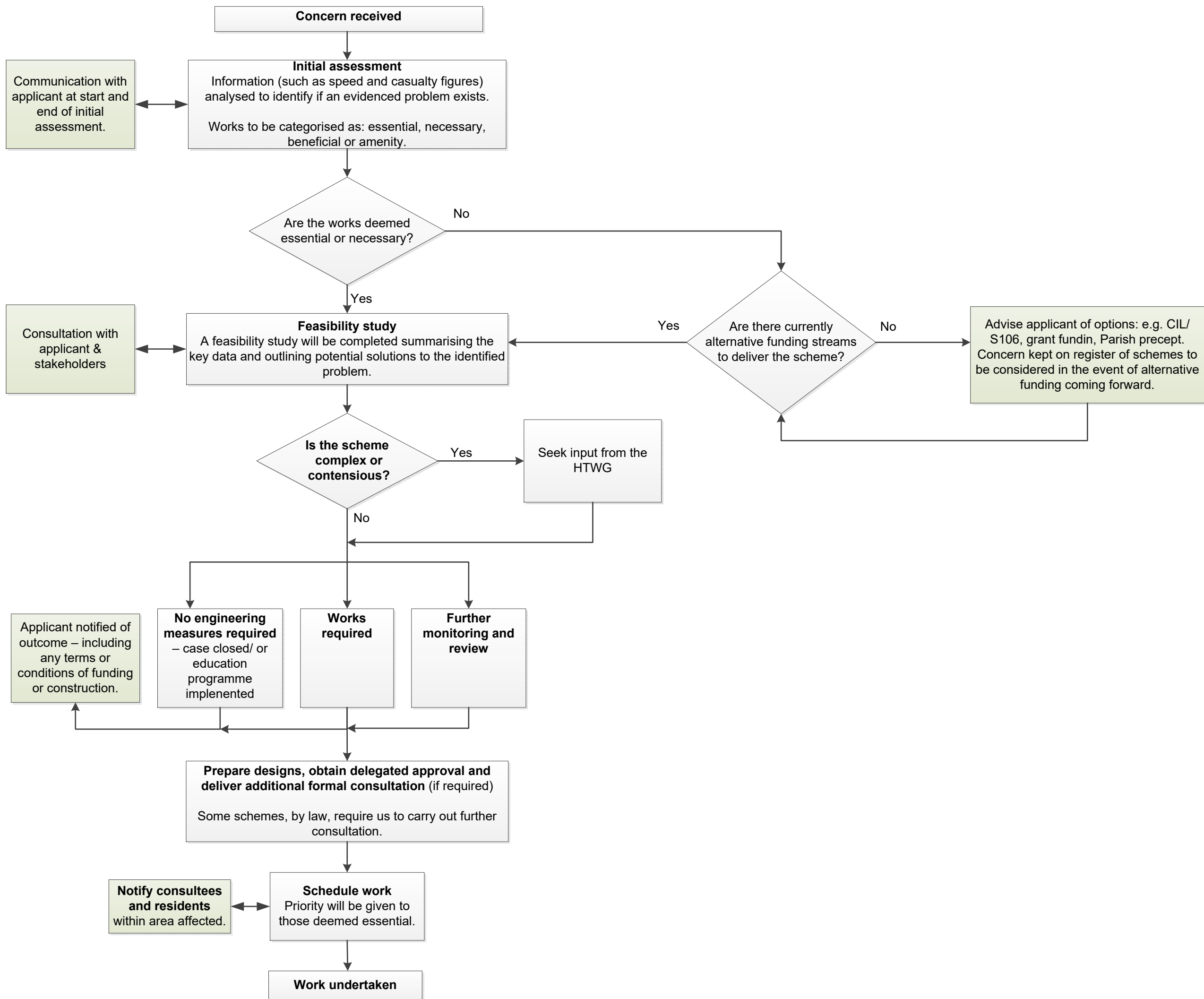
16.3 Appendix C: Example of scheme categorisation.

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

APPENDIX A - HIGHWAY AND TRANSPORT CONCERN PROCESS



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Appendix C – Categorisation example

- 1.1 **Current position:** A parish has identified a section of road that is difficult to cross and also has high speeds. The aspiration is to reduce speeds and improve crossing.
- 1.2 *The Highway Authority undertakes feasibility and identifies a history of accidents including one that relates to speeding. There are no recorded incidents of pedestrians being involved in collisions. As such the engineer proposes measures to reduce speeds that will address the speeding issues, and as a consequence improve crossing opportunities, at one key location dropped kerbs are proposed.*
- 1.3 The HTWG on review identifies that the request was specifically for traffic calming and a pedestrian refuge and should be further reviewed.
- 1.4 In the past, this has led to delays and concerns about HTWG delivery.
- 1.5 **Proposed Position:** The parish identifies the same concern.
- 1.6 *The Highway Authority undertakes feasibility and identifies measures and categorises them as necessary and beneficial. The speed reduction works are necessary to reduce speeds to those appropriate for the marked speed limit. This enforces the 3 E's of Education, Engineering and the last resort of enforcement. Any scheme promoted will lead to next steps of recommending for enforcement.*
- 1.7 *The Highway Authority also identifies that the pedestrian refuge would have some benefit in this location, but is not absolutely necessary to deliver a safe and suitable highways arrangement.*
- 1.8 *The report identifies that the necessary works can be delivered for £15,000 and the beneficial works would increase the scheme cost to £35,000.*
- 1.9 *As such, in terms of the evidence base the engineer reports that only the necessary works are recommended at this time and offer good value in terms of accident savings and the other works whilst beneficial can be delivered via alternative mechanisms such as development funding / CIL.*
- 1.10 This additional information will help officers to explain recommendations to the HTWG, highlighting the need to identify schemes that address evidence based issues as a first priority.

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Intention to hold the Cabinet meeting (or part of it) in private 12th January 2021.

On the 12th January 2021, Cabinet are to consider a report 'Rutland Radio Project'

The information contained within the appendix of the report will be commercially sensitive as it contains exempt information

Therefore, it is the intention that part of the meeting will be held in private as it is likely that exempt information will be discussed as defined in the Local Government Act 1972:

Consideration of the information in public would give rise to the disclosure of exempt information as described in paragraph [3] of Part 1 of Schedule 12A of the Local Government Act 1972 –

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

Regulation 5 of *The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012* requires the decision making body to publicise by notice the intention to hold the meeting (or part of it) in private, for at least 28 clear days in advance of the meeting. The notice must include a statement of the reasons for the meeting to be held in private. At least 5 clear days before the meeting in question, the decision making body must publish another notice of its intention to hold the meeting (or part of it) in private. This notice must also include a statement of the reasons for holding the meeting in private together with details of any representations received by the decision making body and a statement of its response to any such representations.

In the circumstances, it would be impracticable to comply with the requirement in Regulation 5 to publish the intention to hold part of the meeting in private 28 days in advance of the decision being made. It would be impracticable because:

The consideration of the report cannot be delayed as the progress of the feasibility study is dependent upon Cabinet approval. There is a need for the feasibility study to progress to the next stage, namely the launch of a pilot station, swiftly to retain audience interest, provide accountability to the community for the Project and to bring clarity with respect to other potential station bids.

Regulation 5(6)(a) of the 2012 Regulations states that where the date by which a meeting must be held makes compliance with this regulation impracticable, the meeting may only be held in private where the decision making body has obtained **agreement** from the Chair of the relevant Scrutiny Committee that the matter is urgent and cannot reasonably be deferred.

Councillor Fox, as the Chair of the Growth, Infrastructure and Resource Scrutiny Committee has agreed that the matter is urgent and cannot reasonably be deferred.

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CABINET

12th January 2021

RADIO PROJECT

Report of the Chief Executive (Interim)

Strategic Aim:	Vibrant Communities	
Key Decision: No	Forward Plan Reference: N/A	
Exempt Information	Yes	
Cabinet Member(s) Responsible:	Mr O Hemsley, Leader and Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Resources (other than Finance) Mr G Brown, Deputy Leader and Portfolio Holder for Planning and Finance	
Contact Officer(s):	Mark Andrews, Chief Executive (Interim) Rob Persani, Rutland Community Radio Project Manager	Telephone 01572 758339 email: mandrews@rutland.gov.uk Telephone 01572 722577 email: rpersani@rutland.gov.uk
Ward Councillors	ALL	

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves the issuing of a grant to the 'Rutland and Stamford Sound Community Interest Company' (the CIC).
2. Approves the transfer of ownership of any items purchased for the Project from the budget allocated to the Project to the CIC.
3. Endorses the completion of the remainder of the Project by the CIC.
4. Authorises the Director for Resources to instruct the Head of Human Resources to complete the necessary steps in the process to facilitate the transfer of the Project Manager post in accordance with TUPE to the Radio Project CIC in as short a timeframe as is possible and not to oppose the transfer.

1 PURPOSE OF THE REPORT

- 1.1 In July 2020, the previous Chief Executive created a Project to assess the feasibility of establishing a community-based radio platform for Rutland and Stamford following the closure of Rutland Radio (the Project).
- 1.2 It was envisaged from the outset that any Project would be moved at 'arm's length' to the Council within a suitable vehicle which would be proposed through the feasibility study. The independent Board appointed to provide scrutiny and governance to the Project has formed a community interest company, with the name, 'Rutland and Stamford Sound Community Interest Company' with a view to the CIC undertaking the work necessary to complete the feasibility Project.
- 1.3 The Board is recommending that Cabinet approves the issue of a grant in the sum equivalent to the remaining budget allocated to the Project to the CIC to complete the feasibility project and to support the transfer of the responsibility of completing the Project to the CIC.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 Following a takeover which resulted in a rebranding and refocussing of Rutland's local radio station, RCC set up the Project on 28th August 2020 to investigate the feasibility of establishing a community-based radio platform for Rutland and Stamford.
- 2.2 A Project Manager post was created on a fixed term contract limited to twelve months, to manage the Project.
- 2.3 The previous Chief Executive used her delegated powers to create a budget of up to £50,000 for the Project to include the costs of the Project Manager's salary.
- 2.4 An independent Board (The Board) comprising 6 members, was appointed in early November 2020, by community representatives, selected for their mix of skills, qualifications and experience to provide governance, scrutiny and validation for the successful definition and delivery of the Project thus providing accountability to the local community for the Project's stated aims. The Board has worked closely with the Project Manager throughout this first stage of feasibility analysis for the Project.
- 2.5 During the first phase of the Project, an initial study has been completed into the feasibility of establishing a community-based radio station. As a result of the due diligence completed to date the Board has unanimously agreed that there is proven evidence of sufficient demand for a community radio station to serve the Rutland and Stamford area and that it is technically feasible to quickly establish a pilot station.
- 2.6 The Board is now recommending that the Project is progressed to the next phase with the timely implementation of *Rutland and Stamford Sound* (the Pilot Station) that will both validate the expected community demand and confirm the feasibility of a suitable operational platform.
- 2.7 The Pilot Station would initially operate online, as that initial operating model for the Pilot Station is flexible enough to be scalable, as and when future technological developments provide opportunities for expansion, with minimal

disruption to the quality of the station's output.

- 2.8 Audience predictions were subsequently prepared for both an online-only model and FM¹ and/or SSDAB models. The Board agreed that, there was sufficient evidence of numbers to justify an initial delivery on an online platform that would provide a basis from which to grow future interest and development.
- 2.9 The Pilot Station needs to be independent of the Council to be able to seek advertising, grant funding and/or apply for a licence from Ofcom. It is therefore necessary that this second phase of the Project is delivered by an independent organisation.
- 2.10 The interim report at Appendix 1 sets out the key conclusions from the work undertaken by the Project to date, the reasons for selecting a CIC to operate the Pilot Station and proposals for the ongoing governance of the Project. The proposals are linked to 10 Guiding Principles which the Board developed to provide demonstrable measures of success for the Project and for its stakeholders, justification against these principles is outlined at Appendix 2. The Financial Analysis and Assumptions for the potential Pilot Station, that will both validate the expected community demand and confirm the feasibility of a suitable operational platform, are summarised at Appendix 3.

3 CONSULTATION

- 3.1 The Proposal and potential financial implications have been discussed with the Leader, the Head of HR, the Finance Manager and the Monitoring Officer.

4 ALTERNATIVE OPTIONS

- 4.1 The Project could remain as a Council project but this would hinder the ability to seek advertising, funding and/or apply for a licence from Ofcom. This would compromise the ability of the Project to progress to the next stage of the feasibility study, namely the establishment of a Pilot station, which has been identified as a necessary step to complete the Project. Therefore, the Project cannot be successfully completed if it remains as a Council project.

5 FINANCIAL IMPLICATIONS

- 5.1 A budget of up to £50,000 was allocated to this Project by the previous Chief Executive using delegated powers. This request is that a grant equivalent to the remaining sum of that budget as well as any items purchased for the project using that budget is allocated to the newly formed CIC, which will undertake the remainder of the project by way of a grant. It involves no additional spend to that already provided for the Project so there are no financial implications resulting from issuing a grant.
- 5.2 A significant proportion of the grant will be needed to pay the Project Manager's salary. It is estimated that there will be c£13,300 remaining once the salary costs

¹ OFCOM are no longer issuing Community Radio FM licences but Alicia Kearns (MP) is exploring future possibilities through the DCMS.

have been paid.

- 5.3 The costs of employing the Project Manager including administering a salary and line management are currently absorbed by the Council as this work is undertaken by officers. There is no budget for the employment costs other than the salary, which would become the responsibility of the CIC if the Project is transferred.

6 LEGAL AND GOVERNANCE CONSIDERATIONS

- 6.1 This is not a key decision as it is for a grant which is less than £50,000. A budget was created by the previous Chief Executive using delegated powers which means that Cabinet has as yet not had any input into the Project so it is appropriate for the decision in relation to the issuing of a grant to the CIC to undertake the remainder of the Project to be made by Cabinet.
- 6.2 The Project was to investigate the feasibility of launching a community radio station for Rutland. The Board has identified that launching a pilot station is a necessary part of the feasibility study and as such falls within the remit of the Project.
- 6.3 The CIC will be required to sign a grant agreement which will provide some governance in relation to how the grant is spent.

7 DATA PROTECTION IMPLICATIONS

- 7.1 There are no Data Protection implications arising from this report.

8 EQUALITY IMPACT ASSESSMENT

- 8.1 There are no equalities implications arising from this report.

9 COMMUNITY SAFETY IMPLICATIONS

- 9.1 The provision of a community-based radio platform with community focused content would, if successful, have a positive impact on Community Safety as it would be a forum for sharing community safety advice and information.

10 HEALTH AND WELLBEING IMPLICATIONS

- 10.1 The establishment of a radio station aims to provide the local community with a sense of belonging and understanding of the local area and a feeling of connection with others in the local area, driving increased wellbeing

11 ORGANISATIONAL IMPLICATIONS

11.1 Human Resource implications

- 11.2 If the responsibility for completing the feasibility project is transferred to the CIC along with the budget for the Project then it is expected that the Project Manager post will also transfer to the CIC in accordance with the Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE).

- 11.3 There is no minimum consultation period for a TUPE transfer and as the Project Manager postholder, the CIC and in the event of Cabinet approval, the Council all support the transfer then it could be effective within a short time of a Cabinet decision to support the proposals in this Report.
- 11.4 The intention is that the transfer of the Project Manager post to the CIC will be completed as soon as possible, and hopefully prior to the pilot station broadcasting.
- 11.5 The transfer of the Project Manager post to the CIC removes any conflict of interest as it is anticipated that the Project Manager will undertake some broadcasting on the Pilot station. It is preferable that he broadcasts as an employee of the independent CIC formed to complete the Project as opposed to as a Council employee.
- 11.6 The Project Manager post is a fixed term post created for the sole purpose of managing this Project and the transfer of the post would not in itself be an issue for the Council. The Council would want assurances from the CIC that they would administer the Project Manager's salary, with lawful deductions being made and undertake appropriate line management for the post holder.

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

- 12.1 The transfer of the Project to a CIC will enable the Project to be completed in that it will be possible to complete all of the stages required to establish and test a pilot radio station.

13 BACKGROUND PAPERS

- 13.1 There are no additional background papers to the Report.

14 APPENDICES

- 14.1 Appendix 1: Project Feasibility Interim Report
- 14.2 Appendix 2: Supporting Justification
- 14.3 Appendix 3: Financial Information and Assumptions (Exempt)

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

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Rutland and Stamford Community Radio Project

Independent Project Board

Project Feasibility Interim Report ¹

Introduction

During the first phase of the *Community Radio Project* (the Project), an initial study has been completed into the feasibility of establishing a community based radio station. As a result of the due diligence completed to date the *Independent Project Board* (the Board) has unanimously agreed that there is proven evidence of sufficient demand for a community radio station to serve the Rutland and Stamford area and that it is technically feasible to quickly establish a pilot station.

The Board is now recommending that the Project is progressed to the next phase with the timely implementation of *Rutland and Stamford Sound* (the Pilot Station) that will both validate the expected community demand and confirm the feasibility of a suitable operational platform.

The Pilot Station needs to be independent of *Rutland County Council* (RCC) to be able to seek advertising, grant funding and/or apply for a licence from Ofcom. It is therefore necessary that this second phase of the Project is delivered by an independent organisation.

This Report is to inform RCC that the next stage of the Project involves the setting up of an independent *Community Interest Company* (CIC) to manage the activities of the Pilot Station and to support the Board's request that the remaining balance of the RCC budget allocated to the Project be issued as a grant to the CIC, once formed.

The interim report sets out the key conclusions from the work undertaken by the Project to date, the reasons for selecting a CIC to operate the Pilot Station and proposals for the ongoing governance of the Project. The attached appendix provides detailed information to support the Board's recommendations.

¹ Last revised Tuesday 15th December 2020, 15:45, Controlled Version 12

Background

Following takeover which resulted in a rebranding and refocussing of Rutland's local radio station², RCC set up the Project on 28th August 2020 to investigate the feasibility of developing a community based radio platform for Rutland and Stamford.

RCC appointed Rob Persani on a fixed term contract to manage the Project until no later than 14 September 2021. RCC allocated a budget of £50,000 to the Project, to include the costs of the Project Manager's salary.

The Board, comprising 6 members, was appointed in early November 2020 by community representatives selected for their mix of skills, qualifications and experience to provide governance, scrutiny and validation for the successful definition and delivery of the Project thus providing accountability to the local community for the Project's stated aims³. The Board has worked closely with the Project Manager throughout this first stage of feasibility analysis for the Project.

This interim report is based on the Board's thorough evaluation of the demand for, and anticipated feasibility of, a community-based radio platform for the Rutland and Stamford area. It has involved careful consideration of a number of different delivery platforms and structures.

Key Conclusions from work completed to date

The Board has agreed that:

- There is proven evidence of sufficient demand for a community radio station to now justify the timely progression of the feasibility study to a validation phase (the Pilot Station).
- The Pilot Station will be called "Rutland and Stamford Sound" to legally distinguish it from the historic "Rutland Radio" name retained by Bauer Consumer Media Ltd, and to recognise the communities of Rutland and Stamford that it will support. The term "Sound" recognises the various

² Bauer Consumer Media Ltd, operating as Greatest Hits Radio with limited community focus.

³ A complete description of the Board's Duties and Responsibilities, Membership and Operational organisation is given in the Terms of Reference (TOR) which is published on the Rutland County Council (RCC) website

methods of delivery that are gaining wide popularity in the radio community⁴, and the name “Rutland and Stamford Sound” gained most popularity in the listener survey undertaken during early stages of the Project. Bauer have no objection to the name.

- There is a need to progress matters swiftly to retain audience interest, provide accountability to the community for the Project and to bring clarity with respect to other potential station bids.
- The platform for the Pilot Station must be online initially at least to ensure that it is technically and operationally achievable in the short term and that the requested grant from RCC, will be sufficient to adequately run the Pilot Station for the remaining duration of the feasibility study.
- During the next phase of the Project, opportunities will be actively sought to build advertising income and to attract incremental grant funding, to sustain a community radio station beyond the feasibility study using an online, FM⁵ and/or SSDAB⁶ platform as and when licences become available and if it has been successfully demonstrated that there is a large enough audience to cover the cost base.

Legal Structure to oversee the Pilot Station

- To ensure that the Pilot Station is recognised as being independent and to facilitate broad community engagement, the Pilot Station will operate separately from RCC to undertake the remaining requirements of the feasibility study defined by the Project.
- To achieve separation within a legitimate framework an independent CIC limited by guarantee is in the process of being created with a minimum of two Directors from the existing Independent Project Board⁷.
- Any Board members not transferring to the CIC Board will continue to participate in a Steering Committee to check and challenge the good governance of the company and the proper use of grant funds.

⁴ For example, Leicester Sound, Wycombe Sound, Amber Sound FM.

⁵ A method of broadcasting using frequency modulation (FM)

⁶ Small-scale DAB; a new way of way of transmitting digital radio to a relatively small geographic area

⁷ Initially for the remainder of their tenure to 14 September 2021 but re-electable thereafter.

- The CIC not-for-profit model is successfully used in the community radio arena⁸. Two existing Board members have experience of establishing and managing successful Rutland based CIC's⁹. It is a reliable model for community accountability and handling grant funding.
- The new company will operate independently with full responsibility for managing all aspects of the Pilot Station, including establishing communication channels to maximise community engagement.
- The grant being sought from RCC, will include any pre-purchased assets, remaining agreed salary costs for the Project Manager and any other remaining monies up to the original £50,000 allocation to fund content, advertising, marketing, production/technical and overheads¹⁰.
- If RCC does agree to the budget being allocated to the CIC as a grant and the CIC is then responsible for delivering the Project then it is almost certain that the Project Manager will transfer to the CIC in accordance with the provisions of the Transfer of Undertakings (Protection of Employment) Regulations 2006.
- While the CIC is initially being established for the purpose of operating the Pilot Station, implementation of the second phase of the Project will be completed in a manner which facilitates the CIC assuming responsibility for operating a community radio station beyond September 2021, if the Pilot Station demonstrates that there is sufficient demand.

Ongoing Governance and Accountability

- The CIC will be accountable to RCC to evidence that the grant money is used for its intended purpose, in particular the payment of the Project Manager's salary.
- An interim report will be provided 3 months after go-live of the Pilot Station with a final report within 1 month of the conclusion of the Project (by 14 October 2021).
- The Board understands that the Project Manager's salary will need to be administered properly with the appropriate deductions being made.

⁸ For example, Ridgeway Community Radio CIC in Dorset, Coast Community Radio CIC in Clywd, and Leicester Community Radio CIC

⁹ Inspire2tri Community Interest Company and Root-and-Branch-out

¹⁰ As detailed in the Pilot Project Budget

- In the event that the Project is terminated early, any remaining unallocated monies after the Project has been properly wound up would be returned to RCC.
- The Board acknowledges that the costs of administering the Project Manager's salary must be found by the CIC from incremental revenue sources.
- The Chair of the newly created CIC Board will undertake line management responsibilities for the Project Manager. In the Chair's absence, this responsibility will be delegated to the Company Secretary or other Board member with line management experience.
- The Project Manager will assume some broadcasting responsibilities within the Pilot Station. The Board is aware that, prior to transfer from RCC employment, it will be the Board's responsibility to notify RCC if they are aware of any policy breach during broadcast by the Project Manager that could lead to potential disciplinary action.

Recommendation to RCC Cabinet

The Board therefore asks RCC to agree that:

1. The remaining balance of the RCC budget allocated to the Project to include any items already purchased from the budget for the purpose of the Project, will be issued as a grant to the CIC, once formed, to continue with the Project which will include the implementation of the Pilot Station through to the end of the feasibility study by no later than 14 September 2021.
2. They will not oppose the transfer of the Project Manager post to the CIC. The majority of the grant will be for the payment of the Project Manager's salary for the full term of the Project.

Signed on behalf of all members of the Board on 14th December 2020



**Mary Hardwick BSc, MBA, PhD, MBCS, CITP, FIOD
(Chair)**




**David Lewis, BSc, ARCS
(Secretary)**



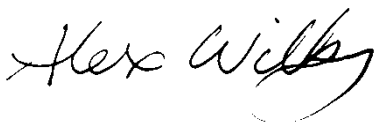
Mick Meadows BA, 4 x Sony Award winner as an Executive Radio Producer



Sarah Press BA, MA, MBACP



Heather Sharpe PGDip FCCA



Alex Wilby

SUPPORTING JUSTIFICATION

All recommendations for the nature and operation of the Pilot Station proposed under phase 2 of the feasibility study are based on 10 Guiding Principles which the Board developed to provide demonstrable measures of success for the Project and for its stakeholders.

1. That the Pilot Station's output is focussed on supporting the Local Community and increasing wellbeing in the Rutland and Stamford Area.

The Board reviewed the results of the Listener Survey which provided key findings with regard to expectations for the output of a new radio station:

- A source of local news and information on local events
- A sense of belonging and understanding of the local area
- A feeling of connection with others in the local area, driving increased wellbeing.

It was agreed that these elements were only partially served by Greatest Hits Radio in their delivery model and that filling this gap would provide an attractive offering to the community with sufficient differentiation from the current station.

A demographic analysis provided further insight into the types of activities that would appeal to differently aged audiences and it was noted that this mirrored the emphasis on community of the original Rutland Radio station, further validating the output goals.

2. That the Pilot Station's branding and content, whilst building on the essence of the community aspects of the original Rutland Radio station, will differ sufficiently to ensure that it is recognised as a completely new Radio station serving Rutland and Stamford.

The Board agreed that, in focussing on the local community, the Pilot Station would capture the desirable community features of the original radio station, whilst remaining sufficiently distinct from the current offering of Greatest Hits Radio.

The naming of the Pilot Station must also reflect its new mission and not use wording that is owned or protected by Bauer Media (Greatest Hits Radio).

Furthermore that this would:

- Create distinction in choice for the prospective audience.
- Enable co-existence without conflict between the Pilot Station and the existing Commercial Radio station.

3. That various opportunities can be provided for wide ranging community involvement in relevant aspects of branding, delivery and content.

The Board agreed that to justify RCC grant funding and to differentiate the Project from other proposals for the Rutland (and Stamford) area, that it should seek community input for development of the Station and in doing so audience awareness and engagement would be increased.

It is anticipated that a substantial portion of the Pilot Station's output will be delivered by volunteers from within the local community. The work done to date has identified a number of enthusiastic volunteers with prior experience in professional broadcasting.

4. That initial broadcasting of the Pilot Station can start within 3 months in order to capitalise on existing demand

Given a good level of current demand for a community radio station, the Board felt that there was a tangible risk that this demand might erode over time and compromise the overall success of the Project without a viable proposal that could be implemented in the short term (1-3 months).

The Board noted that this requirement would drive an initial platform selection (i.e. online as opposed to FM or SSDAB) that would limit audience reach and so realistic estimates of audience numbers needed to be evaluated with this in mind.

5. That all proposals are justified by realistic estimates of audience numbers and future revenue streams

Audience numbers

Given the above requirement for a near-term solution, the Board reviewed estimates of potential audience numbers based on available information and knowledge, including:

- Survey results, including the content listened to and the times and mode of listening.
- Historic information from Rutland Radio.
- Case studies from other Community Stations
- Examples of audience loyalty to key presenters and how this may influence listening numbers for similar propositions

Audience predictions were subsequently prepared for both an online-only model and FM¹ and/or SSDAB models.

The Board agreed that, there was sufficient evidence of numbers to justify an initial delivery on an online platform that would provide a basis from which to grow future interest and development.

Future revenue streams

Given the above requirement for a short term solution, the Board evaluated financial viability to deliver a Pilot Station and the incremental cost of a future FM licence.

Revenue streams were evaluated from three sources:

- Initial funding from RCC in the form of a transferrable grant from the original Project allocation for salary, assets and running costs.
- Conservative estimates of possible advertising revenue on an online platform.
- Potential incremental Grant sources.

A detailed Financial Analysis was prepared with this information and reviewed by the Board who agreed that the RCC remaining funds, if granted, are sufficient to run the Pilot Station through to mid-September 2021 should no additional income be achieved.

¹ OFCOM are no longer issuing Community Radio FM licences but Alicia Kearns (MP) is exploring future possibilities through the DCMS.

6. That the funding required for the Pilot Station could be met from the RCC Radio Project budget (if granted), giving time to plan and resource sustainable growth.

As noted above, the Board agreed that the Pilot Station could be adequately funded until Sept 14 2021 from the RCC Radio Project budget, if allocated as a grant. This will provide a window of 6-8 months to organically grow the audience through media activity; to validate the project concept and to build ongoing advertising and grant revenue.

To support a community radio station beyond September 2021 it will be necessary to establish sustainable revenue streams. Incremental grant sources would be important to the successful development of new platforms (FM/SSDAB) but would potentially take longer to source and will only be accessible with a legal independent company structure (CIC) in place.

7. That the initial operating model for the Pilot Station is flexible enough to be scalable, as and when future technological developments provide opportunities for expansion, with minimal disruption to the quality of the station's output.

The Board agreed that any initial delivery platform should provide a cost effective basis from which further expansion could occur in a responsive, cost effective and efficient way with no "throw away" expenditure.

The future availability of a Community FM licence and/or SSDAB licence were both considered in depth from a cost benefit perspective and financial models were created that represented the likely timeline of these options becoming available.

The Project Manager explained in detail how the envisaged online product could be transitioned to take advantage of either development.

The Board agreed that the online operating model, as presented, would be suited to meet this need.

The Board noted that Ofcom is always keen to see radio stations doing feasibility runs before full launch to gather data on listening, effectiveness of advertising and running costs and therefore a Pilot Station approach will build our relationship with Ofcom and support potential future bids for FM or digital licences.

8. That the method of delivering the Pilot Station is operational and technically reliable.

The Board were concerned to validate that the operational delivery proposed for an online "from home" station with respect to equipment usage and volunteer presenters would be sufficiently reliable to avoid downtimes².

The Project Manager explained the methodologies that would be used to ensure reliability and the Board agreed that these supported a viable proposition for the Pilot Station. The budget includes contingency planning.

² Possible reasons for outages have been reviewed with acceptable downtime metrics under development.

- 9. That the Project Manager will transfer to 'Rutland and Stamford Sound' and who alongside any broadcast duties, will be accountable to the Directors for the effective management of the Pilot Station.**

The Board acknowledge and welcome the transfer of the Project Manager post to 'Rutland and Stamford Sound'. The Project Manager would have administrative and volunteer support and would ensure the effective management and development of the Station.

The financial models consistently reflect this requirement.

- 10. That all aspects of setting up and operating the Pilot Station give due consideration to good environmental practice.**

The Board agreed that by adopting a home-based operating model the project eliminated the need for office and routine transport costs.

CABINET

12th January 2021

SPENDING OF COMMUTED SUMS FOR AFFORDABLE HOUSING

Report of the Strategic Director - Places

Strategic Aim:	Delivering sustainable development Protecting the vulnerable	
Key Decision: Yes	Forward Plan Reference: FP/271120	
Exempt Information	Appendix B of this report contains exempt information and is not for publication in accordance with Part 1 of Schedule 12A of the Local Government Act 1972. Further details can be seen in paragraph 14.1 below.	
Cabinet Member(s) Responsible:	Mr G Brown, Portfolio Holder for Planning and Finance	
Contact Officer(s):	Penny Sharp, Strategic Director - Places	01572 722577 psharp@rutland.gov.ukl
	James Faircliffe , Housing Strategy & Enabling Officer	01572 758238 jfaircliffe@rutland.gov.uk
Ward Councillors	Ms J Burrows, Mr I Razzell, Mr N Woodley.	

DECISION RECOMMENDATIONS

That Cabinet:

1. Approves a grant of £650,000 to the Platform Housing Group for the development on the former allotments at Brooke Road, Oakham subject to planning consent and a satisfactory funding agreement.
2. That the Strategic Director - Places be authorised to conclude the funding agreement in consultation with the Portfolio Holder for Planning and Finance

1 PURPOSE OF THE REPORT

- 1.1 This report considers further information on the bid by Platform Housing Group for £650,000 from the Rutland Affordable Housing Fund for the former allotment site at Brooke Road, Oakham. Much of this information has been received since funding was approved in principle by Cabinet on 17 November 2020. This current report proposes that the grant be approved, subject to planning consent and a satisfactory funding agreement being concluded.

2 BACKGROUND AND MAIN CONSIDERATIONS

- 2.1 On 17 November 2020, Cabinet considered a report on a Prioritised Programme for Spending of Commuted Sums for Affordable Housing (report number 133/2020). Cabinet approved the principle of using affordable housing commuted sums towards the site of the former Brooke Road allotments in Oakham shown in Appendix A of the November report, subject to a further report to the Cabinet once further information is available.
- 2.2 It has now been clarified that Platform Housing Group (formerly known as De Montfort / Waterloo) are expected to acquire the site and develop it wholly as affordable housing subject to planning and funding. The new properties are required to last for at least 60 years. Platform already have 200 affordable homes in Rutland. Further information on Platform's considerable experience is in Appendix A.
- 2.3 Further information on the proposal is in Appendix B, which is exempt from publication. The additional information provided is regarded sufficient for the Council to provide the grant of £650,000 to Platform, subject to planning consent and a satisfactory funding agreement.

3 CONSULTATION

- 3.1 Negotiations have been held with Platform Housing Group to help ensure that the benefits of the scheme are maximised and address identified local needs.
- 3.2 Consultation with the public will be through the planning process.

4 ALTERNATIVE OPTIONS

- 4.1 The Council could decide not to fund the development or to fund it at a lower level, but this could lead to it not going ahead and the loss of a substantial amount of affordable housing.
- 4.2 The Council could provide more grant than has been requested by Platform, but this is not considered to be a prudent use of resources.
- 4.3 The Council is not able to make a loan instead of a grant because the development would not be viable.

5 FINANCIAL IMPLICATIONS

- 5.1 The Council holds £932,000 in developer contributions for affordable housing, of which £701,000 can only be spent in Oakham and Barleythorpe because of the terms of the legal agreements. The grant sought is £650,000.

6 LEGAL AND GOVERNANCE CONSIDERATIONS

- 6.1 The Council is able to make grant payments to housing associations for rented accommodation under sections 24 and 25 of the Local Government Act 1988, using “The General Consent under Section 25 of the Local Government Act 1988 for Financial Assistance to any Person 2010”. As the legislation specifically permits this and the Council does not own the asset, this is different from a contract agreement. It will be down to the provider to design and deliver the affordable housing. The Council will still need to ensure that the process is fair and constitutes good value for money and that the payment remains within the exemptions in the State Aid rules.
- 6.2 Making a substantial grant available to a housing association potentially raises State Aid implications, because public funds are being used to support a specific housing association within the overall market of social housing providers. However, provided that certain conditions are followed, the grant arrangement will be compatible with State Aid rules. This is because the grant is intended to support an organisation which is helping the council provide public service functions (in this case, social housing) or what is termed in EU law, “Services of General Economic Interest” (SGEIs)
- 6.3 Following the ECJ decision in Altmark (2003) and an EC Decision on SGEIs in 2011, it has been established that it is not necessary for the council to have undertaken a competitive process to select a particular housing association provider to work with, but it is necessary for the grant to be used to fund the cost of public service functions and to be transparently accounted for.
- 6.4 One way that this can be done is for a robust grant agreement to be put in place, for example, giving the council nomination rights over the properties for a substantial period and putting the provider under an obligation to repay the funds should there be any attempt to dispose of the properties or otherwise make them unavailable for social housing, during the grant period.
- 6.5 A grant agreement would be put in place to support this expenditure, with appropriate grant conditions attached to facilitate the provision of the Council’s desired outcomes and timescale for the funding, as well as the State Aid requirements.
- 6.6 The matter of the grant agreement has been sent to external solicitors. They have been forwarded the Council's standard 26 page document, which it is envisaged that the solicitors will use. This provides many clauses regarding the proper use of the grant and appropriate conduct. Senior Officers acting on professional legal advice will approve the final document.
- 6.7 The draft agreement includes a schedule of the types and tenures of the properties proposed to be built and the need to meet regulatory requirements. It also includes timescales for the development. The detail of the agreement is subject to negotiation and the planning process, but it currently envisages a start on site of August 2021 and completion by July 2023, with a 'longstop' date in case of delays of February 2024. Half the grant would be paid within 28 days of an invoice following the scheme's start on site with the remainder paid within 28 days of an invoice following its practical completion.

6.8 The scheme will also be subject to Homes England funding requirements which provide substantial reassurance.

7 DATA PROTECTION IMPLICATIONS

7.1 A Data Protection Impact Statement has not been carried out because the funding of the projects in itself will involve little risk to personal data.

8 EQUALITY IMPACT ASSESSMENT

8.1 An Equality Impact Assessment (EqIA) has been completed. Meeting housing need inevitably means deciding what types of housing are a priority in the context of overall need, supply and resources. Any differential impact is proportionate and justified.

9 COMMUNITY SAFETY IMPLICATIONS

9.1 The developments will make use of under-used land and reduce the chance of these areas being used for anti-social behaviour. 'Sustainability – social' was one of the assessment criteria used for the bids.

10 HEALTH AND WELLBEING IMPLICATIONS

10.1 Housing is one of the 'wider determinants of health'. Providing good quality housing for people with housing need is likely to promote their wellbeing.

11 ORGANISATIONAL IMPLICATIONS

11.1 Environmental implications

11.2 The proposed development is within walking distance (350 metres) of Oakham town centre, which is a major benefit for an affordable housing scheme. Any environmental implications will be addressed through the planning process.

12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS

12.1 The Council holds a substantial amount of money collected from developers for the provision of off-site affordable housing. It is important for the Council to spend these resources, not only for meeting immediate housing need but also to help justify holding and collecting these sums in the future.

12.2 The additional information provided by Platform Housing Group means that the grant from the Rutland Affordable Housing Fund can now be approved, subject to planning consent and a satisfactory funding agreement being concluded. The recommendations will help to enable the development of 40 affordable homes for those in need, provided funding from Homes England is also available to Platform.

13 BACKGROUND PAPERS

13.1 There are no additional background papers to this report.

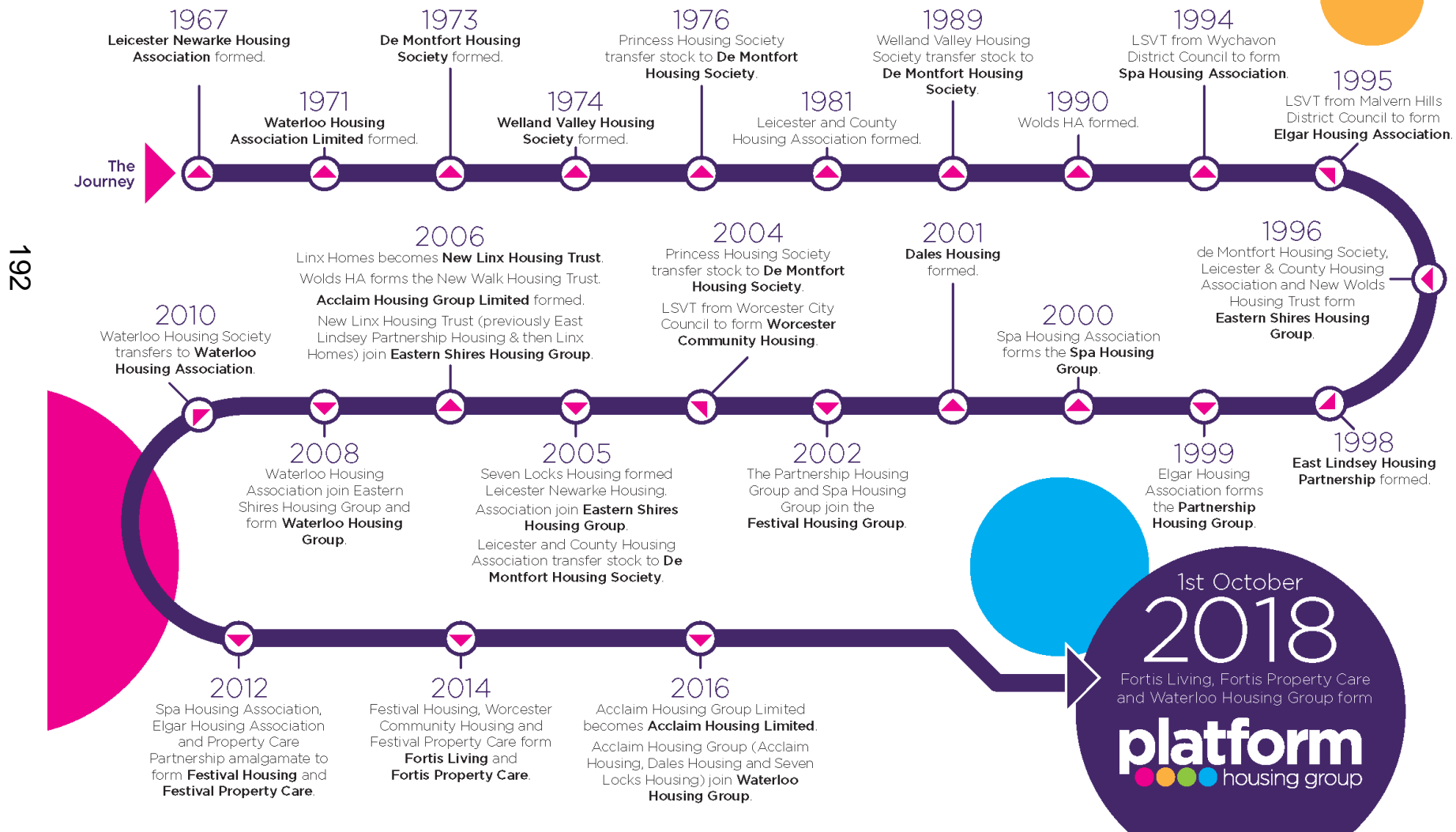
14 APPENDICES

- 14.1 Appendix A – Our Journey to Platform Housing Group.
- 14.2 Exempt Appendix – Appendix B is marked as “Not For Publication” because it contains exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972, namely Information relating to the financial or business affairs of any particular person (including the authority holding that information).

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

Appendix A

OUR JOURNEY TO PLATFORM HOUSING GROUP



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

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