

**Democratic Services**

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**Date:** 3 September 2013  
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**To: All Members of the Cabinet**

Councillor Paul Crossley	Leader of the Council
Councillor David Dixon	Deputy Leader and Cabinet Member for Neighbourhoods
Councillor Simon Allen	Cabinet Member for Wellbeing
Councillor Tim Ball	Cabinet Member for Homes and Planning
Councillor David Bellotti	Cabinet Member for Community Resources
Councillor Katie Hall	Cabinet Member for Community Integration
Councillor Caroline Roberts	Cabinet Member for Transport
Councillor Dine Romero	Cabinet Member for Early Years, Children and Youth
Councillor Ben Stevens	Cabinet Member for Sustainable Development

Chief Executive and other appropriate officers  
Press and Public

Dear Member

**Cabinet: Wednesday, 11th September, 2013**

You are invited to attend a meeting of the **Cabinet**, to be held on **Wednesday, 11th September, 2013 at 6.30 pm** in the **Council Chamber - Guildhall, Bath**.

The agenda is set out overleaf.

Yours sincerely

Col Spring  
for Chief Executive

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The decisions taken at this meeting of the Cabinet are subject to the Council's call-in procedures. Within 5 clear working days of publication of decisions, at least 10 Councillors may signify in writing to the Chief Executive their wish for a decision to be called-in for review. If a decision is not called-in, it will be implemented after the expiry of the 5 clear working day period.

**If you need to access this agenda or any of the supporting reports in an alternative accessible format please contact Democratic Services or the relevant report author whose details are listed at the end of each report.**

This Agenda and all accompanying reports are printed on recycled paper

## NOTES:

- 1. Inspection of Papers:** Any person wishing to inspect minutes, reports, or a list of the background papers relating to any item on this Agenda should contact Col Spring who is available by telephoning Bath 01225 394942 or by calling at the Riverside Offices Keynsham (during normal office hours).
- 2. Public Speaking at Meetings:** The Council has a scheme to encourage the public to make their views known at meetings. They may make a statement relevant to what the meeting has power to do. They may also present a petition or a deputation on behalf of a group. Advance notice is required not less than two full working days before the meeting (this means that for meetings held on Wednesdays, notice must normally be received in Democratic Services by 4.30pm the previous Friday but Bank Holidays will cause this to be brought forward).

The public may also ask a question to which a written answer will be given. Questions must be submitted in writing to Democratic Services at least two full working days in advance of the meeting (this means that for meetings held on Wednesdays, notice must normally be received in Democratic Services by 4.30pm the previous Friday but Bank Holidays will cause this to be brought forward). If an answer cannot be prepared in time for the meeting it will be sent out within five days afterwards. Further details of the scheme can be obtained by contacting Col Spring as above.

- 3. Details of Decisions taken at this meeting** can be found in the minutes which will be published as soon as possible after the meeting, and also circulated with the agenda for the next meeting. In the meantime details can be obtained by contacting Col Spring as above.

Appendices to reports are available for inspection as follows:-

**Public Access points** - Riverside - Keynsham, Guildhall - Bath, Hollies - Midsomer Norton, and Bath Central, Keynsham and Midsomer Norton public libraries.

**For Councillors and Officers** papers may be inspected via Political Group Research Assistants and Group Rooms/Members' Rooms.

- 4. Attendance Register:** Members should sign the Register which will be circulated at the meeting.
- 5. THE APPENDED SUPPORTING DOCUMENTS ARE IDENTIFIED BY AGENDA ITEM NUMBER.**
- 6. Emergency Evacuation Procedure**

When the continuous alarm sounds, you must evacuate the building by one of the designated exits and proceed to the named assembly point. The designated exits are sign-posted.

Arrangements are in place for the safe evacuation of disabled people.

- 7. Officer Support to the Cabinet**  
Cabinet meetings will be supported by the Senior Management Team.
- 8. Recorded votes**  
A recorded vote will be taken only when requested by a member of Cabinet.

**Cabinet - Wednesday, 11th September, 2013**

**in the Council Chamber - Guildhall, Bath**

**A G E N D A**

1. WELCOME AND INTRODUCTIONS

2. EMERGENCY EVACUATION PROCEDURE

*The Chair will draw attention to the emergency evacuation procedure as set out under Note 6*

3. APOLOGIES FOR ABSENCE

4. DECLARATIONS OF INTEREST

*At this point in the meeting declarations of interest are received from Members in any of the agenda items under consideration at the meeting. Members are asked to indicate:*

*(a) The agenda item number in which they have an interest to declare.*

*(b) The nature of their interest.*

*(c) Whether their interest is **a disclosable pecuniary interest** or an **other interest**, (as defined in Part 2, A and B of the Code of Conduct and Rules for Registration of Interests)*

*Any Member who needs to clarify any matters relating to the declaration of interests is recommended to seek advice from the Council's Monitoring Officer before the meeting to expedite dealing with the item during the meeting.*

5. TO ANNOUNCE ANY URGENT BUSINESS AGREED BY THE CHAIR

6. QUESTIONS FROM PUBLIC AND COUNCILLORS

*Questions submitted before the deadline will receive a reply from an appropriate Cabinet member or a promise to respond within 5 days of the meeting. Councillors may ask one supplementary question for each question they submitted, up to a maximum of two per Councillor.*

7. STATEMENTS, DEPUTATIONS OR PETITIONS FROM PUBLIC OR COUNCILLORS

*Councillors and members of the public may register their intention to make a statement if they notify the subject matter of their statement before the deadline. Statements are limited to 3 minutes each. The speaker may then be asked by Cabinet members to answer factual questions arising out of their statement.*

8. MINUTES OF PREVIOUS CABINET MEETING (Pages 5 - 14)

*To be confirmed as a correct record and signed by the Chair*

9. CONSIDERATION OF SINGLE MEMBER ITEMS REQUISITIONED TO CABINET

*This is a standard agenda item, to cover any reports originally placed on the Weekly list for single Member decision making, which have subsequently been the subject of a Cabinet Member requisition to the full Cabinet, under the Council's procedural rules*

10. MATTERS REFERRED BY POLICY DEVELOPMENT AND SCRUTINY BODIES

*This is a standing agenda item (Constitution rule 14, part 4D – Executive Procedure Rules) for matters referred by Policy Development and Scrutiny bodies. The Chair of the relevant PDS Panel will have the right to attend and to introduce the Panel's recommendations to Cabinet.*

11. SINGLE MEMBER CABINET DECISIONS TAKEN SINCE PREVIOUS CABINET MEETING (Pages 15 - 16)

*This report lists the Cabinet Single Member decisions taken and published since the last Cabinet meeting.*

12. ENERGY EFFICIENCY & RENEWABLE ENERGY GUIDANCE FOR LISTED BUILDINGS AND UNDESIGNATED HISTORIC BUILDINGS (Pages 17 - 62)

*To report on progress of the implementation of the Sustainable Construction & Retrofitting SPD*

13. CHILDCARE SUFFICIENCY ASSESSMENT 2013 (Pages 63 - 98)

*The Childcare Act 2006 requires Councils to undertake and publish a sufficiency assessment of childcare in their area every 3 years*

14. REVENUE AND CAPITAL BUDGET MONITORING, CASH LIMITS AND VIREMENTS - APRIL 2013 TO JULY 2013 (Pages 99 - 128)

*This report presents the first monitoring information for the Authority as a whole for the financial year 2013/14 to the end of July 2013. The report also includes a number of budget transfer requests for both revenue and capital*

15. TREASURY MANAGEMENT MONITORING REPORT TO 30TH JUNE 2013 (Pages 129 - 150)

*This report gives details of performance against the Council's Treasury Management Strategy and Annual Investment Plan 2013/14 for the first 3 months of 2013/14*

16. EMPTY PROPERTY POLICY: ENFORCEMENT ACTION (Pages 151 - 184)

*This report seeks a decision from Cabinet on initiating formal enforcement action to recover one or more high priority empty properties. The Cabinet will first be asked to agree that appendices 1 and 2 are exempt from publication.*

The Committee Administrator for this meeting is Col Spring who can be contacted on 01225 394942.

These minutes are draft until confirmed as a correct record at the next meeting.

**BATH AND NORTH EAST SOMERSET**

**CABINET**

Wednesday, 10th July, 2013

**Present:**

Councillor Paul Crossley	Leader of the Council
Councillor David Dixon	Deputy Leader and Cabinet Member for Neighbourhoods
Councillor Simon Allen	Cabinet Member for Wellbeing
Councillor Tim Ball	Cabinet Member for Homes and Planning
Councillor David Bellotti	Cabinet Member for Community Resources
Councillor Caroline Roberts	Cabinet Member for Transport
Councillor Dine Romero	Cabinet Member for Early Years, Children and Youth
Councillor Ben Stevens	Cabinet Member for Sustainable Development

**28 WELCOME AND INTRODUCTIONS**

The Chair was taken by Councillor Paul Crossley, Leader of the Council.  
The Chair welcomed everyone to the meeting.

**29 EMERGENCY EVACUATION PROCEDURE**

The Chair drew attention to the evacuation procedure as set out in the Agenda.

**30 APOLOGIES FOR ABSENCE**

There were no apologies for absence.

**31 DECLARATIONS OF INTEREST**

There were none.

**32 TO ANNOUNCE ANY URGENT BUSINESS AGREED BY THE CHAIR**

There was none.

**33 QUESTIONS FROM PUBLIC AND COUNCILLORS**

There were 16 questions from the following Councillors: Will Sandry (2); Sharon Ball (3); Geoff Ward (4); Charles Gerrish (3); Michael Evans; Liz Richardson, Anthony Clarke (2).

There were 3 questions from the following members of the public: Sean Moore; Lesley Mansell; Simon Whittle.

*[Copies of the questions and response, including supplementary questions and responses if any, have been placed on the Minute book as Appendix 1 and are available on the Council's website.]*

## 34 STATEMENTS, DEPUTATIONS OR PETITIONS FROM PUBLIC OR COUNCILLORS

Anthony Acton (Vice-Chair, Corston PCC) in a statement *[a copy of which is attached to these Minutes as Appendix 3 and on the Council's website]* asked for a controlled crossing and pedestrian refuge on the A39 in Corston near the church.

He presented a petition of 170 signatures to Cabinet.

The Chair referred the petition to Councillor Caroline Roberts for her response in due course.

Lin Patterson (Campaign to Save Larkhall Toilets) in a statement *[a copy of which is attached to these Minutes as Appendix 4 and on the Council's website]* reminded the Cabinet of the arguments for retaining public toilets which included public health, equality, environmental and local economy issues. She urged the Cabinet to retain the toilets in response to the 534 signature petition previously submitted.

Lesley Mansell (Chair, Radstock Town Council) in a statement said that a holistic view should be taken about the future of the Victoria Hall but she was disappointed that the views of the Town Council had been ignored. Given that 80% of respondents had asked for community use of the hall, it was not enough that only 20 hours of community use was being offered. She was concerned by the lack of consultation and felt that the hall must be returned to community use.

Councillor Eleanor Jackson in a statement *[a copy of which is attached to these Minutes as Appendix 5 and on the Council's website]* said that she was pleased the Victoria Hall was being renovated but felt that opportunities had been lost to return the hall to community use by moving the library, Town Council and youth hub into the building. She asked Cabinet to refer the issue of community use of the hall to the relevant PDS Panel.

Kirsty Hafford (Radstock Resident) in a statement *[a copy of which is attached to these Minutes as Appendix 6 and on the Council's website]* in which she supported the proposed use of Victoria Hall, Radstock, as an arts centre for community and arts events which she felt would build cross-generational links and boost community cohesion.

Judith Chubb-Whittle (Chair, Stanton Drew Parish Council) in a statement *[a copy of which is attached to these Minutes as Appendix 7 and on the Council's website]* referred to a written statement issued on behalf of Eric Pickles, Secretary of State for Communities and Local Government in which he said that the single issue of unmet demand would be unlikely to outweigh harm to the green belt.

Karen Abolkheir (Stanton Wick Action Group) in a statement *[a copy of which is attached to these Minutes as Appendix 8 and on the Council's website]* made a number of observations about the shale tip at Stanton Wick and explained why she felt that proposals to develop the site should not succeed.

Clarke Osborne (Chair, Stanton Wick Action Group) in a statement *[a copy of which is attached to these Minutes as Appendix 9 and on the Council's website]* referred to the slow progress made on the Gypsy and Travellers DPD. He asked Cabinet to ensure that officers were fully aware of recent guidance from government about the unsuitability of Gypsy and Travellers Sites in the green belt.

The Chair assured the speakers that a Q&A sheet on the Gypsy Travellers DPD would be added to the Council's website and it would be updated with responses to

any questions raised. He assured the speakers that the Cabinet was determined to bring about the right outcome.

### **35 MINUTES OF PREVIOUS CABINET MEETING**

On a motion from Councillor Paul Crossley, seconded by Councillor David Dixon, it was

**RESOLVED** that the minutes of the meeting held on Wednesday 12<sup>th</sup> June 2013 be confirmed as a correct record and signed by the Chair.

### **36 CONSIDERATION OF SINGLE MEMBER ITEMS REQUISITIONED TO CABINET**

There were none.

### **37 MATTERS REFERRED BY POLICY DEVELOPMENT AND SCRUTINY BODIES**

The Chair announced that the Resources PDS Panel had referred to Cabinet their recommendations on the Community Asset Transfer. Councillor David Bellotti had attended a meeting of the Panel and had presented the Cabinet's response, which had then been published in the Weekly List.

### **38 SINGLE MEMBER CABINET DECISIONS TAKEN SINCE PREVIOUS CABINET MEETING**

The Chair referred to the report, copies of which had been placed into the public gallery prior to the meeting [*and copies of which are attached to these Minutes as Appendix 2 and on the Council's website*]. Cabinet agreed to note the report.

### **39 TWO TUNNELS PROJECT UPDATE**

Councillor Caroline Roberts reminded Cabinet that the Two Tunnels had opened in April but that the proposals were to complete the remaining northern section and to provide links to Claude Avenue and the Riverside Path. Funding would come from various sources and the project would be fully funded.

She moved the proposals.

Councillor Paul Crossley seconded the proposal. He reported that in its first week of opening, 520 people per day had used the route. People now used the route to commute into Bath. It had become a tourist attraction and he wanted to see the route completed all the way from Bath to Radstock.

Councillor David Dixon said that walkers, joggers, cyclists, families and visitors all used the track which was an excellent way to reach the Odd Down Cycle Track. He knew of some cyclists who had come all the way from Bristol using the continuous cycle track to get to the Odd Down Cycle Track. He congratulated all concerned and said that the track would be improved by additional signage, which he knew was part of Councillor Roberts' plans.

He mentioned, in passing, that the Odd Down Cycle Track would be opened formally the following Saturday at 10:30am by a cycling celebrity and welcomed everyone to attend.

Councillor Caroline Roberts observed that the next paper on the agenda would agree the provision of the signage which Councillor Dixon had asked for.

On a motion from Councillor Caroline Roberts, seconded by Councillor Paul Crossley, it was

**RESOLVED** (unanimously)

(1) To AGREE that, subject to agreement with Sustrans under a Memorandum of Understanding, DfT's Linking to Communities grant be accepted to complete the remaining off road section on Council land through the northern section of Linear Park, with the works to upgrade the existing permissive footpath to a permissive cycle track for use by pedestrians and cyclists to be constructed by the Council using its land ownership powers between the disused Somerset and Dorset Railway Bridge and Bellotts Road (Element 3);

(2) To NOTE that Sustrans under licence to Network Rail WILL re-open the disused Somerset and Dorset Railway bridge for pedestrians and cyclists on a temporary basis until the bridge is replaced as part of the mainline rail electrification works planned from 2015 onwards. The access arrangements on Council land through Linear Park and extent of the Works on Linear Park are to be agreed with the Council.

(3) To AGREE that the Council will enter into agreements with Network Rail for the adoption and maintenance of a new replacement foot/cycle bridge provided by Network Rail as part of the mainline rail electrification works;

(4) To ACCEPT the DfT Cycle Safety Grant for the purpose of implementing the 2 Tunnels Northern Links scheme in accordance with the grant conditions and agreed Memorandum of Understanding with Sustrans;

(5) To AGREE that subject to planning conditions being met, Claude Avenue Cycle Link is constructed by the Council between Claude Avenue and the 2 Tunnels Greenway funded by the LSTF WEST project; and

(6) To AUTHORISE the Divisional Director for Environmental Services:

(i) to negotiate and enter into any necessary agreements with Network Rail to facilitate the adoption and maintenance of the cycle/footbridge and seek to minimise future maintenance costs.

(ii) to agree the Memorandum of Understanding with Sustrans to access funding allocated to Element 3 and Northern Link projects from the DfT Cycle Safety Fund and Links to Communities Fund.

#### **40 CYCLE SCHEMES PROGRAMME 2013/14**

Duncan Hounsell in a statement *[a copy of which is attached to these Minutes as Appendix 10 and on the Council's website]* asked for a cycle-path to be installed adjacent to the Keynsham Bypass to complete the route between Saltford and Hicks Gate and asked for it to be included in the cycle audit.

Councillor Patrick Anketell-Jones in an *ad hoc* statement referred to item 20 in the list. He warned that a shared path in the section between North Parade Bridge and



Pulteney Bridge might prove a danger because it was very busy and because it included 2 blind corners.

Councillor Anthony Clarke in an *ad hoc* statement agreed with the reservations expressed by Councillor Anketell-Jones. He felt that it should always be clear that pedestrians had priority. He also referred to the new cycle path near the Globe Inn, which cyclists did not use because they preferred the road surface to the cycle path surface.

Councillor Eleanor Jackson in an *ad hoc* statement observed that there were some problems in Radstock Road. She felt that the list showed a preponderance of schemes for Bath over rural schemes. She referred to paragraph 5.4 of the report, which explained that two proposed safe cycling routes to school had not been included in the list.

Councillor Vic Pritchard in an *ad hoc* statement asked if the list would be at the expense of other road schemes. He asked that Cabinet would not agree to any shared use schemes and referred to some of his own experiences.

Councillor Caroline Roberts introduced the item. She responded to Councillor Pritchard's comments by agreeing that some bus drivers in James St West did not properly appreciate the contraflow scheme but arrangements were in place to provide training. In response to Councillor Jackson she agreed that Silver Street would be considered in more detail. She agreed to look at the points made by Duncan Hounsell and by Councillors Anketell-Jones and Clarke.

Councillor Roberts explained that the Council in its budget had allocated £0.5M for cycle projects and the proposals were to allocate those funds to specific projects. Several meetings had been held with cycle groups and the list had been drawn up by prioritising on achievability. She observed that more than half of the funds were being allocated for schemes in the rural area of the authority.

She moved the proposals.

Councillor David Dixon seconded the proposal. He was delighted by the proposals. He reported that he had seen the cycle track by the Globe being heavily used by students during term time. He was delighted to see the substantial allocation of funds to the Batheaston Bridge scheme, which the local community had asked for. He was delighted to note the inclusion of the signage which would enable people to find the Odd Down Cycle Track.

Councillor Ben Stevens referred to the reservations expressed by previous speakers saying that he supported the inclusion of a shared space stretch near the weir, in his ward, because it would encourage all users to be considerate.

Councillor Paul Crossley expressed his respect for Councillor Pritchard, who he knew was a regular cyclist. He said that he was most concerned about the stretch of the Keynsham Bypass at night, which could be very dangerous for cyclists. He did not agree with the reservations expressed about shared use but agreed that great care was necessary to choose the right solution for each scheme.

Councillor Dine Romero expressed disappointment that the two schemes to improve cycling to school had not been included in the list, but said she had been assured that they would be progressed when future funding permitted.

Councillor Caroline Roberts explained that the list had been kept short so as to ensure that it was achievable.

On a motion from Councillor Caroline Roberts, seconded by Councillor David Dixon, it was

**RESOLVED** (unanimously)

(1) To APPROVE the cycle schemes programme.

#### **41 RIVER CORRIDOR FUND**

Councillor David Laming in an *ad hoc* statement [*a copy of which is attached to these Minutes as Appendix 11 and on the Council's website*] gave special thanks to Councillors Crossley, Ball, Bellotti and Stevens for their work, and to Councillor Eleanor Jackson who was steering it through the PDS review. If agreed, this would make the Council the first in the country to undertake a detailed task and finish review of boat dwellers and their needs.

Councillor Ben Stevens introduced the item by thanking Councillor Laming for his kind words. There had been a good relationship with the Trust so far and he had been struck by what a difference could be made for angling, rowing, canoeing, boating and walking. The paper was a key part of the regeneration of the whole riverside.

He moved the proposals.

Councillor Paul Crossley seconded the proposal. He referred to the hard work also put into the issue by Councillor Cherry Beath. He reminded Cabinet that the paper was about finding solutions, at last, to the long-running problem of the riverside. He was delighted that the outreach past Newbridge contained 3 rowing clubs, plus pubs and other community facilities. He had been made aware by Councillor Laming of the opportunities afforded by the loop of river near to the Fry's site in Keynsham.

Councillor Tim Ball said the proposals were an exciting start. He said that anglers, and those living on the river, must not be forgotten. He also mentioned the wildlife aspects of the riverbank which must be protected. It was salutary to remember also that the river provided Bath's drinking water.

Councillor Ben Stevens summed up by agreeing that the issue related to all aspects of the usage of the river.

On a motion from Councillor Ben Stevens, seconded by Councillor Paul Crossley, it was

**RESOLVED** (unanimously)

(1) To APPROVE the £100,000 provisionally allocated within the 13/14 capital programme, which will be allocated by the Council to ensure the river becomes a key cultural, economic and social asset for Bath and beyond.

#### **42 YOUTH JUSTICE PLAN 2013-14**

Councillor Dine Romero introduced the item by saying that success was to be measured by progress in the 3 National Outcome Indicators shown in the Plan at paragraph 2.2. She was delighted that in All 3 measures, the south west had improved against the indicator. She moved the proposals.

Councillor Simon Allen seconded the proposal. He quoted a parent who had recently said to him that the youth offending team had "helped us during a rough time".

Councillor Paul Crossley felt that the report was a credit to the Council and attracted broad support across all the political groups.

On a motion from Councillor Dine Romero, seconded by Councillor Simon Allen, it was

**RESOLVED** (unanimously)

(1) To AGREE that the Youth Justice Plan fulfils the requirements of the Crime and Disorder Act 1998; and

(2) To RECOMMEND the Youth Justice Plan to Council for adoption as part of the Council's Policy and Budget Framework, within the Council budget approved in February 2013 and for submission to the youth Justice Board.

#### **43 JOINT HEALTH & WELLBEING STRATEGY**

Councillor Eleanor Jackson in an *ad hoc* statement said she felt that the report had the right priorities but was too bland and did not explain how big the challenge would be. As an example she cited the "postcode life expectancy" which meant that there were still pockets of deprivation to be addressed.

Lesley Mansell (Chair, Radstock Town Council) in an *ad hoc* statement asked for a copy of the Equality Impact Assessment.

Councillor Simon Allen introduced the item. He drew attention to the 3 themes listed in the Strategy document. He explained that the strategy was the responsibility of the Health & Wellbeing Board, whose overarching aim was to reduce inequality.

He moved the proposals.

Councillor Dine Romero seconded the proposal. She said the strategy was ambitious. It drew together a number of other plans and put health and wellbeing at the centre.

Councillor David Dixon felt that the paper was excellent and that it presented a unified picture of what the community needed. He reminded the Cabinet that health and wellbeing was not only about provision – it could also be about neighbours supporting each other.

Councillor Ben Stevens said that as a Trustee of the Golden Oldies Charity, which encouraged older people to get out and sing in choirs, he agreed with Councillor Dixon.

On a motion from Councillor Simon Allen, seconded by Councillor Dine Romero, it was

**RESOLVED** (unanimously)

(1) To APPROVE the Joint Health and Wellbeing Strategy; and

(2) To NOTE that a final Joint Health and Wellbeing Strategy will be submitted to Council on 14 November for approval

#### **44 GUILDHALL MARKET CHRISTMAS MARKET**

Councillor David Bellotti introduced the item. He explained that a market had been held in the car park every December since 2005. The existing traders took part and had always run it well. The proposal was to delegate authority to the Chief Property Officer to negotiate arrangements for 2013.

He moved the proposals.

Councillor Paul Crossley seconded the proposal. He said that the Christmas market had become a real feature of Bath and was always a huge success. He welcomed the market traders taking up the challenge. He emphasised that the needs of local residents must be given consideration.

On a motion from Councillor David Bellotti, seconded by Councillor Paul Crossley, it was

**RESOLVED** (unanimously)

(1) To DELEGATE authority to the Chief Property Officer, for 2013 and in future years (if required), to decide whether to allow a market to be held in the Guildhall Car Park to run concurrently with the period of the Christmas Market, plus two additional days prior to and one day after the Guildhall Christmas Market for setting up and dismantling; and

(2) To AGREE that if consent is given to the use of the car park for this purpose, that consent will be given subject to the following conditions:

(a) that any proposed variations to the format of the market from that held in December 2009 are delegated to the Chief Property Officer.

(b) that Planning Permission and all other statutory consents are obtained and all conditions (if any) are complied with fully before the market is set up.

(c) that all necessary street trading licenses are obtained before the market is set up.

(d) that each year an operator, on behalf of the Guildhall Market Traders Association, enter a licence with the Council covering their use of the car park documenting the term and agreed covenants and obligations of each party.

(e) that appropriate alternative arrangements are made for users of the displaced parking spaces for the disabled.

(f) that if in any year any operational issues arise that are not resolved to the satisfaction of the Chief Property Officer, especially the handling of refuse, then the Council reserves the right to withdraw permission to use the car park.

(g) that if the Christmas Market does not operate the Council reserves the right to withdraw permission to use the car park.

(h) that if the Grand Parade and Undercroft project results in the market not being able to operate, the Council reserves the right to withdraw permission to use the car park.

(i) that the issue of who operates the market is delegated to the Chief Property Officer to determine.

## **45 JOINT RIGHTS OF WAY IMPROVEMENT PLAN**

Councillor Caroline Roberts explained that the plan was a requirement of the 2000 Act. It had been produced in collaboration with Bristol and South Glos. She referred to the 4 big themes shown in paragraph 5.6 of the report. She moved the proposals.

Councillor Tim Ball seconded the proposal. He had seen the map included in the Plan, at paragraph 1.2, and felt it presented an exciting challenge.

Councillor Paul Crossley observed that the Plan would deliver substantial improvements for those with mobility problems.

On a motion from Councillor Caroline Roberts, seconded by Councillor Tim Ball, it was

**RESOLVED** (unanimously)

(1) To ADOPT the Rights of Way Improvement Plan 2012-2016.

#### **46 UPDATE ON THE HERITAGE SERVICES CAPITAL INVESTMENT STRATEGY**

Councillor Ben Stevens emphasised the prestige brought to the area by its heritage. The income from tourism was substantial. The budget for the proposed capital works had been approved in principle by Council in February and this report is to give Cabinet the detailed proposals. He moved the proposals.

Councillor Paul Crossley seconded the proposal. He felt that the creation of a foundation to assist in funding was a good way to approach the educational aspects of the project.

On a motion from Councillor Ben Stevens, seconded by Councillor Paul Crossley, it was

**RESOLVED** (unanimously)

(1) To APPROVE the capital budget for the Temple Precinct scheme, including the rephasing illustrated in the report;

(2) To APPROVE the transfer of £130k from the underspend on the Beau Street hoard to the budget provided for the Roman Baths infrastructure project to repair the Pump Room roof in the current financial year;

(3) To NOTE that the rolling programme of infrastructure works for the Roman Baths will be reviewed for 2014/15 in order to accommodate works to renew and relocate the gas supply pipe for the site;

(4) To AGREE that the provisional capital budget for the Beau Street hoard project will be subject to further consideration following the forthcoming Stage 2 application to the Heritage Lottery Fund; and

(5) To AGREE the formation of a fundraising charitable Roman Baths Foundation whose objects would be to support education and conservation at the Roman Baths and Temple site, with the remit and governance arrangements of the Foundation to be drawn up in consultation with the Cabinet Members for Sustainable Development and Resources.

#### **47 TREASURY MANAGEMENT OUTTURN REPORT 2012/13**

Councillor David Bellotti reminded Cabinet that the council had achieved a zero increase in Council Tax for 2 years, and he intended to hold it for another 2 years. He was delighted that, having inherited borrowings of £204M, the Cabinet's plans had reduced this to £120M. By wise use of cash flow, the costs of delivery could be reduced – mainly by repaying the most expensive loans. He expected borrowing to reach no higher than £150M.

He said that the Council had invested wisely, with no funds in Iceland or the Euro zone. He moved the proposals.

Councillor Paul Crossley seconded the proposal. He referred to the consistent top quality advice which had enabled the Council to set a good example by reducing borrowing.

On a motion from Councillor David Bellotti, seconded by Councillor Paul Crossley, it was

**RESOLVED** (unanimously)

- (1) To NOTE the 2012/13 Treasury Management Annual Report to 31st March 2013, prepared in accordance with the CIPFA Treasury Code of Practice;
- (2) To NOTE the 2012/13 actual Treasury Management Indicators;
- (3) To NOTE the Debt rescheduling actions; and
- (4) To AGREE that this Treasury Management Report and attached appendices will be reported to July Council.

**48 REVENUE & CAPITAL OUTTURN 2012/13**

Councillor David Bellotti, in introducing the item, referred to the underspend of £168K which was less than 0.1% of the entire budget. This was set against the background of a large number of substantial projects.

He moved the proposals.

Councillor Paul Crossley seconded the proposal. He observed that the Council was delivering projects on time, within budget and with good results. He was very pleased that the outcome had been as predicted.

On a motion from Councillor David Bellotti, seconded by Councillor Paul Crossley, it was

**RESOLVED** (unanimously)

- (1) To NOTE the provisional revenue budget outturn underspend of £168,000 for 2012/13;
- (2) To APPROVE the revenue carry forward proposals and write-off requests;
- (3) To AGREE the transfers to Earmarked Reserves;
- (4) To APPROVE the revenue virements for 2012/13 and 2013/14;
- (5) To NOTE the resulting reserves position and that unearmarked reserves remain at the target level of £10.5m;
- (6) To NOTE the provisional outturn of the 2012/13 capital programme and funding;
- (7) To APPROVE the capital rephasing and write-off of net underspends; and
- (8) To NOTE the adjustments to the 2012/13 to 2017/18 capital programme and the final capital programme for 2012/13.

The meeting ended at 8.30 pm

Chair \_\_\_\_\_

Date Confirmed and Signed \_\_\_\_\_

Prepared by Democratic Services

## Cabinet Single-Member Decisions and Responses to Recommendations from PDS Panels

published 5-Jul-13 to 30-Aug-13

Further details of each decision can be seen on the Council's Single-member Decision Register at <http://democracy.bathnes.gov.uk/mgDelegatedDecisions.aspx?&dm=3>

Date	Decision Maker
Reference	Title

01-Jul-13 Cllrs Paul Crossley, David Bellotti

**E2569 Victoria Hall, Radstock - Refurbishment and Occupation Arrangements**

*The Cabinet Members authorised the Chief Property Officer to conclude negotiations for a lease of Victoria Hall on commercial terms, in consultation with The Leader and Cabinet Members for Community Resources and Neighbourhoods. The lease must require the tenant to make the hall available to the community at a rate in line with similar facilities in the area.*

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27-Jul-13 Cllr Caroline Roberts

**E2540 Phase 2 School Zig-Zags TRO**

*The Cabinet Member agreed the proposals with a number of amendments*

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<b>Bath &amp; North East Somerset Council</b>		
MEETING:	<b>Cabinet</b>	
MEETING DATE:	<b>11th September 2013</b>	EXECUTIVE FORWARD PLAN REFERENCE:
		<b>E 2522</b>
TITLE:	<b>Energy Efficiency &amp; Renewal Energy Guidance for Listed Buildings and Undesignated Historic Buildings (appendix to Sustainable Construction &amp; Retrofitting SPD)</b>	
WARD:	All	
<b>AN OPEN PUBLIC ITEM</b>		
<p><b>List of attachments to this report:</b></p> <p>Appendix A - Energy Efficiency &amp; Renewal Energy Guidance for Listed Buildings and Undesignated Historic Buildings</p> <p>Appendix B – Equalities Impact Assessment</p> <p>Appendix C – Consultation Report</p>		

## 1. THE ISSUE

- 1.1. The Council is committed to helping local people to reduce their energy consumption, costs and pollution and to providing access to affordable warmth wherever residents live, including in listed buildings. There are around 6000 listed buildings in our district, concentrated in the wards with the highest levels of fuel poverty (see map from 2011 Housing Stock Condition Survey). Around 700 of these listed buildings are home to social tenants and have significantly worse energy efficiency ratings than the non-listed social housing stock.
- 1.2. There has been a perception that it is currently difficult to obtain listed building consent for changes to listed buildings but in fact around 90% of listed building applications obtain consent. Those applications that are resisted are usually in clear conflict with the outstanding universal values and attributes pertaining to the World Heritage Site. The prestige of the WHS is, of course, a valued status that brings a heritage dividend resulting in a buoyant retail and tourist economy. The proposed guidance should go some way towards addressing misconceptions that may exist.
- 1.3. This Guidance is in the form of a Sustainable Construction and Retrofitting Supplementary Planning Document (SPD) and has been produced to accord with and respond to the issues of climate change and the emerging

energy deficit and the desire to improve the energy efficiency of new buildings and the existing building stock and to comply with the National Planning Policy Framework which recommends that Local Planning Authorities adopt proactive policies and strategies to mitigate and adapt to climate change.

1.4. The SPD was adopted on 13 February 2013. The Cabinet agreed to support the future adoption of local Energy Efficiency and Renewable Energy Guidance for listed buildings in the next 6 months, following a further review of the draft document with English Heritage and other stakeholders. It will also complement the work we are doing in relation to the World Heritage Site.

1.5. Also, running in parallel with this will be our offer of pre-application advice which can assist applicants when deciding on possible improvements to their properties.

## **2. RECOMMENDATION**

The Cabinet agrees that:

2.1. The Energy Efficiency & Renewable Energy Guidance for Listed Buildings and Undesignated Historic Buildings (Appendix A) is adopted as an appendix to the Sustainable Construction & Retrofitting SPD.

2.2. The key next steps are to 1) Progress the work through the Sustainability Team and engagement with the key Stakeholders and other Authorities 2) Continue to liaise with Central Government on legislative requirements 3) Constantly review the guidance to ensure that it does reflect existing legislation at any given time.

## **3. FINANCIAL IMPLICATIONS**

3.1. Other than budgeted costs of printing, there are no direct financial implications for the Council in adopting the appendix. Any other costs arising would be absorbed into future budgets.

## **4. CORPORATE OBJECTIVES**

4.1. The Guidance intends to enable residents living in listed buildings to make their homes warmer and cheaper to heat, and to encourage those responsible for the maintenance and conservation of historic buildings to undertake measures that will benefit, rather than damage, sensitive historic places, buildings or have a detrimental effect on the health of their occupants. The Guidance serves the corporate objectives in the following ways:

a. *Promoting independence and positive lives for everyone:* Encouraging people to take advantage of Government incentives for insulation is part of ensuring

that "*Older people are supported to live independently*". ONS statistics for 2013 show that 30% of people over 60 are in fuel poverty. It is also important for ensuring that "*everyone has the opportunity to enjoy a healthy lifestyle*", since the respiratory, cardio vascular, mental health and other conditions created by cold homes are significant and cost our local NHS an estimated £3.8m per year in unnecessary medical treatment. *Creating neighbourhoods where people are proud to live*: Enabling energy efficiency in listed buildings helps to deliver the objective "Communities that have adapted to changes in our climate and are not dependent on high carbon energy". The Guidance will help steer those responsible for the maintenance and conservation of historic buildings away from the more damaging works that can cause harm to sensitive historic places, buildings and their occupants.

- b. *Building a stronger economy*: The Green Deal Scoping Study found that the retrofit market could be worth £10- £20m per year across B&NES. Supporting this market through a supportive planning and listed building framework is an important part of ensuring that it will grow. However care is needed to ensure that the authenticity and character of the Bath World Heritage Site, and economic benefits associated with the visitor numbers, are not undermined.

## 5. THE REPORT

- 5.1. Since the adoption of the SPD earlier this year officers from Planning Services and the Sustainability team met with English Heritage and put a number of questions to them about the Guidance. A draft version of the Guidance was also considered by the Development Control Committee on 31st July 2013. The Committee supported its contents and noted that it was to be considered by the Cabinet.
- 5.2. A written reply to the questions was received from English Heritage shortly after the July meeting. English Heritage indicate that in their opinion the Guidance is broadly in line with national policy, particularly the significance of the historic environment should be maintained and enhanced, and less harmful measures should be considered first when it is proposed to alter designated assets. A number of detailed amendments have also been recommended and these will be incorporated within the draft to be considered by cabinet.
- 5.3. The Guidance in the appendix sets out the Council's approach to the retrofitting of listed buildings and undesignated historic buildings and is in-line with central government guidance set out in the National Planning Policy Framework. The Framework puts particular emphasis on the need to assess the significance of buildings on a case by case basis. The proposed appendix must respect and be consistent with this approach. However the Guidance attempts to give a greater clarity that strikes a balance between energy efficiency and the need to respect the requirements of the Planning (Listed Buildings & Conservation Areas) Act 1990, Section 12 of the NPPF 'Conserving and enhancing the historic environment', and the associated Historic Environment Planning Practice Guide, where there is a presumption in favour of the preservation and enhancement of heritage

assets and their setting as well as a requirement for LPAs to adopt policies to tackle climate change.

- 5.4. The Guidance will provide owners of heritage assets and architectural professionals with the information they need to make informed decisions regarding how best to alter historic buildings to improve energy efficiency consistent with architectural conservation best practice whilst at the same time valuing the energy already embodied within built structures, and seeking to avoid harm to their architectural and historic interest.
- 5.5. At present, however, our ability to take a more permissive stance is constrained by the current national legislation and guidance which takes priority over any locally made guidance. As a result, the local Guidance being presented for adoption may not go as far as Members and residents have requested in order to enable listed buildings to become more energy efficient.
- 5.6. To seek a remedy for this, in February the Cabinet agreed for “*discussions to be held with other Local Authorities (and other interested parties) with a specific interest in approving energy efficiency and renewable energy measures in listed buildings, together with the relevant Government departments (DCMS and DCLG), with a view to identifying conservation and building regulations policy constraints and ways to overcome them*”.
- 5.7. It has now been agreed that the Sustainability team will lead this initiative with involvement from Planning Services. Initial discussions have begun with key stakeholders in order, firstly, to articulate the gap between where the Council wants to be on energy efficiency and the current national position and secondly, to press for the changes that are needed in order to enable the full range of energy efficiency measures to be installed sensitively in traditional and listed buildings.

## **6. RISK MANAGEMENT**

- 6.1. The report author and Lead Cabinet member have fully reviewed the risk assessment related to the issue and recommendations, in compliance with the Council's decision making risk management guidance.

## **7. EQUALITIES**

- 7.1. An Equalities Impact Assessment has been completed on the Guidance (Appendix B) and no adverse or other significant issues were found.
- 7.2. Overall the provision of the Guidance is considered to have a positive impact on all equalities groups (in particular age, religion/belief, race and disability) as the Guidance advises on measures which may reduce the running costs and thermal comfort of buildings. The Guidance also offers simple and clear guidance available free of charge to the public.

## **8. RATIONALE**

8.1. It is recommended that the Guidance (Appendix A) is adopted to provide information regarding how best to alter historic buildings to improve energy efficiency consistent with architectural conservation best practice without harming or compromising their architectural and historic interest.

## **9. OTHER OPTIONS CONSIDERED**

9.1. An option was to issue no guidance, however there has been strong demand for guidance such as this from the public and stakeholder organisations including Bath Preservation Trust, Curo Group and Transition Bath.

9.2. It should be recognised that the retrofitting of listed buildings is a developing area and the Guidance is considered to be an important first step in an on-going process. The Guidance would therefore benefit from periodic review as the result of on-going specialist research emerges. There will remain a need to be cautious until new technologies are proven. The planning department will continue to work with other Council departments and English Heritage to review and amend the Guidance as necessary.

9.3 There might also be further opportunities to act at a local level, through the wide-ranging Enterprise and Regulatory Reform Act. This received Royal Assent in May this year and brought forward a number of the provisions previously outlined in the stalled Heritage Bill of 2008. This includes the possibility of introducing national and local listed building consent orders. The exact details of how this might work in practice are not known, as the regulations and secondary legislation have not been prepared. It is likely however to facilitate the grant of consent up front, even before it is applied for. This may be of some relevance although will have resourcing implications for Planning Services. Furthermore, it should be noted that English Heritage advised at a meeting held 28th June 2013 that they did not think it would be wise to commence any testing or trialling in areas of obvious sensitivity and international importance such as a World Heritage Site. Cabinet may wish to consider if monitoring how the emerging system works in practice at other locations will be a more effective alternative to time and effort committed on a separate campaign.

9.4 The key next steps are to 1) Progress the work through the Sustainability Team and engagement with the key Stakeholders and other Authorities 2) Continue to liaise with Central Government on legislative requirements 3) Constantly review the guidance to ensure that it does reflect existing legislation at any given time.

## **10. CONSULTATION**

10.1. The main consultation phase took place as part of the adoption of the Sustainable Construction and Retrofitting SPD. Further consultations have taken place as outlined in 5.1 above. A full summary is given in Appendix C.

## 11. ISSUES TO CONSIDER IN REACHING THE DECISION

11.1 *Customer Focus; Sustainability; Property; Conservation of the Historic Environment and protection of the World Heritage Site*

## 12 ADVICE SOUGHT

12.1 The Council's Monitoring Officer (Divisional Director – Legal and Democratic Services) and Section 151 Officer (Divisional Director - Finance) have had the opportunity to input to this report and have cleared it for publication.

<b>Contact person</b>	David Trigwell, Divisional Director Planning and Transport Development 01225 394125
<b>Sponsoring Cabinet Member</b>	Councillor Tim Ball (Cabinet Member for Homes and Planning)
<b>Background papers</b>	Dedicated website to sustainable construction and retrofitting contains the main Supplementary Planning Document - <a href="http://www.bathnes.gov.uk/greenbuild">www.bathnes.gov.uk/greenbuild</a>
<b>Please contact the report author if you need to access this report in an alternative format</b>	

# Energy Efficiency & Renewable Energy Guidance

## For Listed Buildings and Undesignated Historic Buildings

Page 23



ADOPTION DRAFT  
SEPTEMBER 2013

**L D F**  
Bath and North East Somerset  
Local Development Framework

**Bath & North East  
Somerset Council**

**This guidance is intended to provide general advice to owners of historic buildings, developers, architects, surveyors and anyone proposing measures to improve energy efficiency or domestic scale renewable energy of designated and undesignated heritage assets.**

For more information please contact the Historic Environment team at:  
historic\_environment@bathnes.gov.uk  
This document can also be viewed on our website:  
[www.bathnes.gov.uk/greenbuild](http://www.bathnes.gov.uk/greenbuild)

Energy Efficiency & Renewable Energy Guidance:  
For Listed Buildings and Undesignated Historic Buildings in Bath & North East Somerset can be made available in a range of languages, large print, Braille, on tape, electronic and accessible formats by contacting the Planning Department on:  
Telephone: 01225 394041

Design by SteersMcGillanEves  
[www.steersmcgillaneves.co.uk](http://www.steersmcgillaneves.co.uk)



**Listed Building Consent**

Where this symbol appears, if your house is a listed building, you may require listed building consent for a retrofitting measure.

This document is an Annex to the **Sustainable Construction & Retrofitting Supplementary Planning Document**

Available online at  
[www.bathnes.gov.uk/greenbuild](http://www.bathnes.gov.uk/greenbuild)

if you would like more information on other planning and building regulation consents for retrofitting please refer to this document.

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# 1 Introduction

Climate change and the emerging energy deficit have necessitated a response and a focus on energy efficiency that is inevitably leading to changes to the historic environment. It is widely recognised and accepted that the historic environment should play its part in meeting these current and future challenges.

However, it is vital that changes are consistent with the aims of heritage protection and the statutory duty of care placed on the Local Planning Authority (LPA) by primary legislation and Government policy.

In accepting that some change will be necessary, it is critical that this is carefully managed so that the historic environment and the heritage assets that it is made up of is sustained as cultural heritage for present and future generations. This is consistent with the key concept of guardianship.

The balancing of the varying and competing priorities and interests is a complex process and can be difficult to reconcile, but change is broadly acknowledged in principle by the legislation protecting the historic environment. National policy guidance has an emphasis on careful, sensitive informed management of change. The National Planning Policy Framework indicates that sustainable development should contribute to protecting and enhancing our historic environment. The LPA, therefore, aims to provide expert and specialist advice to enable this process of change in a sensitive, sustainable and informed way in order to achieve successful outcomes for the historic environment, heritage assets and the community.

Historic buildings are a finite resource and are inherently sustainable having been, in most cases, well-constructed from high quality, locally sourced materials by local craftsmen.

Their inherent embodied energy (the energy expended and encapsulated within the fabric of a building in its construction) means that their retention and care is both logical and consistent with modern concepts of sustainability and with the ambitions of reducing carbon emissions.

Historic buildings have served society and multiple generations often spanning many hundreds of years and with sensitive and careful management will continue to do so.

## Legislative Framework: preservation, responsible retrofitting & detrimental impact

Designated heritage assets are protected by law under Planning (Listed Building & Conservation Areas) Act 1990 underpinned by Government policy: National Planning Policy Framework, Section 12: 'Conserving and enhancing the historic environment'. They are designated in recognition of their architectural or historic interest and the heritage and cultural significance and value that they possess.

The setting of heritage assets is an important material consideration when determining planning applications for development proposals which impact on their setting. Heritage assets are wide ranging and include designated and undesignated buildings, conservation areas, historic landscapes, parks and gardens and archaeological features and sites. Archaeological sites and features that have been designated as Scheduled Ancient Monuments are protected by law under the Ancient Monuments and Archaeological Areas Act 1979.

Central to primary legislation and Government policy is the emphasis on the presumption in favour of the preservation and enhancement of heritage assets and the avoidance of any detrimental and negative impact or harm that would be counter to these aims. Proposals that have a detrimental impact on the setting of heritage assets will not be viewed favourably by the LPA.

This guidance is informed and consistent with this and with conservation best practice and responsible retrofitting as advocated by English Heritage and the national amenity societies.

Consistent with Government policy relating to the historic environment this guidance recognises that because heritage assets can be both designated and undesignated an equally sensitive and thoughtful approach to change should be employed to both. This is particularly the case in Bath & North East Somerset which has large numbers of designated and undesignated assets. Designated assets include the City of Bath World Heritage Site, as well as numerous Conservation Areas and Listed Buildings.

Architectural conservation rarely precludes change but rather should be seen as an essential mechanism for effective and appropriately managed change in a sensitive and informed way so as to avoid any detrimental impact or harm.

Bath & North East Somerset Council as Local Planning Authority and custodian plays a key role in this process. The issues of climate change and energy efficiency are likely to require varying levels of alteration and change to many heritage assets and the historic environment and the LPA provides support and specialist advice and promotes informed change and the responsible retrofitting of heritage assets.

## Traditional buildings and their need to 'breathe'

It has been long recognised that traditionally constructed buildings utilising a solid wall construction (generally considered as buildings constructed before 1919) need to be able to 'breathe'.

The word 'breathe' in this sense means permeability and the ability of moisture to move freely, unhindered, throughout the width of the wall. This mechanism relies on moisture being able to evaporate into the external and internal atmospheres.

Internally moisture evaporates and enters the internal environment and relies on good ventilation to be evacuated into the external atmosphere. This process is critical for the health of the building and its occupants and relies on a number of factors in order to function properly including: permeable materials such as lime mortar, lime plaster, traditional permeable paint finishes and traditional, passive ventilation routes such as chimney flues and natural ventilation in doors and windows.

If non-permeable materials are used such as cementitious mortar, gypsum plaster, modern impermeable paint finishes and blocked ventilation routes are blocked this will result in high levels

of moisture and condensation to the detriment of the health of the building and its occupants. High levels of moisture trapped in masonry walls will lead to increased heat loss, discomfort for the occupants and may harm interior fixtures, fittings, finishes and structural timbers.

Whilst it is recognised that excessive drafts can cause discomfort for the occupants of a building it also needs to be recognised and understood that hermetically sealing a traditional building, in the manner of modern building construction, could cause significant problems for occupants and buildings alike. In proposing thermal upgrading measures an understanding of the needs of a traditionally constructed building need to be understood. For instance, care must be taken when improving thermal efficiency through draft proofing not to create a barrier to a sufficient level of ventilation.

The LPA advocates that owners of traditionally constructed buildings undertake an assessment of the needs of the building based on a thorough understanding of how it is constructed and how it is ventilated.

## Renewable energy

Renewable energy creation technology, also known as micro generation, is now readily available for the domestic market and includes solar and photovoltaic panels and slates, wind and hydro turbines, ground and air source heat pumps and geothermal energy.

These can have varying impacts on the historic environment and the setting of heritage assets and their siting and implementation requires careful consideration. For example in the case of ground source heat pumps this can have a detrimental impact on archaeology and early contact with the LPA's archaeologist is strongly advised when considering installation. Geothermal energy may be problematic within the limits of Bath and the hot springs that are protected by the County of Avon Act 1982. Hydro turbines may offer an excellent opportunity and an example of a successful listed building application for the installation of a hydro turbine within a historic mill is provided in section 5 of this guidance. It should be noted that planning permission will often be required for the installation of renewable energy systems, see the **Sustainable Construction and Retrofitting Supplementary Planning Document** for more information.

## Aims and limitations of the guidance

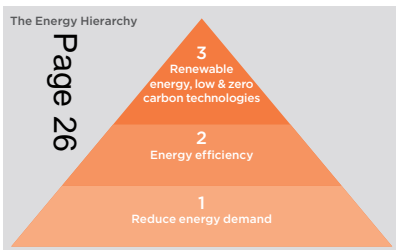
Whilst this guidance aims to provide advice and assistance regarding alterations to heritage assets it should not be regarded as providing a 'one-stop-shop' or 'one-size-fits-all' solution. Historic buildings are highly diverse in terms of type of construction, construction materials, plan form, degree of alteration over time and location and so what may be acceptable in one case may not be so in another.

It is recommended that specific and detailed guidance provided by English Heritage and other heritage organisations is also consulted (see section 6). The LPA can provide further assistance. The energy hierarchy and minimal intervention approach as advocated by English Heritage is advocated in this guidance. There will be an expectation that, in the first instance, low impact, low cost and simple thermal upgrading measures are considered before higher impact measures consistent with the energy hierarchy, which include occupant behaviour and sensible and responsible building maintenance.

## 2 The Energy Hierarchy

The National Planning Policy Framework emphasises that the different aspects of sustainable development should not be undertaken in isolation.

When considering energy efficiency proposals it is good practice to follow the energy hierarchy and address the least intrusive, low-impact measures first (e.g. loft insulation, draught proofing, energy efficient lighting, occupant behaviours).



### Ranking improvement measures

As stated, the LPA supports this approach to sustainable retrofit. However, the ranking of different improvement measures in any retrofit project is dependent on its focus, and may differ between projects. Main focuses may include CO<sub>2</sub> savings, fuel bill savings, comfort, affordability or appearance.

Some measures may be ranked highly in one area but considerably lower in others, as illustrated in the following examples:

1. A biomass boiler would rank highly in terms of CO<sub>2</sub> savings, but lower in terms of affordability or fuel bill savings
2. Lined curtains may rank highly in terms of appearance, but much lower in terms of fuel bill or CO<sub>2</sub> savings

3. Photovoltaic panels could rank highly in terms of CO<sub>2</sub> savings and affordability, but lower in terms of appearance or comfort (as this is not an insulation measure)

4. Double glazing would rank highly in terms of comfort, but may rank lower in terms of affordability and appearance

In reality, for most householders their priorities will be a combination of the above factors (and others, such as householder disruption, for example). As such, it is not possible to list an absolute ranking system for different measures. Instead, the table on p17 lists all the measures contained in this section of the guidance and provides an indication of the impact in each of these key areas. This should allow prospective applicants to determine what is best for their own situation. The following should be noted, however:

a) The suggested impacts are broad indications only, and include many assumptions; individual properties and improvement specifications will vary considerably in terms of impact in the different areas

b) 'High' impact does not automatically mean 'good' (and vice versa) - a 'High' impact is good with respect to CO<sub>2</sub> savings, fuel bill savings and comfort is good, but a 'Low' impact is better with respect to cost and appearance

c) When considering more major improvements it is good practice to have addressed the easier, lower-impact measures in the first instance

MEASURE	IMPACT				
	CO <sub>2</sub> savings	Fuel bill savings	Comfort	Cost	Appearance
Reinstate existing / missing shutters	●●	●●	●	●●	●
Draught proofing windows and doors	●	●	●	●●	●
Secondary glazing	●	●	●●	●●	●
Double glazing	●	●	●●	●●	●●
Draught proofing floors, skirting boards and ceilings	●	●	●●	●	●
Insulating timber floors	●	●	●●	●●	●
Insulating solid floors	●	●	●●	●●	●
Loft insulation	●●	●●	●	●●	●
Ventilation	●	●	●	●●	●●
External wall insulation	●	●	●	●	●
Internal wall insulation	●	●	●	●	●●
Boiler (and flue)	●●	●●	●●	●	●
Wood stove	●●	●	●	●●	●
Wood boiler	●	●	●●	●	●●
Air source heat pump	●●● <sup>1</sup>	●●● <sup>1</sup>	●●	●	●●
Ground source heat pump	●●● <sup>1</sup>	●●● <sup>1</sup>	●●	●	●
Photovoltaic panels	●	● <sup>2</sup>	●	●●● <sup>2</sup>	●●
Solar water heating panels	●	●	●	●	●●● <sup>3</sup>
Photovoltaic roof slates	●●	● <sup>2</sup>	●	●●● <sup>2</sup>	●
Domestic-scale wind turbines	●●● <sup>4</sup>	●●● <sup>4</sup>	●	●●	●
Hydro power	●	●	●	●	●●●

- Low
- Moderate
- High

1 Dependent on fuel source: savings from displacing gas would be minimal to zero; savings from displacing more CO<sub>2</sub>-intensive fuels (e.g. electricity, oil, LPG) would be considerably higher.

2 Actual fuel bill savings are likely to be Low-Moderate (depending on how PV is used), and capital costs are high, but income from the Feed-In Tariff means that the overall financial gains are High.

3 There are many different designs and styles, ranging from discreet recessed panels to more visible evacuated tube systems.

4 Domestic-scale wind turbines vary considerably in size and subsequent impact on CO<sub>2</sub> and fuel bills, from small building-mounted turbines (rarely recommended for significant impact) to relatively large (c.15m high) mast-mounted turbines. The larger the turbine the greater the impact (assuming appropriate siting).

# 3 Detailed Guidance on Retrofitting Measures

Listed Building Consent is required for alterations which affect the architectural or historic interest and character of a listed building. The following chapter sets out general guidelines.

**Pre-application advice** is advisable for most proposals prior to considering with any of the below alterations.

In the case where it is stated that a measure does **not** require Listed Building Consent or it is still likely to be of benefit to contact the LPA and seek advice.

Conservation best practice should always be followed when undertaking energy efficiency upgrades in listed buildings and it is essential that the relevant specialist guidance produced by English Heritage and other heritage organisations is consulted.

See **section 6** for more information.

## Reinstate existing and missing shutters

### L

#### Is listed building consent required?

- Listed Building Consent **is required** and replacements should be of the correct style, material and detailing to the originals

- Where shutters survive but have been painted, nailed or screwed shut, releasing them does **not require** Listed Building Consent

#### Guidance position

The LPA supports careful reinstatement of shutters where there is clear evidence of them having previously existed. Research shows that the use of shutters offers a significant improvement in thermal performance

#### Guidelines and factors that will be considered during the determination and assessment process

- Professional installation of replacement shutters is strongly advised

- Replacement shutters should be sympathetic to the design and materials of the window and replicate the original
- Releasing existing shutters may require the services of a suitably experienced and qualified professional depending on their condition and the ease of releasing them

## Draught proofing windows and doors

### Is listed building consent required?

- Listed Building Consent is **not normally required** for draught proofing windows or doors

#### Guidance position

The LPA supports careful draught proofing of windows and doors in listed buildings where there is not a detrimental impact

#### Guidelines and factors that will be considered during the determination and assessment process

- Unobtrusive products should always be used
- Loss of historic fabric should be avoided
- Professional installation will be needed for products such as rebated edge seals
- Care should be taken to ensure the strength of the frame is not compromised. This is particularly the case with slender late 18th century sash windows where the timber sections are often very narrow

## Secondary glazing

### L

#### Is listed building consent required?

Listed Building Consent **is normally required** for secondary glazing.

#### Guidance position

Where appropriate the Council supports, in principle, the use of sympathetic secondary glazing where it can be demonstrated that there is no detrimental impact on the special architectural or historic interest of the building.

Decisions will be made on a case-by-case basis. Where secondary glazing is regarded as acceptable it is likely that simple units that can be easily removed from a minimal sub frame during the warmer months will be most appropriate.

#### Guidelines and factors that will be considered during the determination and assessment process

- The design and detailing of windows can be a significant component of a building's architectural interest and character

- Ensure that the proposed secondary glazing will not compromise the use of existing shutters
- Ensure that the design is as discreet as possible and has minimum visual impact on the existing window, including careful alignment of any glazing bars and use of slim frames of appropriate colour
- Ensure that any distinctive architectural detailing is not obscured by the frame of the secondary glazing
- Minimise the impact of permanent fixings required to secure the new frame
- Consider fitting secondary glazing within a removable frame (many systems allow this)
- Where a property is part of or similar to surrounding properties (e.g. terraced houses), use of discreet, complementary systems is particularly important to minimise the visual impact and to retain the sense of unity that is likely to exist

## Double glazing; replacement windows

### L

#### Is listed building consent required?

Listed Building Consent **is required** for installation of new double-glazed windows.

#### Guidance position

The LPA supports careful replacement of windows with timber-framed slim-profile double-glazed units where there is no detrimental impact on the special architectural or historic interest of the building, and under the following conditions:

- the existing windows are agreed as being modern or of no historic significance or heritage value
- the existing windows are original or historic, but are beyond feasible repair
- replacement would enhance the special architectural or historic interest of the building - for example where existing windows are inappropriate modern replacements and new windows are correctly and authentically detailed and constructed resulting in a significant conservation gain

#### Guidelines and factors that will be considered during the determination and assessment process

- The design and detailing of windows is often a significant component of a building's overall appearance and character
- The section of the glazed units should be no greater than 12mm (two layers of glass + cavity)
- The thickness and profile of timber glazing bars should be exact replicas of the original glazing bars
- The colour of any spacer (the perimeter strip between the two panes of glass) should match the colour of the painted timber
- At no time will applied (i.e. false) glazing bars or applied lead comes be considered appropriate
- PVCu is not regarded as an appropriate material
- Where a property is part of or similar to surrounding properties (e.g. terraced houses), use of discreet, complementary systems is particularly important to minimise the visual impact and to retain the sense of unity that is likely to exist particularly within a terrace

- The replacement of a window which is part of a unified facade consisting of original windows with a double glazed unit is unlikely to protect or enhance the character of the property
- If the windows can be repaired however the installation of double glazing within an historic window is unlikely to be appropriate or feasible. If there is surviving historic glass of significance and this should also be retained and preserved. Historic glass is particularly rare within the Bath World Heritage Site due to the impact of the Baedeker air raids of 1942

# 3 Detailed Guidance on Retrofitting Measures

## Draught proofing floors, skirting boards, ceilings and flues

**Is listed building consent required?**  
Listed Building Consent is **not normally required**, unless the appearance of the room would be significantly affected

**Guidance position**  
The LPA supports careful draught proofing of floors, skirting boards and ceilings where there is no detrimental impact on the special architectural or historic interest of the building or historic fabric.

### Guidelines and factors that will be considered during the determination and assessment process

- Any mastic-type draught proofing should be as discreet as possible in colour (i.e. clear, or matching the surrounding colour as closely as possible)
- Care should be taken if temporary removal of skirting boards is required

- Sealing the gaps between floorboards, traditionally referred to as caulking, is the most likely of these measures to affect appearance, and can make them harder to lift in the future. If you are planning any associated works that may require lifting of floorboards these should be done before sealing these gaps. Proprietary flexible caulking strip is an inexpensive and simple measure for draught proofing the gaps between timber floor boards. It should be noted that comprehensive eradication of natural ventilation beneath timber floors can lead to damp and decay.

- Temporarily sealing of unused flues is also a simple process that does not require consent – chimney balloons are simple to fit and are removable. Typically they also permit some air flow through being ill-fitting, which is important for ventilation and helps prevent an adverse increase in moisture levels. The total and comprehensive sealing of flues is not recommended

## Insulating below suspended timber floors

**Is listed building consent not normally required?**  
Listed Building Consent is **not normally required**, unless original building elements (e.g. floorboards, skirting boards, door architraves) would require temporary removal.

**Guidance position**  
The LPA supports careful installation of quilt or rigid board insulation below suspended timber ground floors where there is no detrimental impact on the special architectural or historic interest of the building. (This is more likely where installation from above is required.)

### Guidelines and factors that will be considered during the determination and assessment process

- Insulating suspended timber floors from below is usually preferable except where there is a historically significant surface to a ceiling below. Installation from above should only be considered where it is not possible to insulate from below (i.e. no access)

- If installation from above is required, great care should be taken to avoid damaging historic building elements (e.g. floorboards, skirting boards, door architraves) – this should usually be possible, and the work should be carried out by a suitably experienced professional

- Quilt or rigid board insulation is preferable – sprayed foams will not usually be acceptable as they are not easily reversible should future repairs be required

- Breathable materials should be used to maintain the passage of air and moisture

- If lifting floorboards reveals ‘deafening’ material this should be left in place, as it can be an efficient fire retardant. However, it may reduce the space available for insulation, requiring thinner insulation board

## Insulating solid floors

**Is listed building consent required?**  
Listed Building Consent is **required** for insulation of solid floors.

**Guidance position**  
The LPA supports careful insulation of solid ground floors where there is no detrimental impact on the architectural or historic interest of the building, including any archaeological features.

### Guidelines and factors that will be considered during the determination and assessment process

- Where there are significant, undisturbed, historic floor surfaces the character and interest could be harmed from being lifted and therefore installing insulation is unlikely to be acceptable. However where there this is not the case (such as where there is a poor quality modern, replacement surface material or there is convincing evidence that a historic floor has been previously lifted and re-laid) the installation of under floor heating may be possible. In which case limecrete should be used which can be used in conjunction with insulation and under floor heating systems whilst allowing the transfer of moisture
- Breathable materials should be used to maintain the passage of moisture and air
- Work should be undertaken by a suitably experienced and qualified professional

## Loft & roof insulation

**Is listed building consent required?**  
Listed Building Consent is **not normally required** for insulation of pitched roof spaces at floor level, as long as the insulation is not adhesive, avoids disturbance to historic fabric, and is easily reversible.

- Listed Building Consent is **not normally required** for insulation of pitched roof spaces below the roof, as long as the insulation is not adhesive, avoids disturbance or harm to historic fabric and roof profiles, does not cover significant detailing and is easily reversible
- Listed Building Consent **not normally required** for installation of pitched roof ventilation and should be discreet

**Is listed building consent required?**  
Listed Building Consent is **required** for insulation of flat roofs

**Guidance position**  
The LPA supports careful insulation of loft and roof spaces where there is no detrimental impact on the architecture or historic interest of the building and advocates the use of permeable and sustainable traditional materials

### Guidelines and factors that will be considered during the determination and assessment process

- Insulation of pitched roof spaces at floor level is always preferable; other options should only be considered where this is not practical or possible (e.g. if the roof space is floored and forms part of the living space)
- Ventilation in the roof space must be maintained. This may require the addition of roof vents – in such cases discreet conservation-grade roof vents should be selected (i.e. eaves vents or tile vents)
- Quilt or rigid board insulation is preferable – sprayed foams will not usually be acceptable as they are not easily reversible should future repairs be required and are not permeable

- Below-roof insulation (pitched or flat roofs) can require temporary removal of surfaces – care should always be taken, and some insulation methods require less removal of fabric than others so research is required into the different options

- Care needs to be taken to preserve in situ historically significant internal surfaces such as plastered or decorated ceilings and skillings

- Roofs can be the least altered areas of historic buildings and care should be taken to maintain historic roof profiles, verge details, plaster surfaces and any other significant features or detailing

- Use of permeable materials, particularly sustainable natural materials such as sheep’s wool and wood fibre insulation, is encouraged to minimise the risk of condensation. There are many suppliers in the UK – the Local Planning Authority can provide further advice regarding this

- Insulating flat roofs is complex and can require partial rebuilding of the roof – as such this should always be carried out by a suitably experienced and qualified professional
- Changes to rooflines should be avoided where possible

# 3 Detailed Guidance on Retrofitting Measures

## Mechanical Ventilation

**L**

### Is listed building consent required?

Listed Building Consent is required to install and for an extractor fan or heat-recovery ventilation system

### Guidance position

The LPA supports the installation of discreet ventilation outlets where they are deemed necessary and there is no detrimental impact on the architectural or historic interest of the building. The principal elevation should be avoided and a discreet location should be considered. Decisions will be made on a case-by-case basis

### Guidelines and factors that will be considered during the determination and assessment process

Excessive moisture levels can lead to condensation and mould and bacterial growth, which can be harmful to historic building fabric and human health. Whilst traditional ventilation sources such as chimney stacks remain the best solution for traditionally constructed historic buildings, in some cases mechanical

ventilation may be required to augment this

- Principal elevations should be avoided. Where it can be successfully justified that there is no alternative, discreet outlet styles and colours will be of paramount importance, and decisions will be made on a case-by-case basis

- Specify an outlet of a discreet style and colour that matches the surrounding wall colour as closely as possible
- If possible, offer to remove redundant services from the wall where they are no longer required as a conservation gain
- Where practical, consider locating the exhaust through a vertical flue in a roof that cannot be seen
- Where a property is part of a unified terrace or similar to surrounding properties, use of discreet, complementary systems is particularly important to minimise the visual impact

## Solid wall insulation: external

**L**

### Is listed building consent required?

Listed Building Consent is required for external wall insulation.

### Guidance position

The LPA supports external wall insulation, where appropriate and where it can be successfully demonstrated it would not cause physical or visual harm to the building.

In both the typical building construction is limestone ashlar to front, principal elevations and rubble limestone to side and rear elevations which would often have been finished in a lime wash or, more typically, a lime render. Therefore external wall insulation may be possible to side and rear elevations and finished with a lime render.

Local vernacular buildings are often entirely constructed from rubble stone and there may be opportunities for the use of external insulation on all elevations and finished with a lime render. A critical consideration is moisture permeability and the external

wall insulation would need to be a permeable material and thus allowing the transfer of moisture throughout the wall.

It is common for metal fixings and timbers to be found within masonry walls and trapped moisture can lead to decay and structural failure.

Assessment of such measures will be on a case-by-case basis and it will need to be successfully demonstrated that there will be no detrimental impact on the architectural or historic interest of the building. Decisions will be made on a case-by-case basis

### Guidelines and factors that will be considered during the determination and assessment process

External wall insulation is a more thorough method of insulating walls than internal wall insulation and carries fewer technical risks. For many rendered buildings it will be a better solution than internal wall insulation.

- Use a finish which is appropriate for traditional building construction and sympathetic to the architectural context
- Vapour permeable insulation materials should always be used to allow moisture transfer through the walls

- A lime-based insulating render is likely to be the most acceptable insulation type for traditional buildings

- Cement-based insulating products are not suitable for use on traditional buildings

- Where painting is proposed, permeable paints should be used (e.g. limewash or mineral paint) to retain the permeability of the insulating material and to achieve an appropriate finish and presentation of the building
- Great care is necessary to ensure that detailing at roof eaves, and window and door reveals does not adversely affect the building's appearance or ability to shed rainwater

- If there is any evidence of damp within the walls, this must be resolved before applying insulation. If this is not resolved moisture may become trapped within the walls and cause structural damage, and the thermal performance of the insulation could be compromised. Any existing cement mortar should be removed and replaced with a suitable lime mortar
- Work must be undertaken by a suitably experienced and qualified professional

## Solid wall insulation: internal

**L**

### Is listed building consent required?

Listed Building Consent is required for internal wall insulation.

### Guidance position

The LPA supports, where appropriate, careful installation of internal wall insulation where there is no detrimental impact on the architectural or historic interest of the building, including harm to significant architectural features such as window and door reveals, skirting, architraves, dado rails, cornicing and built-in furniture or extensive loss of historic fabric such as removal of lath and plaster linings or panelling.

It is common for metal fixings and timbers to be found within masonry walls and trapped moisture can lead to decay and structural failure.

Furthermore it would have to be successfully demonstrated that the wall insulation would not increase the risk of interstitial condensation, and allows the transfer of moisture. Decisions will be made on a case-by-case basis

### Guidelines and factors that will be considered during the determination and assessment process

In many listed buildings and other historic buildings there is unlikely to be many opportunities for the installation of internal wall insulation and an alternative may be the use of an insulating lime plaster. However the following should be considered:

- Permeable insulation materials should always be used to allow moisture transfer through the walls. Features such as cornicing must be preserved – this may require the use of specialist insulation materials (e.g. slim-profile insulation, or blown beads behind lath and plaster) that avoid obscuring the cornicing. If the original wall lining is not present, the wall lining (e.g. plasterboard) may sometimes be removed and replaced with insulated plasterboard, natural wood fibre board or similar
- A low-impact approach and discreet materials should always be considered in relation to the way they are installed or the depth of the insulating material

- Installation should be thorough (i.e. not leave gaps) to avoid cold bridging as far as possible. Common areas where gaps are left include those behind kitchen or bathroom units

- Internal wall insulation is complex and requires careful design to be effective and to minimise technical risks. In most cases it will be necessary to obtain the advice of a suitably qualified architectural professional. If there is any evidence of damp within the walls, this must be resolved before applying insulation. If this is not resolved moisture may become trapped within the walls and cause physical harm and the thermal performance of the insulation could be compromised

- Permanent removal of historic architectural features such as skirting boards and architraves and other features is not regarded as acceptable however temporary removal may be required in some cases and care should be taken when removing and re-fitting them to avoid unacceptable harm. A suitably experienced and qualified professional should be used

## Combination boilers and external wall mounted flues

**L**

### Is listed building consent required?

Listed Building Consent is required for any boiler installation where an alternative location and an external flue is required or where alterations are required for associated plumbing

### Guidance position

The LPA supports the installation of efficient combination boilers and the discreet location of new boiler flues where there is no detrimental impact on the architectural or historic interest of the building. Principal and visible elevations should be avoided and appropriately discreet locations should be identified and utilised. Decisions will be made on a case-by-case basis

### Guidelines and factors that will be considered during the determination and assessment process

- Principal elevations should be avoided. Discreet and appropriate outlet styles, dimensions and colours will be

of paramount importance. Specify an outlet of a discreet style, size and colour that match the surrounding wall as closely as possible to minimise its impact. Decisions will be made on a case-by-case basis

- Where practical, consider putting the exhaust through a vertical flue in a roof that cannot be seen
- Plumbing routes should avoid notching floor joists and should be installed parallel to them to avoid harm to historic fabric and possible structural problems
- If possible, remove redundant services from the wall where they are no longer required
- Care should be taken when planning new pipe runs to avoid damaging historic surfaces and decorations (e.g. when lifting and re-laying floorboards). The work should be undertaken by a suitably experienced and qualified professional
- Flues will need to be appropriately located to ensure compliance with the Building Regulations

# 3 Detailed Guidance on Retrofitting Measures

## Wood burning stoves and boilers

### Is listed building consent required?

Listed Building Consent is **not normally required** for a wood burning stove, unless:

- installation requires removal of significant historic chimney pieces, hob grates and other associated historic ironmongery, hearths or any other associated historic architectural feature
- a new flue would be visible externally

Listed Building Consent is required for a wood boiler where a new outbuilding would be attached to the listed building. Depending on the size of the new building if it is not attached to the listed building it may require planning permission

### Guidance position

The LPA supports the installation of wood burning stoves where there is no detrimental impact on the architectural or historic interest of the building and where existing flues can be reused and does not cause harm to significant historic architectural features

The LPA supports the installation of wood boilers where there is no detrimental impact on the architectural or historic interest of the building and any required new outbuildings and flues are well designed, sensitively located and preserve the setting of the protected building

### Guidelines and factors that will be considered during the determination and assessment process

- Care must be taken to address any fire risk where wood burning stoves are introduced in combination with the installation of flue liners
- Existing fireplaces can be appropriate for the installation of wood burning stoves, however if the room is of high status and formal with associated architectural detailing such as an ornate chimney piece the installation of a wood burning stove may not be appropriate. This may be particularly relevant in the case of classical buildings
- Where a flue would be visible externally (for a stove or boiler) these should be discreetly located
- Where a new outbuilding is required care should be taken regarding location and design

## Air source heat pump

### L

### Is listed building consent required?

Listed Building Consent is **required** for an air source heat pump

### Guidance position

The LPA supports the installation of air source heat pumps where there is no detrimental impact on the architectural or historic interest of the building and they can be discreetly located

### Guidelines and factors that will be considered during the determination and assessment process

- Air source heat pumps are most effective in modern buildings that have been constructed to achieve a high level of air tightness. Traditionally constructed buildings require some level of natural, passive ventilation and therefore the level of airtightness required for air source heat pumps to operate efficiently is unlikely to be achievable

- Heat pumps are generally not recommended to replace gas boilers, as running costs and CO<sub>2</sub> emissions are similar – they are therefore best used in off-gas areas

- Care should be taken to locate the external unit of an air source heat pump in a discreet location away from the principal elevation – this could include behind greenery or fencing, or even within a loft space if the model is deemed suitable

- Older properties often contain microbore pipework, which may need to be replaced as it is not usually compatible with a heat pump. Care should be taken when planning pipe runs to avoid damaging historic interiors

- When used for space heating, heat pumps work most efficiently with under-floor heating. This is unlikely to be appropriate where there are significant, undisturbed, historic floor surfaces which could be harmed from being lifted. However where there is not the case such as where there is a poor quality modern, replacement flooring material or there is convincing evidence that a historic floor has been previously lifted and re-laid the installation of under floor heating may be possible. In which case it is highly recommended that limecrete is used which can be used in conjunction with insulation and under floor heating systems whilst allowing the transfer of moisture

- If under-floor heating is not possible, radiators may be considered. In some cases historic radiators may survive and are likely to be considered as significant elements of the interior and therefore their retention is important. Where this is not the case new radiators should be of a discreet design sensitively located

## Ground source heat pump

### L

### Is listed building consent required?

Listed Building Consent is **required** for a ground source heat pump, where it involves alterations to the listed building

### Guidance position

The LPA supports the installation of ground source heat pumps where there is no detrimental impact on the architectural or historic interest of the building and any below ground archaeology

### Guidelines and factors that will be considered during the determination and assessment process

- Heat pumps are generally not recommended to replace gas boilers, as running costs and CO<sub>2</sub> emissions are similar – they are therefore best used in off-gas areas

- In Bath there is a significant concentration of known and potential archaeology which would be adversely affected by the required ground works and disturbance – prior to works commencing an archaeological assessment should be undertaken by a suitably qualified and experienced professional

- Any proposed boreholes need to have regard to the **County of Avon Act (1982)** which protects the source of the Bath hot springs (please contact the Council for more detailed information and advice)

- Care should be taken when drilling boreholes adjacent to any particularly fragile structure, to avoid damage from vibrations

- Older properties often contain microbore pipework, which may need to be replaced as it is not usually compatible with a heat pump. Care should be taken when planning pipe runs to avoid damaging historic interiors

- When used for space heating, heat pumps work most efficiently with under-floor heating. This is unlikely to be appropriate where there are significant, undisturbed, historic floor surfaces which could be harmed from being lifted. However where there is not the case such as where there is a poor quality modern, replacement flooring material or there is convincing evidence that a historic floor has been previously lifted and re-laid the installation of under floor heating may be possible. In which case it is highly recommended that limecrete is used which can be used in conjunction with insulation and under floor heating systems whilst allowing the transfer of moisture

## Solar panels including photovoltaic (PV) and solar water heating panels

### L

### Is listed building consent required?

Listed Building Consent is **required** for solar panels on listed buildings and any curtilage listed buildings. Planning permission is also required if located within the curtilage of the listed building

### Guidance position

The LPA supports the installation of roof- and ground-mounted solar panels where there is no detrimental impact on the architectural or historic interest of the building and they are discreetly located

### Guidelines and factors that will be considered during the determination and assessment process

- Panels should be located as discreetly as possible, avoiding principal roof elevations unless they are not visible. 'M' style roofs, common in Bath, offer a 'hidden' roof valley that can be exploited, as can other hidden roof areas including outbuildings. If the roofs are not suitable, ground-mounted or

outbuilding mounted panels may be considered where they can be discreetly located without detriment to the setting of the listed building and other heritage assets.

It is more desirable to locate panels off the building where space permits within the grounds of the building. This is more likely to be possible within rural areas.

Consideration should also be given to the surrounding topography of a settlement or building which may afford a highly visible roofscape. This is particularly the case in Bath where the roofscape and views over the city are regarded as significant.

A comprehensive assessment should be carried out to establish the impact on significant views and the impact on the setting of heritage assets

- Consideration should be given to the additional weight of solar panels and an assessment of the roof structure should be undertaken by a structural engineer to ensure that damage does not occur as a result of the installation of the panels

- When selecting panels, care should be taken to select discreet styles that will have a low impact

# 3 Detailed Guidance on Retrofitting Measures

- If considering recessed panels, consideration should be given to the loss of historic fabric where the roofing material is historic and significant. These may be stored and replaced when the panels have reached the end of their useful life
- Evacuated tube solar thermal systems are considerably more visible than flat-plate panels. However, they require less space which can be an advantage, and can be well suited to flat roofs as they can often be used flat (and therefore be less visible) without compromising their performance
- Fixings should cause no damage to significant historic fabric and the installation should be reversible without significant impact on historic fabric
- Cabling, pipework, fuse boxes or other related equipment should be accommodated without loss of, or damage to, significant historic fabric – in the case of PV, the electrical equipment may be mounted on a single wooden board secured to the wall to minimise the number of fixings required
- Where a flat roof has a lead covering, a specialist lead contractor should be consulted

- to ensure that pipework or cabling installation does not damage the roof
- Thatched roofs are not suitable for solar panels
- Ensure there is a supply of replacement matching stone/handmade tiles before the work proceeds, in case of damage during installation
- Many older buildings have high chimneys, which can cast shade on a high proportion of the roof area over the course of a day. Panels should be located appropriately to avoid compromising their performance

## Solar PV roof slates

**L**

### Is listed building consent required?

Listed Building Consent **is required** for PV roof slates on listed buildings and any buildings within their curtilage

### Guidance position

The LPA supports the installation of solar PV slates where there is no detrimental impact to the architectural or historic interest of the building or the setting of heritage assets, they are discreetly located and where the installation does not involve the loss of significant historic fabric

### Guidelines and factors that will be considered during the determination and assessment process

The same principles as above apply for PV tiles, however there are also some additional considerations, as follows:

- Solar tiles should be of a similar colour and appearance to the original tiles

- PV tiles have a different appearance to panels, and their visual impact can depend on how much of the roof is covered – 100% coverage is likely to have a detrimental impact and therefore unlikely to be acceptable in most cases

- The type of PV tile also affects its appearance. Some PV tiles mimic traditional roof slates and have been successfully used on listed buildings, although their performance should also be a consideration

- PV tiles are often more likely to be acceptable on more modern listed buildings and where the roof is not highly visible from any vantage point

- In most cases discreet location will be a determining factor for successful installation for instance behind parapets and within other hidden areas of a roof

## Domestic-scale wind turbines

**L**

### Is listed building consent required?

Listed Building Consent **is required** for building-mounted turbines

Listed Building Consent **is not required** for free-standing mast-mounted wind turbines (Planning Permission will however be required)

### Guidance position

The LPA supports the installation of mast-mounted wind turbines within the curtilage of listed buildings where there is no significant impact on the architectural or special interest of the building, on any underground archaeology or on the setting of the building and any other heritage assets

Building-mounted wind turbines will not normally be acceptable on listed buildings

### Guidelines and factors that will be considered during the determination and assessment process

- Building-mounted turbines are unlikely to be suitable on listed buildings
- Due to their significant visual impact, proposals for wind turbines in historic settings and landscapes will require significant justification, assessment on the impact of the setting of heritage assets and evidence of their likely effectiveness (e.g. turbine specifications, site assessment and wind speed monitoring) in order to demonstrate the benefit they would have
- It is recognised that appropriate location of wind turbines is critical to their performance. Within this requirement, turbines should be located as discreetly as possible to avoid harm to the setting of heritage assets
- The installation must be easily reversible, without significant long term impact

- Cabling, pipe-work, fuse boxes or other related equipment should be accommodated without loss of, or damage to, significant historic fabric

- In Bath there is a significant concentration of known and potential archaeology where ground disturbance could be harmful – turbine mast foundations should not disturb archaeological features, and applications should demonstrate that this has been considered and thoroughly assessed by a suitably experienced and qualified professional

- An appropriate condition will be imposed requiring removal of the equipment and installation, including cabling and any foundations once the turbine is no longer operational

## Hydro turbines

**L**

### Is listed building consent required?

Listed Building Consent **is required** for installation of hydro turbines where it involves alteration to the listed building. (Planning Permission and other consents are likely to be required for hydro turbines)

### Guidance position

The LPA supports the installation of hydro turbines within listed buildings where there is no detrimental impact on the architectural or special interest of the building, on archaeological features or on the setting of the building and adjacent heritage assets

### Guidelines and factors that will be considered during the determination and assessment process

- There may be cases where the reuse of a former water mill would result in an improvement and enhancement of the building or buildings. For instance where there is surviving but redundant mill machinery and associated buildings which required to be restored to facilitate the installation of a hydro turbine
- Turbines and any new outbuildings required should be appropriately located and should not have a detrimental impact on the building
- The visual style of the turbine should be appropriate for the historic and traditional context of the building
- Penstocks should be buried where possible to minimise visual impact

- In Bath there is a significant concentration of known and potential archaeology where ground disturbance could be harmful – any ground works should not disturb archaeological features, and applications should demonstrate that this has been considered and thoroughly assessed by a suitably experienced and qualified professional
- For proposals relating to historic water mills, opportunities should be taken to restore the building or buildings and reveal or reinstate features of significance in conjunction with installation of the hydro turbine

# 4 What makes a good Listed Building Consent Application? Hints and Tips

General guidance on listed buildings and Consent applications is available on our website, as follows:

- Listed Building Consent - Application Form
- Listed Building Consent - Checklist
- Listed Building Consent - Guidance Note
- Listed Building Consent - FAQs

As well as reading this guidance it is important to engage with the Historic Environment Team at an early stage, to establish whether or not the LPA can support the proposals and if so the most appropriate approach to take.

This will usually require engagement with the formal pre-application process for which there is a charge, however its benefits cannot be overstated and can, if in principle support can be provided, lead to a successful scheme and outcome.

When applying for Listed Building Consent for energy efficiency or renewable energy measures, there are a number of particular considerations. These predominantly relate to the level of impact, if any, on the architectural and historic interest of the protected building.

Designation is a formal and legal acknowledgement of a building's architectural and historic interest and national significance and importance. However, some change is inevitable, and the LPA will work with listed building owners to manage this change and identify ways to meet the needs of occupants wherever possible although the level of change is likely to differ significantly from one building to another and each building will be assessed on a case-by-case basis and each building on its own merits.

Whilst anyone can apply for listed building consent in reality it requires specialist skills, knowledge and experience and therefore listed building owners are strongly advised to instruct a conservation specialist architectural professional to assist them (i.e. a surveyor, architect or architectural technician). The LPA has a limited list of conservation specialists and this can be provided if required (contact a member of the Historic Environment Team for more information).

The increasing focus on energy efficiency and renewable energy in recent years has led to a huge increase in the number of applications for improvement measures in listed buildings. This brings complexities as well as benefits, and it is important that applications are as clear as possible. When submitting your application, there are a number of things that need to be considered.

## 1. Research

For many energy efficient measures, there can be a bewildering array of choices available. Spend time early on researching all the options available to you, and make sure the application reflects this and shows exactly why you have selected the system in question.

You should make it as easy as possible for the LPA to assess your application. Doing your research also extends to choosing the right person or organisation to give you the professional support you will need, e.g. architects, surveyors or contractors – make sure you use someone who really understands both the energy and conservation aspects of your application but most importantly they understand and are experienced in architectural conservation. It is important to be aware and have knowledge of the relevant specialist guidance, much of which has been produced by English Heritage and is available on the internet (see section 6 of this document).

## 2. Detail

Provide as much detail as possible about the particular technology you want to install.

The type of draught proofing, double glazing or solar panel will determine its impact on the building – again, demonstrate that you have done your research and selected the system most sensitive and sympathetic for the building and, if relevant, for the setting of the conservation area and, in the case of Bath, the World Heritage Site.

Remember that for many improvement measures there are solutions available that are both effective and discreet, although some may require additional scoping works (e.g. a structural survey of a roof where solar panels are proposed to take account of the additional weight).

Specifications, drawings and photographs are all helpful to the LPA, and photo-montages showing the likely appearance post-installation are also useful. If in doubt, provide more rather than less detail in the application.

## 3. A practical approach

The communication of a practical, common-sense and sensitive approach will be expected. Showing that you have considered or adopted passive and low impact measures is important and consistent with the hierarchical approach.

For example, proposing a heat pump, external and internal insulation in the first instance, having not considered and implemented simple draft exclusion or replacing a gas central heating boiler with an efficient modern combination boiler would not be in line with energy hierarchy unless there were other factors in terms of impact on historic fabric you are considering.

## 4. Location

For more visual measures (solar panels, air source heat pumps, boiler flues, external wall insulation etc, demonstrate that you have thought about their impact on the building's and, where relevant, the conservation area's appearance and setting and what considerations have been taken to minimise the impact. Be sure to locate them in a discreet position. The 'Guidance on measures for listed buildings' section of this document provides numerous examples of this.

## 5. Loss of historic fabric

Loss of significant historic building fabric is seldom regarded as acceptable and is inconsistent with the aims of heritage protection as enshrined in the primary legislation, national policy and guidance relating to the historic environment.

However there may be some circumstances where the temporary removal of historic fabric may be regarded as justifiable. The Historic Environment Team should be consulted in order to provide advice and clarification.

## 6. Precedence

Precedence is not a determining factor in assessing changes to listed buildings – i.e. a measure approved on one building may not be deemed appropriate for another. Each application is assessed on its own merits, and this can mean that seemingly similar proposals for similar buildings do not always receive the same outcomes. However, it can be helpful to show the LPA some examples of what you are proposing to help illustrate your application where this has been successfully applied on other buildings.

## 7. Appropriateness

For higher-impact measures in particular it is important to explain and justify clearly why you feel they are needed for your property. Remember, while you may have a focus on saving energy, reducing your carbon footprint and CO<sub>2</sub> emissions or making your house warmer, the LPA will assess the application based on its physical and visual impact on the architectural and historic interest of the listed building and on the setting of the conservation area and other heritage assets where this is relevant.

Therefore it will be expected that stronger justification will be required in the case of higher-impact measures; the greater the justification that will be required, it will also be expected that relevant guidance has been consulted and that the proposals are consistent with the approach advocated by the guidance and with conservation best practice.

Some example applications and cases are provided in **section 5, Case Studies**, of this document.

Furthermore there is public access to all of the applications received by the LPA and decisions can be scrutinised which may of some assistance when considering proposals.



## 5 Local Case Studies

The following case studies provide examples of detailed applications for Listed Building Consent, demonstrating good practice both in the level of detail provided and in the initial consideration of measures. You will see that not all of the proposed measures were well received; however these also provide useful case studies for potential applicants. Please note that all planning and listed building applications are available for public viewing online.

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**A) New slim-profile double-glazed windows in Grade I listed building (St John's Hospital, Bath City Centre; view application)**

### Key elements of this application:

**An appropriate intervention** – The original windows were no longer in place, and the current windows did not match the originals – so this represented a good opportunity to bring back the original window designs while upgrading the thermal performance to modern standards which is particularly important given this building's function. Double glazing was demonstrated to be preferable to secondary glazing and blinds/curtains in this instance, due to the importance of daytime thermal comfort and ease of use for occupants.

**Drawings** – Detailed, professional scale drawings showing current and proposed building details. These are available online.

**Supporting materials** – Detailed, clearly laid out and explained, demonstrating a thorough knowledge and relevant research. The covering letter and Design Statement show an understanding of both key aspects of the application, a) built heritage (of the building and its setting) and b) energy conservation. Referencing to previous installations and research are clear and thorough.

Additional detailed written response to English Heritage advice

**LPA feedback** – Noted that the building was very prominent both in style and location, and that there may be some visual impact from replacing single glazing with double glazing; but also that other energy efficiency measures had already been carried out; that the current windows were not original and that the new windows would help bring back original window designs.

**Other feedback** – External feedback was mixed. Bath Preservation Trust noted that a whole-building approach was less intrusive than a partial approach, and that *'public benefits of mitigating climate change outweigh concerns about visual appearance of the glass'*. Bath Heritage Watchdog objected to the proposal, however, feeling that *'single glazing forms part of the interest of a listed building and should be retained to preserve the integrity of the building'*.

**Outcome** – Approved



**B) New slim-profile double-glazed units in Grade II listed building (Tunley Farmhouse, Tunley Hill, Camerton; view application)**



### Key elements of this application:

**An appropriate intervention** – The existing windows were not original, were in a poor state of repair and needed replacing; the proposed new windows matched the design of the originals. The proposed works would also go some way to remedying a lack of planning enforcement on adjacent properties that had adversely affected the property in question. However, it should be noted that the original proposal for double glazing of standard (20mm) cavity width was re-negotiated to slim-profile double glazing, which lengthened the timescale for granting consent to seven months.

**Drawings** – Detailed drawings showing current and proposed building details.

**Supporting materials** – Clear, simple explanations of why the proposed works are needed.

**LPA feedback** – The LPA felt that the original proposal for 20mm cavity double glazing would have been harmful to the property's character and appearance, and re-negotiated to slim-profile double glazing.

**Other feedback** – The local parish council supported the application, highlighting the lack of planning enforcement in neighbouring properties.

**Outcome** – Approved but with a change from standard-depth to slim-profile double glazing.

# 5 Local Case Studies

**Bath Homes Ltd for Mr. Fisher**

**Georgian / Regency Terrace, Bear Flat**




**Overview**

Applicant: Mr. Fisher, 19 Devonshire Buildings, Bear Flat, Bath, BA1 2RN

System: 3.6kWp, 10 panels, 10m x 10m

**Key Features**

- Heritage Listed Building
- Listed Building
- Listed Building
- Listed Building
- Listed Building
- Listed Building

**Introduction**

The client has asked for their addition of solar panels to be as discreet as possible and to be installed on the roof of the property. They have also asked for the system to be as aesthetically pleasing as possible and to be as energy efficient as possible. The client has also asked for the system to be as energy efficient as possible and to be as aesthetically pleasing as possible.

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View the case study online for more information

## C) Photovoltaic panels on Grade II listed building (19 Devonshire Buildings, Bear Flat; view application)

**Key elements of this application:**

**An appropriate intervention** – From a heritage perspective the siting is appropriate as it is discreet, with panels ‘hidden’ inside the double-pitched roof valley, external wiring run behind a downpipe to minimise visual impact, a board-mounted inverter to minimise fixings to original fabric, and a high position ensuring the roof is not overlooked. From an energy efficiency perspective, the siting is unfortunately less appropriate, as the requirement to hide the panels to minimise visual impact results in regular overshadowing by the roofline and chimney, causing sub-optimal performance – this is a good example of where heritage and energy conservation priorities can conflict. The installation was however combined with other energy-saving measures, demonstrating a holistic approach

**Drawings** – Detailed drawings, clearly showing the location of the installations and the fixing details

**Supporting materials** – Clear, detailed explanations in support of the proposed works, demonstrating a good understanding of both heritage and energy conservation principles, an awareness of relevant legislation and guidance, a thorough approach that has included both heritage and energy-saving improvements, and clear reasons for proposing PV over other renewable energy technologies. Also an illustration of conservation as ‘management of change’, detailing the changes that have taken place in the property over time

**LPA feedback** – Noted that there is ‘no substantive reason for refusing consent in this particular case’, but requires applicant to demonstrate that roof structure is sufficiently robust to carry weight of PV panels

**Other feedback** – One letter highlighted heritage issues and the need to assess roof structure

**Outcome** – Approved subject to demonstrating that the roof structure would support weight of PV panels



## D) Photovoltaic panels on Grade II listed building (The Old Rectory, Newton St. Loe; view application)

**Key elements of this application:**

**An appropriate intervention** – As in case study C, the elevated position of the building and the panel location in a hidden roof valley ensures discretion. Furthermore, the applicant specified non-standard panel finishes to render them still more discreet

**Drawings** – Detailed drawings and photographs, clearly showing siting and installation method

**Supporting materials** – A short but clear Design and Access Statement to accompany the drawings and photographs, highlighting the discreet panel finishes specified (black frames and backing sheets) and the intention to conduct a structural survey to ensure the roof’s structural integrity is maintained

**LPA feedback** – Noted that ‘appropriate conditions exist in order to facilitate solar panels’, namely the hidden, internal roof valley, the parapet, the elevated position of the building and surrounding topography, and the minimal fixings and wiring required. Also stated a requirement to conduct the aforementioned structural survey

**Other feedback** – The local parish council supported the application. Bath Preservation Trust also supported the application, noting that there would be no adverse visual impact, and recommending that consent should be subject to proving the integrity of the roof structure and that other energy conservation works should also be carried out

**Outcome** – Approved subject to satisfactory structural survey

## 5 Local Case Studies



**E) Refurbishment and extension of a Grade II listed building incorporating energy conservation measures (7 Charlotte Street; view application)**

**Key elements of this application:**

**An appropriate intervention**

Energy efficiency measures were proposed as part of a wider refurbishment and extension; this is a good time to consider such measures as other building works are taking place in any case. Proposed measures included draught proofing, shutter repairs, internal wall insulation, secondary glazing, slim-profile double glazing, roof insulation, solid and suspended floor insulation, gas central heating and a solar thermal array (sited on the principal elevation, but not visible due to the building's elevation and parapet). Pre-Application Advice was sought from the LPA before submitting the formal application. It should be noted that the secondary glazing and internal wall insulation were withdrawn from the application (for later re-submission) at the LPA's request

**Drawings** - Numerous very detailed drawings and photographs showing proposed works

**Supporting materials** - A Design and Access Statement and Sustainable Construction Checklist were both submitted to provide details of all the proposed measures and reference local and national planning and climate change policy, together with other correspondence and reports throughout the assessment process. The formal reports also made use of modern energy analysis tools such as Energy Performance Certificate ratings, air pressure testing and thermal imaging to illustrate their proposals. Much of the mid-assessment dialogue related to certain improvements that were felt to be contentious, primarily the secondary glazing and internal wall insulation

**LPA feedback** - The LPA noted the need to upgrade the building to make it fit for habitation, and supported the replacement of a poor existing extension with an improved version and the window replacements which they felt would enhance the property. They also felt the solar thermal evacuated tubes were acceptable. However, the LPA requested that the internal wall insulation and secondary glazing should be withdrawn from the application as they felt these

measures would have a 'detrimental impact' on the building. (The applicant agreed in order to achieve a timely decision; these measures have since been re-submitted under a separate application.)

**Other feedback** - An archaeologist provided groundwork recommendations. Bath Preservation Trust supported the proposed works including internal wall insulation where there was not significant plasterwork, and supported monitoring this measure for research

**Outcome** - Approved following withdrawal of the internal wall insulation and secondary glazing measures from the application. A separate listed building application was submitted for these measures however was subsequently refused because they were deemed harmful and would not preserve the historic architectural interest and character of the protected building



**F) Hydro turbine in a Grade II listed building (The Mill House, Midford; view application)**

**Key elements of this application:**

**An appropriate intervention**  
This building was constructed as a mill and had already been converted to generate electricity, however the current system was no longer functional; proposing a replacement hydro turbine is therefore entirely appropriate for this building and is in keeping with its original intended use.

The introduction of a new hydro-electric turbine was proposed as part of a larger refurbishment project that included demolishing a modern structure and improving the other existing structures, and the project was discussed with the LPA through the Pre-Application Advice function prior to submitting the full application

**Drawings** - Detailed drawings were provided including several detailing the proposed hydro turbine.

**Supporting materials**

Comprehensive documentation was provided alongside the main application form, including a Design and Access Statement, a Heritage Statement, a hydro feasibility study report and broader environmental reports often required for hydro schemes (e.g. assessing wildlife and flooding impacts). The Design and Access Statement and the Heritage Statement both demonstrate a thorough understanding of the building's heritage; indeed, the hydro turbine is not portrayed as the prominent feature of this application. However, the hydro feasibility study clearly demonstrates the energy, CO<sub>2</sub> and financial benefits of the turbine as well as the history of the earlier turbines

**LPA feedback** - The LPA was very supportive of the applicant's desire to retain the historic integrity of this 'significant' building, and noted that the building already includes 'many layers of change and intervention over 700 years', that the proposals would preserve and enhance the building's significance. They were also supportive of the fact part of the proposals would see a modern structure removed and more traditional features reinstated and of the installation of the hydro turbine

**Other feedback** - An Ecology Officer provided comments on any environmental/wildlife impact, not relating to the hydro turbine

**Outcome** - Approved

## 5 Local Case Studies

### Learning from unsuccessful applications

Not all applications for Listed Building Consent are successful. There are many reasons for refusal of Consent, and it is useful to be aware of these when considering your own application. Some cases and reasons for refusal are given below including the key concerns of the LPA:

Proposal & Reasons for refusal	Example response
1. The visual impact of proposed 210 <b>photovoltaic panels</b> deemed harmful	<ul style="list-style-type: none"> <li>'...will have a detrimental impact on the setting of heritage assets including listed buildings, the Bath Conservation Area and the Bath World Heritage Site and also important and significant historic views of the city'</li> <li>'...will cause visual harm to the protected building and the setting of adjacent heritage assets'</li> </ul>
Not enough detail has been provided on the possible impact of the building	<ul style="list-style-type: none"> <li>'...lack of information relating to the structural analysis of the...building and the impact on the roof and the integrity of the structure resulting from the installation [of photovoltaic panels]'</li> <li>'...lack of information relating to an analysis of the physical and structural impact on the roof structures...and therefore the proposals may lead to structural harm and damage to historic fabric'</li> </ul>
Not enough detail has been provided on the history and listing of the building	<ul style="list-style-type: none"> <li>'...lack of information regarding...the heritage significance of the building and its context'</li> </ul>
Lack of awareness of relevant planning policies	<ul style="list-style-type: none"> <li>'...the proposals are regarded as contrary to Planning (Listed Buildings &amp; Conservation Areas) Act 1990, Planning Policy 5: Planning for the Historic Environment and local and national policy guidance'</li> </ul>
2. The visual impact of <b>internal wall insulation</b> regarded as unacceptable	<ul style="list-style-type: none"> <li>'...the wall insulation will result in the loss from view of important historic fabric including original lime plaster wall finishes and internal joinery.'</li> <li>'...the insulation will unacceptably alter the character of the interior of the building...'</li> </ul>
Detrimental physical & technical impact of internal wall insulation	<ul style="list-style-type: none"> <li>'...Traditionally constructed historic buildings with a solid wall construction rely on the transference of moisture from within the wall so that it can be dissipated as vapour. Internally this process relies on adequate ventilation however it is clear that the aims of thermally upgrading the building are to minimise draughts and cold air entering the building.'</li> <li>'...likely to cause harm to internal fabric resulting from the inevitable increase in levels of damp and condensation...'</li> <li>'...likely that interstitial condensation between the existing internal wall surface and the internal surface of the wall insulation will occur.'</li> <li>'...although the aims of improving the thermal performance of historic buildings is supported in principle, this cannot be at the expense of heritage value and historic architectural interest and preservation.'</li> <li>'...there is a potential for physical harm to occur following the installation of the wall insulation...'</li> </ul>

Proposal & Reasons for refusal	Example response	Objections may also relate to the following, and may come from either the LPA or external commentators:
3. Installation of <b>replacement windows with double glazing</b> will cause visual harm to the terrace and Conservation Area	<p>This proposal to replace the existing windows is welcomed as it provides the opportunity for improvement and to reverse the trend for inappropriate replacements. As proposed the window type and design is not an issue, but use of standard, sealed double glazed units does cause concern.'</p> <ul style="list-style-type: none"> <li>'As proposed the window type and design is not an issue, but use of standard, sealed double glazed units does cause concern.'</li> <li>'The two panes introduce a double imaging which is visually intrusive and inappropriate for use on listed buildings.'</li> <li>'The desire to improve thermal efficiency is fully appreciated, but historic building research and guidance confirms that correctly draught proofed traditional single glazing has a similar effect to secondary glazing.'</li> <li>'If double glazed units were to be allowed it would be difficult to resist their use on other properties in the listed terrace and the cumulative visual impact would further erode character to an unacceptable degree.'</li> </ul>	<ul style="list-style-type: none"> <li>Where the impact on a historic building or the setting of heritage assets has not been recognised or considered by the applicant or has been played down</li> <li>Where the application has not demonstrated an attempt to minimise the impact on a building's appearance (e.g. the use of discreet product design and styles)</li> <li>Where inadequate detail has been provided in general, e.g. lack of specification details, no heritage impact assessment/ statement</li> <li>Where plans and drawings are not of a professional standard, lack detail or are inaccurate</li> <li>Where a relatively high-impact measure (e.g. a solar panel) is proposed and other lower-impact measures have not also been considered or applied.</li> </ul>

## 6 Useful Links

The following links will provide further information and more detailed assistance regarding retrofitting, renewable energy, climate change, energy efficiency and the historic environment.

There are also links to specialist registers and directories which include specialist products suppliers and services. This is not an exhaustive list but includes some of the most up to date and relevant information and guidance available:

### National Heritage Organisations & Amenity Societies

[www.spab.org.uk/](http://www.spab.org.uk/)  
[www.english-heritage.org.uk/](http://www.english-heritage.org.uk/)  
[www.helm.org.uk](http://www.helm.org.uk/) (follow link to *Climate Change*)  
[www.bath-preservation-trust.org.uk/](http://www.bath-preservation-trust.org.uk/)  
[www.ihbc.org.uk/](http://www.ihbc.org.uk/)  
[www.historic-scotland.gov.uk/](http://www.historic-scotland.gov.uk/)  
[www.ancientmonumentsociety.org.uk/](http://www.ancientmonumentsociety.org.uk/)  
[www.georgiangroup.org.uk/docs/home/index.php](http://www.georgiangroup.org.uk/docs/home/index.php)  
[www.victoriansociety.org.uk/](http://www.victoriansociety.org.uk/)  
[www.c20society.org.uk/](http://www.c20society.org.uk/)  
[www.stbauk.org](http://www.stbauk.org) (Sustainable Traditional Buildings Alliance)

### Registers & Directories

[www.buildingconservation.com](http://www.buildingconservation.com) (see *Directory*)  
[www.conservationregister.com](http://www.conservationregister.com)  
[www.nics.org](http://www.nics.org) (follow the links to *Services/Find a surveyor/Accreditation*)  
[www.architecture.com/TheRIBA/TheRIBA.aspx](http://www.architecture.com/TheRIBA/TheRIBA.aspx) (follow link to *Find an architect, Conservation Register*)  
[www.ihbc.org.uk/hespr/](http://www.ihbc.org.uk/hespr/)

### Guidance

[www.helm.org.uk/](http://www.helm.org.uk/) (see *Guidance Library*, which includes detailed guidance on building regulations, retrofitting measures and renewable energy)  
[www.climatechangeandourhome.org.uk](http://www.climatechangeandourhome.org.uk)  
[www.ucl.ac.uk/sustainableheritage/climate\\_change.htm](http://www.ucl.ac.uk/sustainableheritage/climate_change.htm)  
[www.cse.org.uk/downloads/file/warmer\\_bath\\_june2011.pdf](http://www.cse.org.uk/downloads/file/warmer_bath_june2011.pdf)  
[www.building.co.uk/Journals/2012/09/27/x/u/l/RESPONSIBLE-RETROFIT.pdf](http://www.building.co.uk/Journals/2012/09/27/x/u/l/RESPONSIBLE-RETROFIT.pdf)

[www.english-heritage.org.uk/content/publications/publicationsNew/guidelines-standards/setting-heritage-assets/setting-heritage-assets.pdf](http://www.english-heritage.org.uk/content/publications/publicationsNew/guidelines-standards/setting-heritage-assets/setting-heritage-assets.pdf)  
[www.bathnes.gov.uk/services/planning-and-building-control/listed-buildings/climate-change-and-historic-environment](http://www.bathnes.gov.uk/services/planning-and-building-control/listed-buildings/climate-change-and-historic-environment)

This document is an Annex to the **Sustainable Construction & Retrofitting Supplementary Planning Document**

Available online at [www.bathnes.gov.uk/greenbuild](http://www.bathnes.gov.uk/greenbuild)



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Appendix D

## Equality Impact Assessment / Equality Analysis

<b>Title of service or policy</b>	Sustainable Construction & Retrofitting Supplementary Planning Document
<b>Name of directorate and service</b>	Planning Services
<b>Name and role of officers completing the EIA</b>	Cleo Newcombe-Jones, Planning Officer
<b>Date of assessment</b> (NB this is an additional detailed assessment)	18.12.12

Equality Impact Assessment (or 'Equality Analysis') is a process of systematically analysing a new or existing policy or service to identify what impact or likely impact it will have on different groups within the community. The primary concern is to identify any discriminatory or negative consequences for a particular group or sector of the community. Equality impact Assessments (EIAs) can be carried out in relation to service delivery as well as employment policies and strategies.

This toolkit has been developed to use as a framework when carrying out an Equality Impact Assessment (EIA) or Equality Analysis on a policy, service or function. It is intended that this is used as a working document throughout the process, with a final version including the action plan section being published on the Council's and NHS Bath and North East Somerset's websites.

1.	<b>Identify the aims of the policy or service and how it is implemented.</b>	
	<b>Key questions</b>	<b>Answers / Notes</b>
1.1 Page 40	Briefly describe purpose of the service/policy	<p>The <i>Sustainable Construction and Retrofitting Supplementary Planning Document</i> supports the Council's aspirations of supporting and encouraging high quality sustainable design, domestic energy and water efficiency and renewable energy.</p> <p>The purpose of the policy is to explain how to make your build project more sustainable and outline what you need planning and listed building consent for.</p> <p>As outlined in the previous EqIA this document is considered to have an overall very positive equalities impact on all equalites groups</p> <p>The policy approach was originally assessed as part of the assessment of the parent policies which this document expands on (CP1 and CP2). See:  <a href="http://www.bathnes.gov.uk/sites/default/files/sitedocuments/Planning-and-Building-Control/Planning-Policy/Core-Strategy/InfoPapersandAppraisals/DCSApraisal-EqualitiesImpactAssessment.pdf">http://www.bathnes.gov.uk/sites/default/files/sitedocuments/Planning-and-Building-Control/Planning-Policy/Core-Strategy/InfoPapersandAppraisals/DCSApraisal-EqualitiesImpactAssessment.pdf</a></p> <p>Additional Guidance for Listed Buildings is also to be included as an Annex (although this is forthcoming)</p>
1.2	Provide brief details of scope	<p>The document is in two parts and focuses on domestic properties:</p> <ul style="list-style-type: none"> <li>(i) New build – introduces 9 key sustainability principles with local case studies</li> <li>(ii) Existing Buildings – how to retrofit (apply energy efficiency or renewable energy generation to your home. This applies to all types of properties including listed buildings.</li> </ul>
1.3	Do the aims of this	The aims of retrofitting will link to many Council services and policies:



	policy link to or conflict with any other policies of the Council?	<ul style="list-style-type: none"> <li>• Sustainable Community Strategy, the Corporate Plan, the Council's Vision and Values and the Environmental Sustainability &amp; Climate Change Strategy: Each of these documents emphasise the need to enable our district to move to a low carbon future. Since homes in the district are responsible for the largest portion of carbon dioxide, retrofitting is a key priority for achieving this aim.</li> <li>• Housing Services and the Affordable Warmth Action Plan, since this builds on existing fuel poverty work.</li> <li>• Public Health, the Health &amp; Wellbeing Board and the emerging Health &amp; Wellbeing Strategy: This work builds on Public Health's fuel poverty work; currently it is estimated that an avoidable £3.8m per year is spent by B&amp;NES NHS to deal with ill-health caused by cold homes.</li> <li>• Economic Development and the Economic Strategy: Retrofitting could generate an extra £10-£20m of work within the district, which could be done by local businesses</li> </ul>
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## 2. Consideration of available data, research and information

Monitoring data and other information should be used to help you analyse whether you are delivering a fair and equal service.

	<b>Key questions</b>	<b>Data, research and information that you can refer to</b>
Page 4 2.1	What is the equalities profile of the team delivering the service/policy?	The policy will be delivered by the Planning Department which consists of a roughly even split between males and female aged between 20 and 65.
2.2	What equalities training have staff received?	Planning policy team have received corporate equalities training and EQIA training. A number of the service deliverers within the Council will have received corporate equalities training.
2.3	What is the equalities profile of service users?	Through equalities mapping and population profile analysis (BANES Equality Profile 2009) we now know more about the wider groups of user who will benefit from any Planning guidance.
2.4	What other data do you have in terms of service users or staff?	Linked projects have gathered information about potential service users including the Community project Bath Green Homes and the Green Deal Project (which has included a Voicebox survey).
2.5	What engagement or consultation has been undertaken as part of this EIA and with whom?	This EIA has been circulated for comment to colleagues on the project team and the Equalities team, written comments have been received from the Equalities team.
2.6	If you are planning to undertake any consultation in the future regarding this service or policy, how will you include equalities considerations within this?	We are not intending to undertake any further formal consultation on the development of this policy (this was a previous stage).

## 3. Assessment of impact: 'Equality analysis'

Based upon any data you have considered, or the results of consultation or research, use the spaces below to demonstrate you have analysed how the service or policy:

- Meets any particular needs of equalities groups or helps promote equality in some way.
- Could have a negative or adverse impact for any of the equalities groups

		<b>Examples of what the service has done to promote equality</b>	<b>Examples of actual or potential negative or adverse impact and what steps have been or could be taken to address this</b>
<b>3.1</b>	<b>Gender, Transgender, Disability, Race, Sexual Orientation, Religion/belief, Rural communities</b>	<p>This Guidance will help improve the consistency and quality of planning advice. The guidance also provides free advice to supplement the Council's telephone support for general planning queries. Reasonable adjustments will also continue to be made to provide information in different formats to suit clients needs.</p> <p>Detailed planning advice is provided at a fee.</p>	<p>It will be important to take into account any cultural sensitivity associated with alterations to people's homes, when they are making planning or listed building applications.</p> <p>Promotional work undertaken in other parts of the Council will seek to reach rural communities off gas grid.</p> <p>Planning policies can restrict people's ability to modify their own home, however, Planning Officers can use the guidance to offer consistent advice to all groups. In some cases, exceptional circumstances will need to be considered.</p>
<b>3.4</b>	<b>Age</b> – identify the impact/potential impact of the policy on different age groups	<p>This Guidance will help improve the consistency and quality of planning advice.</p>	<p>The Green Deal project is doing work to enable more frontline service workers to promote retrofitting to vulnerable households the policy document that has been prepared will be a useful reference document for advice.</p> <p>Elderly or very young residents in fuel poverty are at particular risk from cold homes.</p>
<b>3.8</b>	<b>Socio-economically disadvantaged</b> – identify the impact on people who are disadvantaged due to factors like family background, educational attainment, neighbourhood, employment status can influence life chances	<p>The policy document will provide free accessible advice and promotes low cost measures first, however, some measures will be more costly and people may be excluded from accessing these due to cost – this particularly applies to lower income home owners.</p>	<p>Projects such as Bath Green Homes offers another option for free information which can increase awareness and knowledge through a community led approach.</p> <p>Awareness of grant funding and other sources of free advice for some of the retrofitting measures will also be made available via the SPD and associated information collated by the Council Sustainability team/Housing services.</p>

## 4. Bath and North East Somerset Council & NHS B&NES Equality Impact Assessment Improvement Plan

Please list actions that you plan to take as a result of this assessment. These actions should be based upon the analysis of data and engagement, any gaps in the data you have identified, and any steps you will be taking to address any negative impacts or remove barriers. The actions need to be built into your service planning framework. Actions/targets should be measurable, achievable, realistic and time framed.

Issues identified	Actions required	Progress milestones	Officer responsible	By when
EqlA sent to key service areas for response	The EqlA will has been circulated to the key officer group for comment	Written comments were received on 30.01.13. These comments have been incorporated into this EqlA. The majority of the comments related to Listed Buildings and so will be reviewed for the future EqlA for this Guidance document.	Cleo Newcombe-Jones	January 2012
The Planning Department is collaborating in key corporate projects to facilitate understanding of sustainable construction and retrofit	Involvement in Green Deal Project and Bath Green Homes	2013 Green Deal launch and 2013 Bath Green Homes Project	Cleo Newcombe-Jones	2013

## 5. Sign off and publishing

Once you have completed this form, it needs to be 'approved' by your Divisional Director or their nominated officer. Following this sign off, send a copy to the Equalities Team ([equality@bathnes.gov.uk](mailto:equality@bathnes.gov.uk)), who will publish it on the Council's and/or NHS B&NES' website. Keep a copy for your own records.

**Signed off by:**

(Divisional Director or nominated senior officer)

**Date:**

**Energy & Renewable Energy Guidance for Listed Buildings and Undesignated Historic Buildings  
(appendix to Sustainable Construction & Retrofitting Supplementary Planning Document)**

**Summary of Consultation**

**22 March - 3 May 2012**

**July - August 2013**

**The original consultation encapsulated the all-embracing Sustainable Construction and Retrofitting of historic buildings document. The second phase of consultation was of a more focussed nature and limited to Guidance on Retrofitting of existing heritage assets**

## **Contents**

- 1 Early Stage consultation
- 2 Committee Meetings
- 3 Public Consultation
- 4 Statement of Compliance with the Statement of Community Involvement
- 5 Summary of responses to the consultation
- 6 Council response to consultation comments
- 7 Summary of additional responses to the Retrofitting Guidance
- 8 Council response to additional consultation comments

## Consultation Report

### 1 Early stage consultation

1.1 Early stage consultation on the Sustainable Construction SPD was undertaken via a series of one to one meetings with key stakeholders.

1.2 In addition, the Council ran a Stakeholder workshop in July 2011 which was attended by 35 people including Councillors, Academics, Community Groups, Local Architecture Practices, English Heritage, Environment Agency, Bath Preservation Trust, Somer Housing (now Curo), Residents Associations, adjoining Local Authorities, and Council officers from a range of disciplines and departments. A full report of this workshop is available as a background document. Storyboards with draft content and stylistic options were presented to the stakeholders which has informed the content and presentation style of the SPD.



### 2 Committee Meetings

2.1 **Planning Transport & Environment Policy Development and Scrutiny Panel**  
– The panel considered the draft Sustainable Construction SPD on 15<sup>th</sup> May 2012 as part of the consultation, comments are under consideration alongside the public consultation comments. Table 1 below is a summary of key points raised and how these are being addressed.  
<http://democracy.bathnes.gov.uk/documents/s17235/SustainableConstructionSPD.pdf>

*Table 1: Key points raised by PTE Policy Development Scrutiny Panel and how these have been addressed*

Issue raised	Response
Concern about how Cavity Wall Insulation would be carried out	Risks flagged up in section on wall insulation. However, this is not a

on certain properties	detailed DIY guide and specialist advice will still be needed and the SPD flags up that a detailed survey will need to be undertaken by an installer to assess the suitability of the building for cavity wall insulation.
Planning process section could be expanded including links to Neighbourhood Planning	Links to SPD added to the Neighbourhood Planning protocol – this is considered to be the main source of information on the planning process rather than this SPD.  Separate permitted development checklist provided.  Further detail on submitting listed building applications added.
Links to the green deal should be added	Links added.
Listed Building consent section should be clearer	Significant further work undertaken on this section to make it clearer and more detailed.
Information on low cost/high impact measures should be included up front	Clearer message re energy hierarchy to be included in the SPD to emphasise this point up front.

2.2 **Cabinet** – The Cabinet considered the draft Supplementary Planning Document on 14<sup>th</sup> March 2012 and agreed it for public consultation.  
<http://democracy.bathnes.gov.uk/documents/s15874/E2351%20Sustainable%20Construction%20SPD.pdf>

2.3 The draft Supplementary Planning Document was considered by the **Environmental Sustainability Partnership** on 26<sup>th</sup> July 2012. The following statement of support was agreed by this group:

*“Detailed local guidance is both needed and supported for energy efficiency measures in listed buildings. This should provide greater clarity and objectivity and be as permissive as possible within areas where we can exert local discretion in relation to energy efficiency.”*



### 3 Public Consultation

- 3.1 A public consultation on the draft document was held for 6 weeks between 22<sup>nd</sup> March and 3<sup>rd</sup> May 2012. This was fully integrated to the programme of collaborative events for “Bath Homes fit for the Future” and was ran jointly with the Sustainability and the Planning Policy teams working with the Bath Preservation Trust and Transition Bath to deliver the programme of events and activities.
- 3.2 During this period the following consultation activities were undertaken:
- 3.3 **Notification** – A notification letter with information about the consultation and events was issued prior to 22<sup>nd</sup> March by email/letter to all statutory consultees and a range of other stakeholders. Hard copies of the document were also issued and distributed by hand at events and by post to statutory consultees. An item on this topic was also included in the Spring 2012 LDF newsletter:<http://www.bathnes.gov.uk/SiteCollectionDocuments/Environment%20and%20Planning/Planning/planning%20policy/LDF%20Newsletter%20Spring%202012%20Web%20Version.pdf>
- 3.4 **Press notice** – A press notice was issued which appeared on 22<sup>nd</sup> March in the Bath Chronicle. This is a statutory requirement.
- 3.5 **Press releases** – A series of press releases were issued which were picked up in local newspapers and radio. For example:
- <http://www.thisisbath.co.uk/Green-projects-win-Government-money/story-15179438-detail/story.html>
  - <http://www.thisisbath.co.uk/Green-home-pioneers-open-doors-public/story-15042275-detail/story.html>
  - <http://www.thisisbath.co.uk/Homes-fit-future/story-15435076-detail/story.html>
- 3.6 **Webpages** – [www.bathnes.gov.uk/greenbuild](http://www.bathnes.gov.uk/greenbuild)  
A specific webpage was set up to include a copy of the draft SPD, comment form and details of consultation events and other information. In addition, a specific webpage was set up for the open homes weekend and associated activities: [www.bathhomesfitforthefuture.org](http://www.bathhomesfitforthefuture.org) which included an online booking system for the open homes weekend.
- 3.7 Unfortunately due to a technical issue the corporate consultation calendar which is externally hosted was not able to be updated to include this consultation. However, all other requirements were met.
- 3.8 **Hard copies in libraries and Council offices** – Hard copies of the Supplementary Planning Document and details of the consultation were made available in all libraries in the district and also in the Guildhall, Riverside and the Hollies.

- 3.9 **Bath City Conference** - This open event was held at the Guildhall in Bath on 2<sup>nd</sup> May 2012, 2-8pm and attended by approx. 450 people. A Sustainable Construction & Retrofitting stall, a Bath Homes fit for the Future stall as well as stalls set up by local groups on this topic (Bath Preservation Trust – London Road project; Energy Efficient Widcombe – LEAF Bid project and Sash window demonstrator session by the Sash Window Consultancy) was set up and manned in the Kaposvar room which had a Sustainability focus – containing displays and information. For further information please go conference with to [www.bathcityconference.net](http://www.bathcityconference.net)
- 3.10 In addition a short film about the open homes weekend was launched in the main room (Banqueting room):  
<http://www.thisisbath.co.uk/Bath-City-Conference-2012-details-announced/story-15922443-detail/story.html>
- 3.11 **Keynsham drop in session** – Prior to a Neighbourhood Planning workshop a drop-in session and display on the SPD took place on 3<sup>rd</sup> May 5.30-6.30pm at Keynsham Town Hall. Approximately 65 people attended the main event.
- 3.12 **Bath Homes fit for the Future** – The main part of this consultation was held in collaboration with Bath Preservation Trust and Transition Bath. A full programme of events is available at [www.bathnes.gov.uk/greenbuild](http://www.bathnes.gov.uk/greenbuild) and a leaflet, posters and advertisement postcards were distributed by volunteers throughout the city.

Event	Comments
29 Feb Getting Inspired to Reduce Energy Consumption: Workshop  Friends Meeting House Bath  Organised by local group <i>Retrofit to Save Energy</i>	Three expert speakers presenting inspiring examples of how to reduce energy consumption in your Bath home.
06 March Green Deal & Business Development Seminar  Innovation Centre, Bath  Organised by <i>B&amp;NES Council with Low Carbon South West</i>	An event for local businesses about the growing market for renewable technologies and retrofit.  This included a pop up display on the Supplementary Planning Document and copies of the draft document were given out.
13 March Love your windows!  Building of Bath Collection	Free drop in practical demonstration draft proofing

Organised by <i>Bath Preservation Trust</i>	
13 – 16 March Bath Homes fit for the Future Exhibition  Bath Central Library  Organised by B&NES Council	Display on retrofitting and sustainable construction including information on the open homes weekend and the SPD
13 March & 10 April Transition Bath HUB  Jika Jika Café  Organised by <i>Transition Bath</i>	Networking event.
14 March & 11 April Bath Green Drinks The Rising Sun  Organised by <i>Bath Green Drinks</i>	Discussion group
15-17 March  The Green Room Mobile Advice Centre  Stall Street  Organised by <i>B&amp;NES Council</i>	Mobile advice centre with information about energy efficiency, renewable energy, grants and discounts.
16-17 March  Bath Homes fit for the future open homes weekend  Organised by <i>B&amp;NES Council, Bath Preservation Trust and Transition Bath</i>	12 open homes in Bath showcasing retrofitting energy efficiency measures and microgeneration technologies and sustainable new builds and extensions.  Building of Bath Collection hosted a series of exhibitions during the two days.  621 visits registered over the weekend.
19 March Transition Bath Energy Group Focus on Green Roofs  Friends Meeting Hse, Bath and North East Somerset Council	Specialist talk about installation of green roofs.

Organised by <i>Transition Bath</i>	
22 March Ecobuild Conference ExCel London Coach organised by <i>B&amp;NES Council</i>	Trip to world's biggest event for sustainable design and construction.
28 March Understanding what I can do to reduce energy consumption in my Bath home Friends Meeting House Bath Organised by local group <i>Retrofit to Save Energy</i>	Technical talk based on the findings of a study in Widcombe.
05 April & 21 April Make a tea cosy/Draught excluder 146 Walcot Street Organised by <i>The Makery</i>	Craft workshops
16 April Transition Bath Energy Group: Introduction to Passivhaus Friends Meeting Hse, Bath and North East Somerset Council Organised by <i>Transition Bath</i>	Technical talk about Passivhaus principles and their application.
26 April Conference: Is Bath fit for the Future? SPD Launch evening Countess of Huntingdon's Chapel Organised by <i>B&amp;NES Council, Bath Preservation Trust and Transition Bath</i>	Attended by over 70 people with guest speakers from the Council, BPT and Transition Bath. Guest Speaker from Historic Scotland.

- 3.13 A detailed report on the Bath Homes fit for the Future project is also included as an Appendix to this Report (**Appendix D**). Approx 300 people attended the events, with 620 people visiting homes during the open homes weekend.

#### 4 Statement of Compliance with the Statement of Community Involvement

- 4.1 In line with the SCI, a full schedule of comments together with a consultation report and statement of compliance is included here.
- 4.2 The key target groups focused on in this consultation were residents of Bath, and working collaboratively with key partners to run events and the open homes weekend was a key part of this.
- 4.3 Care was also taken to consider impacts on various equality groups and information on public events including the Bath City Conference was sent to all of the known groups, societies and organisations on our mailing list. The Bath City Conference event was aimed at being highly accessible, with a large range of community led stalls and projects.

#### 5 Summary of responses to the consultation

##### **Overview**

- 5.1 The consultation responses show that there is **strong support** across the board for the supplementary planning document (SPD) in principle. All respondents recorded have expressed their support for the ambitions of the document, with a general recognition of the importance of addressing the issue of climate change within the historically significant and sensitive context.
- 5.2 The 30 detailed written comments received comments received positively recognised the SPD's approach to tackling a complex and challenging subject in an engaging manner.
- 5.3 The structured consultation questions were completed by 14 respondents (out of a total of 30 respondents to the consultation exercise), and the results of the questions posed showed that there was a strong majority view that the SPD was mostly easy to use and understand, and that the scope and detail of the content was appropriate for the document. The more detailed response showed that:
- Over 92% of respondents considered the document was easy to use.
  - Over 92% of respondents considered that the text was clear to understand.
  - Regarding the diagrams and images in the document, 100% respondents considered that they were easy to understand
  - Respondents indicated that there was generally enough detail included to address the SPD's expressed target audience (householders and small scale developers).
  - Over 97% of respondents considered that the detail was appropriate to the target audience

5.4 The final question posed as to whether respondents agreed with the content received a more mixed response. Almost 86% of respondents considered that they mostly agreed with the content of the SPD. 14% of respondents indicated they definitely agreed with the content of the SPD.

5.5 Many of the comments raised were points of technical detail, with the section attracting most comments being the chapter on listed buildings.

### **Listed Buildings:**

5.6 **Hierarchy of Actions** - A number of the comments highlighted that the guidance should be strongly emphasising the hierarchy of measures which should be undertaken by householders, starting with basic changes in appliances and behaviour and progressing towards more drastic and invasive measures.

5.7 **Tone of Listed Building Sections** - A number of comments received commented that the document dwells primarily on the negative aspects of listed and traditional buildings, and does not do enough to emphasise the value of heritage and some of the advantages of traditional building styles.

5.8 English Heritage in particular suggested that the 'typology' section (pages 20 – 29) should be reworked and presented more as a 'strengths and weaknesses' or SWOT analysis approach, which showed the advantages of each typology as well as the issues.

5.9 **Listed Building Policy 'Presumptions'** - There was broad support for the principle of including policies in the guidance, though there was disagreement over whether the level of detail given was correct. Some felt that the wording was not clear enough, and that it was not clear which measures would receive permission and under what conditions.

5.10 There was a mixed view about whether the extent and prescriptiveness of the policies included in the document were appropriate. A number of respondents felt that the policies stated did not go far enough to support the implementation of sustainability measures, in listed buildings. Conversely, other respondents felt that the policies were too permissive and would either unfairly raise the expectation of applicants that inappropriate measures would receive permission.

- 5.11 Respondents disputed the policy wording given for a number of individual items.
- 5.12 There were issues raised by English Heritage in relation to “presumptions in favour” of particular measures, and it was suggested that a general policy in favour of energy efficiency measures (provided they do not harm the significance of the building or pose any undue technical risks) should be adopted.
- 5.13 **Listed Building Policy ‘Factors’** - The ‘factors’ presented raised some further concerns. Though this column has been included to provide guidance upon when each measure would be appropriate, considering the heritage and technical factors involved, it was clear that this section also was felt to be hard to understand and could benefit from both expansion and from being more specific.
- 5.14 **Clarification on Draught-Proofing** - One of the most contentious issues among respondents was the suggestion that draught-proofing of windows in listed buildings would require listed building consent. Where this issue was raised it was highlighted that it was unclear why listed building consent was necessary, and which forms of draught-proofing would require consent. Some respondents observed that the relatively minor cost of draught-proofing would likely be considerably less than the cost of any listed building application preceding it (accounting for any architectural drawings and planning fees).
- 5.15 **Double Glazing** - There was general support for the presumption in favour of slim profile double glazing in windows that are being replaced (provided that original windows are beyond repair). However, English Heritage’s responded that there should be a presumption in favour of replacing windows in listed buildings with *single* glazed windows with secondary glazing.
- 5.16 **Interior Works to Grade II listed buildings** - Another area of confusion was the perceived need for listed building consent for measures undertaken within the envelope of a listed building. While a grade I listed building will always need works for alterations to the interiors, there was confusion among some respondents as to whether the document was implying that grade II listed buildings would also require consent.
- 5.17 **Listed Building Applications & Consents** - Leading on from the comments regarding listed building consents, it was commonly cited that the document did not make it clear enough what the process for listed building applications is. This lack of general understanding seems to have had an effect on people’s views about the policies and restrictions being presented. It is felt that the document would benefit

greatly from a clear, plain-English explanation of the listed building application process, with particular explanation of the tests that these sorts of applications need to be subject to. This is hoped to provide readers with the understanding to be able to appraise their own home and what sort of measures would be appropriate for it.

## 6 Council response to consultation comments

6.1 The positive response to the SPD meant that on the whole few changes were necessary, however, the main changes have been the inclusion of additional local case studies and additional content.

8.2 In response for requests for further information about Permitted Development for retrofitting measures a specific Checklist has been prepared.

8.3 The majority of amendments have been to the listed buildings element, which was previously included as p51-59 of the SPD. This has since been developed into a more detailed separate Guidance Annex. Further work has been undertaken on this with Conservation specialists and English Heritage and Historic Scotland have been further involved in the development of a draft (forthcoming).

8.4 The amendments to the SPD summarised below:

Section	Amend #	Summary of main changes
<b>Graphic design</b>	1	Simplifying and improving layout
	2	Update cover design
	3	Inserting clear section breaks to distinguish: <ul style="list-style-type: none"> <li>- Contents page</li> <li>- Introduction</li> <li>- Sustainable Construction Principles</li> <li>- Typical house types</li> <li>- Retrofit options</li> </ul>
<b>Introduction</b>	4	Replacement Structure diagram
	5	Updated policy background to refer to new <i>National Planning Policy Framework</i>
	6	Include introductory text with reference to the Green Deal and Bath Green Homes
	6a	Include References to Permitted Development Checklist and Listed Buildings Guidance



<b>Sustainable Construction</b>	7	Add local examples and include in-depth case study (Hayesfield School)
	8	Delete p7 and consent summary on p6 as duplicated in section 3
	9	Delete p8 Carbon savings information
	10	Minor textual amendments, additions and improvement updates to Sustainable Construction principles (p9-17)
<b>Retrofitting</b>	11	Include link to community projects
	12	Included a more comprehensive introduction to retrofitting
	13	Include references to the Council led Green Deal project Issues for each building type – edited text to add greater emphasis to positive elements of historic buildings in relation to energy efficiency and emphasise the importance of repair
	13	Add photos highlighting different building types in B&NES
	14	Improve key and symbols to make these more prominent. Review symbols for various consents.
	15	Produce more detailed guidance for permitted development rights for energy efficiency measures and microgeneration of renewables – separate to the SPD so it can be updated easily to reflect General Permitted Development Order (See <b>Appendix C</b> to Cabinet Report)
	16	Add new pages on: <ul style="list-style-type: none"> <li>- Key considerations: Damp and condensation issues</li> <li>- External Wall Insulation</li> <li>- Green Walls/Roof</li> <li>- Grey Water Recycling</li> <li>- Rainwater Harvesting</li> </ul>
	17	Include links to range of specific technical guidance produced by English Heritage and Historic Scotland for each of the specific measures.
	18	Add cross references to Warmer Bath
19	Simplify layout in relation to building types and information	
<b>Listed Buildings Guidance</b>		<b>(forthcoming)</b>  Changes are still to be confirmed.

<b>Appendices</b>	27	Added extra contacts and information sources
	28	Delete Appendix 1: Carbon savings table
	29	Delete Appendix 2: Costs  Delete: Consultation details

## 7.1 Summary of additional responses to the Retrofitting Guidance:

At the request of the Cabinet member with responsibility for Homes and Planning a draft version of the Guidance was considered by the Development Control Committee on 31<sup>st</sup> July 2013. The Committee received comments from the Local Council's Association and the Bath Preservation Trust. The draft Minutes of the meeting recorded:

### 44 SUSTAINABLE CONSTRUCTION AND RETROFITTING SPD

The Committee considered

- The report of the Conservation Officer on this SPD adopted last February which (1) had been produced to accord with and respond to the issues of climate change and the emerging energy deficit and the desire to improve the energy efficiency of new buildings and the existing building stock; (2) would comply with the National Planning Policy Framework which recommended that Local Planning Authorities adopt proactive policies and strategies to mitigate and adapt to climate change; (3) informed that the accompanying appendix relating to the retrofitting of listed buildings and undesignated historic buildings was omitted pending further discussions but that English Heritage had indicated their support for the current document; and (4) recommended that the guidance be noted prior to its consideration and adoption by the Cabinet
- Statements by representatives of the Local Council's Association and the Bath Preservation Trust
- A statement by Councillor David Martin supporting the guidance and considering that it should be submitted to the Planning, Transportation and Environment Scrutiny Panel.

Members considered the report and the attached guidance which was generally supported. The Chairman summarised the debate, in particular the use of the wording "no detrimental impact" in the Guidance. He considered it was appropriate and consistent with the aims of architectural preservation conservation, the primary legislation and national planning policy relating to heritage protection, particularly in the context of the City of Bath as a World Heritage Site.

RESOLVED to note the guidance and its contents prior to consideration and adoption by the Cabinet

7.2 Since the adoption of the SPD earlier this year, officers from Planning Services and the Sustainability team met with English Heritage and put a number of questions to them about the Guidance.

7.3. A written reply to the questions was received from English Heritage on 1<sup>st</sup> August 2013. English Heritage indicated that in their opinion

- A) The Guidance is broadly in line with national policy, particularly the significance of the historic environment should be maintained and enhanced, and less harmful measures should be considered first when it is proposed to alter designated assets.

- B) The NPPF indicates that sustainable development should contribute to protecting and enhancing our historic environment and the different roles of sustainable development should not be undertaken in isolation.
- C) The guidance focuses on physical interventions to buildings and might be improved by consideration of how other adaptations could be made to reduce carbon emissions, etc. The guidance might benefit from a traffic light system, with regards to the need for LBC and the likelihood of any approach causing harm to a historic asset.
- D) Whilst the section on DG is clear that original windows of significance should be retained, and not GD-ed, there is no indication to those reading the document what constitutes the important and/or significant detailing of window frames. There is mention of the need to conserve historic window frames (in the DG section) there is no mention of the potential of historic window glass.
- E) Accepting that each case has to be judged on a case-by-case basis, we would query whether it is the intention to support replacement of any historically window which is beyond repair with a DG-ed replacement (p7, column 3, bullet 2)? We would also query whether black is ideal colour for spacers (p7, column 4, bullet 4).
- F) The section on insulating below suspended timber floors might benefit from further clarification of when it is not possible to insulate from below- e.g. if there is a historically significant surface to the ceiling below. Likewise, in Loft and Roof Insulation) it might be worth whether there might be occasions when “temporary removal of surfaces” is a problem.
- G) Other general comments on progress in others areas of the country were supplied in responses to the questions, but are not directly relevant to the proposed Guidance.

7.4. The Council’s World Heritage Manager was consulted on the draft Guidance and the following points were made

There is a hint that the Council’s Sustainability Team are pushing for a more permissive document. It might be worth making this explicit, and that the desire has been tested with the Government’s advisor on the historic environment.

It would be worth making the point that the Guidance already goes beyond what the Council is obliged to do.

There is an under-current that there is a difficulty in obtaining planning permission but the statistics indicate this is only a perception. The main issue is therefore about this misconception and the Guidance should help by offering clear advice.

8.1 Council response to additional consultation comments :

<b>Section</b>	<b>Amend #</b>	<b>Summary of main changes</b>
Introduction	1	Include requirement of NPPF that sustainable development should contribute to protecting and enhancing our historic environment to meet EH point (B)
Detailed Guidance & The Energy Hierarchy	2	Switch order to give emphasis to the key point (A) made by English Heritage
Detailed Guidance	3	Amend spacer colour to “should match the colour of the painted timber” to meet EH point (E)
Detailed Guidance	4	Add new bullet point “ The replacement of a window which is part of a unified façade consisting of original windows with a double glazed unit is unlikely to protect or enhance the character of the property” to meet point EH point (D)
Detailed Guidance	5	Add “Historic glass is particularly rare within the Bath World Heritage Site due to the impact of the Baedeker air raids of 1942” to help meet EH point (D)
Detailed Guidance	6	Amend guidance to “Insulating suspended timber floors from below is usually preferable except where there is a historically significant surface to a ceiling below.” to meet EH point (F)
Detailed Guidance	7	Add “Care needs to be taken to preserve in situ historically significant internal surfaces such as plastered or decorated ceilings and skillings” to help meet EH point (F)

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<b>Bath &amp; North East Somerset Council</b>		
MEETING:	<b>Cabinet</b>	
MEETING DATE:	<b>11<sup>th</sup> September 2013</b>	EXECUTIVE FORWARD PLAN REFERENCE:
		<b>E 2584</b>
TITLE:	<b>Childcare Sufficiency Assessment 2013</b>	
WARD:	All	
<b>AN OPEN PUBLIC ITEM</b>		
<b>List of attachments to this report:</b>		
Childcare Sufficiency Assessment 2013		

## **1 THE ISSUE**

1.1 The Childcare Act 2006 requires local authorities to carry out and publish a sufficiency assessment of childcare in their area at least every 3 years.

## **2 RECOMMENDATION**

The Cabinet agrees:

2.1 To note the report.

2.2 The recommendations and action plan set out in section 6 of the report, within the resources available following publication of the 2013 assessment.

### **3 FINANCIAL IMPLICATIONS**

- 3.1 The Council has a duty to assess the “reasonability” of any request identifying a shortfall in childcare provision. It is not expected that the Council will be a provider of the childcare but it should act as a market facilitator as and when required. Where the request is deemed to be reasonable this may involve provision of an incentive to stimulate the market either in the form of provision of premises for example or by way of direct financial support.
- 3.2 Specific initiatives, for example the statutory Early Years Entitlement for a specific cohort of 2 year old children, have been provided with funding by the Department for Education to fund both the places and places development. There is, however, an expectation that the funding is passed to the provider and not used by the Council to support the development work required to deliver this mandatory initiative.
- 3.3 Demand for Early Years Entitlement provision for 2, 3 and 4 year old children is measured annually by the Department for Education’s Early Years Census. The Council is then funded through the Dedicated Schools Grant specifically for this purpose and there is no cost to the Council. Indeed the higher the take up of the entitlement, the more funding the Council receives to pass on to the sector for the benefit of the children.
- 3.4 Production of the report allows the Council to identify potential childcare shortages resulting from housing expansion. The report can be used to evidence the need for Section 106 or Community Infrastructure Levy (CIL) capital payments in order to expand existing or create new provision to address the childcare shortfall that may arise from the development.

### **4 CORPORATE OBJECTIVES**

Reporting on childcare sufficiency enables the vision “Bath & North East Somerset - the place to live, work and visit” by supporting the achievement of the following Council objectives.

- **Promoting independence and positive lives for everyone**
  - The people most in need are supported to live full active lives.
  - Children and young people enjoy their childhood and are prepared for adult life.
  - Schools develop and extend their role in the local community.
  - There are activities and opportunities to help young people to make a positive difference to their lives and communities
- **Creating neighbourhoods where people are proud to live**
  - Reduced inequality between communities across Bath & NE Somerset
- **Building a stronger economy**
  - With a broad range of job and employment opportunities that recognises the different needs of rural, town and city communities.



## **5 THE REPORT**

- 5.1 The report build on findings in both the 2008 report (compiled 2007/8) and 2011 report compiled 2010/11). Those reports were compiled in far more detail as required by statute at that time. This report contains the key facts about supply side data as outlined in the previous two reports and also updated on a 6 monthly basis, in order for the Council to monitor its statutory duties as outlined in the Childcare Act (2006) in ensure sufficiency of childcare where reasonably practicable.
- 5.2 Section 6 of the report outlines the key actions that the Council may wish to undertake, subject to resources being available, in order to address the findings of the report. Certain actions will be statutory duties, for example from September 2013 a cohort of eligible 2 year olds will be able to access Early Years Entitlement funded provision in the same way as all 3 and 4 year old children. In this case the Department for Education has supported this development by making resources available. Other actions will need to be considered in light of the resources available and what it may considered for the Council to “reasonably” consider when meeting its Childcare Sufficiency duty.

## **6 RISK MANAGEMENT**

- 6.1 The report author and Lead Cabinet member have fully reviewed the risk assessment related to the issue and recommendations, in compliance with the Council's decision making risk management guidance.

## **7 EQUALITIES**

- 7.1 Equality issues were considered within the guidance the Council has been given to prepare the report. There are no issues that members need to be made aware of within the content of the report.
- 7.2 Due regard to equality issues will be fully considered and EqIAs will be completed where necessary should any recommendations be taken forward into actions (see section 3.)

## **8 RATIONALE**

- 8.1 The Childcare Act 2006 places a statutory duty on the Council to report on and then act where “reasonable”, in addressing Childcare Sufficiency.

## **9 OTHER OPTIONS CONSIDERED**

- 9.1 None.

## **10 CONSULTATION**

- 10.1 Cabinet members; Staff working in Childcare and Early Years; Section 151; Equalities; Finance Officer; Monitoring Officer
- 10.2 A steering group of relevant staff has overseen the development and inputted into drafts of the report. Members and other officers have seen the paperwork at the relevant points in taking the report to Cabinet.

## 11 ISSUES TO CONSIDER IN REACHING THE DECISION

11.1 Social Inclusion; Customer Focus; Sustainability; Human Resources; Property; Young People.

## 12 ADVICE SOUGHT

The Council's Monitoring Officer (Divisional Director – Legal and Democratic Services) and Section 151 Officer (Divisional Director - Finance) have had the opportunity to input to this report and have cleared it for publication.

<b>Contact person</b>	Philip Frankland 01225 394330
<b>Sponsoring Cabinet Member</b>	Councillor Dine Romero
<b>Background papers</b>	Childcare Act 2006
<b>Please contact the report author if you need to access this report in an alternative format</b>	

# Childcare Sufficiency Assessment 2013

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## 1. Executive Summary

The Childcare Act 2006 requires local authorities to carry out and publish a sufficiency assessment of childcare in their area at least every 3 years. Local authorities carried out their first assessment in 2008 and the latest report will be completed September 2013.

### 1.1. What is childcare?

Government definitions are set out in “Securing Sufficient Childcare – statutory guidance for Local Authorities in carrying out their childcare sufficiency duties.” (2010)

Childcare is defined in Section 18 of the Childcare Act 2006 as “any form of care for a child” including “education ... and any other supervised activity.”

The following are specifically excluded from this definition:

- education or activities provided by a school for a pupil during school hours, unless that pupil has not yet started Key Stage 1 (thereby including nursery and reception classes);
- care provided for a child by a parent, step-parent or person with parental responsibility; or any relative; or foster parent (local authority or private); or
- care provided by a children’s home, a care home, a hospital or a residential family centre, a young offenders’ institution, a secure training centre, or a secure care home within any of those establishments.

In the Childcare Act 2006, ‘early years provision’ means childcare for a child aged from birth until the 31st August following the child’s 5th birthday and ‘later years provision’ means childcare for a child from the 1st September following the child’s 5th birthday ending with such day as may be prescribed. (See sections 20 and 96(6) of the Act).

Childcare includes some ‘supervised’ provision for under 18 year olds. This may overlap with local authorities’ duties under section 507B of the Education Act 1996, to secure sufficient leisure activities for 13-19 year olds.

Local authorities should regard childcare as any provision that is regular and reliable and provides children a safe place to be. It would not include, for example, before school or after-school activity that was unsupervised or that was provided as a one-off activity.

### 1.2. What is sufficient childcare?

Local authorities are under a duty to ensure that there is sufficient childcare provision in their areas for two main purposes under Section 6 (1) of the Childcare Act 2006, the provision must be “sufficient to meet the requirements of parents in the local authority’s area who require childcare in order to enable them to:

a) take up, or remain in, work, or

b) undertake education or training which could reasonably be expected to assist them to obtain work.”

This requirement is applicable to all children up to 1st September after they reach the age of 14. For disabled children (as defined by the Disability Discrimination Act 1995), the requirement applies to children or young people until they reach the age of 18.

Under Section 6(2) of the Childcare Act 2006, in determining whether childcare is sufficient, the local authority must have regard to the needs of parents in their area

a) for provision for which the childcare element of Working Tax Credit is payable; and

b) the provision of childcare that is suitable for disabled children.

Under Section 7(1) of the Childcare Act 2006, local authorities must secure free early years provision for all eligible children in their area. Regulations made under section 7 set out the type and amount of free provision and the age of children to benefit.

### **1.3. What is the legislative requirement on local authorities to secure sufficient provision?**

Section 6(1) of the Childcare Act 2006 places a duty on local authorities to secure the provision of childcare “so far as is reasonably practicable”.

In assessing what is “reasonably practicable”, the local authority may take into account:

- the state of the local childcare market, including the level of demand in a particular locality and the amount and type of supply that currently exists;
- the state of the labour market and the potential for increasing the number of people working in childcare;
- the resources available to, and capabilities of, childcare providers (resources means not just the available funding, but also staff and premises, and capabilities will include experience and expertise);
- the need to develop an effective, phased programme to meet the sufficiency duty and;
- the local authority’s resources, capabilities and overall budget priorities

#### **1.4. Update from the 2011 report and action plan**

The 2011 report made the following recommendations

- the reports on the levels of provision contained within the childcare sufficiency assessment to be refreshed every 6 months, and the results published on the Bath and North East Somerset website
- the majority of providers are confident that their business is sustainable over the next two years. However, 42% of providers had seen a negative effect on their business from the current economic climate. Bath and North East Somerset should continue to monitor the impact of the economy on provision and provide strategies for market management in order to sustain existing quality provision, or in areas of shortfall to encourage new entrants into the childcare market
- to plan the expansion of the two year old funding from 10 hours per week to 15 hours per week term time only, to be implemented from 2013
- to evaluate the DCATCH initiative during 2011 and implement the recommended actions to improve the sufficiency of childcare for disabled children
- to publish an action plan in line with the childcare sufficiency report and will be reviewed every 6 months with an update on progress made and outcomes achieved

Note: Data within this report reported by Children's Centre geographical areas, please see Appendix 2 for details of these areas.

Action Plan from the 2011 Childcare Sufficiency Report

Task	Timescale	Resources available	Team or officer responsible	Outcome	Achieved?
Ensuring sufficient two year old places	25% of two year old children by 2013	Early Intervention Grant	Planning and Performance Team Early Years Foundation Stage Team	100% take up of funded places by eligible two year old children	<b>YES</b> Bath and North East Somerset was allocated funding for 20% of two year old children (50 places in total). Places offered to all children where referrals were completed. Due to late starters and some families choosing not to take their full entitlement, funding was offered to a total of 60 children.
Ensuring sufficient three and four year old entitlement places	Ongoing requirement since 2004	Direct Schools Grant Early Intervention Grant	Planning and Performance Team	100% take up of early years entitlement places by three and four year old children	<b>YES</b> Due to being an importer of children taking the entitlement (from other Local Authority areas), we have achieved over 100% of take up.



Task	Timescale	Resources available	Team or officer responsible	Outcome	Achieved?
<p>Increase the number of sustainable childminders in the most appropriate areas</p>	<p>2011 to 2014 as required and monitored through the CSA</p>	<p>Early Intervention Grant</p>	<p>Childminding Support Team Family Information Service</p>	<p>Reduction in the areas of under supply</p>	<p><b>YES</b></p> <p>We have increased the number of Childminders accepting the two year old funding to 14 with more joining as they complete their level 3 qualification</p>
<p>Increase provision in areas of under supply:</p> <ul style="list-style-type: none"> <li>○ Twerton</li> <li>○ Paulton</li> <li>○ Radstock</li> </ul>	<p>2011 to 2014 as required and monitored through the CSA</p>	<p>Early Intervention Grant Planning Obligations Supplementary Planning Document (SPD)</p>	<p>Planning and Performance Team</p>	<p>Opening of Children's Centres with childcare provision in Paulton and Radstock</p> <p>Increase in provision for two year olds and three and four year old children in Twerton.</p>	<p><b>YES</b></p> <p>Twerton – One childcare setting has improved quality to a level to accept two year old funding. Additional capital funding has been identified to further increase available places in Twerton.</p> <p>Paulton Children's Centre has opened offering 36 places in the early years age range.</p> <p>Radstock – Capital funding has been identified to create further places by 2014.</p>

Task	Timescale	Resources available	Team or officer responsible	Outcome	Achieved?
Continuation of market management and business support provision	2011 to 2014 as required and monitored through the CSA	Early Intervention Grant Planning Obligations Supplementary Planning Document (SPD)	Planning and Performance Team	Greater sustainability of provision across Bath and North East Somerset.  Timely identification of areas of undersupply.	<b>YES</b>  Business health checks completed with all voluntary run settings across Bath and North East Somerset.  On-going regular liaison with the Family Information Service will identify areas of undersupply through their working with families to secure provision.
Positive marketing of childcare provider in gap areas	2011 - 2014		Family Information Service	New provision and more child places in areas of undersupply.	<b>YES</b>  Childminder recruitment campaign in areas of undersupply.  Information out to existing providers about possible new opportunities in areas of undersupply.

<b>Task</b>	<b>Timescale</b>	<b>Resources available</b>	<b>Team or officer responsible</b>	<b>Outcome</b>	<b>Achieved?</b>
Continue to offer support to families, including take up of benefits	2011 to 2014	Early Intervention Grant	Family Information Service Children's Centres	Monthly monitoring of outcomes see FIS Business Plan	<b>YES</b> Completed
Monitoring DCATCH outcomes	March 2011	Early Intervention Grant	DCATCH steering group	Summary Report 31 March 2011	<b>YES</b> Completed
Continue to support new provision and existing provision	2011 to 2014	Early Intervention Grant	Planning and Performance Team Early Years Foundation Stage Team Family Information Service	Sustainable and developing provision across Bath and North East Somerset	<b>YES</b> Support available to new and existing settings in areas such as business management, quality, legislation, and training
Expansion of places following housing development from capital receipts from Planning Obligations (Section 106) developer contributions.	2011 to 2014	Planning Obligations (SPD)	Planning and Performance Team		<b>YES</b> Secured Section 106 funding in key areas as and when applicable.
Produce twice yearly updates of sufficiency data by children's centre areas.	2011 to 2014	Early Intervention Grant	Planning and Performance Team		<b>YES</b> Completed

<b>Task</b>	<b>Timescale</b>	<b>Resources available</b>	<b>Team or officer responsible</b>	<b>Outcome</b>	<b>Achieved?</b>
Continue to provide support to families to access appropriate childcare, continue to evaluate enquiries	2011 to 2014	Early Intervention Grant	Family Information Service	Monthly monitoring of outcomes see FIS Business Plan	<b>YES</b> Brokerage completed by the FIS team, along with Flying Start Workers for funded children
Design a voluntary register information pack to organisations seeking to set up	2011 to 2014	Early Intervention Grant	Early Years Foundation Stage Team		<b>YES</b> Completed
Distribute a voluntary register information pack to organisations running and seeking to set up			Family Information Service		<b>YES</b> Completed
Provide more detailed information about nanny agencies to parents to enable greater informed choice	2011 to 2014	Early Intervention Grant	Family Information Service	Providing an alternative to families not able to access provision locally	<b>YES</b> Completed

## 2. Is Childcare Accessible

### 2.1. The need for childcare

Some key data is available which must be considered in understanding the demand for childcare in the area.

#### Major employment sectors

The Bath and North East Somerset economy has a predominance of public-sector related, retail, leisure and tourism employment. Public-sector related activities account for 37.8% of total employment. <http://www.swo.org.uk/local-profiles/banes/> (local profile 2012)

The following major public sector employers have onsite nurseries and have on occasion also provided other childcare such as summer schemes for older children:

- both universities
- the Royal United Hospital

The City of Bath College has a private nursery provider located within a short walk of the college who have entered into an agreement with them regarding the provision of childcare for students who are eligible for funding.

### 2.2. Supply of childcare - current providers as at April 2013

Accredited Childminder*	17
Breakfast Club	31
Childminder**	167
Day Nursery	56
Home Childcarer	60
Independent Nursery School	4
Non Reg After School Care	1
Non Registered Holiday Scheme	4
Playgroup or Pre-School	29
Registered After School Care	37
Registered Holiday Scheme	22
School Nursery Class	8
Specialist Service Provider	9
<b>Total Providers</b>	<b>445</b>

\* Accredited Childminders are able to offer the Early Years Entitlement

\*\* Not all registered Childminders have children on roll. Of those who currently have children, the number of children cared for are well below their registered capacity.

## Average weekly childcare costs by region and nation, 2012 - 2013

Region/Nation	Nursery 25 hours (under 2)	Nursery 25 hours (2 and over)	Childminder 25 hours (under 2)	Childminder (2 and over)	After-school club 15 hours	Childminder after-school pick up
East of England	£106.55	£104.60	£106.90	£105.90	£50.74	£66.53
East Midlands	£104.91	£103.50	£86.40	£85.67	£56.51	£49.24
London	£133.17	£124.73	£131.08	£128.34	£48.06	£92.86
North East	£101.61	£96.00	£92.80	£90.34	£47.57	£47.63
North West	£92.22	£89.81	£84.13	£82.52	£46.60	£55.63
South East	£125.16	£131.34	£112.76	£111.73	£52.65	£84.09
South West	£113.32	£110.77	£98.96	£98.85	£44.11	£57.41
West Midlands	£96.92	£98.26	£91.64	£86.98	£49.86	£73.48
Yorkshire and Humberside	£102.71	£99.63	£86.11	£85.10	£53.29	£72.57
<b>England regional average</b>	<b>£108.51</b>	<b>£106.52</b>	<b>£98.98</b>	<b>£97.27</b>	<b>£49.71</b>	<b>£72.79</b>
<b>Scotland average</b>	<b>£101.19</b>	<b>£94.35</b>	<b>£93.22</b>	<b>£92.92</b>	<b>£50.46</b>	<b>£79.63</b>
<b>Wales average</b>	<b>£92.36</b>	<b>£90.49</b>	<b>£95.61</b>	<b>£95.02</b>	<b>£48.46</b>	<b>£68</b>
<b>Britain average of regions and nations</b>	<b>£106.38</b>	<b>£103.96</b>	<b>£98.15</b>	<b>£96.67</b>	<b>£49.67</b>	<b>£72.98</b>

Source: Daycare Trust and Family and Parenting Institute, Childcare Costs Survey 2013

Data is only available from this source on a regional basis. What it does show is that costs in the South West are usually higher than the English average with the exception of the after-school club and are all higher than the national average.

## Changes in childcare costs in 12 months December 2011 to December 2012

Region/Nation	Nursery 25 hours (under 2)	Nursery 25 hours (2 and over)	Childminder 25 hours (under 2)	Childminder (2 and over)	After- school club 15 hours
East of England	9.20%	8.70%	34.30%	32.80%	38.20%
East Midlands	1.10%	5.90%	-4.70%	-2.20%	28.50%
London	5%	11.10%	1.20%	-0.50%	1.20%
North East	5.90%	1.50%	4.40%	3%	-14.30%
North West	0.40%	0.10%	4.10%	2.70%	-2.70%
South East	5%	18.50%	9.40%	9.80%	9.90%
South West	6%	4.70%	6.10%	6%	-4.10%
West Midlands	6.50%	13.80%	8.90%	4%	16.00%
Yorkshire and Humberside	7.50%	5.60%	3.30%	2.10%	19.50%
<b>England</b>	<b>5.20%</b>	<b>7.90%</b>	<b>6.90%</b>	<b>5.90%</b>	<b>8.50%</b>
<b>Scotland</b>	<b>0%</b>	<b>0%</b>	<b>0.10%</b>	<b>0.10%</b>	<b>3.90%</b>
<b>Wales</b>	<b>0%</b>	<b>1.30%</b>	<b>2.90%</b>	<b>3.20%</b>	<b>21%</b>
<b>Britain change: average across regions and nations 2012-2013</b>	<b>4.20%</b>	<b>6.60%</b>	<b>5.90%</b>	<b>5.20%</b>	<b>9%</b>

Source: Daycare Trust and Family and Parenting Institute, Childcare Costs Survey 2013

Increases in costs within the South West have not exceeded either the English or national average in every case within this table and the average cost of after-school care fell during this data collection period.

## Birth rate data by Academic Year

Children's Centre Area	2000-01	2001-02	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
Chew Valley	119	129	123	109	132	139	145	135	114	123	134	126
Keynsham	160	141	156	158	179	155	174	162	163	166	207	175
Midsomer Norton	150	155	150	144	146	170	170	150	168	154	169	172
Moorlands	172	167	163	160	166	159	181	179	158	163	164	171
Parkside	217	221	207	228	217	258	250	253	225	234	248	242
Paulton	117	103	115	110	116	121	117	104	118	133	120	127
Peasedown	119	158	131	126	127	131	127	122	107	113	113	117
Radstock	104	88	88	111	90	98	115	115	118	109	118	118
St Martins	174	180	178	175	197	177	203	203	201	194	201	196
Twerton	116	129	125	127	137	129	146	119	156	115	149	170
Weston	180	175	206	194	189	183	204	232	175	194	207	215
<b>Total</b>	<b>1628</b>	<b>1646</b>	<b>1642</b>	<b>1642</b>	<b>1696</b>	<b>1720</b>	<b>1832</b>	<b>1774</b>	<b>1703</b>	<b>1698</b>	<b>1830</b>	<b>1829</b>

There has been a steady increase in resident births during the last 12 years. This has had an impact on the demand for provision. In addition Bath and North East Somerset Council has always attracted more children from outside the Council area to attend providers, particularly in the 0 – 5 age range, than attend provision in neighbouring Council areas as a result of family working patterns and locations. The closure of the two MOD nurseries during 2012 will be evaluated for any impact on this statistic.



## Resident Population by Academic Year

Children's Centre Area	2000-01	2001-02	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
Chew Valley	195	198	193	174	172	183	187	176	165	161	163	148
Keynsham	230	211	207	184	209	193	221	214	205	216	241	200
Midsomer Norton	167	165	153	136	156	167	168	131	177	145	174	167
Moorlands	162	161	154	166	168	142	175	160	149	159	165	157
Parkside	191	228	191	204	210	209	230	203	198	243	220	214
Paulton	125	125	112	137	128	131	132	136	144	147	136	136
Peasedown	106	140	112	114	110	114	116	115	96	118	106	103
Radstock	116	119	109	113	101	118	131	112	117	136	128	123
St Martins	236	218	216	211	245	225	238	229	214	221	218	208
Twerton	94	112	118	118	122	118	124	119	141	117	138	166
Weston	243	211	232	215	225	246	246	259	224	220	238	229
<b>Total</b>	<b>1865</b>	<b>1888</b>	<b>1797</b>	<b>1772</b>	<b>1846</b>	<b>1846</b>	<b>1968</b>	<b>1854</b>	<b>1830</b>	<b>1883</b>	<b>1927</b>	<b>1851</b>

The increase in population in the Twerton area over the past few years may be due to the redevelopment of social housing in this area, resulting in more families moving into the area.

## Supply data

Children's Centre Area	September 2013				
	Childcare Places - No Home Childcarers	* Number of children 0-11	Ratio of childcare places to children	Childcare Places - Including Home Childcarers	Ratio including Home Childcarers
Chew Valley	640	1875	0.341	661	0.353
Keynsham	819	2509	0.326	825	0.329
Midsomer Norton	537	2109	0.255	547	0.259
Moorlands	529	1928	0.274	535	0.277
Parkside	869	2558	0.340	889	0.348
Paulton	362	1594	0.227	361	0.226
Peasedown	373	1528	0.244	383	0.251
Radstock	269	1208	0.223	270	0.224
St Martins	683	2651	0.258	695	0.262
Twerton	261	1534	0.170	265	0.173
Weston	826	2772	0.298	838	0.302
<b>Total</b>	<b>6168</b>	<b>22266</b>	<b>0.277</b>	<b>6269</b>	<b>0.282</b>

As shown above, most areas have a good supply of provision with exception of Twerton and Radstock Children's Centre areas. The Paulton Children's Centre area has had some increase but remains below the Council average.

We continue to promote these areas to individuals who enquire about creating new childcare provision.

### 2.3. Demand data

The Family Information Service (FIS) was developed to address Section 12 of the Childcare Act 2006; to provide information, advice and assistance to parents and to ensure parents and prospective parents can access the full range of information they may need for their children right through to their 20<sup>th</sup> birthday. A total of 562 people accessed the FIS by email, with 320 face to face and 1018 through their freephone service. A new Facebook account has been created which provides useful information and updates to families who choose to receive them.

Part of the work of the FIS is to provide a brokerage service to families, offering impartial information on childcare available in Bath and North East Somerset.

For the period 1<sup>st</sup> April 2012 – 31<sup>st</sup> March 2013 the FIS responded to 1630 enquiries regarding childcare brokerage. A further 148 other professionals worked with families to secure suitable childcare.

## 2.4. Employment data including lone parent information and workless households

### Breakdown of Lone parent families claiming benefits by Children's Centre Area

Chew Valley	40	Peasedown	40
Keynsham	110	Radstock	80
Midsomer Norton	70	St Martins	120
Moorlands	50	Twerton	170
Parkside	90	Weston	95
Paulton	60	<b>Grand Total</b>	<b>925</b>

## 2.5. Early Years Entitlement (EYE)

“The free entitlement for 3 and 4 year olds is at the heart of the Government’s vision for all children to have access to high quality early years provision that helps them reach their full potential. It offers universal free provision from the term following a child’s third birthday up until they reach compulsory school age, for every child, irrespective of background or family circumstances. From September 2010, the free entitlement equates to 15 hours per week, over a minimum 38 weeks of the year, with flexible access to meet parents’ needs.”

The EYE is a significant contribution towards childcare bills for parents with 3 and 4 year old children. It provides up to 570 hours a year free entitlement at Ofsted registered Private, Voluntary or Independent (PVI) and School nurseries until the child moves into reception.

Childrens Centre	2010			September 2013		
	Estimate EYE Eligible Children	EYE Places	Ratio	Estimate EYE Eligible Children	EYE Places	Ratio
Chew Valley	248	370	1.49	248	389	1.57
Keynsham	293	318	1.09	319	397	1.24
Midsomer Norton	279	286	1.02	292	250	0.86
Moorlands	265	224	0.85	242	226	0.93
Parkside	380	562	1.48	352	531	1.51
Paulton	194	151	0.78	223	198	0.89
Peasedown	214	222	1.04	168	211	1.26
Radstock	181	134	0.74	163	198	1.21
St Martins	338	412	1.22	339	388	1.14
Twerton	206	161	0.78	204	163	0.80
Weston	336	462	1.37	348	395	1.14
<b>Total</b>	<b>2934</b>	<b>3301</b>	<b>1.12</b>	<b>2898</b>	<b>3346</b>	<b>1.15</b>

## 2.6 Two year old Early Years Entitlement

Two year old early years entitlement was introduced as a pilot in September 2009, with Bath and North East Somerset Council offering 50 places within the South West Bath area. This was expanded in September 2012 to 140 places across the whole of the Bath and North East Somerset area.

From September 2013, to be eligible for a funded placement of up to 15 hours per week (term time only), for up to 38 weeks of the year, you must be in receipt of one of the following benefits, or meet the Free School Meals criteria:

Income Support
Income Based Job Seekers' Allowance
Income based Employment Support Allowance (ESA) – contribution based
Support under Part VI of the Immigration and Asylum Act 1999
The guaranteed element of the State Pension Credit
Child Tax Credit (provided they are not entitled to Working Tax Credit and income less than £16,190.00)

Referrals are made via health visitors, children's centres, social workers, childcare providers and other professionals working with families. Families can self-refer from September 2013.

Children will be eligible from the term following their second birthday:

Child's Date of Birth (Between)	Term Eligible for 2 Year Old Funding (following their 2 <sup>nd</sup> birthday)
1st January and 31st March	The start of the Summer Term
1st April and 31st August	The start of the Autumn Term
1st September and 31st December	The start of the Spring Term

### Take up of entitlement by category between 1<sup>st</sup> April 2012 and 31<sup>st</sup> March 2013

Category	Number of children	%
Child/family with a Common Assessment	62	35%
Non White British ethnicity	27	15%
Teenage parents	6	3.5%
Looked After Children	6	3.5%
Family with social care involvement	21	12%
Families experiencing domestic violence	35	20%
Lone parents	76	43%
<b>Total Children funded</b>	<b>176</b>	

From July 2013 families will have the opportunity to apply for a funded placement to start in September 2013 (for children who have their second birthday prior to 31<sup>st</sup> August 2013), via the Free School Meals helpline on 01225 394317. Families who meet the criteria for free school meals will be eligible for a funded placement for their two year old child at a high quality childcare provider.

From September 2014, it is proposed that the funding is expanded further, but the final details are yet to be confirmed.

### 3. Changes in Provision

#### 3.1. Increase in take up of Early Years Entitlement

Since the last full report in 2010 there has been a change in the way that families can access their EYE hours. Prior to September 2012 the only way to access the full 15 hours a week was to attend for at least 3 days a week but this has now changed to 2 days. As a consequence there has been an increase in the number of hours funded per child when comparing Autumn 2012 with Autumn 2011 showing that families are benefiting and taking advantage of this greater flexibility to access more hours.

Attendance required for Funding	Term	Average Attended Hours per Term	Average Funded Hours per Term
3 Days	Autumn 11-12	228.80	177.78
2 Days	Autumn 12-13	235.02	182.57
Change per pupil		6.22	4.79

#### 3.2. Settings opened, closed and changed since the last report

Eleven Day Nurseries opened resulting in an increase of 402 places

Six Day Nurseries closed and three Pre-Schools closed resulting in a loss of 322 places.

In 2010 there were a total of 179 registered Childminders in Bath and North East Somerset, fourteen of whom accepted the Early Years Entitlement Funding. Currently there are 186 registered Childminders, twenty of whom accept the Early Years Entitlement. This increases the choice for families who wish to use Childminders and claim the Early Years Entitlement.

#### 3.3. Ofsted outcomes 1<sup>st</sup> October 2010 – 31<sup>st</sup> March 2013 across Bath and North East Somerset

57 'Childcare on non-domestic premises' were inspected

11 were graded as Outstanding  
37 were graded as Good

8 were graded as Satisfactory  
1 was graded as Inadequate

83 Childminders were inspected

13 were graded as Outstanding  
50 were graded as Good  
19 were graded as Satisfactory  
1 was graded as Inadequate

Additionally 10 providers were assessed against the voluntary register – 9 met the requirements and 1 did not.

Since September 2012 Ofsted have no longer made specific conditions of registration instruction to providers about the number of places they can offer. As a result the provider can decide on how many places to offer, at what age range, and so on based on not exceeding the welfare requirements of the EYFS with regard to space per child, number of staff and so on. This makes the job of assessing the number of places on offer more challenging for a Local Authority who need the provider to confirm what they may potentially offer. Adjusting the ratios may also have a similar impact as many providers have indicated that they are unlikely to change, indeed some already operate at with either staffing levels much higher than those regulated for, or by accepting a lower number of children than they could under the regulations. This is, of course, their own business and practice decision.

### **3.4. Emerging issues**

#### **Committee recruitment**

During the completion of provider health-checks with our voluntary run settings, one common theme raised was the difficulties that some settings had with forming committees to run the setting. Leaders stated that often their parents have literacy and/or other learning difficulties, and in some cases mental health needs which prevented them from volunteering. One provider was concerned that they may need to close the setting in future if they were not successful in creating a committee. This would leave a noticeable gap in provision in a recognised deprived area of Bath and North East Somerset.

Support has been offered to settings experiencing difficulties recruiting committee members, and they will be monitored and supported at their next Annual General Meetings.

## 4. Future Developments

### 4.1. Expansion of 2 year funding

Since September 2009, Bath and North East Somerset Council have been providing free nursery funding to economically deprived two year old children. This funding will become a statutory entitlement for eligible children from September 2013 where 248 (20% of two year olds nationally) placements will be available.

A recruitment campaign has increased the number of eligible providers to 64 with a further 20 potential providers offering in excess of 300 two year old placements across Bath and North East Somerset.

Further expansion is planned from September 2014, but further details have yet to be published.

### 4.2. Housing development

#### Current development sites

- Crest Nicholson is currently developing Bath Western Riverside. The first phase of development, includes 299 homes, 121 of which are affordable housing.
- Taylor Wimpey is currently developing 'The Meadows' in Keynsham (known as K2). They will build a total of 285 two, three, four, five and six bedroom houses.

The Council is currently consulting on proposed changes to the Core Strategy. Once this has taken place and approved then any necessary adjustment to future childcare sufficiency requirements can be calculated.

#### Future developments planned:

Consultations will take place in the future regarding the development of the former Ministry of Defence sites at Foxhill, Ensleigh and Warminster road in Bath. The Cadbury's site in Keynsham will be redeveloped.

#### Developer contributions

The Planning Obligations Supplementary Planning Document (SPD) outlines the current Section 106 developer contribution requirements and when they will be sought. This includes those that may be requested to provide childcare and/or early years provision where the current Childcare Sufficiency Report highlights that there will be a shortfall in provision as a result of the number of children who result from the development having taken place.

Childcare sufficiency requirements are being incorporated into the Community Infrastructure Levy (CIL), a new levy, or charge that local authorities can charge on new developments in their area. The CIL is used to fund infrastructure that is needed to support new development in the district.

## **5. Services available to families**

### **5.1. Family Information Service**

The Family Information Service supports local families by providing information and choices.

They have lists of registered childcare, including childminders, nurseries, pre-schools and out of school clubs. They also have information on local parent and toddler groups, after school activities and details of leisure activities and support groups for you and your family; and lots of leaflets and booklets about parenting support, family issues, positive activities and safe lifestyle choices for teenagers.

The Outreach Team promotes the work of the Family Information Service across the Bath and North East Somerset area and you will see them regularly at Children's Centres and Schools. They visit organisations that work with families, go along to parenting and play events, post natal groups, toddler groups and family fun days. If you are having difficulty finding childcare, or a service to help you with your family, the Outreach Team can meet with you to discuss your options and give you impartial information.

They provide an Information and Advice Service, working closely with families who do not have a regular wage or income, offering one to one appointments and drop in sessions at local Children's Centres. At an appointment a family will be able to check that they are claiming all the benefits they are entitled to and be supported to access debt and housing advice, free school meals, specific benefits information and appropriate legal services.

### **5.2. 1Big Database**

1 Big Database is the place to find out about organisations, support, events and other useful things going on in your area. The database provides a comprehensive directory of services, community and voluntary organisations, clubs and groups in Bath and North East Somerset, Bristol and South Gloucestershire. The website is managed through a partnership with the local authorities in these areas. The childcare information listed is maintained by each local authority. The search function offers families the facility to find childcare centred around their home postcode (or chosen area of childcare) and further afield, including across the three local authority borders. Childcare providers supply the Family Information Service with details of their provision to give parents a synopsis of the childcare offered. Records can be viewed and printed individually and the Ofsted inspection outcome and report can be views directly from each record where available.

### **5.3. Rainbow Resource**

The Rainbow Resource is a Directory of Services in Bath and North East Somerset for Children with Additional Needs.

As well as providing information for parents and carers of disabled children, this directory also includes relevant information for parents/carers who might have concerns regarding the health and general development of their child.



This directory has the local and national contact numbers of groups and organisations who have trained befrienders and counsellors. These can play an important part in helping parents to regain confidence and find a way forward after their child's diagnosis. There are many common issues for parents of children with additional needs, but no two families are the same or have identical needs. Families can be diverse in terms of their experience, resources and expectations as well as in their cultural, religious and linguistic influences.

#### **5.4. The Link Newsletter**

The Link newsletter goes out to families who have a child with a disability or additional need. The Newsletter is mailed out three times a year in time for families to plan for the school holidays. It contains details on local targeted and inclusive playschemes for disabled children and young people, as well as any other useful information on support groups and other meetings that may be helpful for families.

#### **5.5. Short breaks commissioned services**

Short breaks provide invaluable support for disabled children, young people and their families. It provides disabled children and young people with the opportunity to experience new relationships, environments and positive activities which provides them with valuable social skills and independence. Families are able to take time out to recharge their batteries or provide additional support so that the whole family can enjoy activities together.

These breaks can take the form of:

- Daytime care in the home or elsewhere
- Overnight care in the home or elsewhere
- Leisure activities outside the home
- Services available to assist carers in the evenings, at weekends and during school holidays

Short breaks come in many different forms and can last anything from a couple of hours to days. The length and type of break will depend on your child, young person and family.

The total number of children seen by these short break services between January 2012 and December 2012 is 474.

For more information about The Rainbow Resource, The Link newsletter, or the short breaks service, please contact:

**The Family Information Service,  
Bath & North East Somerset**  
Riverside, Keynsham, Bristol BS31 1LA  
**Tel: 0800 073 1214**  
**Fax: 01224 395211**  
**Mobile: 07890 998906**  
**Email: [fis@bathnes.gov.uk](mailto:fis@bathnes.gov.uk)**

## **5.6. Childcare Voucher Schemes**

Childcare Voucher Schemes are a “salary sacrifice” scheme that may be offered by an employer to enable employees to obtain care for a child who:

- is a child or stepchild of the employee and is maintained (wholly or partly) at the employee’s expense, or
- is resident with the employee and is a person in respect of whom the employee has parental responsibility.

Vouchers can be used to “pay” for most types of childcare, a child qualifies up to 1<sup>st</sup> September following their 15<sup>th</sup> birthday, or 1<sup>st</sup> September following their 16<sup>th</sup> birthday if they are disabled. The vouchers can be offered as payment to all OFSTED registered childcare providers who have joined with the scheme.

These may include:

- Childminders
- Home child carers
- Pre-schools and playgroups
- Day nurseries
- Breakfast clubs/after-school clubs
- Holiday Play Schemes.

Childcare vouchers effectively let workers swap untaxed income for childcare. Users pay no income tax and national insurance on the money they spend on childcare – up to a maximum of £243 a month (£124 for higher tax payers).

The amount requested is deducted from your pay packet prior to National Insurance and tax being applied so giving you savings. You then have the choice to receive a personalised voucher which you can use to pay your childcare provider, or opt to have payment direct to your chosen setting.

## **5.7. Youth Service**

### **Youth Services available to young people across Bath and North East Somerset**

There are a number of youth initiatives and youth centres across Bath and North East Somerset offering a range of activities for young people.

### **Youth Centres/Youth Hubs/Youth Projects**

- Batheaston Youth Club
- Odd Down Youth Club
- Timsbury Youth Club
- Clutton Youth Club
- Peasedown St John Youth Hub
- Radstock Youth Hub
- Time out Drop in centre Riverside, Keynsham
- Southside Youth Hub, Bath

- Riverside Youth Hub, Bath

### **Youth Projects**

- DAFBY (Democratic Action for Bath and North East Somerset Youth)
- YAGA (Youth Action Group for Access)

Further information is available from the Family Information Service and from 1BigData Base ([www.1bigdatabase.org.uk](http://www.1bigdatabase.org.uk)).

### **Duke of Edinburgh Award**

The Award is for all young people aged 14-25. It gives opportunities for personal achievement, community and social involvement, adventure and widening of interests. This is run in a variety of youth hubs and schools across the area.

## **6. Recommendations and action plan**

### **6.1 Ensuring sufficient two year old entitlement places**

Prepare implementation plan to increase number of placements available in Bath and North East Somerset to approximately 500 from September 2014. Increase the number of eligible providers able to offer funded placements.

### **6.2 Ensuring sufficient three and four year old entitlement places**

This is an ongoing requirement since 2004.

### **6.3 Increase provision in areas of under supply**

Writhlington, Radstock

Keynsham

Twerton, Bath

### **6.4 Management of the childcare market, and provision of business advice and support to providers**

Continue to manage the childcare market in line with the demand for high quality childcare across Bath and North East Somerset. Continuation of annual health checks for providers in the private and voluntary sector of the childcare market.

### **6.5 Continue to offer support to families, including take up of benefits**

Family Information Service to continue to offer services to families.

### **6.6 Continue to support new provision and existing provision**

### **6.7 Expansion of places following housing development from capital receipts from Planning Obligations (Section 106) developer contributions.**

### **6.8 Produce twice yearly updates of sufficiency data by children's centre areas.**

## Action Plan from the 2013 Childcare Sufficiency Report

Task	Timescale	Resources available	Team or officer responsible	Outcome
Ensuring sufficient two year old places	40% of two year old children (Nationally) by 2014		Planning and Performance Team Early Years Foundation Stage Team	100% take up of funded places by eligible two year old children
Ensuring sufficient three and four year old entitlement places	Ongoing requirement since 2004	Dedicated Schools Grant People and Communities funding	Planning and Performance Team	100% take up of early years entitlement places by three and four year old children
Increase provision in areas of under supply: <ul style="list-style-type: none"> <li>○ Twerton</li> <li>○ Keynsham</li> <li>○ Writhlington, Radstock</li> </ul>	2011 to 2014 as required and monitored through the CSA	People and Communities funding Planning Obligations Supplementary Planning Document (SPD)	Planning and Performance Team	Opening of Children's Centres with childcare provision in Paulton and Radstock  Increase in provision for two year olds and three and four year old children in Twerton.
Continuation of market management and business support provision	2011 to 2014 as required and monitored through the CSA	People and Communities funding Planning Obligations Supplementary Planning Document (SPD)	Planning and Performance Team	Greater sustainability of provision across Bath and North East Somerset.  Timely identification of areas of undersupply.

<b>Task</b>	<b>Timescale</b>	<b>Resources available</b>	<b>Team or officer responsible</b>	<b>Outcome</b>
Continue to offer support to families, including take up of benefits	2011 to 2014	People and Communities funding	Family Information Service Children's Centres	Monthly monitoring of outcomes see FIS Business Plan
Continue to support new provision and existing provision	2011 to 2014	People and Communities funding	Planning and Performance Team Early Years Foundation Stage Team Family Information Service	Sustainable and developing provision across Bath and North East Somerset
Expansion of places following housing development from capital receipts from Planning Obligations (Section 106) developer contributions.	2011 to 2014	Planning Obligations (SPD)	Planning and Performance Team	
Produce twice yearly updates of sufficiency data by children's centre areas.	2011 to 2014	People and Communities funding	Planning and Performance Team	

## 7. Appendices

### Appendix 1

#### **Case studies from users of the Bath and North East Somerset Short Breaks Service.**

##### Mrs E situation was as follows:

Mrs E is the carer for her 13 year old son who has Tourettes syndrome, is autistic and has OCD. He has been receiving extensive therapy to get him to be more out- going (he was not going out anywhere except to school and the swimming baths) but with the help of a Consultant and a volunteer he has made trips to Bristol, and Trowbridge and is incrementally becoming more receptive to a wider horizon. Mum has all kind of financial problems, as she has had to give up her job to care for him. Father died tragically 2 years ago. She has had to move house as she could not afford the mortgage on her home. Her other son aged 10 is very supportive of his brother but does miss out on so much as he attention is largely focused on supporting his brother.

A long weekend break was arranged at Centre Parcs - Longleat was arranged to follow up on the work being done by the consultant and the volunteer.

**Outcome:** Mrs E reported that the weekend away had been a great success, both for her 13 year old and more especially for his brother as they had both been able to enjoy the facilities and this gave them both greater freedom as they went off on different activities. She had the support of her brother who gets on well with both the lads and therefore she was able to have some quality time for herself. Her son is making great progress with expanding his horizons and this trip would not have been possible 12 months ago.

##### Mrs G situation was as follows:

Master H is 6 years old Autistic and has ADHT. He is non-speaking and communicates through a series of picture cards. The one thing he really seems to enjoy, more than any activity, is to go horse riding. He goes with Riding for the Disabled but only gets a short time on the horse and then gets very frustrated when his ride is over. In an attempt to see if he can gain more from this activity a longer session has been arranged at 'Special Horses for Special People' at Scampton Farm - Chard to see if this is viable for him.

**Outcome:** Mrs G rang full of enthusiasm for the trial for her son and said that he was totally absorbed by the chance to spend extended time on 'his' horse. The staff were absolutely brilliant with her son and he benefitted from a much longer session. Horse riding could well turn out to be a very positive therapy for him.

# Appendix 2

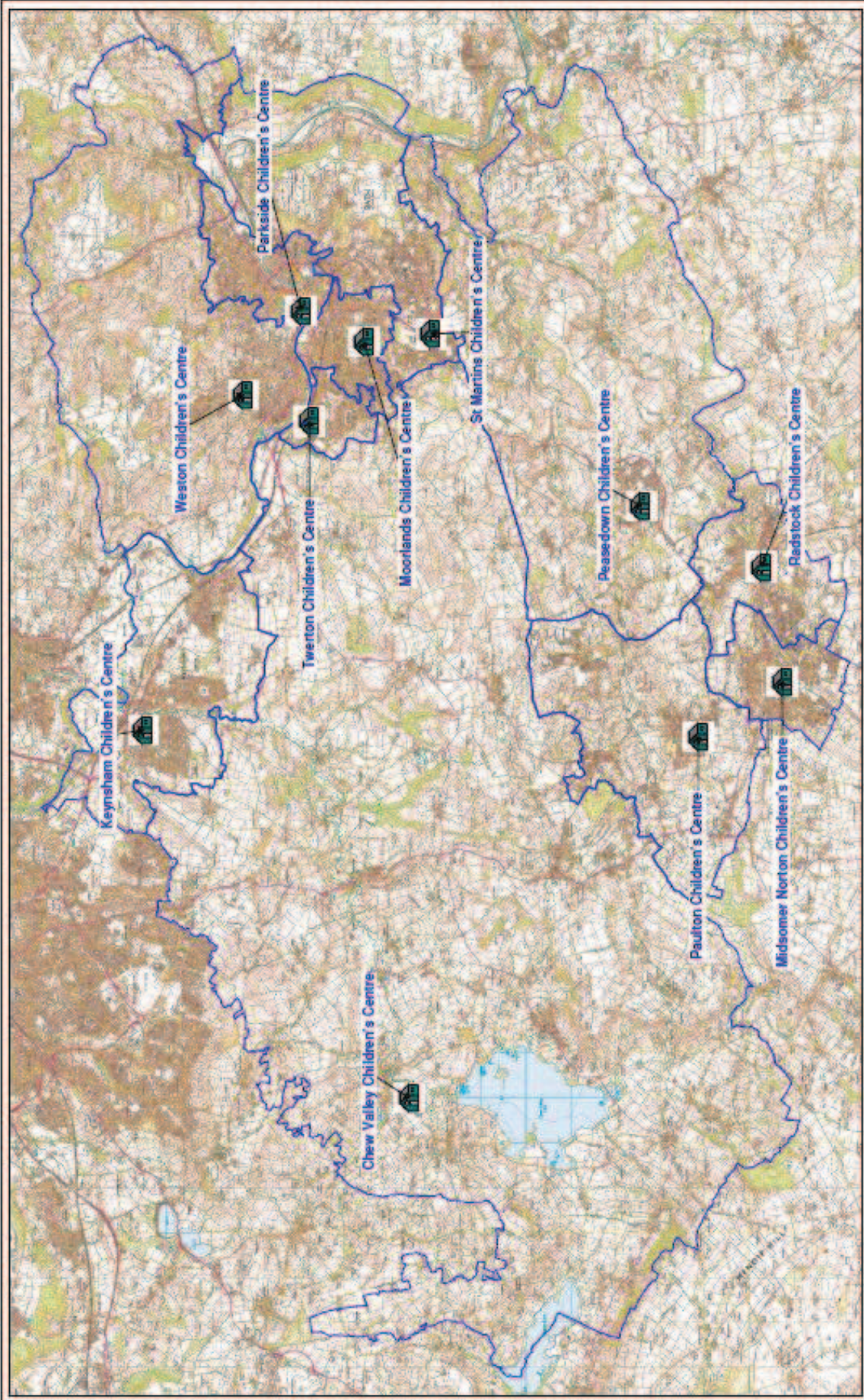
## Children's Centre Reach Areas

Bath and North East Somerset

Compiled by DW/aters on 12 June 2013

Scale 1:78525

Bath & North East Somerset Council  
Riverside, Temple Street,  
Kingsmead,  
Bath BA2 1LA  
Tel 01225 471000



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### Appendix 3

#### Primary Schools, Children's Centres and Early Years Childcare Providers

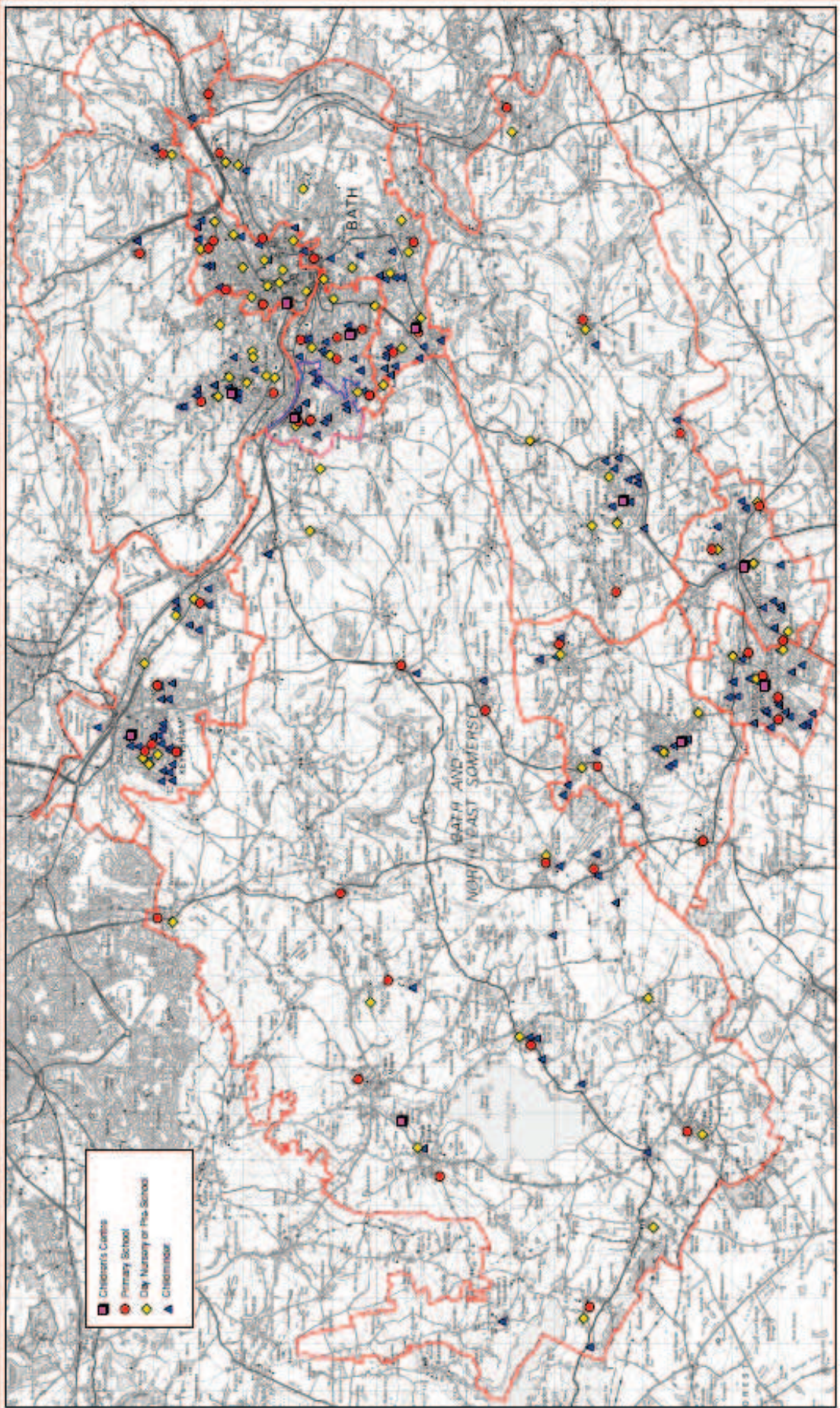
Bath and North East Somerset

Compiled by DWaters on 2 January 2013

Bath & North East Somerset Council  
Riverside, Temple Street,  
Keynsham,  
Bristol, BS51 1LA  
Tel: 01225 477000



Scale 1:77,000



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## Appendix 4

Childcare Ratio by Ward - All childcare excluding holiday clubs - year to September 2013			
Ward	Resident Children age 0-11	Childcare Places	Childcare Ratio
Abbey	322	62	0.19
Bathavon North	964	259	0.27
Bathavon South	330	48	0.15
Bathavon West	291	167	0.57
Bathwick	258	186	0.72
Chew Valley North	300	141	0.47
Chew Valley South	329	80	0.24
Clutton	343	71	0.21
Combe Down	806	191	0.24
Farmborough	250	112	0.45
High Littleton	418	120	0.29
Keynsham East	602	213	0.35
Keynsham North	739	290	0.39
Keynsham South	700	124	0.18
Kingsmead	521	128	0.25
Lambridge	816	300	0.37
Lansdown	468	171	0.37
Lyncombe	700	164	0.23
Mendip	362	107	0.30
Midsomer Norton North	855	255	0.30
Midsomer Norton Redfield	652	184	0.28
Newbridge	870	181	0.21
Odd Down	804	138	0.17
Oldfield	557	208	0.37
Paulton	835	162	0.19
Peasedown	1030	227	0.22
Publow and Whitchurch	228	60	0.26
Radstock	951	182	0.19
Saltford	462	192	0.42
Southdown	808	140	0.17
Timsbury	357	80	0.22
Twerton	918	222	0.24
Walcot	815	208	0.26
Westfield	875	185	0.21
Westmoreland	485	127	0.26
Weston	826	341	0.41
Widcombe	541	142	0.26
<b>B&amp;NES</b>	<b>22388</b>	<b>6168</b>	<b>0.28</b>

<b>Bath &amp; North East Somerset Council</b>		
MEETING:	<b>Cabinet</b>	
MEETING DATE:	<b>11<sup>th</sup> September 2013</b>	AGENDA ITEM NUMBER
TITLE:	<b>Revenue and Capital Budget Monitoring, Cash Limits and Virements – April 2013 to July 2013</b>	EXECUTIVE FORWARD PLAN REFERENCE: <b>E 2555</b>
WARD:	All	
<b>AN OPEN PUBLIC ITEM</b>		
<p><b>List of attachments to this report</b></p> <p><b>Appendix 1:</b> Revenue &amp; Capital Monitoring Commentary  <b>Appendix 2:</b> Revenue Monitoring Statement: All Council Spending  <b>Appendix 3:</b> Capital Monitoring Statement: All Council Spending  <b>Appendices 4(i) &amp; 4(ii):</b> Proposed Revenue Virements &amp; Revised Revenue Cash Limits 2011/12  <b>Appendices 5(i) &amp; 5(ii):</b> Capital Virements &amp; Capital Programme by Portfolio 2013/14</p>		

## 1 THE ISSUE

1.1 This report presents the financial monitoring information for the Authority as a whole for the financial year 2013/14 to the end of July 2013.

## 2 RECOMMENDATION

The Cabinet agrees that:

2.1 Strategic Directors should continue to work towards managing within budget in the current year for their respective service areas, and to manage below budget where possible by not committing unnecessary expenditure, through tight budgetary control.

2.2 This year's revenue budget position as shown in Appendix 2 is noted.

2.3 The capital expenditure position for the Council in the financial year to the end of July and the year end projections detailed in Appendix 3 of this report are noted.

2.4 The revenue virements listed for approval in Appendix 4(i) are agreed.

2.5 The changes in the capital programme listed in Appendix 5(i) are noted.

## 3 FINANCIAL IMPLICATIONS

3.1 The financial implications are contained within the body of the report.

## **4 CORPORATE PRIORITIES**

4.1 The annual service and resource planning process allocates scarce resources across services with alignment of these resources towards our corporate improvement priorities as set out in the Corporate Plan. This report monitors how the Council is performing against the financial targets set in February 2013 through the Budget setting process.

## **5 THE REPORT**

5.1 The Budget Management Scheme requires that the Cabinet consider the revenue and capital monitoring position four times per year.

5.2 For revenue, where overspent, services are normally expected to seek compensating savings to try and bring budgets back to balance.

5.3 Appendix 1 highlights significant areas of forecast over and under spends in revenue budgets. Appendix 2 outlines the Council's current revenue financial position for the 2013/14 financial year to the end of July 2013 by Cabinet Portfolio. The current forecast outturn position is for an overspend of £77,000 which equates to 0.02% of gross budgeted spend (excluding Schools).

5.4 The forecast outturn position includes the delivery of £11.63m savings required as part of the approved budget for 2013/14.

5.5 The Council's financial position, along with its financial management arrangements and controls, are fundamental to continuing to plan and provide services in a managed way, particularly in light of the medium term financial challenge. Close monitoring of the financial situation provides information on new risks and pressures in service areas, and appropriate management actions are then identified and agreed to manage and mitigate those risks.

5.6 Revenue budget virements which require cabinet approval are listed in Appendix 4(i). Technical budget adjustments are also shown in Appendix 4(i) for information purposes as required by the Budget Management Scheme.

5.7 Appendix 3 outlines the current position for the 2013/14 Capital budget of £83.85m (excluding contingency), with a current forecast spend of £76.88m which is £6.97m less than the budget.

5.8 Previously approved changes to the capital programme are listed in Appendix 5(i), while Appendix 5(ii) provides the updated capital programme allocated by Portfolio.

## **6 RISK MANAGEMENT**

6.1 The substance of this report is part of the Council's risk management process. The key risks in the Council's budget are assessed annually by each Strategic Director, with these risks re-assessed on a monthly basis as part of the budget monitoring process.

## **7 EQUALITIES**

7.1 This report provides information about the financial performance of the Council and therefore no specific equalities impact assessment has been carried out on the report.

## 8 RATIONALE

8.1 The report is presented as part of the reporting of financial management and budgetary control required by the Council.

## 9 OTHER OPTIONS CONSIDERED

9.1 None

## 10 CONSULTATION

10.1 Consultation has been carried out with the Cabinet Member for Community Resources, Strategic Directors, Section 151 Finance Officer, Chief Executive and Monitoring Officer.

## 11 ISSUES TO CONSIDER IN REACHING THE DECISION

11.1 This report deals with issues of a corporate nature.

## 12 ADVICE SOUGHT

12.1 The Council's Monitoring Officer (Council Solicitor) and Section 151 Officer have had the opportunity to input to this report and have cleared it for publication.

<b>Contact person</b>	<i>Tim Richens - 01225 477468 ; Jamie Whittard - 01225 477213</i> <a href="mailto:Tim_Richens@bathnes.gov.uk">Tim_Richens@bathnes.gov.uk</a> <a href="mailto:Jamie_Whittard@bathnes.gov.uk">Jamie_Whittard@bathnes.gov.uk</a>
<b>Sponsoring Cabinet Member</b>	<i>Cllr David Bellotti</i>
<b>Background papers</b>	<i>Budget Management Scheme</i>
<b>Please contact the report author if you need to access this report in an alternative format</b>	

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## REVENUE BUDGET MONITORING APRIL 2013 TO JULY 2013

- 1.1 Appendix 2 outlines the Council's current financial position for the 2013/14 financial year to the end of July 2013 by Cabinet Portfolio. The Appendix shows the current forecast outturn position is an overspend of £77,000, or 0.02% of the gross expenditure budget (excluding Schools).
- 1.2 The forecast outturn position includes the delivery of £11.63m savings required as part of the approved budget for 2013/14.
- 1.3 Within the current £77,000 forecast overspend figure, there are areas of over and under spending which are detailed below along with planned management actions being taken to reduce any overspends.
- 1.4 **Leader's Portfolio – forecast £441,000 overspend**

The majority of the forecast overspend on this portfolio is £417,000 in Corporate Items, which is mainly due to a delay in implementing the Corporate Travel Plan savings. A revised proposal is currently being discussed with managers, officers and unions which will delay the implementation of the revised travel procedures, and hence the achievement of the savings.

An option to mitigate the delay in delivering this saving will be to request a one-off drawdown from the Financial Planning Reserve. This will be considered later in the financial year as the forecast outturn position progresses.

There is also a small forecast overspend in Legal Services as detailed savings proposals are reviewed, which is partially offset against an underspend in Improvement & Performance within Human Resources salary budgets.

### 1.5 **Community Resources Portfolio – forecast £11,000 overspend**

The forecast overspend on this portfolio is made up of the following variances:

**Support Services:** £73,000 overspend, mainly due to Commercial Estate income being forecast £105,000 below budget following a delay in achieving anticipated rental income, and a £36,000 income shortfall in Traded Services. This is partially offset by small underspends in Finance, Risk & Assurance, Customer Services and Improvement & Performance.

**Corporate costs:** £62,000 forecast underspend, mainly due to additional savings in the cost of external auditors since the Government's rationalisation of the external audit regime.

## **1.6 Wellbeing Portfolio – forecast on target**

Net spending pressures of £587,000 in purchasing budgets for Mental Health and Older People Services, due to an increase in the cost and demand of placements, and a £233,000 forecast income shortfall in Fairer Contributions Income from personal contributions have been offset within the Portfolio by Section 256 funding received in 2013/14 and carried forward funding from 2012/13 for growth in purchasing budgets.

## **1.7 Early Years, Children & Youth Portfolio – forecast on budget**

This portfolio is currently forecast to be on target, although there are several demand-led budgets which could impact on this should they increase over the coming months, including Looked After Children, Parent & Baby Placements and Home to School Transport, which can significantly change at the start of each academic year.

## **1.8 Homes & Planning Portfolio – forecast on target**

All budgets within the portfolio are currently forecast to be on target. Progression is being made in Planning Services to review commitments on the Local Development Fund Budget and potential planning appeals. Building Control income is being closely monitored in case of under recovery throughout the year.

## **1.9 Sustainable Development Portfolio – forecast £452,000 underspend**

This is almost entirely due to a favourable income forecast in Heritage Services, with the trading profit forecast £443,000 above the annual target level. Admission income and visitor numbers are 11% above estimates and previous year levels in the first four months of the financial year, especially at the Roman Baths site. However, year-on-year performance over the first seven months of the calendar year is less strong, indicating that the trend in the first four months of 2013/14 may not be a wholly reliable indicator of performance in the financial year. A meaningful forecast of performance will not be possible until performance in the peak month of August has been assessed.

## **1.10 Neighbourhoods Portfolio – forecast £115,000 overspend**

There is a £71,000 forecast net underspend in Waste Services, due to inflation savings on the waste contract.

This is used to partially offset the overspends of £131,00 in Public Protection due to savings targets not being fully achieved, and £53,000 in Library Services, partly due to falling income from film / audio book hire and from internet usage.



### 1.11 Transport Portfolio – forecast £38,000 underspend

There is an £81,000 underspend in Park & Ride due to increased income being reimbursed for concessionary fares, which is partially offset by unexpected expenditure on on-going Transport Schemes within Highways.

Car Parking is currently forecast on target, with work currently being undertaken to closely monitor the current & future income budgets. Income forecasts indicate potential under-recovery in Charlotte Street and Bus Gate income, which is being mitigated by positive income from on street parking and permits.

1.12 The Council has requested that the delivery of the key savings for the 2013/14 budget, including potential impacts, should be included as part of the regular budget monitoring. The following table provides a narrative on key savings:

Description of Saving	Target Saving Amount £'000	Amount Achieved to date £'000	Comments on saving including any service impacts or service user impacts
<b><u>Wellbeing</u></b>			
Savings achieved through a reduction in the “non-statutory” services funded as part of the “Supporting People & Communities Programme”.	152	152	On track to meet savings target, a number of voluntary organisations that have been funded to provide these non-statutory services have had their funding reduced and contracts agreed to enable this to happen.
<b><u>Early Years, Children &amp; Youth</u></b>			
Reductions in Children’s Commissioned Services.	178	157	Commissions ceased where planned staffing issues still to be addressed
<b><u>Transport</u></b>			
Increase / introduce Car Parking Charges	250	250	Increases in a number of areas proposed. A majority would require changes to Traffic Regulation Orders. Some charging proposals likely to be opposed by local residents resulting in delays to implementation. Significant risk of reduction in numbers using affected car parks, renewing permits or visiting affected locations. In year monitoring & forecasting will identify achievement of additional income

<b><u>Neighbourhoods</u></b>			
Public Protection - consolidate services, review elements for delivery with a view to minimising service provided.	303	166	Target includes 40k Licensing generic working saving Current savings achieved through Voluntary Redundancies, vacancies and supplies and services savings. Plans are being reviewed for remaining target.
<b><u>Community Resources</u></b>			
Property - reduction in staffing levels to facilitate a 20% reduction target. Reduction in Repairs & Maintenance budgets.	721	721	Dependent upon splitting the delivery and commissioning roles and combining project delivery elsewhere in the Council. Target for 2013-14 is already achieved and further plans are being worked up and costed for the achievement of 2014-15 target.
Property Services – increased revenue income through investment in Commercial properties	550	0	Arises from the potential to invest in properties with secure returns that exceed those available through usual treasury management opportunities. Future acquisitions need to be linked to the enhancement of the Council's estate and to therefore achieve wider property objectives
Capital & Debt Charges	1,700	1,700	Debt Restructuring Proposal agreed in June. Loan Repayments taking place in July and August.
<b><u>Leader</u></b>			
Corporate Travel Plan - review of business travel & reimbursement arrangements across the Council.	500	84	The project is to support changes in the business travel practices of staff, reducing journeys and carbon emissions A revised proposal is currently being agreed with managers, staff and unions which will impact on savings deliverable in the current year.
ICT - rationalisation of systems, improved procurement, implementation of IT strategy & Consolidation of budgets. In-sourcing of ICT function.	350	200	Delivery is dependent upon ICT transferring in-house on 1 <sup>st</sup> August and centralisation and rationalisation of all ICT spend from April. Reduced spend on ICT will mean ICT will be provided strictly to meet business needs Staffing impacts cannot be accessed until service has returned in-house.

## CAPITAL BUDGET MONITORING – APRIL 2013 TO JULY 2013

1.13 The 2013/14 Capital Programme approved by Council in February 2013 was £58.07m (excluding contingency). Since then, £13.64m of spend on existing capital projects has been approved, along with re-phasing of £12.14m as recommended in the 2012/13 Outturn Report on 10<sup>th</sup> July 2013.

1.14 The approved Capital Programme for 2013/14 is currently £83.85m (excluding contingency), and is detailed in Appendix 5(ii). Changes to the Capital Programme since July Cabinet are shown in Appendix 5(i).

### 1.15 Progressing Capital Projects Update

- **Keynsham Regeneration** – All construction works remain on programme. Two floors of the Civic Centre car park are due to be handed back to the council in early October. Works to the frame of the main office building and OSS/Library are progressing. Meetings to agree the highways scheme are in progress. Preparations for the staff workshops are continuing. These are planned to start in October following comments from Senior Management Team and Directors Group.
- **Bath Transport Package** - Street furniture installation anticipated September 2013 and bus shelter installation anticipated January/February 2014 (subject to resolution of design issues). A revised planning application for Newbridge Park & Ride has been submitted with the current programme suggesting completion of Newbridge Park & Ride in September 2014.
- **Guildhall Co Working Hub** - The project was delivered on time and on budget. They opened to members in mid-July as part of their “soft-launch”, formal launch is expected in September 2013. This space provides hotdesking, break out and meeting facilities, as well as a canteen area, showers and cycle parking, and is already running an events programme which draws business networks in from across the city.
- **Victoria Bridge** – Recommendation to approve listed building consent has been submitted, decision expected mid-August. Balfour Beatty have been appointed as principal contractor to complete stage one. Works commencement is envisaged in October/November 2013.
- **Rossiter Road** – A cost evaluation has taken place which costs the current design at c£1.5m - £1.8m, this will be funded from the budget available, with any additional costs being met from the Highways Maintenance capital budget.

- **St Gregory's and St Mark's Joint 6<sup>th</sup> Form Centre** - Forecast expenditure is in line with budget. The construction and fit-out works will be completed by 2<sup>nd</sup> September 2013 ready for the Sixth Form Centre to open the new school year.
- **Grand Parade and Undercroft** - An updated project plan is being prepared for the project team to sign off. A senior valuer has been appointed to the project team to secure a pre let as per the Cabinet report.
- **Revolving Infrastructure Fund Schemes – Flood Alleviation, Destructor Bridge, Gas Tanks** – Funding offer letters have now been signed by the council with the West of England Revolving Infrastructure Fund for all these projects. All schemes have now moved to delivery phase and will be monitored against the key milestones going forwards.
- **Batheaston Bridge** – A revised budget has been approved for the delivery of this scheme totalling £910,000. The current project plan indicates that work will commence in August and be completed in January 2014.

Portfolio Summary Monitor  REVENUE SPENDING For the Period APRIL 2013 to JULY 2013	CURRENT YEAR 2013/14 FORECAST OUTTURN					ADVERSE / FAVOURABLE
	Forecast Gross Expenditure	Forecast Gross Income	Net Forecast Actual	Annual Current Budget	Forecast over or (under) spend	
	£'000	£'000	£'000	£'000	£'000	
Leader	14,440	(4,803)	9,637	9,196	441	ADV
Community Resources	48,127	(42,711)	5,416	5,406	11	ADV
Wellbeing	98,903	(37,573)	61,329	61,329		ON TARGET
Early Years, Children & Youth	157,455	(130,018)	27,437	27,437	( )	ON TARGET
Homes & Planning	6,732	(2,405)	4,327	4,327		ON TARGET
Sustainable Development	15,149	(17,327)	(2,178)	(1,726)	(452)	FAV
Neighbourhoods	28,118	(7,472)	20,646	20,530	115	ADV
Transport	28,923	(22,004)	6,918	6,956	(38)	FAV
<b>TOTAL COUNCIL</b>	<b>397,847</b>	<b>(264,313)</b>	<b>133,534</b>	<b>133,456</b>	<b>77</b>	<b>ADV</b>

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Capital Monitoring Statement: All Council Spending

Appendix 3

Capital Monitor Apr 2013/14 - Jul 2013/14 Summary by Senior Manager	Current Year		Prior Years	Budget			Forecast				Variance			
	Actuals £' 000's	Commitments £' 000's	Total Spend £' 000's	Budget 2013/2014 £' 000's	Budget 2014/2015 £' 000's	Budget 2015/2016 £' 000's	Total Scheme Budget £' 000's	Forecast 2013/2014 £' 000's	Forecast 2014/2015 £' 000's	Forecast 2015/2016 £' 000's	Forecast 2016/2017 £' 000's	Total Scheme Forecast £' 000's	Current Year £' 000's	Scheme £' 000's
Place	1,614	11,938	35,618	39,717	17,676	2,603	96,064	36,437	17,382	4,832	524	94,794	(3,280)	(1,271)
Childrens Services	929	2,248	56,631	10,553	2,070	20	69,274	10,153	2,492	35	0	69,310	(400)	36
Adult Social Services & Housing	317	0	1,495	1,814	0	0	3,309	1,814	0	0	0	3,309	0	0
Resources	2,412	715	16,631	31,691	13,614	33	62,262	28,405	16,470	29	0	61,535	(3,286)	(727)
Regeneration, Skills & Major Projects	0	0	0	72	0	0	72	73	0	0	0	73	1	1
<b>Total</b>	5,272	14,901	110,375	83,847	33,360	2,656	230,982	76,882	36,343	4,896	524	229,021	(6,965)	(1,961)
<b>Corporate Budgets</b>	0	0	0	2,590	0	0	2,590	0	0	0	0	0	(2,590)	(2,590)
<b>GRAND TOTAL</b>	5,272	14,901	110,375	86,437	33,360	2,656	233,572	76,882	36,343	4,896	524	229,021	(9,555)	(4,551)

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**2013/2014 Revenue Virements for Approval**

Appendix 4 (i)

<u>REF NO</u>	<u>REASON / EXPLANATION</u>	<u>CABINET MEMBER</u>	<u>TRANSFER FROM</u>	<u>Income (£'s)</u>	<u>Expenditure (£'s)</u>	<u>CABINET MEMBER</u>	<u>TRANSFER TO</u>	<u>Income (£'s)</u>	<u>Expenditure (£'s)</u>	<u>DESCRIPTION</u>	<u>ONGOING EFFECTS</u>
			<u>CASH/LIM</u>				<u>CASH/LIM</u>				
	The following virements are reported for approval under the Budget Management Scheme rules.										
<b>OVERALL TOTALS</b>				0	0			0	0		

**2013/2014 Revenue Virements for Information**

REF NO	REASON/ EXPLANATION	CABINET MEMBER	TRANSFER FROM	Income (£'s)	Expenditure (£'s)	CABINET MEMBER	TRANSFER TO	Income (£'s)	Expenditure (£'s)	DESCRIPTION	ONGOING EFFECTS
		CASHLIM		CASHLIM		CASHLIM					

The following virements have either been previously approved, are technical in nature or are below limits within BMS that require approval, and therefore are reported for information only.

INFO 13#18	2012/13 Revenue Carry Forwards	Community Resources	Council Balances		255,550	Leader	Council Solicitor & Democratic Services		6,000	Carry forwards from 2012/13 underspends, as agreed by July Cabinet in Outturn report.	Budget virement is one off.		
							Improvement & Performance		25,000				
							Planning Services		28,950				
							Building Control & Land Charges		110,000				
							Libraries & Information		25,000				
							Sports & Active Leisure		45,600				
							Regeneration, Skills & Employment		15,000				
INFO 13#19	Planning Resources Drawdown from Revenue Budget Contingency	Community Resources	Balances & Reserves		37,000	Homes & Planning	Planning Services		37,000	Drawdowns from Revenue Budget Contingency in line with approvals by the Divisional Director - Finance	Budget virement is one off.		
							Wellbeing	Various				276,393	
								Leader	Various				672,374
								Community Resources	Various				1,554,425
								Early Years, Children & Youth	Various				784,289
								Homes & Planning	Various				427,652
								Sustainable Development	Various				212,328
								Neighbourhoods	Various				406,643
								Transport	Various				387,750
								INFO 13#20	Centralisation of IT Charges			Neighbourhoods	Various

**2013/2014 Revenue Virements for Information**

REF NO	REASON/ EXPLANATION	CASHLIM		CASHLIM	CASHLIM		CASHLIM	CASHLIM		CASHLIM	DESCRIPTION	ONGOING EFFECTS		
		TRANSFER FROM	Income (£'s)		Expenditure (£'s)	TRANSFER TO		Income (£'s)	Expenditure (£'s)					
INFO 13#21	Supported Lodgings Contributions	Early Years, Children & Youth		Children, Young People & Families	42,000	42,000	Homes & Planning	Housing		42,000	Transfer of budget for Supported Lodgings contribution from Children's Services to Housing Services where the budget is managed.	Budget virement is on-going.		
INFO 13#22	Workplaces	Community Resources		Property Services	180,380	180,380	Community Resources	Corporate Estate Including R&M		180,380	Realignment of workplaces budgets across Property cash limits.	Budget virement is one-off.		
INFO 13#23	Keynsham Library Premises Costs	Community Resources		Corporate Estate Including R&M	13,011	13,011	Neighbourhoods	Libraries & Information		13,011	Correction of transfer of premises budget for Keynsham Library to Workplaces following temporary relocation.	Budget virement is on-going.		
INFO 13#24	Microloan Budget	Community Resources		Balances & Reserves	60,000	60,000	Sustainable Development	Regeneration, Skills & Employment		60,000	Drawdown from Financial Planning Reserve as approved in 2013/14 Budget Report.	Budget virement is one-off.		
INFO 13#25	Southgate Licence Income Adjustment	Community Resources		Capital Financing / Interest	640,000	640,000	Community Resources	Commercial Estate		1,150,000	Budget transfer following completion of Southgate development to realign income budgets	Budget virement is on-going.		
INFO 13#26	Employer Contribution Pension Increase Allocation	Community Resources		Corporate Budgets incl. Capital, Audit & Bank Charges	472,988	472,988	Early Years, Children & Youth Leader Community Resources Neighbourhoods Sustainable Development Wellbeing Transport Homes & Planning	Various Various Various Various Various Various Various Various		101,027 46,198 91,147 79,976 15,863 47,279 57,827 33,671	Distribution across Service staffing budgets of Corporately held budget allocated for increase in Employer Pension Contribution.	Budget virement is on-going.		
INFO 13#27	Emergency Planning	Community Resources		Risk & Assurance Services	158,326	158,326	Community Resources	Customer Services		158,326	Transfer of the Emergency Planning budget to follow the change in management as a result of the Resources Directorate restructure.	Budget virement is on-going.		
<b>OVERALL TOTALS</b>											<b>0</b>	<b>7,091,109</b>	<b>0</b>	<b>7,091,109</b>

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**Portfolio Cash Limits 2013/14 - Revenue Budgets**
**Appendix 4(ii)**

CABINET PORTFOLIO	Service	July'13 Revised Cash Limits £'000	Technical Adjustments, below BMS limits or already agreed - shown for information £'000	Total Virements for Approval £'000	Sep'13 Revised Cash Limits £'000
<b>Leader</b>	Policy & Partnerships	1,545	(73)		1,472
	Council's Retained ICT Budgets	139	4,723		4,862
	Council Solicitor & Democratic Services	1,886	(235)		1,652
	Improvement & Performance	2,519	(289)		2,230
	<b>PORTFOLIO SUB TOTAL</b>	<b>6,089</b>	<b>4,127</b>		<b>10,216</b>
<b>Community Resources</b>	Finance	1,847	(455)		1,392
	Support Services Change Programme	(4)			(4)
	Customer Services	2,849	(339)		2,510
	Risk & Assurance Services	1,217	(209)		1,008
	Property Services	1,101	(580)		521
	Corporate Estate Including R&M	5,309	123		5,431
	Commercial Estate	(13,581)	1,138		(12,443)
	Traded Services	(84)			(84)
	Strategic Director - Resources	(24)	(4)		(28)
	Corporate items (Tourism Levy, Trading Opps, Community Use of Assets & Corporate Travel Plan)	(500)			(500)
	Hsg / Council Tax Benefits Subsidy	305			305
	Capital Financing / Interest	4,718	(640)		4,078
	Unfunded Pensions	1,709			1,709
	Corporate Budgets incl. Capital, Audit & Bank Charges	2,625	(983)		1,642
	New Homes Bonus Grant	(1,977)			(1,977)
	Magistrates	17			17
	Coroners	305			305
Environment Agency	205			205	
	<b>PORTFOLIO SUB TOTAL</b>	<b>6,036</b>	<b>(1,949)</b>		<b>4,087</b>
<b>Wellbeing</b>	Adult Services	60,995	(223)		60,773
	Adult Substance Misuse (Drug Action Team)	552	(6)		546
	<b>PORTFOLIO SUB TOTAL</b>	<b>61,548</b>	<b>(229)</b>		<b>61,319</b>
<b>Early Years, Children &amp; Youth</b>	Children, Young People & Families	17,286	(360)		16,926
	Learning & Inclusion	17,495	(277)		17,218
	Health, Commissioning & Planning	(113,800)	(88)		(113,888)
	Schools Budget	107,283			107,283
	<b>PORTFOLIO SUB TOTAL</b>	<b>28,263</b>	<b>(725)</b>		<b>27,538</b>
<b>Homes &amp; Planning</b>	Planning Services	2,351	(165)		2,187
	Building Control & Land Charges	87	64		150
	Housing	2,099	(75)		2,024
	<b>PORTFOLIO SUB TOTAL</b>	<b>4,537</b>	<b>(176)</b>		<b>4,361</b>
<b>Sustainable Development</b>	Arts	519	(7)		512
	Tourism & Destination Management	808	(101)		707
	Heritage including Archives	(4,054)	( )		(4,054)
	Project Delivery	237	(56)		181
	Regeneration, Skills & Employment	979	42		1,021
	<b>PORTFOLIO SUB TOTAL</b>	<b>(1,511)</b>	<b>(121)</b>		<b>(1,632)</b>

**Portfolio Cash Limits 2013/14 - Revenue Budgets**
**Appendix 4(ii)**

CABINET PORTFOLIO	Service	July'13 Revised Cash Limits £'000	Technical Adjustments, below BMS limits or already agreed - shown for information £'000	Total Virements for Approval £'000	Sep'13 Revised Cash Limits £'000
<b>Neighbourhoods</b>	Service Delivery - Overheads	907	(3)		904
	Waste Services	11,058	(37)		11,021
	Public Protection	656	(94)		562
	Neighbourhood Services	5,206	(68)		5,138
	Libraries & Information	2,045	(67)		1,977
	Sports & Active Leisure	862	26		888
	Community Safety	119	1		120
<b>PORTFOLIO SUB TOTAL</b>		<b>20,853</b>	<b>(243)</b>		<b>20,610</b>
<b>Transport</b>	Transport Design & Projects	916	(35)		881
	Transportation Planning (incl. Public Transport)	5,855	(71)		5,783
	Park & Ride	(682)			(682)
	Highways - Network Maintenance	7,614	(151)		7,463
	Transport Services	(147)	6		(140)
	Parking Services	(6,209)	(79)		(6,288)
<b>PORTFOLIO SUB TOTAL</b>		<b>7,347</b>	<b>(330)</b>		<b>7,018</b>
<b>NET BUDGET</b>		<b>133,164</b>	<b>353</b>		<b>133,516</b>

**Sources of Funding**

Council Tax	71,342			71,342
Revenue Support Grant*	31,106			31,106
Retained Business Rates	20,262			20,262
Collection Fund Deficit (-) or Surplus (+)	168			168
Council Tax Freeze Grant	740			740
Balances	9,546	353		9,898
<b>Total</b>	<b>133,164</b>	<b>353</b>		<b>133,516</b>

**Capital Virements - Additions & Reductions 2013/2014**

**Appendix 5 (i)**

REF NO	REASON / EXPLANATION	TRANSFER / FUNDING FROM	Income (£'s)	Expenditure (£'s)	TRANSFER TO	Income (£'s)	Expenditure (£'s)	Notes
CAP13#01 - 2013	Local Sustainable Transport Fund	Government Grant	570,000		Place - Transport		570,000	Approved by Technical Adjustment April 2013
CAP13#02 - 2013	Devolved Capital Grant	Government Grant		47,129	People & Communities - Children's Services	47,129		Approved by Technical Adjustment April 2013
CAP13#03 - 2013	Paulton Infant	Government Grant		90,000	People & Communities - Children's Services	90,000		Approved by Technical Adjustment April 2013
CAP13#04 - 2013	Radstock Capital Funding	Corporate Supported Borrowing (Headroom)	340,000		Resources - Project Delivery		340,000	Approved by Cabinet April 2013
CAP13#05 - 2013	Greater Bristol Metro	Government Grant	124,000		Place - Transport		124,000	Approved by Cabinet April 2013
CAP13#06 - 2013	Highways Structural Maintenance	Government Grant	4,330,000		Place - Highways		4,330,000	Approved by Cabinet April 2013
CAP13#07 - 2013	Chew Magna Primary	Government Grant	208,000		People & Communities - Children's Services		208,000	Approved by Cabinet April 2013
CAP13#08 - 2013	Bathampton Primary	Government Grant	30,000		People & Communities - Children's Services		30,000	Approved by Cabinet April 2013
CAP13#09 - 2013	St Michael's Primary - BESD	Government Grant	143,000		People & Communities - Children's Services		143,000	Approved by Cabinet April 2013
CAP13#10 - 2013	Visitor Management System	Service Supported Borrowing	100,000		Place - Tourism, Leisure & Culture		100,000	Approved by Cabinet April 2013
CAP13#11 - 2013	Roman Baths Infrastructure	Service Supported Borrowing	200,000		Place - Heritage		200,000	Approved by Cabinet April 2013
CAP13#12 - 2013	Assembly Rooms Dilapidations	Service Supported Borrowing	120,000		Place - Heritage		120,000	Approved by Cabinet April 2013
CAP13#13 - 2013	Bath Enterprise Area - Flood Mitigation	Government Grant	250,000		Resources - Project Delivery		250,000	Approved by Cabinet April 2013
CAP13#14 - 2013	BWR Gas Tanks	Government Grant	1,500,000		Resources - Project Delivery		1,500,000	Approved by Cabinet April 2013
CAP13#15 - 2013	BWR Destructor Bridge	Government Grant	1,800,000		Resources - Project Delivery		1,800,000	Approved by Cabinet April 2013
CAP13#16 - 2013	Odd Down Playing Fields	3rd Party Contribution	141,403		Place - Tourism, Leisure & Culture		141,403	Approved by Technical Adjustment May 2013

**Capital Virements - Additions & Reductions 2013/2014**

**Appendix 5 (i)**

REF NO	REASON / EXPLANATION	TRANSFER / FUNDING FROM	Income (£'s)	Expenditure (£'s)	TRANSFER TO	Income (£'s)	Expenditure (£'s)	Notes
CAP13#17 - 2013	Pay & Display Machines	Revenue Contribution	3,000		Place - Environmental Services		3,000	Approved by Technical Adjustment May 2013
CAP13#18 - 2013	Grand Parade & Undercroft	Service Supported Borrowing	430,000		Resources - Property Services		430,000	Approved by Cabinet / Technical Adjustment May 2013
CAP13#19 - 2013	Transport Improvement Programme	Government Grant / 3rd Party Contribution / S106 Contribution	1,145,000		Place - Highways		1,145,000	Approved by Cabinet May 2013
CAP13#20 - 2013	Vehicle Replacement - Waste	Service Supported Borrowing	135,000		Place - Environmental Services		135,000	Approved by Technical Adjustment June 2013
CAP13#21 - 2013	Weston All Saints Primary	3rd Party Contribution - S106	80,000		People & Communities - Children's Services		80,000	Approved by Technical Adjustment June 2013
CAP13#22 - 2013	Carefirst Module for Personal Budgets	Government Grant	15,830		People & Communities - Adult Services		15,830	Approved by Technical Adjustment June 2013
CAP13#22 - 2013	Adult Services PSS Grant	Government Grant		15,830	People & Communities - Adult Services	15,830		Approved by Technical Adjustment June 2013
CAP13#23 - 2013	Parking Systems	Revenue Contribution	35,000		Place - Parking Services		35,000	Approved by Technical Adjustment June 2013
CAP13#24 - 2013	St Saviour's Junior	Government Grant	920,000		People & Communities - Children's Services		920,000	Approved by Cabinet June 2013
CAP13#25 - 2013	Moorlands Junior	Government Grant / 3rd Party Contribution - S106	70,000		People & Communities - Children's Services		70,000	Approved by Cabinet June 2013
CAP13#26 - 2013	Gypsy & Travellers Site	Corporate Supported Borrowing (Headroom)	50,000		People & Communities - Adult Services		50,000	Approved by Technical Adjustment June 2013



**Capital Virements - Additions & Reductions 2013/2014**

**Appendix 5 (i)**

REF NO	REASON / EXPLANATION	TRANSFER / FUNDING FROM	Income (£'s)	Expenditure (£'s)	TRANSFER TO	Income (£'s)	Expenditure (£'s)	Notes
CAP13#27 - 2013	Place (excluding Tourism, Leisure and Culture)	2012/2013 Outturn Rephasing to 2013/2014 - Various Funding Sources	3,996,852		Place (excluding Tourism, Leisure and Culture)		3,996,852	Approved by Cabinet July 2013
	Place - Tourism, Leisure and Culture		620,044		Place - Tourism, Leisure and Culture		620,044	
	People & Communities - Children's Services		3,525,244		People & Communities - Children's Services		3,525,244	
	People & Communities - Adult Services		385,058		People & Communities - Adult Services		385,058	
	Resources & Support Services		2,289,911		Resources & Support Services		2,289,911	
	Project Delivery and Regeneration & Skills		1,322,842		Project Delivery and Regeneration & Skills		1,322,842	
	Capital Contingency		1,090,186		Capital Contingency		1,090,186	
CAP13#28 - 2013	Batheaston Footbridge (includes allocation from Cycle Schemes)	Government Grant / Corporate Supported Borrowing (Headroom)	410,000		Place - Transport		410,000	Approved by Technical Adjustment July 2013
CAP13#29 - 2013	Margaret Coates Centre	Government Grant	10,000		People & Communities - Children's Services		10,000	Approved by Technical Adjustment July 2013
CAP13#29 - 2013	Schools Capital Planned Maintenance Programme	Government Grant		10,000	People & Communities - Children's Services	10,000		Approved by Technical Adjustment July 2013
CAP13#30 - 2013	Weston All Saints Primary	Government Grant	45,000		People & Communities - Children's Services		45,000	Approved by Technical Adjustment July 2013
CAP13#30 - 2013	Wellway Sports Hall	Government Grant		30,000	People & Communities - Children's Services	30,000		Approved by Technical Adjustment July 2013
CAP13#30 - 2013	Oldfield Co-Ed Adaptations	Government Grant		15,000	People & Communities - Children's Services	15,000		Approved by Technical Adjustment July 2013
CAP13#31 - 2013	Adult Services PSS Grant	Government Grant		186,047	People & Communities - Adult Services	186,047		Approved by Technical Adjustment June 2013

**Capital Virements - Additions & Reductions 2013/2014**

**Appendix 5 (i)**

REF NO	REASON / EXPLANATION	TRANSFER / FUNDING FROM	Income (£'s)	Expenditure (£'s)	TRANSFER TO	Income (£'s)	Expenditure (£'s)	Notes
CAP13#32 - 2013	Better Bus Area Projects	Government Grant		275,000	Place - Transport	275,000		Approved by Technical Adjustment June 2013
CAP13#33 - 2013	Temple Precinct	Service Supported Borrowing	650,000		Place - Tourism, Leisure & Culture		650,000	Approved by Cabinet July 2013
CAP13#34 - 2013	Pump Room Roof	Service Supported Borrowing	130,000		Place - Tourism, Leisure & Culture		130,000	Approved by Cabinet July 2013
CAP13#35 - 2013	Cycle Schemes (excludes Batheaston Footbridge)	Corporate Supported Borrowing (Headroom)	220,000		Place - Transport		220,000	Approved by Cabinet July 2013
CAP13#36 - 2013	River Corridor Fund	Corporate Supported Borrowing (Headroom)	100,000		Place - Regeneration		100,000	Approved by Cabinet July 2013
<b>OVERALL TOTALS</b>			<b>27,535,370</b>	<b>669,006</b>		<b>669,006</b>	<b>27,535,370</b>	
				<b>26,866,364</b>			<b>-26,866,364</b>	

**Capital Virements - Additions & Reductions 2013/2014**

**Appendix 5 (i)**

REF NO	REASON / EXPLANATION	TRANSFER / FUNDING FROM	Income (£'s)	Expenditure (£'s)	TRANSFER TO	Income (£'s)	Expenditure (£'s)	Notes
<b>Appendix 5 (i)</b>								
<b>Capital Virements - Additions &amp; Reductions Future Years</b>								
REF NO	REASON / EXPLANATION	TRANSFER / FUNDING FROM	Income (£'s)	Expenditure (£'s)	TRANSFER TO	Income (£'s)	Expenditure (£'s)	Notes
CAP13#01 - 2013	Local Sustainable Transport Fund 2014/2015	Government Grant	567,000		Place - Transport		567,000	Approved by Technical Adjustment April 2013
CAP13#01 - 2013	Visitor Management System 2014/2015	Service Supported Borrowing	100,000		Place - Tourism, Leisure & Culture		100,000	Approved by Cabinet April 2013
CAP13#12 - 2013	Bath Enterprise Area - Flood Mitigation 2014/2015	Government Grant	4,850,000		Resources - Project Delivery		4,850,000	Approved by Cabinet April 2013
CAP13#14 - 2013	BWR Gas Tanks 2014/2015	Government Grant	2,600,000		Resources - Project Delivery		2,600,000	Approved by Cabinet April 2013
CAP13#18 - 2013	Grand Parade & Undercroft 2014/2015	Service Supported Borrowing	4,835,000		Resources - Property Services		4,835,000	Approved by Cabinet / Technical Adjustment May 2013
CAP13#18 - 2013	Grand Parade & Undercroft 2015/2016	Service Supported Borrowing	25,000		Resources - Property Services		25,000	Approved by Cabinet / Technical Adjustment May 2013
CAP13#24 - 2013	St Saviour's Junior 2014/2015	Government Grant	895,000		People & Communities - Children's Services		895,000	Approved by Cabinet June 2013
CAP13#32 - 2013	Better Bus Area Projects 2014/2015	Government Grant		559,000	Place - Transport	559,000		Approved by Technical Adjustment June 2013
CAP13#33 - 2013	Temple Precinct 2014/2015	Service Supported Borrowing	100,000		Place - Tourism, Leisure & Culture		100,000	Approved by Cabinet July 2013
<b>OVERALL TOTALS</b>			<b>13,972,000</b>	<b>559,000</b>		<b>559,000</b>	<b>13,972,000</b>	
				<b>13,413,000</b>			<b>-13,413,000</b>	

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Capital Programme by Directorate - 2013/2014  
Revised Capital Cash Limits by Directorate

CAPITAL SCHEME	2013/2014		
	Revised Budget after 10 July 2013 Cabinet	Approvals to 11 September 2013 Cabinet	Budget at 11 September 2013 Cabinet
	£000	£000	£000
<b>Place</b>			
<b>Planning &amp; Transport</b>			
Local Sustainable Transport Fund	666		666
BTP - Pre Construction Costs	77		77
BTP Property	203		203
BTP Main Scheme	10,788		10,788
Local Transport Improvement Schemes	1,341		1,341
Smart Card E Purse for WofE	261		261
5 Arches	26		26
Rositer Road	791		791
20mph Schemes	383		383
Better Bus Fund	216		216
Greater Bristol Metro	124		124
Batheaston Footbridge	276	410	686
Cycle Routes	220		220
	<b>15,371</b>	<b>410</b>	<b>15,781</b>
<b>Environmental Services</b>			
<b>Highways</b>			
Highways Structural Maintenance	4,772		4,772
Victoria Bridge	1,923		1,923
<b>Waste</b>			
Vehicle Replacements - Waste	485		485
<b>Parking</b>			
Pay & Display Machines / Parking Systems / Permit Process	150		150
<b>Neighbourhoods</b>			
Vehicle Replacement - Neighbourhoods	258		258
Haycombe Crematorium Chapel Refurbishment	54		54
Haycombe Cemetery	19		19
Allotments	110		110
River Avon Safety Fencing	109		109
Beechen Cliff Woodlands	484		484
	<b>8,364</b>	<b>0</b>	<b>8,364</b>
<b>Regeneration</b>			
NRR Infrastructure	1,291		1,291
Creative Hub	245		245
BDUK Broadband	460		460
London Road Regeneration - Public Realm Implementation	533		533
London Road Regeneration - Public Realm Grant Scheme	200		200
Radstock Capital Schemes	340		340
Bath Enterprise Area - Flood Mitigation	250		250
River Corridor Fund	100		100
	<b>3,420</b>	<b>0</b>	<b>3,420</b>
<b>BWR</b>			
BWR - Council Project Team	552		552
BWR - Affordable Housing	1,380		1,380
BWR - Infrastructure	2,334		2,334
BWR - Windsor Gas Tanks	1,500		1,500
BWR - Destructor Bridge	1,800		1,800
	<b>7,566</b>	<b>0</b>	<b>7,566</b>
<b>Tourism Leisure &amp; Culture</b>			
Roman Baths Site Development - Catering	199		199
Beau Street Coin Hoard	100		100
Visitor Management System	100		100
Roman Baths Infrastructure	200		200
Assembly Rooms Dilapidations	120		120
Hetling Spring Borehole	139		139
Odd Down Playing Field - Cycle Track	22		22
Odd Down Playing Field - Pitch and Changing Rooms	1,567		1,567
Paulton Library Relocation	29		29
Temple Precinct	786		786
Pump Room Roof	130		130
	<b>3,392</b>	<b>0</b>	<b>3,392</b>
<b>Total Approved</b>	<b>38,113</b>	<b>410</b>	<b>38,523</b>

Capital Programme by Directorate - 2013/2014  
Revised Capital Cash Limits by Directorate

CAPITAL SCHEME	2013/2014		
	Revised Budget after 10 July 2013 Cabinet	Approvals to 11 September 2013 Cabinet	Budget at 11 September 2013 Cabinet
	£000	£000	£000
<b>Children's Services</b>			
Schools Capital Maintenance Programme	1,215	(10)	1,205
Schools Capital Maintenance Programme			
Carbon Reduction Project	0		0
Ralph Allen Applied Learning Centre	1,092		1,092
Wellsway Sports Hall (inc 6 court)	109	(30)	79
Devolved Capital 2013/2014	1,741		1,741
Seed Challenge	1		1
School Travel Plans	6		6
Private Capital	180		180
Specialist Schools	80		80
Early Years / Extended Services / Twerton S106	93		93
Writhlington BSF	196		196
Writhlington ALC	47		47
Children's Services Capital Schemes	5		5
Children's Services Capital Schemes Managed by Property	249		249
Aiming High for Disabled Children	53		53
BN - Oldfield Park Infants Expansion	4		4
Oldfield Co Ed Capital Improvements	41	(15)	26
Peasedown St John - ALC	35		35
St Gregory's / St Mark's 6th Form	1,376		1,376
Culverhay (Bath Community College) Co-Ed Capital Improv	14		14
Radstock Nursery Provision / Trinity Primary	171		171
Schools Carbon Reduction Scheme - Lighting	2		2
Margaret Coates Centre Expansion	20	10	30
Youth Projects	9		9
BN 2012/2013 Schemes			
Weston All Saints Primary / Castle Primary / Paulton Infant / Farrington Gurney Primary / St Saviour's Infant / St Saviour's Junior / Paulton Junior	3,392	45	3,437
Chew Magna Primary	181		181
Bathford Primary Land Purchase	30		30
St Michael's Primary BESD Unit	143		143
Moorlands Junior	70		70
	<b>10,553</b>	<b>0</b>	<b>10,553</b>
<b>Total Approved</b>	<b>10,553</b>	<b>0</b>	<b>10,553</b>
<b>Resources and Support Services</b>			
<b>Property &amp; Facilities</b>			
Corporate Estate Planned Maintenance	835		835
Disposals Programme - Minor	338		338
Key Disposal Programme	250		250
DDA Works	153		153
Commercial Estate Investment Fund	200		200
Saw Close Development	258		258
Bluecoat House	7		7
South Road Car Park MSN	155		155
Victoria Hall	875		875
Grand Parade & Undercroft	430		430
Southgate - Council	115		115
	<b>3,616</b>	<b>0</b>	<b>3,616</b>
<b>Support Services</b>			
Customer Services System	961		961
Agresso System	6		6
Desk Top Service - VDI Technology	1,468		1,468
Windows 7 Upgrade	400		400
Policy & Partnerships	329		329
	<b>3,164</b>	<b>0</b>	<b>3,164</b>
<b>Workplaces Programme</b>			
Workplaces Programme Delivery	512		512
Lewis House (inc Comms Hub & OSS)	244		244
The Hollies	96		96
Keynsham Regeneration & New Build	24,174		24,174
	<b>25,026</b>	<b>0</b>	<b>25,026</b>
<b>Total Approved</b>	<b>31,806</b>	<b>0</b>	<b>31,806</b>

Capital Programme by Directorate - 2013/2014  
Revised Capital Cash Limits by Directorate

CAPITAL SCHEME	2013/2014		
	Revised Budget after 10 July 2013 Cabinet £000	Approvals to 11 September 2013 Cabinet £000	Budget at 11 September 2013 Cabinet £000
<b>Adult Social Services &amp; Housing</b>			
Disabled Facilities Grant	1,042		1,042
Adult PSS Capital Grant	385		385
Housing Association Grant	144		144
Occupational Therapy Equipment	100		100
Supported Housing Development	77		77
Carefirst Module for Personal Budgets	16		16
Gypsy and Traveller's Site	50		50
	<b>1,814</b>	<b>0</b>	<b>1,814</b>
<b>Total Approved</b>	<b>1,814</b>	<b>0</b>	<b>1,814</b>
<b>Development &amp; Major Projects</b>			
Combe Down Stone Mines (HCA)*	72		72
Public Realm - Wayfinding	169		169
Public Realm - High Street	547		547
Public Realm - Northumberland Place	130		130
Public Realm - Pattern Book	160		160
Public Realm - Street Furniture	37		37
Public Realm - Team Costs	38		38
	<b>1,151</b>	<b>0</b>	<b>1,151</b>
<b>Total Approved</b>	<b>1,151</b>	<b>0</b>	<b>1,151</b>
<b>TOTAL APPROVED</b>	<b>83,437</b>	<b>410</b>	<b>83,847</b>
Contingency	2,590		2,590
<b>GRAND TOTAL</b>	<b>86,027</b>	<b>410</b>	<b>86,437</b>
<b>Sources of Funding (£'000)</b>			
Government Supported Borrowing	0		0
EU/Government Grant	13,250	235	13,485
Capital Receipts (inc RTB)	4,034		4,034
Revenue	758		758
Service Supported Borrowing / Unsupported Borrowing / Corporate Supported Borrowing (Headroom) (inc Inter Yr Adjustments)	65,315	130	65,445
s106 Contribution	1,939	45	1,984
Other 3rd Party	731		731
<b>Total</b>	<b>86,027</b>	<b>410</b>	<b>86,437</b>

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<b>Bath &amp; North East Somerset Council</b>		
MEETING:	<b>Cabinet</b>	
MEETING DATE:	<b>11<sup>th</sup> September 2013</b>	
TITLE:	<b>Treasury Management Monitoring Report to 30<sup>th</sup> June 2013</b>	EXECUTIVE FORWARD PLAN REFERENCE: <b>E 2552</b>
WARD:	All	
<b>AN OPEN PUBLIC ITEM</b>		
<p><b>List of attachments to this report:</b></p> <p><b>Appendix 1</b> – Performance Against Prudential Indicators  <b>Appendix 2</b> – The Council’s Investment Position at 30<sup>th</sup> June 2013  <b>Appendix 3</b> – Average monthly rate of return for 1<sup>st</sup> 3 months of 2013/14  <b>Appendix 4</b> – The Council’s External Borrowing Position at 30<sup>th</sup> June 2013  <b>Appendix 5</b> – Arlingclose’s Economic &amp; Market Review Q1 of 2013/14  <b>Appendix 6</b> – Interest &amp; Capital Financing Budget Monitoring 2013/14  <b>Appendix 7</b> – Summary Guide to Credit Ratings</p>		

## **1 THE ISSUE**

1.1 In February 2012 the Council adopted the 2011 edition of the CIPFA Treasury Management in the Public Services: Code of Practice, which requires the Council to approve a Treasury Management Strategy before the start of each financial year, review performance during the year, and approve an annual report after the end of each financial year.

1.2 This report gives details of performance against the Council’s Treasury Management Strategy and Annual Investment Plan 2013/14 for the first three months of 2013/14.

## **2 RECOMMENDATION**

The Cabinet agrees that:

2.1 the Treasury Management Report to 30<sup>th</sup> June 2013, prepared in accordance with the CIPFA Treasury Code of Practice, is noted

2.2 the Treasury Management Indicators to 30<sup>th</sup> June 2013 are noted.

### **3 FINANCIAL IMPLICATIONS**

3.1 The financial implications are contained within the body of the report.

### **4 CORPORATE PRIORITIES**

4.1 This report is for information only and is therefore there are no proposals relating to the Council's Corporate Priorities.

### **5 THE REPORT**

#### **Summary**

5.1 The average rate of investment return for the first three months of 2013/14 is 0.48%, which is 0.07% above the benchmark rate.

5.2 The Council's Prudential Indicators for 2013/14 were agreed by Council in February 2013 and performance against the key indicators is shown in **Appendix 1**. All indicators are within target levels.

#### **Summary of Returns**

5.3 The Council's investment position as at 30<sup>th</sup> June 2013 is given in **Appendix 2**. The balance of deposits as at 31<sup>st</sup> March 2013 & 30<sup>th</sup> June 2013 are also set out in the pie charts in this appendix.

5.4 The Council is the accountable body for the West of England Revolving Investment Fund (RIF) and received grant funding of £57 million at the end of the 2011/12 financial year. The Council acts as an agent and holds these funds on behalf of the West of England Local Enterprise Partnership until they are allocated in the form of repayable grants to the constituent Local Authorities to meet approved infrastructure costs. Since these funds are invested separately from the Council's cash balances and have been placed short term with the Debt Management Office and other Local Authorities, they are excluded from all figures given in this report.

5.5 Gross interest earned on investments for the first three months totalled £140k. Net interest, after deduction of amounts due to West of England Growth Points, B&NES PCT Pooled Budgets and schools, is £118k. **Appendix 3** details the investment performance, the average rate of interest earned over this period was 0.48%, which is 0.07% above the benchmark rate of average 7 day LIBID +0.05% (0.41%).

#### **Summary of Borrowings**

5.6 No new borrowing has taken place in the first quarter of 2013/14. The Council's total borrowing was £120 million as at the 30<sup>th</sup> June 2013. The Council's Capital Financing Requirement (CFR) as at 31<sup>st</sup> March 2013 was £141.8 million with a projected total of £201 million by the end of 2013/14 based on the capital programme approved at February 2013 Council. This represents the Council's need to borrow to finance capital expenditure, and demonstrates that the borrowing taken to date relates to funding historical capital spend.

5.7 Following Local Government Reorganisation in 1996, Avon County Council's residual debt is administered by Bristol City Council. All successor Unitary Authorities make an annual contribution to principal and interest repayment, for which there is a provision in the Council's revenue budget. The amount of residual

debt outstanding as at 31<sup>st</sup> March 2013 apportioned to Bath & North East Somerset Council is £15.14m. Since this borrowing is managed by Bristol City Council and treated in the Council's Statement of Accounts as a deferred liability, it is not included in the borrowing figures referred to in paragraph 5.6.

5.8 The borrowing portfolio as at 30<sup>th</sup> June 2013 is shown in **Appendix 4**.

### **Debt Rescheduling**

5.9 As reported in the Treasury Management Outturn Report 2012/13, the Council is implementing a proposal to restructure its Public Works Loan Board debt portfolio by utilising Council's cash flow, which is currently earning very low rates of interest. The rescheduling of £50 million of borrowing is anticipated to be completed during the second quarter of 2013/14. Current estimates project that the savings in the current year will meet the additional £500K savings target in the Council's 2013/14 approved budget.

### **Strategic & Tactical Decisions**

5.10 As shown in the charts at Appendix 2, investments continue to be focussed on UK banks that have either already or are likely to receive support from the UK Government should they experience financial difficulties. As at 30<sup>th</sup> June 2013, £8.0m was invested with other Local Authorities to increase diversification whilst maintaining strong counterparty rating. To increase diversification further, the Council invests in AAA rated Money Market funds, with a balance of £21.0m invested in these as at 30<sup>th</sup> June 2013.

5.11 Due to concerns related to the current Eurozone debt situation, the Council does not currently hold any direct investments with banks in countries within the Eurozone. The Council's investment counterparty list does not include any banks from the countries most affected by the debt situation in the Eurozone (Portugal, Ireland, Greece, Spain and Italy).

5.12 The Council's average investment return is running below the budgeted level of 0.75% due to the continued reduction in current market rates and the need to keep a greater proportion of investments short term in line with the debt rescheduling strategy.

### **Future Strategic & Tactical Issues**

5.13 Our treasury management advisors economic and market review for the first quarter 2013/14 is included in **Appendix 5**.

5.14 The Bank of England base rate has remained constant at 0.50% since March 2009.

### **Budget Implications**

5.15 A breakdown of the revenue budget for interest and capital financing and the forecast year end position based on the period April to June is included in **Appendix 6**. This is currently forecast to remain on target for 2013/14. The forecast will be updated as part of the 6 monthly review report to reflect the actual savings achieved through the debt rescheduling plan which is taking place during the second quarter of 2013/14.

## **6 RISK MANAGEMENT**

- 6.1 The Council's lending & borrowing list is regularly reviewed during the financial year and credit ratings are monitored throughout the year. All lending/borrowing transactions are within approved limits and with approved institutions. Investment & Borrowing advice is provided by our Treasury Management consultants Arlingclose.
- 6.2 The 2011 edition of the CIPFA Treasury Management in the Public Services: Code of Practice requires the Council nominate a committee to be responsible for ensuring effective scrutiny of the Treasury Management Strategy and policies. In February 2012, the Council's treasury advisors provided training to the Corporate Audit Committee to carry out this scrutiny.
- 6.3 In addition, the Council maintain a risk register for Treasury Management activities, which is regularly reviewed and updated where applicable during the year.

## **7 EQUALITIES**

- 7.1 This report provides information about the financial performance of the Council and therefore no specific equalities impact assessment has been carried out on the report.

## **8 RATIONALE**

- 8.1 The Prudential Code and CIPFA's Code of Practice on Treasury Management requires regular monitoring and reporting of Treasury Management activities.

## **9 OTHER OPTIONS CONSIDERED**

- 9.1 None.

## **10 CONSULTATION**

- 10.1 Consultation has been carried out with the Cabinet Member for Community Resources, Section 151 Finance Officer, Chief Executive and Monitoring Officer.
- 10.2 Consultation was carried out via e-mail.

## **11 ISSUES TO CONSIDER IN REACHING THE DECISION**

- 11.1 This report deals with issues of a corporate nature.

## **12 ADVICE SOUGHT**

- 12.1 The Council's Monitoring Officer (Council Solicitor) and Section 151 Officer (Divisional Director - Finance) have had the opportunity to input to this report and have cleared it for publication.

<b>Contact person</b>	<i>Tim Richens - 01225 477468 ; Jamie Whittard - 01225 477213</i> <a href="mailto:Tim_Richens@bathnes.gov.uk">Tim_Richens@bathnes.gov.uk</a> <a href="mailto:Jamie_Whittard@bathnes.gov.uk">Jamie_Whittard@bathnes.gov.uk</a>
<b>Sponsoring Cabinet Member</b>	<i>Councillor David Bellotti</i>
<b>Background papers</b>	<i>2013/14 Treasury Management &amp; Investment Strategy</i>
<b>Please contact the report author if you need to access this report in an alternative format</b>	

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## APPENDIX 1

### Performance against Treasury Management Indicators agreed in Treasury Management Strategy Statement

#### 1. Authorised limit for external debt

These limits include current commitments and proposals in the budget report for capital expenditure, plus additional headroom over & above the operational limit for unusual cash movements.

	<b>2013/14 Prudential Indicator</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	£'000	£'000
Borrowing	201,000	120,000
Other long term liabilities	2,000	0
<b>Cumulative Total</b>	<b>203,000</b>	<b>120,000</b>

#### 2. Operational limit for external debt

The operational boundary for external debt is based on the same estimates as the authorised limit but without the additional headroom for unusual cash movements.

	<b>2013/14 Prudential Indicator</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	£'000	£'000
Borrowing	167,000	120,000
Other long term liabilities	2,000	0
<b>Cumulative Total</b>	<b>169,000</b>	<b>120,000</b>

#### 3. Upper limit for fixed interest rate exposure

This is the maximum amount of total borrowing which can be at fixed interest rate, less any investments for a period greater than 12 months which has a fixed interest rate.

	<b>2013/14 Prudential Indicator</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	£'000	£'000
<b>Fixed interest rate exposure</b>	<b>201,000</b>	<b>100,000*</b>

\* The £20m of LOBO's are quoted as variable rate in this analysis as the Lender has the option to change the rate at 6 monthly intervals (the Council has the option to repay the loan should the rate increase)

#### 4. Upper limit for variable interest rate exposure

While fixed rate borrowing contributes significantly to reducing uncertainty surrounding interest rate changes, the pursuit of optimum performance levels may justify keeping flexibility through the use of variable interest rates. This is the maximum amount of total borrowing which can be at variable interest rates.

	<b>2013/14 Prudential Indicator</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	£'000	£'000
<b>Variable interest rate exposure</b>	<b>60,000</b>	<b>20,000</b>

### 5. Upper limit for total principal sums invested for over 364 days

This is the maximum amount of total investments which can be over 364 days. The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments.

	<b>2013/14 Prudential Indicator</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	£'000	£'000
<b>Investments over 364 days</b>	<b>50,000</b>	<b>5</b>

### 6. Maturity Structure of new fixed rate borrowing during 2013/14

This indicator is set to control the Council's exposure to refinancing risk.

	<b>Upper Limit</b>	<b>Lower Limit</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	%	%	%
Under 12 months	50	Nil	0
12 months and within 24 months	50	Nil	0
24 months and within 5 years	50	Nil	0
5 years and within 10 years	50	Nil	0
10 years and above	100	Nil	100

### 7. Average Credit Rating

The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the weighted average credit rating of its investment portfolio.

	<b>2013/14 Prudential Indicator</b>	<b>2013/14 Actual as at 30<sup>th</sup> Jun. 2013</b>
	Rating	Rating
<b>Minimum Portfolio Average Credit Rating</b>	<b>A</b>	<b>AA-</b>



## APPENDIX 2

### The Council's Investment position at 30<sup>th</sup> June 2013

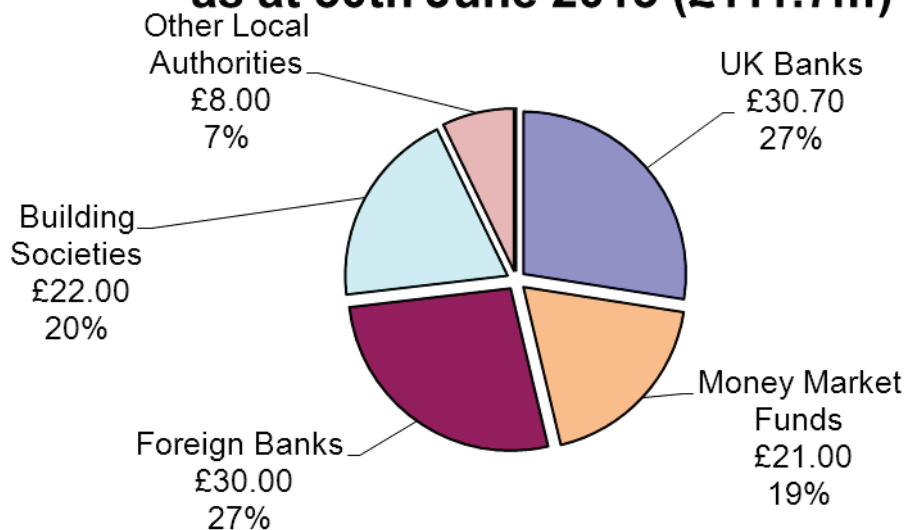
	Balance at 30 <sup>th</sup> June 2013
	£'000's
Notice (instant access funds)	21,700
Up to 1 month	27,000
1 month to 3 months	35,000
Over 3 months	28,000
<b>Total</b>	<b>111,700</b>

The investment figure of £111.7 million is made up as follows:

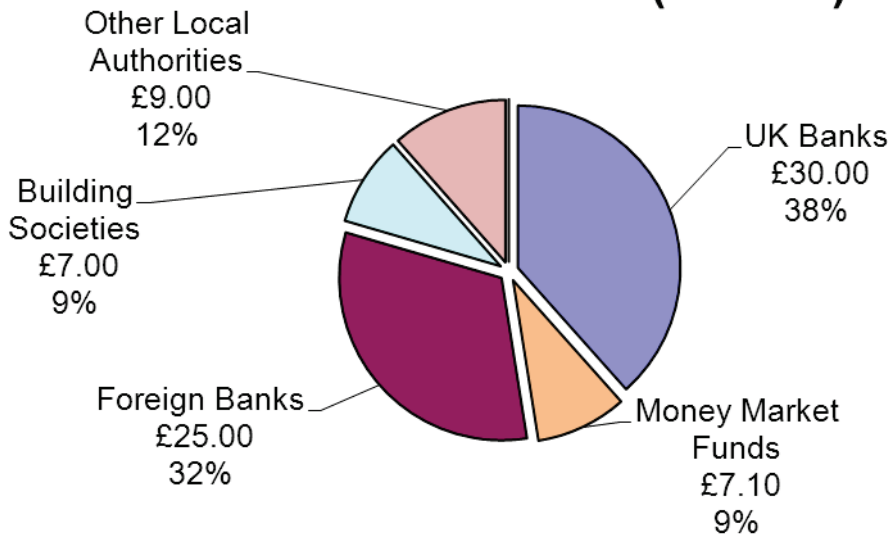
	Balance at 30 <sup>th</sup> June 2013
	£'000's
B&NES Council	89,472
B&NES PCT	13,169
West Of England Growth Points	684
Schools	8,375
<b>Total</b>	<b>111,700</b>

The Council had an average net positive balance of £117.0m (including Growth Points & B&NES PCT Funding) during the period April 2013 to June 2013.

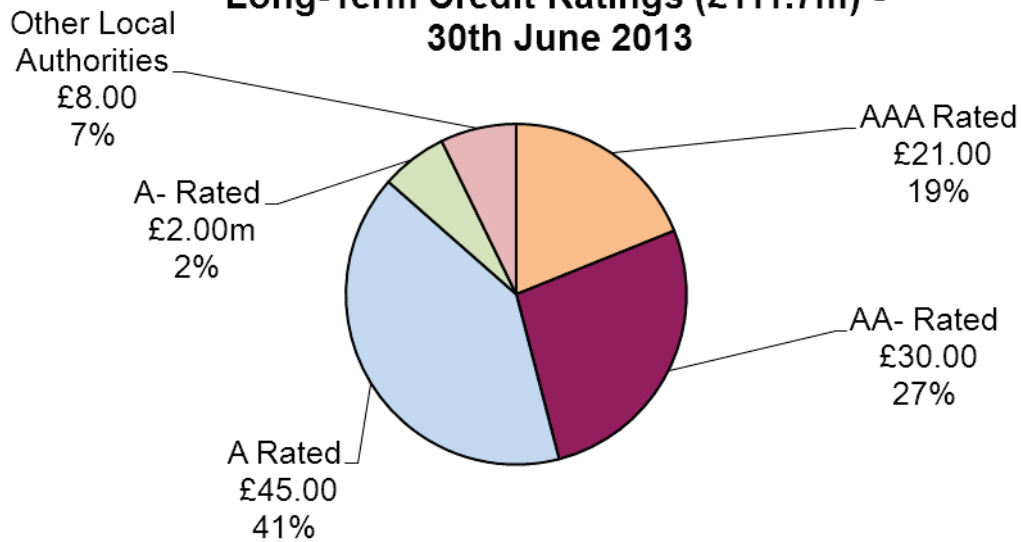
**Chart 1: Council Investments  
as at 30th June 2013 (£111.7m)**



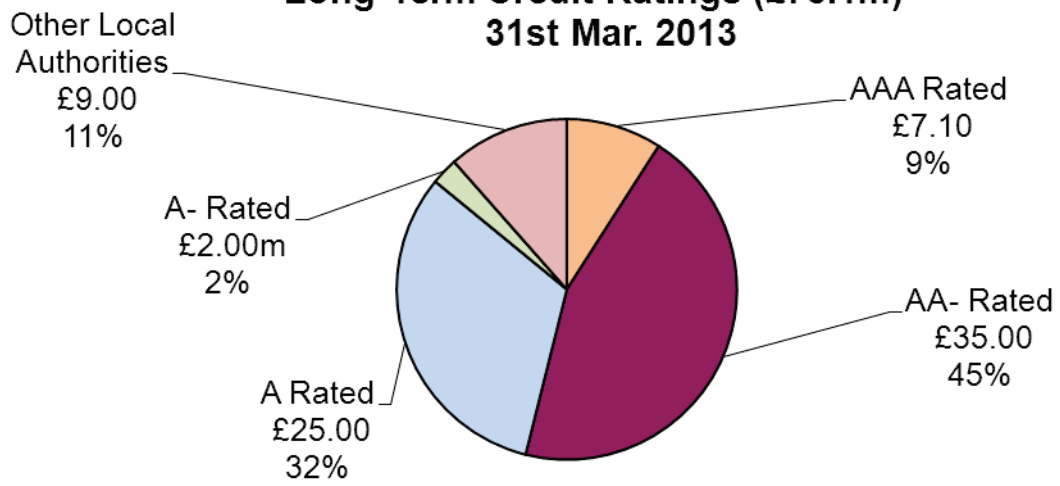
**Chart 2: Council Investments as at 31st Mar. 2013 (£78.1m)**



**Chart 3: Council Investments per Lowest Equivalent Long-Term Credit Ratings (£111.7m) - 30th June 2013**



**Chart 4: Council Investments per Lowest Equivalent Long-Term Credit Ratings (£78.1m) - 31st Mar. 2013**



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### APPENDIX 3

#### Average rate of return on investments for 2013/14

	<b>April %</b>	<b>May %</b>	<b>June %</b>	<b>Average for Period</b>
<b>Average rate of interest earned</b>	0.49%	0.48%	0.47%	<b>0.48%</b>
<b>Benchmark = Average 7 Day LIBID rate +0.05% (source: Arlingclose)</b>	0.42%	0.41%	0.41%	<b>0.41%</b>
<b>Performance against Benchmark %</b>	+0.07%	+0.07%	+0.06%	<b>+0.07%</b>

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**APPENDIX 4**  
**Councils External Borrowing at 30<sup>th</sup> June 2013**

<b>LONG TERM</b>	<b>Amount</b>	<b>Fixed Term</b>	<b>Interest Rate</b>	<b>Variable Term</b>	<b>Interest Rate</b>
PWLB	10,000,000	30 yrs	4.75%	n/a	n/a
PWLB	20,000,000	48 yrs	4.10%	n/a	n/a
PWLB	10,000,000	46 yrs	4.25%	n/a	n/a
PWLB	10,000,000	50 yrs	3.85%	n/a	n/a
PWLB	10,000,000	47 yrs	4.25%	n/a	n/a
PWLB	5,000,000	25 yrs	4.55%	n/a	n/a
PWLB	5,000,000	50 yrs	4.53%	n/a	n/a
PWLB	5,000,000	20 yrs	4.86%	n/a	n/a
PWLB	10,000,000	18 yrs	4.80%	n/a	n/a
PWLB	15,000,000	50 yrs	4.96%	n/a	n/a
KBC Bank N.V*	5,000,000	2 yrs	3.15%	48 yrs	4.50%
KBC Bank N.V*	5,000,000	3 yrs	3.72%	47 yrs	4.50%
Eurohypo Bank*	10,000,000	3 yrs	3.49%	47 yrs	4.50%
<b>TOTAL</b>	<b>120,000,000</b>				

\*All LOBO's (Lender Option / Borrower Option) have reached the end of their fixed interest period and have reverted to the variable rate of 4.50%. The lender has the option to change the interest rate at 6 monthly intervals, however at this point the borrower also has the option to repay the loan without penalty.

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## APPENDIX 5

### Economic and market review for April 2013 to June 2013 (Arlingclose)

**Growth:** The UK economy showed some improvement, although growth was subdued. GDP for the first quarter of 2013 was +0.3%, but the underlying numbers were disappointing as inventory growth contributed largely to the output figures. Revisions by the Office of National Statistics to GDP back-data showed the UK avoided a double-dip recession in 2012, but that the downturn in 2008-09 was deeper than previously estimated. Growth is now nearly 4% below its peak back in 2007.

Some positive signs for household spending emerged, mainly from a slower deterioration in real earnings growth (i.e. earnings less inflation) which implied a slower erosion of purchasing power. Household savings rates remained high, which is unsurprising given the uncertain economic outlook. The outlook for Q2 GDP growth is more positive following signs of a pickup in consumer spending and growing business confidence.

**Inflation:** Annual CPI was 2.7% in May. Inflation was expected to pick up again temporarily in the near term, peaking around 3% in June and remaining close to this level throughout the autumn. Further out, inflation should fall back towards the 2% target as external price pressures fade and a revival in productivity growth curbs domestic cost pressures. The oil price (Brent Crude) climbed above \$100/barrel on the back of political unrest in Egypt and the unresolved crisis in Syria.

**Monetary Policy:** There was no change to UK monetary policy with official interest rates and asset purchases maintained at 0.5% and £375bn respectively. Minutes of the Bank of England's Monetary Policy Committee meetings during the quarter showed that whilst the MPC voted unanimously for no change in official interest rates, it remained split (6-3 in favour of no change) on whether further QE was required to stimulate the economy.

In his testimony to Congress on 22nd May the US Federal Reserve Chairman Ben Bernanke stated that, if the nascent recovery in the US economy became established, the Fed would reduce its \$85bn monthly asset purchase programme (QE). The apparent movement by the Fed towards tapering its open-ended QE programme prompted extreme asset price volatility in bonds and equities, as investors sought to crystallise gains driven by excessive liquidity. As a consequence, government bond yields spiked. UK gilt yields jumped up 0.50% over the six weeks to the end of June.

The market negativity appeared to be overdone. Whilst the outlook for the global economy appeared to have improved over the first half of calendar 2013/14, significant economic risks remained, particularly in China and the Eurozone. The Chinese banking system is facing tighter liquidity conditions as officials seek to slow down rampant credit growth, and, despite the time gained by the ECB to allow individual members and the Eurozone as a whole to reform their economies, the Eurozone debt crisis has not gone away. The region remains in recession and up-coming political events, such as the German general election, could derail any progress towards a more balanced and stable regional economy. The US recovery appears to be in train, but political risks remain regarding the debt ceiling and the federal budget.

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**APPENDIX 6**

**Interest & Capital Financing Costs – Budget Monitoring 2013/14 (April to June)**

April to June 2013	YEAR END FORECAST			ADV/FAV
	Budgeted Spend or (Income) £'000	Forecast Spend or (Income) £'000	Forecast over or (under) spend £'000	
<b>Interest &amp; Capital Financing</b>				
- Debt Costs	4,947	4,947		
- Internal Repayment of Loan Charges	(6,584)	(6,584)		
- Ex Avon Debt Costs	1,388	1,388		
- Minimum Revenue Provision (MRP)	5,306	5,306		
- Interest on Balances	(339)	(339)		
<b>Sub Total - Capital Financing</b>	<b>4,718</b>	<b>4,718</b>		

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## APPENDIX 7

### Summary Guide to Credit Ratings

Rating	Details
AAA	Highest credit quality – lowest expectation of default, which is unlikely to be adversely affected by foreseeable events.
AA	Very high credit quality - expectation of very low default risk, which is not likely to be significantly vulnerable to foreseeable events.
A	High credit quality - expectations of low default risk which may be more vulnerable to adverse business or economic conditions than is the case for higher ratings.
BBB	Good credit quality - expectations of default risk are currently low but adverse business or economic conditions are more likely to impair this capacity.
BB	Speculative - indicates an elevated vulnerability to default risk, particularly in the event of adverse changes in business or economic conditions over time.
B	Highly speculative - indicates that material default risk is present, but a limited margin of safety remains. Capacity for continued payment is vulnerable to deterioration in the business and economic environment.
CCC	Substantial credit risk - default is a real possibility.
CC	Very high levels of credit risk - default of some kind appears probable.
C	Exceptionally high levels of credit risk - default is imminent or inevitable.
RD	Restricted default - indicates an issuer that has experienced payment default on a bond, loan or other material financial obligation but which has not entered into bankruptcy filings, administration, receivership, liquidation or other formal winding-up procedure, and which has not otherwise ceased operating.
D	Default - indicate san issuer that has entered into bankruptcy filings, administration, receivership, liquidation or other formal winding-up procedure, or which has otherwise ceased business.

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<b>Bath &amp; North East Somerset Council</b>		
MEETING:	<b>Cabinet</b>	
MEETING DATE:	<b>11<sup>th</sup> September 2013</b>	EXECUTIVE FORWARD PLAN REFERENCE:
		<b>E 2561</b>
TITLE:	<b>Empty Property Policy Enforcement Action</b>	
WARD:	All	
<b>AN OPEN PUBLIC ITEM</b>		
<b>List of attachments to this report:</b>		
Appendix 1: Property Details (Exempt - personal data)		
Appendix 2: High Priority Properties (Exempt - personal data)		
Appendix 3: Empty Property Policy 2013		

## **1 THE ISSUE**

1.1 In January 2011 the Council formally adopted an Empty Property Policy. This policy articulates the Council's twin track approach of providing encouragement and assistance to all owners of empty properties to help bring their properties back into use whilst at the same time seeking to select high priority empty properties for bespoke assistance and potentially enforcement action. In accordance with the Empty Property Policy, and following the refusal of all offers of assistance, the author is seeking approval to obtain a Compulsory Purchase Order on two related properties.

1.2 In addition recent changes to the Council Tax system, notably the removal of Class A and Class C exemptions, has resulted in the need to update the Empty Property Policy.

## **2 RECOMMENDATION**

The Cabinet agrees that:

2.1 The Head of Housing undertakes the appropriate and statutory steps to obtain Compulsory Purchase Orders on the two properties detailed in appendix 1 and then disposes of the properties on the open market with a contractual requirement that they shall be brought back into residential use within 18 months.

2.2 That the updated Empty Property Policy detailed in appendix 3 is adopted.

### **3 FINANCIAL IMPLICATIONS**

- 3.1 Securing a Compulsory Purchase Order (CPO) is administratively complex, requires significant capital outlay and requires the permission of the Secretary of State for Communities & Local Government. It is important to note that the experience of other Local Authorities is that the cost of obtaining the order can vary significantly, not least due to the amount of legal opposition shown by the owner to the action or the potential for differences between property acquisition and subsequent resale values.
- 3.2 The principal costs associated with obtaining a CPO include: housing services officer time; legal and surveyor costs; statutory advertising; stamp duty; owners compensation and property purchase costs. In addition if the owner challenges the decision then the Council would need to fund the costs of a public enquiry. Whilst the purchase costs should be recoverable following sale (minus any further transaction fees) the other costs would not be recoverable. It should be noted that the largest single element of the non-asset cost relates to statutory compensation to the owner, known as a basic loss payment, and set at 7.5% of asset value. Only in very limited cases can the right to this compensation be removed.
- 3.3 The gross cost of obtaining the CPO for both properties is estimated to be around £405,000 assuming no public enquiry and that compensation is payable. Should an enquiry be required then costs could potentially rise to around £440,000. However, the capital asset, valued at £362,000, would be realised following subsequent sale minus any further transaction costs. As such the net cost to the Council is estimated to be around £50,000 for both properties rising to around £80,000 should a public enquiry be required. Appendix 1 details these costs more fully.
- 3.4 The net funding for this action would be met through capacity within the capital programme, approved in February 2013, which confirmed...

Investment of £550k per annum in 2013/14 & 2014/15 is included for Provisional Approval subject to the provision of a detailed project plan and business case. This provision is for supporting work on tackling empty homes, increasing the delivery of affordable housing and associated costs. Such provision will contribute towards attracting inward investment through the New Homes Bonus and help achieve aims within the Council's Core Strategy and the Housing and Well-being Strategy. Political and Corporate approval will be sought for each spending proposal to ensure value for money and purpose of outcome.

### **4 CORPORATE OBJECTIVES**

- *Promoting independence and positive lives for everyone*
- *Creating neighbourhoods where people are proud to live*
- *Building a stronger economy*

### **5 THE REPORT**

#### **Enforcement Action**

- 5.1 In January 2011 the Council formally adopted an Empty Property Policy which stated that the Council will...



Use the following twin track approach to bring empty properties back into use:

- Provide advice, assistance and incentives to all owners to help them bring empty properties back into use; and
- Prioritise properties which have been empty for over 1 year for targeted action.

5.2 Since adopting this policy Housing Services have undertaken a range of work streams and activities including:

- (1) With the Revenues & Benefits Service identified all properties that have been empty for 6 months or longer;
- (2) Inspected and prioritised all properties empty for 1 year or more. The prioritisation system uses a combination of length of time empty, property condition and the impact of the property on neighbours and the local community to create a points score. Empty properties were then grouped into low, medium and high priority groups. Based upon the latest information there are:
  - 250 properties that have been empty for over 6 months but under 1 year and hence not prioritised for action
  - 200 “low priority” empty properties
  - 32 “medium priority” empty properties
  - 16 “high priority” empty properties
- (3) Written or contacted all empty property owners to encourage the effective use of the property, inform them of their options and provide free advice if required.
- (4) With our West of England colleagues produced and distributed a bi-annual newsletter providing advice and offer of assistance and also designed and developed the “No Use Empty” website. This website provides a wealth of information for owners and residents including a reporting function and an option for owners to advertise their properties for sale.
- (5) Since the later part of 2011 various financial assistance and incentive packages has been made available to higher priority empty properties including the offer of low-interest rate loans up to the value of £30,000.

5.3 As a result of this action the number of properties that were empty for 6 months or longer has fallen from around 600 to the current level of around 500. This work has already generated £193,979 and £333,104 of New Homes Bonus funding in 2011/12 and 2012/13 respectively and will continue to generate funding for the next few years. However, despite working with owners to recover around 100 properties in the last year this 500 figure has remained fairly static due to new empty properties. This reinforces our approach to target resources on the long term empty and consequently higher priority properties.

5.4 Out of the original 17 original high priority properties all bar two owners have engaged with the Council and given a firm intention to bring the property back into use. Indeed one has now been sold and occupied and 3 are currently being advertised for sale. However, the owners of the two properties detailed in

appendix 1 have not engaged with the Council, taken any action to bring the properties back into use or committed to taking any action to bring the properties back into use.

5.5 The empty property policy states that in the first instance Housing Services will work with owners to try to bring their property back in to use but will consider enforcement action where the following four criteria have been met:

- The Council has made numerous attempts to engage with the owner, all reasonable offers of assistance have been made to the owner and these offers have not been acted upon; and
- There is no prospect of the house being brought back into use by the owner within a reasonable time period; and
- There is a housing need and/or the property is causing a significant problem in the local neighbourhood; and
- A cost-benefit analysis demonstrates that enforcement action both financially viable and appropriate.

5.6 The above four criteria for taking enforcement action have been met in relation to the properties identified for enforcement action. Appendix 1 provides the supporting evidence for this statement.

### **Proposed Update to Empty Property Policy**

5.7 In April 2013, Council Tax changes introduced a premium charge (150% council tax) for those properties empty over 2 years. The aim of this premium is to incentivise owners who are leaving properties empty to bring them back into use. The re-coding of Council Tax classifications meant that the Class A and Class C exemptions which identified when a property had been empty for over 6 months was removed. While the introduction of a premium for properties empty over 2 years will be a benefit to Housing Services, the disadvantage has been the re-coding of Council Tax classifications leading to a loss of data source for properties empty over 6 months. While it may be theoretically possible to maintain a list of properties empty over 6 months, it is unlikely to be accurate and would take an unreasonable amount of officer time which could be spent more productively.

5.8 It is therefore proposed to change the definition of “empty property” for the terms of the policy to properties empty over 2 years. It should be noted that properties empty less than 2 years tend to be low priority and normally come back into use without our intervention. This also aligns the definition with Council Tax and our data source. This allows effective use of resources on those properties which remain empty and cause problems for neighbours. Advice will still be available to owners with properties empty under 2 years, via the website and the bi-annual newsletter can be sent to owners recorded as having an empty property to prevent properties remaining empty longer than necessary. In addition an exceptional circumstance clause has been included so that properties empty under 2 years which are causing problems to neighbours can be included on the decision of the Head of Housing.

5.9 The policy will include new sections on compliments, complaints, appeals and exceptional circumstances. This is in line with other Housing Services policies.

## **6 RISK MANAGEMENT**

6.1 The report author and Lead Cabinet member have fully reviewed the risk assessment related to the issue and recommendations, in compliance with the Council's decision making risk management guidance.

## **7 EQUALITIES**

7.1 An Equalities Impact Assessment has not been completed for the following reasons:

- The enforcement action follows from the Empty Property Policy which has been the subject of a detailed Equalities Impact Assessment, and
- The proposed changes to the Empty Property Policy are of a minor nature.

## **8 RATIONALE**

8.1 Bringing empty properties back into use can achieve a number of benefits including:

- Helping to meet local housing demand;
- Reducing the need for new housing development;
- Reducing the crime & vandalism which empty properties often attract;
- Reducing problems to neighbouring properties which poorly maintained empty properties can sometimes cause;
- Improve & regenerate localities;
- Generate Council funding through the New Homes Bonus Scheme

8.2 This enforcement action will clearly demonstrate the Council's commitment to the recovery of empty properties and encourage other owners to work with the Council in a positive and constructive manner.

## **9 OTHER OPTIONS CONSIDERED**

### **Do not take enforcement action**

9.1 This would mean that the properties identified would not be recovered, which would run counter to the Empty Home Policy. In addition failure to take action would reduce the Council's ability to persuade other empty property owners that the Council is serious about the recovery of empty properties.

### **Empty Dwelling Management Order**

9.2 There are a number of reasons why this option has been discounted including: not considered a permanent solution; significantly more staff resource intensive; effectively a 7 year project; potentially a more expensive option; and would require revenue funding rather than the capital funding currently available.

## **10 CONSULTATION**

10.1 Ward Councillor; Cabinet members; Policy Development and Scrutiny Panel; Other B&NES Services; Section 151 Finance Officer; Chief Executive; Monitoring Officer

10.2 Formal consultation has not been completed for the following reasons:

- (1) The enforcement action follows from the Empty Property Policy which was the subject of extensive consultation including member workshops and Policy Development and Scrutiny Panel review.
- (2) The Housing & Major Projects Policy Development and Scrutiny Panel has been verbally advised of the proposed enforcement action and the minor amendments to the Empty Property Policy and did not raise any concerns.

## 11 ISSUES TO CONSIDER IN REACHING THE DECISION

11.1 Social Inclusion; Sustainability; Property; Human Rights; Other Legal Considerations.

11.2 The Human Rights Act 1998 gives a person or organisation a right to the peaceful enjoyment of their property. No one should be deprived of their property except in the public interest and in accordance with the law.

11.3 Therefore the decision maker needs to be sure that firstly the Council has legal authority for what it is proposing to do and is following the Council's procedures and secondly the decision maker needs to balance the competing interest of the public and individual interests and that the proposed compulsory purchase is a proportionate means of achieving a legitimate aim.

## 12 ADVICE SOUGHT

12.1 The Council's Monitoring Officer (Divisional Director – Legal and Democratic Services) and Section 151 Officer (Divisional Director - Finance) have had the opportunity to input to this report and have cleared it for publication.

<b>Contact person</b>	Graham Sabourn, Head of Housing (01225 477949) Katherine Coney, Senior Environmental Health Practitioner (01225 396736)
<b>Sponsoring Cabinet Member</b>	Councillor Tim Ball
<b>Background papers</b>	None
<b>Please contact the report author if you need to access this report in an alternative format</b>	

**Access to Information Arrangements**

**Exclusion of access by the public to Council meetings**

Information Compliance Ref: LGA-1008-13

Meeting / Decision: Cabinet

Date: 3 September 2013

Author: Graham Sabourn

Exempt Report Title: Empty Property Policy Enforcement Action

Exempt Appendix Title:

Appendix 1: Property Details

Appendix 2: High Priority Properties

The Report contains exempt information, according to the categories set out in the Local Government Act 1972 (amended Schedule 12A). The relevant exemption is set out below.

Stating the exemption:

1. Information relating to any individual
2. Information which is likely to reveal the identity of an individual

The public interest test has been applied, and it is concluded that the public interest in maintaining the exemption outweighs the public interest in disclosure at this time. It is therefore recommended that the Report be withheld from publication on the Council website. The paragraphs below set out the relevant public interest issues in this case.

**PUBLIC INTEREST TEST**

If the sub-Committee wishes to consider a matter with press and public excluded, it must be satisfied on two matters.

Firstly, it must be satisfied that the information likely to be disclosed falls within one of the accepted categories of exempt information under the Local Government Act 1972.

The officer responsible for this item believes that this information falls within the following exemptions and this has been confirmed by the Council's Information Compliance Manager.

The following exemptions are engaged in respect to this report:

1. Information relating to any individual
2. Information which is likely to reveal the identity of an individual

Exemptions 1 and 2 above must be considered in conjunction with the Principles of the Data Protection Act 1998 (DPA). It is considered that disclosure of the information in these appendices would breach the first principle of the DPA, which requires personal data to be fairly and lawfully processed.

Secondly, it is necessary to weigh up the arguments for and against disclosure on public interest grounds. It is considered that there is a public interest in information about the actions the Council takes in relation to empty properties.

Other factors in favour of disclosure include:

- furthering public understanding of the issues involved;
- furthering public participation in the public debate of issues, in that disclosure would allow a more informed debate;
- promoting accountability and transparency by the Council for the decisions it takes;
- allowing individuals and companies to understand decisions made by the Council affecting their lives and assist individuals to challenge those decisions.

However there is a real risk that the first Principle of the DPA will be breached by this disclosure, and that the individual/s concerned could bring a successful action against the Council if the disclosure occurred. Therefore it is recommended that exemptions 1 and 2 in Schedule 12A stand, and that the appendices be discussed in exempt session.

The Council considers that the public interest has been served by the fact that a significant amount of information has been made available on these issues – by way of the main report and additional appendix.

By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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# Empty Property Policy

Bath and North East Somerset Council's policy to bring empty properties back into use

## July 2013



This document explains how Bath and North East Somerset Council will bring empty properties back into use.

# Empty Property Policy

Bringing empty properties back into use

## 2013

This policy sets out how Housing Services will work to bring empty properties back into use. This policy contributes to the Housing and Wellbeing Strategy.

Bath and North East Somerset Council, Housing Services, PO Box 3343, Bath, BA1 2ZH  
Telephone: 01225 396444  
Fax: 01225 477839  
Minicom: 01225 477815

[Housing@Bathnes.gov.uk](mailto:Housing@Bathnes.gov.uk)

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## Complaints, comments and compliments

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Bath and North East Somerset Council is committed to providing a quality service. To help us we welcome comments, suggestions, feedback, complaints and compliments from anyone to whom we provide a service.

We want to provide good quality services but sometimes things can go wrong. If this happens we need to know so that we can put it right and learn from the experience. In the first instance please speak to a Housing Standards and Improvement Team Leader who will try to resolve the concern. Alternatively or if a person is not satisfied with the response, Housing Services have a complaints policy available through our website [www.bathnes.gov.uk/services/housing/strategy-and-performance](http://www.bathnes.gov.uk/services/housing/strategy-and-performance)

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*By phone: 01225 396444 or by email: [Housing@bathnes.gov.uk](mailto:Housing@bathnes.gov.uk) or online: [www.bathnes.gov.uk](http://www.bathnes.gov.uk) or writing to us at:*

Housing Services

Bath and North East Somerset Council, PO Box 3343, Bath, BA1 2ZH

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**Bath & North East  
Somerset Council**

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## Introduction

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This policy sets out how Housing Services will work to bring empty properties back into use. This policy contributes to the Housing and Wellbeing Strategy.

Bringing empty properties back into use can achieve a number of benefits including:



Housing Services will use the following twin track approach to bring empty properties back into use:



Housing Services will respond to complaints about empty properties as detailed on page - 8 - Complaints about empty properties

It should be noted that since the introduction of the original Empty Property Policy, approved in 2011, over 100 properties have been brought back into use, as recorded by Council Tax records. To date this has generated the following New Homes Bonus funding for the Council:

Financial Year	New Homes Bonus
2011/12	£193,979
2012/13	£333,104

From 2013/14 this historic activity will continue to contribute to at least £527,083 p.a. of New Homes Bonus funding during the life of the scheme.

## Prioritising resources

---

Experience shows that most properties are empty less than 2 years are re-occupied with minimal intervention from the Council. As such, and also to allow for alignment with the council tax scheme, this policy focuses on properties that have been empty for 2 years or more.

This policy defines an “actionable empty property” as a residential property which has been unoccupied for 2 years. It does not include properties occupied as second homes. It should however be noted, as that even non-actionable empty property owners will be provided with general advice, assistance and incentives

As of July 2013 there were around 700 properties which had been empty ranging from a single day up to 2 years and 250 empty properties unoccupied for 2 or more years within the district.

To ensure that resources are used appropriately and effectively all actionable empty properties will be prioritised using a points based system. Appendix 1 provides further details on the scoring system used; however, it uses the following criteria to prioritise empty properties:

<b>Length of time empty</b> <ul style="list-style-type: none"><li>• The longer a property is empty, the higher the priority</li></ul>	<b>Condition of property</b> <ul style="list-style-type: none"><li>• The worse the condition, the higher the priority</li></ul>	<b>Impact of property on neighbours and local community</b> <ul style="list-style-type: none"><li>• The bigger the impact on neighbours and community, the higher the priority</li></ul>
---	---	--

Once prioritised, Housing Services will concentrate case action on the high priority properties.



## Action on empty properties

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There are a range of options available to Housing Services to help bring the property back into use. These options fall into three broad categories.



### General advice for all owners

Housing Services will provide advice on a regular basis for all empty property owners to assist them to bring their property back into use, including website information and regular newsletters (assuming contact details available).

### Informal advice, assistance and incentives

We will work with owners of actionable empty properties to provide them with a tailored package of advice, assistance and incentives specific to their needs. The following list provide examples of the advice, assistance and incentives made available to owners (this list is not exhaustive)

- Information on selling the property
- Information on renting the property
- Information on renovating the property
- Financial incentives will be provided subject to budget availability.

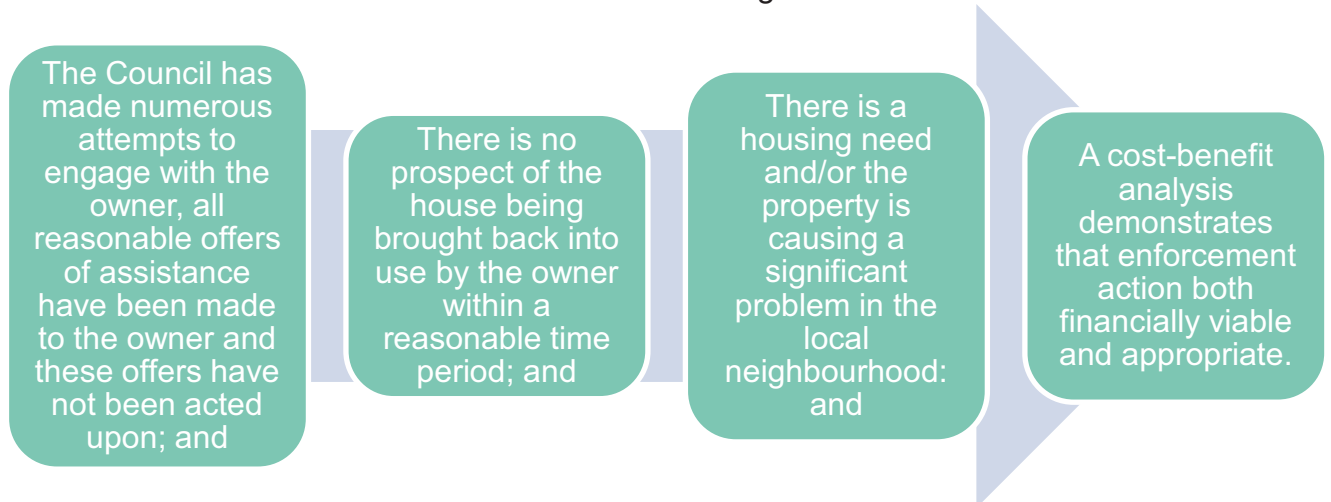
### Low level enforcement action

Where actionable empty properties are in such a condition to cause problems to neighbours, for example overgrown gardens or disrepair, in the first instance Housing Services will try to engage with the owner to persuade them to undertake works to remedy the problem. Where this fails, Housing Services may take low level enforcement action and serve a notice to require remedial works under the Housing Services Enforcement and Licensing Policy.

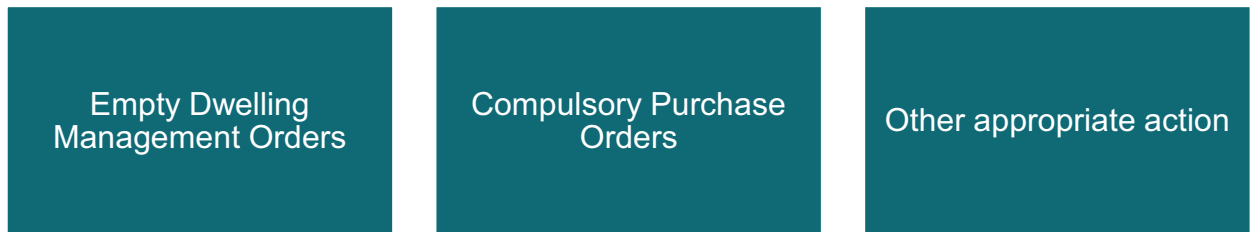
Where appropriate, cases will be referred to another Council department such as Building Control, Planning Enforcement, or Environmental Health.

## High level enforcement action

For priority properties Housing Services aim to engage with the owner and work with the owner to bring the property back into use. Housing Services will then consider the use of enforcement action when all of the following criteria have been met.



High level enforcement action to bring the property back into use may include:



Should the case for enforcement action not be demonstrated then no enforcement action will be taken. In addition enforcement action with significant financial implications will only be taken following a single member decision by the Cabinet Member with responsibility for Housing & Planning.

## Complaints about empty properties

---

Housing Services will respond to complaints received about empty properties. Housing Services will:

- Investigate the complaint, including a visit the property, and establish if the Council needs to take further action;
- Where appropriate, prioritise the property;
- Contact the owner to inform them a complaint has been made, advise of any actions recommended to remedy the problem and where necessary ensure action is taken to resolve the problem;
- Inform the complainant whether the property is classified as empty or not and update them on action taken.

## Financial assistance

---

Housing Services will, subject to budget availability, provide financial assistance to owners to help bring empty properties back into use. Financial assistance, where available, will be detailed under the Home Health and Safety (Adaptations and Assistance) Policy.

Financial assistance may be available for renovation of a property or for works which help make the property saleable or rentable. As a condition of the financial assistance, the owner must undertake to bring the property back into use within a given period of time.

## Partnership working

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Housing Services will work in partnership with other services and organisations to further the aims of this policy where appropriate.

## Exceptional circumstances and appeals

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Where a property has been empty less than two years and it is in poor condition and complaints have been made, in exceptional circumstances the property will be classed as an actionable empty. This will be decided by the Housing Standards and Improvement Team Manager.

To appeal against a decision made under this policy, please contact the Housing Standards and Improvement Team Manager. An appeal must be made in writing within 28 days of the decision and set out the reasons why the person wants the decision changed and provide supporting evidence.

## Appendix 1: Empty property prioritisation sheet

Empty Property Prioritisation Sheet						
Address		Description of property				
Date of assessment		Visited	Yes / No	Flat over shop		
Officer		Listed	Yes / No	Flat		
				Residential		
Property condition	tick		Description – factors to consider			
Good condition/no disrepair		0	No visible signs of disrepair or neglect			
Visibly neglected/minor disrepair		10	Overgrown garden/damaged fencing, blocked guttering, internal damp or condensation due to it being unheated & vacant. (i.e. individual empty flat)			
Poor condition/major disrepair		20	Significant disrepair affecting neighbouring property, major refurbishment needed before habitable to amenities and/or structure			
Very poor condition/derelict		40	Uninhabitable, major structural repairs required, demolition a possible option. No services (gas, water, electricity) connected. Devalued and removed from council tax register			
Social impact on immediate neighbours and local neighbourhoods						
Factors to consider		tick			tick	
Front and/or gardens overgrown		10	Incidents of fire/arson at property		10	
Evidence/likelihood of vandalism		10	Reports of vermin (check uniform)		10	
Evidence/likelihood of squatting		10	Complaints received (check uniform)		15	
Rubbish or Fly tipping occurring		10	Other;			
Property Terraced/Semi-Detached		10				
Located on main road/ housing estate		10	Total			
To be completed in office – check council records						
Time empty	Over 2 yr - Under 5 yrs	15	Over 5 yrs - Under 10 yrs	35	10 + yrs	50
Empty Property Priority: High / medium / low (delete)				Priority score		
P1 100 +	P2 80 - 99	P3 60 - 79		P4 40 - 59	P5 0 - 39	
HIGH		MEDIUM		LOW		



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