

AGENDA

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 7 February 2018

Dear Councillor

NOTICE OF MEETING

Meeting **SCRUTINY COMMITTEE**

Date **Thursday, 15 February 2018**

Time **9.30 am**

Venue **Main Committee Room, Civic Centre, Stone Cross, Northallerton, DL6 2UU**

Yours sincerely

J. Ives.

Dr Justin Ives
Chief Executive

To:	Councillors	Councillors
	S P Dickins (Chairman)	D Hugill
	Mrs C S Cookman (Vice-Chairman)	J Noone
	C A Dickinson	Ms C Palmer
	G W Ellis	B Phillips
	K G Hardisty	A Wake
	R W Hudson	

Other Members of the Council for information

AGENDA

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1. MINUTES

To confirm the minutes of the meeting held on 18 January 2018 (SC.26 - SC.29), previously circulated.

2. APOLOGIES FOR ABSENCE

3. COUNCIL PERFORMANCE 2017/18 (QUARTER 3)

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Report of the Director of Finance (s151 Officer)

4. REVIEW OF RISK MANAGEMENT

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5. POLICY REVIEW - ENFORCEMENT POLICY ON FLY-TIPPING

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Report of the Chairman

6. POLICY REVIEW - APPRENTICES AND GRADUATES SCHEMES

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Report of the Chairman

7. MATTERS OF URGENCY

Any other business of which not less than 24 hours' prior notice, preferably in writing, has been given to the Chief Executive and which the Chairman decides is urgent.

HAMBLETON DISTRICT COUNCIL

Report To: Scrutiny Committee
15 February 2018

From: Director of Finance (s151 Officer)

Subject: **COUNCIL PERFORMANCE 2017/18 (QUARTER 3)**

All Wards

1.0 PURPOSE AND BACKGROUND:

- 1.1 The revised Council Plan for 2015-2019 was adopted by Council on 18 July 2017.
- 1.2 The Council Plan shows the Council's goals with measurable outcomes in the form of Council Key Performance Indicators (KPIs). The Council's approach to performance management is designed to ensure that priorities are effectively implemented, monitored and managed to achieve real improvements in the quality of life in the local community.
- 1.3 This report provides the Scrutiny Committee with details on progress towards the Council's aims together with information on indicators performing exceptionally well, and actions to address areas of under-performance at 2017/18 Quarter 3.
- 1.4 Progress is reported on a cumulative year-to-date basis, with actual results achieved during Q3 also provided to enable a comprehensive review.
- 1.5 The Council's Performance and Risks are also reported quarterly to Management Team.
- 1.6 The public has access to this information through these quarterly performance reports.

2.0 LINK TO COUNCIL PRIORITIES:

- 2.1 An overview of performance against each Council priority is attached in Annex 'A'.
- 2.2 In summary, 71.88% or 23KPIs performed on or above target at Quarter 3.
- 2.3 Of the KPIs successfully meeting their targets, the following achieved notable progress:

2.3.1 Achieve a level of Council Tax collection of 98%

Target Q3 – 73.5% Actual Q3 – 86.9%

This target is expected to remain on track for the year end. Universal Credit may have some impact on customers' ability to pay on time so some monitoring through the recovery process should inform of any problems which may need addressing in the long term.

2.3.2 Complete 345 food hygiene inspections

Target Q3 – 212 Actual Q3 – 295

To complete 345 inspections out of a total of 708 due inspections by the end of the year. This is a realistic target based on the resources in the team and it is acknowledged that the remainder will require inspection. The target has been exceeded in Quarters 1, 2 and 3.

Profile: Q1 – 50, Q2 – 80, Q3 – 82, Q4 - 133 = 345

2.3.3 Ensure 70% homeless enquiries result in preventions

Target Q3 – 70% Actual Q3 – 89%

Q3: Total of 148 preventions from 174 enquiries

YTD: Total of 456 preventions from 511 enquires

Breakdown for Q3 as follows 16 Housing Options Team (HOT), 94 Development Initiatives Supporting Communities (Disc), 38 Citizens Advice Bureau (CAB).

2.4 The KPIs not meeting their target at Q3 are:

2.4.1 Achieve 80% success rate in defending appeals where major developments are refused planning permission

Target Q3 – 100% Actual Q3 – 66.6%

Q3 Two out of three appeals successfully defended

At Q3 the appeal against the refusal of planning permission was successful and was dismissed for the residential development proposal at Cleveland Lodge, Great Ayton.

2.4.2 Achieve 70% compliance with private sector rented properties following inspection

Target Q3 – 70% Actual Q3 – 57%

In Q3 we performed above target with twelve reactive housing inspections carried out and found nine to be compliant. Action is underway to address the issues in the non-compliant properties. The additional officer resources requested at Management Team would assist the proactive work that could be done with landlords in improve KPI performance.

2.4.3 Deliver a total of 120 affordable homes (including 20 rural)

Target Q3 – 90 = 75% Actual Q3 – 59 = 49%

6 Dwellings at Sowerby Gateway
6 Dwellings at White House Farm, Stokesley
2 Dwelling at Little Crakehall
3 Dwellings at Morton on Swale

Also two conversions of community rooms to flats for Broadacres at Hollygarth House, Great Ayton.

The delivery of the majority of affordable housing in Hambleton is through planning gain. This delivery is largely reliant on the performance of private housebuilders.

In Q4 the Council is projecting a further 30 affordable homes to be delivered.

2.4.4 Process new housing benefit claims within 20 days in line with North Yorkshire authorities

Target Q3 – 20 days Actual Q3 – 23.2 days

Whilst the YTD target is below expectations performance has improved with Q3 just sitting inside of the 20 day target.

Q1: 116 claims processed taking 3491 days. Average processing time per claim 30.1 days

Q2: 117 claims processed taking 2273 days Average processing time per claim 19.4 days.

Q3: 87 claims processed taking 1659 days. Average processing time per claim 19.1

YTD: 320 claims processed taking 7423 days. Average processing time per claim 23.2 days.

2.4.5 Process new council tax claims within 20 days in line with North Yorkshire authorities

Target Q3 – 20 days Actual Q3 – 27.3 days

Whilst the year to date target is below expectations Quarter 3 has surpassed the 20 day target.

Universal Credit decisions by DWP are still impacting on the process as well as the nugatory notifications which cannot be discarded without a review and work will continue to see how implement changes to maintain above average performance.

Q1: 360 claims processed taking 11988 days. Average processing time per claim 33.3 days.

Q2: 284 claims processed taking 7999 days. Average processing time per claim 28.2 days.

Q3: 280 claims processed taking 5236 days. Average processing time per claim 18.7 days.

YTD: 924 claims processed taking 25223 days. Average processing time per claim 27.3 Days

2.4.6 Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities

Target Q3 – 7 days Actual Q3 – 7.8 days

The actual is just outside the expected target of 7 days. Following the opting in to the Right Benefit initiative the team receive additional monthly files which have been brought up to date at Q3. The additional work is currently being absorbed by the section as the recruitment process was unsuccessful.

Q1: 3336 claims processed taking 23819 days. Average processing time per claim 7.1 days.

Q2: 2433 claims processed taking 21456 days. Average processing time per claim 8.8 days.

Q3: 1917 claims processed taking 14676 days. Average processing time per claim 7.7 days.

YTD: 7686 claims processed taking 59951 days. Average processing time per claim 7.8 days.

2.4.7 Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities

Target Q3 – 7 days

Actual Q3 – 7.4 days

The YTD target is below expectations however Q3 has exceeded the target of 7 days.

Q1: 3852 claims processed taking 31651 days. Average processing time per claim 8.2 days.

Q2: 3329 claims processed taking 22948 days. Average processing time per claim 6.9 days.

Q3: 2918 claims processed taking 20305 days. Average processing time per claim 7 days.

YTD: 10099 claims processed taking 74904 days. Average processing time per claim 7.4 days.

3.0 CONCLUSIONS:

- 3.1 Performance against the revised Council Plan 2015-19 key priorities is being managed and action plans have been developed to address areas of weaker performance to assist the Council to progress to meet its priorities.

4.0 RECOMMENDATION:

- 4.1 It is recommended that the Scrutiny Committee considers the progress made at Q3 against the Council Plan 2015-19, as detailed in Annex 'A'.

LOUISE BRANFORD-WHITE
DIRECTOR OF FINANCE (S151 OFFICER)

Background papers:

None

Author ref:

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Council Performance Quarter 3

1 October – 31 December 2017

This report provides information on performance towards the Council Business Plan Priorities for the third quarter of 2017/18, as reported to the Management Team on 31 January 2018.

Key Priorities:

- Driving Economic Vitality
- Enhancing Health & Wellbeing
- Caring for the Environment
- Providing a Special Place to Live

PRIORITY – Driving Economic Vitality

Purpose: <ul style="list-style-type: none"> - Promote growth of local economy - Support economic growth through planning - Enable businesses to set up and grow - Provide business friendly services - Establish links with education - Maximise private sector investment in the district - Improve market town vitality and viability 	Outcome: <ul style="list-style-type: none"> - New business & commercial openings made available - Increased grant availability and opportunities for young people - Businesses stay, grow and relocate to the area - Support developers to achieve planning permission for new homes, businesses, industrial developments & infrastructure - Community Infrastructure Levy is implemented to assist economic development - Land is allocated to meet employment needs until 2035 through the new Local Plan 			
Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Facilitate 25 young people into local small businesses by April 2018 through Apprenticeships	25	11 Placed 9 Approved	21 Placed 30 Approved	11 Apprentices were placed with local small businesses and a further 9 applications were approved in Q3. Of the 30 applications approved to date, 21 apprentices have been place with local small businesses. The other businesses are in the process of recruiting. We expect to meet the target of 25 apprentices in place by the end of Q4.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Facilitate 7 graduates into Hambleton businesses by April 2018 through the Graduate Scheme	1 Target amended as budget will be rolled forward to 2018/19.	1	1	<p>The Graduate Scheme was launched in January 2015 to run for an initial period of 2 years with an allocation of £100k from the Economic Development Fund, which came to an end in April 2017. It was agreed that a review of the effectiveness of the Scheme would be undertaken before allocating further funding. The review of the Scheme identified that 28 graduates have been successfully appointed across 21 businesses; only 3 of these have dropped out. Of the 25 graduates supported 18 have completed the agreed funded period (normally 12 months) and 7 are currently within that period. Of the 18 graduate positions 100% have been sustained beyond the agreed funded period which is very positive.</p> <p>On the basis of this review Cabinet have approved an additional £28k from the Economic Development Fund in October 2017 for 17/18, to support a further 7 graduates. This budget will be rolled forward into 2018/19. Therefore the target of facilitating 7 graduates in 2017/18 will also be rolled forward to 2018/19.</p> <p>Plans have also been put in place to re-promote the scheme in Q4.</p>
Support £2m of new business investment in Hambleton	£2m	N/A	N/A	Annual target; to be calculated Q4
Increase footfall across Hambleton's Market Towns by 5%	5%	N/A	N/A	We will be baselining this for the remainder of 17/18 and looking for the increase in 18/19 - unfortunately this is a longer term target in reality as we would expect 20% increase after 4-5 years of running the programme, so the initial target looks quite small as we expect growth in this area to be on an exponential not linear basis. Monitor only during 2017/18.
Achieve a level of Business Rate collection of 98%	98%	85.3%	85.3%	This is an increase on what was expected at this time and will be on target for the year end.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Achieve a level of Council Tax collection of 98%	98%	86.9%	86.9%	This is expected to be on target for the year end. Universal Credit may have some impact on customers' ability to pay on time so some monitoring through the recovery process should inform of any problems which may need addressing in the long term.
Ensure the actual amount of Business Rates collected against the budget is £27.2m in 2017/18	£27.2m	£6,851,995	£23,788,321	This is an increase on what was expected at this time and will be on target for the year end.
Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%.	80%	77.7% (7 out of 9)	76.4% 13 out of 17)	Reflects collaborative work with agents and developers, although staff absences and turnover have impacted. Additional staff resources now agreed by Cabinet, recruitment is underway. Interviews taking place through January and February 2018.
Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%	85%	84.3% (91 out of 108)	83.6% (271 out of 324)	Reflects collaborative work with agents and developers and despite the workload, staff turnover and absences. Additional staff resources agreed by Management Team. Interviews taking place through January and February 2018.
Achieve 80% success rate in defending appeals where major developments are refused planning permission	80%	100% (1 out of 1)	66.6% (2 out of 3)	At Q3 the appeal against the refusal of planning permission was successful and dismissed for the residential development proposal at Cleveland Lodge, Great Ayton.

Other activity and items of interest for this Priority during Quarter 3		
Business & Economy	North Northallerton Development Association (NNDA)	<ul style="list-style-type: none"> Contractors Seymour are on with the delivery of the first phase of the road and the roundabouts on Darlington & Stokesley road and are well advanced. Detailed design for the remaining phases of the road and bridge are progressing and the timetable for completion of the road remains February 2019. Housebuilders have commenced building properties and have completed some early sales.
	Central Northallerton	<ul style="list-style-type: none"> Business cases for Local Growth Funding have been submitted to the Local Enterprise Partnership.
	Dalton Bridge	<ul style="list-style-type: none"> Continued work on project and working closely with North Yorkshire County Council, Local Enterprise Partnership and businesses.
	Sowerby Gateway	<ul style="list-style-type: none"> Taylor Wimpey have undertaken procurement of the junction upgrade and contractors are due to start on site in January 2018. Continuing to work on securing of funding for the junction upgrade with Highways England and Homes and Communities Agency.
	Leeming Bar	<ul style="list-style-type: none"> Working closely with the Local Plan team to co-ordinate inputs from Business & Economy. Overseeing the Leeming Bar Aiskew Moor Feasibility Study and any instigator work that is required.
	Vibrant Market Town Project	<ul style="list-style-type: none"> Majority of footfall counters have been successfully installed in the market towns. Baseline information can now be collected. Proposals for Thirsk market are being reviewed with the National Association of British Markets Authority booked to do an independent assessment of both Northallerton and Thirsk markets in January 2018. Investment Plans agreed in Cabinet Dec 2017.
	Business Support	<ul style="list-style-type: none"> Stokesley Wi-Fi –Broadband Line for Town Hall has been completed. The roll out of capital equipment installation is to follow, the completion of the sale and transition of CLANNET to Quickline. Welcoms Network Services Ltd will now take forward the Wi-Fi hotspots. Install at Stokesley will be at end of January 2018. Federation of Small Business - 5 new members joined in this quarter.
Planning	Geographical Information System and Addressing	<ul style="list-style-type: none"> 10th October – Public Sector Mapping Agreement, regional event, Leeds. 6th December – Hosted North Yorkshire & York Geographical Information System Network Group. 11th December - Press release and prize giving to school children at Stokesley, following street naming competition.
	Planning Policy	<ul style="list-style-type: none"> 6th December 2017- Attended conference: What next for the National Planning Policy Framework? Held in Sheffield.
	Housing/Development Management	<ul style="list-style-type: none"> 4th October - Rural Housing Enabler Conference (Peter Jones, Amanda Madden & Sue Walters Thompson attended and facilitated).
Corporate Finance	Issuing of cheques	<ul style="list-style-type: none"> Hambleton ceased printing cheques as a method of payment to reduce cost.
	Allpay	<ul style="list-style-type: none"> Allpay introduced on 1st December 2017 which enables customers to pay at more outlets including Post offices using pre-printed bar-codes on invoices and bills.
	Civica Icon cash collection	<ul style="list-style-type: none"> Civica Icon upgrade 16.2 successfully went live on 12 December 2017.
	Security Plus	<ul style="list-style-type: none"> New contract commenced on 1 October 2017.

PRIORITY – Enhancing Health & Wellbeing

Purpose:

- Improve the health and wellbeing of people by providing and supporting community inclusive facilities, activities, events and interventions
- Protect consumers from health risks relating to hazardous food, drink and water supplies.
- Protect residents from hazardous conditions in privately rented housing.

Outcome:

- Increased physical activity participation rates & therefore improved health
- Reduction in health threatening conditions
- Improved health & wellbeing through community events, initiatives, programmes & activities
- Increased child safety through learning to swim
- Reduced crime and disorder and reduced fear of crime, improved community cohesion & quality of life
- Improved standard of hygiene in food businesses
- Reduced health risk due to non-compliant private water supplies
- Improved quality of private rented sector housing

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Achieve an average health & fitness membership base of 2,765	2,765	2,815	2,769	Target exceeded in Q3, but will continue to be monitored during Q4.
Achieve £2.7m of leisure centre income	£2.7m	£585,798	£1,884,914	<p>Final re-profiling and adjustment to this KPI will be undertaken in Q4 to reflect the Northallerton Leisure Centre (NLC) project closure period. Initial sale figures at NLC are positive.</p> <p>Challenges with Stokesley Leisure Centre underperforming in two key areas, Health & Fitness and Swimming Lessons have resulted in a loss in income of approximately £15,000. This is linked to growing competition in the area. Actions have been identified to try to deal with these challenges.</p>
Achieve 2,632 junior members on the 'learn2 swim' programme	2585	2,568	2,580	The original target across all four centres was 2632. This has been revised to reflect the 14 week pool closure for the refurbishment at Northallerton Leisure Centre (NLC). Of the 700 customers at NLC when the pool closed, 123 chose to continue their lessons at our other pools. Our challenge now is to attract all the previous customers, and other new customers back to the centre.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Allocate 100% of £145k community grants	£145,000k	£100,000k	£145,000k	<p>Small grant scheme - £20k fund – 100% allocated to 11 projects in Q1</p> <p>£25k of Making a Difference grant budget allocated to 5 x libraries (£5k each) in Q2</p> <p>£100k allocated to 29 projects in Q3</p>
Complete 345 food hygiene inspections.	345	89	295	<p>To complete 345 inspections of the total 708 due inspections by the end of the year. This is a realistic target based on the resources in the team and it is acknowledged that the remainder will require inspection.</p> <p>The target has been exceeded in Quarters 1, 2 and 3. Profile : Q1 - 50; Q2 - 80; Q3 - 82; Q4 - 133 = 345</p>
Complete 47 private water supply risk assessments	47	14	29	<p>To complete 47 assessments by the end of the year. Although some of the supplies that have been risk assessed have been found to be failing and enforcement action has been required this indicator is now on target as another officer is now able to carry out this work.</p> <p>Profile : Q1 - 5; Q2 - 12; Q3 - 12; Q4 - 18 = 47</p>
Achieve 70% of private sector rented properties compliant following inspection.	70%	75%	57%	<p>In Q3 we performed above target with twelve reactive housing inspections carried out and nine found to be compliant. Action is underway to address the issues in the non-compliant properties. The additional officer resources requested at Management Team would assist the proactive work that could be done with landlords and improve KPI performance.</p>

Other activity and items of interest for this Priority during Quarter 3

Leisure & Communities	Inclusive Sport review	<ul style="list-style-type: none"> A review of the council's Inclusive Sport initiatives and forward plan produced to start in January 2018.
	Eh Up Listen Up	<ul style="list-style-type: none"> A funding application to the Arts Council has been submitted to build on the 'Ey Up Stand Up' performances in 2015-16.

PRIORITY – Caring for the Environment

Purpose:

- Improve efficiency of waste collections and recycling
- Improve customer satisfaction
- Reduce CO2 and improve energy efficiency

Outcome:

- Efficient collection rounds with fit for purpose fleet
- Decreased landfill waste
- Improve service to customers
- Environmental sustainability

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Achieve a minimum customer satisfaction rating of 90% for the Council's waste collection service	90%	91%	90%	Qtr 1 F2F, 100%, Tel 98%, Web 83% Qtr 2 F2F, 100%, Tel 96%, Web 69% Qtr 3 F2F, 100%, Tel 98%, Web 74%
Maintain overall kerbside collected waste at 412 kg/ph/year	412 kg/ph	94 kg est	301.88 kg est	Reported quarterly in arrears. This is very difficult to predict, charges at Household Waste Recycling Centre (HWRC) and garden waste charges will have an impact. Evidence from site visits to Transfer Stations shows that some residents are using the household waste wheeled bin for the disposal of garden waste and other items that would be charged for at HWRC. We continue to promote the Garden Waste collection service.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Maintain a recycling rate of 47% (including garden waste)	47%	53% est	54.2% est	<p>Reported quarterly in arrears. This is very difficult to predict, charges at Household Waste Recycling Centre (HWRC) and garden waste charges will have an impact, some residents will dispose garden waste via household waste bin.</p> <p>Collected garden waste tonnages have significantly exceeded estimated tonnages which is the reason for the increase.</p>
Deliver an effective and efficient refuse and recycling collection service by completing route optimisation by April 2018.	100% April 2018	50%	50%	<p>Profile: Q1-10%, Q2-40%, Q3-70%, Q4-100%</p> <p>Q1 – Prioritising green waste implementation has impacted on progress.</p> <p>Q2 – Uncertainty over waste delivery options and negotiations with North Yorkshire County Council and Yorwaste have impacted progress. Target can still be achieved; report will go to Management Team in November 2017</p> <p>Q3 – Recycling and refuse 99% completed on paper. Dry runs are required to verify the routes. Documentation, including mapping to support crews to be produced.</p> <p>A review of the project was undertaken at Q3, where it was agreed that a number of project tasks could only be completed in the last quarter of the project. Therefore the project pro-file was re-set to Q1 – 10%, Q2 – 25%, Q3 – 50% and Q4 – 100%. Target will be achieved. Plan to go live with the new rounds 9 April 2018.</p>

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Improve efficiency in public lighting by reducing energy consumption by 30,000 Kwh	30,000 kwh	0 kwh	21,337 kwh	<p>Achieve or better the energy saving profile through implementation of LED lighting scheme to reduce lighting energy inventory as measured by Estimated Annual Consumption (EAC).</p> <p>Baseline EAC 01 March 2017 – 862,931</p> <p>Savings profile: Q1 = 0, Q2 = 7,500kwh, Q3 = 7,500kwh Q4 = 15,000kwh = Total 30,000kwh.</p> <p>Cumulative totals for 2016/17 and 2017/18 for target savings and actual savings are respectively: 130,000Kwh and 147,871Kwh. So over the two year period the target savings have been achieved and exceeded. It is proposed that there will be no further EAC review until the 2018/19 LED scheme is commenced.</p>

Other activity and items of interest for this Priority during Quarter 3		
Environmental Health	Environmental Protection	<ul style="list-style-type: none"> • New environmental permit application received for Biker Group Ltd cement activity on Dalton Industrial Estate. • Advice on Environmental Permitting provided to operator for a potential Small Waste Incineration Plant, equivalent to a Part A2 activity. Application may be received in near future. • Proposal developed for additional air quality monitoring required relating to new developments in Northallerton including how the measures will be funded.
	Private Water Supplies	<ul style="list-style-type: none"> • Satisfactory completion of remedial works following the service of two Regulation 18 Notices on a private water supply that were failing.
	Communications	<ul style="list-style-type: none"> • Articles were published in Insight relating to an appeal against an Abatement Noise Notice, the award of an Emergency Prohibition Order on a takeaway, the handling food safely at Christmas, the winter vomiting bug, the Food Hygiene Rating Scheme, Energy Repayment Loans and the development of training courses and the re-valuation of the BSc Hons in Environmental Health. • Press releases were issued for the College Pizza closure, to remind residents to check their solid fuel appliances before the cold weather arrives and to provide advice about how to prevent condensation, damp and mould in residential properties. • Briefing to Thirsk, Sowerby and District Community Care Association to highlight the services the residential team can provide. • Meetings with NYCC Trading Standards and NY Fire and Rescue Service to improve collaborative working and information sharing.
	Nuisance, Planning and Licensing	<ul style="list-style-type: none"> • Planning application for Newby Wiske Hall. In June 2017 an application was received for the change of use from a police training centre to a residential training centre for children including 550 guest bed spaces and staff accommodation. The application received many objections from local residents concerned about noise and an increase in vehicle movement. The initial application included two multi-use games areas within 40m of residential premises, a sports pitch within 30m and an outdoor camping area. Assessment of the initial acoustic report suggested that residents would be affected by noise. A further noise assessment was submitted by residents group. A further four noise assessments were submitted in support of both residents and the applicants. The outcome from talk between both parties was the removal of both the multi-use games areas, the outdoor camping area, the sports pitch being moved further away from residential properties and the inclusion of a 'exclusion area' ensuring that no activities take place closer than 55m to the nearest residential property. An officer attended the planning committee at which the application was considered. Planning permission was granted with the caveat that the Noise Management Plan would be submitted and brought to a future planning committee. An officer from the team will be required to assess the plan. There is a potential that local residents will make complaints about noise from the site in the future which will take significant resources to investigate. • A Community Protection Warning Notice was issued following nine complaints to the Council and approximately 12 more to the Police of noise from fireworks being let off from Mill Hill House in Brompton. • Case Conference attended with a barrister for Bagby Airfield Planning application at Kings Chambers, Manchester. • Residential team officers are carrying out joint visits with pest control officers from WaSS to inspect several sites in the district following continuous and annual complaints of rat problems.
Waste & Street Scene	Fly tipping, Garden waste wheeled bin	<ul style="list-style-type: none"> • Continued focus, unwanted garden waste bins uplifted on request.

PRIORITY – Providing a Special Place to Live

Purpose: <ul style="list-style-type: none"> – Provide an adequate amount of housing to meet the housing needs of all – Provide support to residents to prevent homelessness – Support people to lead independent lives 	Outcome: <ul style="list-style-type: none"> – Housing sites are made available for market and affordable housing – Achieve affordable housing and appropriate housing mix – Provide financial support for residents to live in the district independently – Provide support to residents to prevent homelessness 			
Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Maintain each year a minimum 5 year supply of deliverable housing sites	5 yrs	9.2 yrs	9.2 yrs	Position at 31th December 2017: Supply = 2,864 units; 5-yr requirement = 1,680 units (incl 5% buffer), 1-yr requirement = 336 units (incl 5% buffer). $3,088 / 336 = 9.2$ yrs
Publish the new Local Plan by January 2018	100% April 2018	27%	60%	<p>Further delays to preparation of Local Plan due to requirements from Statutory Consultees to prepare additional evidence, staffing issues and Government consultation on methodology for calculation of housing requirements. Revised Local Plan timetable agreed by Cabinet in October 2017. New date for publication is April 2018.</p> <p>Additional Sites consultation completed and final site assessment underway; majority of policies drafted. Some further work required on Leeming Bar employment site and overall level of housing growth in light of Leeming Bar feasibility work and completions/commitments figures which have been updated to 31st March 2017.</p> <p>Project completion is re-profiled as Q1 – 20%, Q2 - 40%, Q3 – 60%, Q4 100%</p>

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Deliver a total of 120 affordable homes (<i>including</i> 20 rural)	120	19	59	<p>6 dwellings at Sowerby Gateway 6 dwellings at White House Farm, Stokesley. 2 dwelling at Little Crakehall 3 dwellings at Morton on Swale</p> <p>Also two conversions of community rooms to flats for Broadacres at Hollygarth House, Great Ayton.</p> <p>The delivery of the majority of affordable housing in Hambleton is through planning gain. This delivery is largely reliant on the performance of private housebuilders.</p> <p>For Q4 the Council is projecting a further 30 affordable homes to be delivered.</p>
Deliver a total of 20 affordable homes in rural locations	20	5	13	<p>2 dwelling at Little Crakehall 3 dwellings at Morton on Swale.</p> <p>The Rural Housing Enabler is continuing to negotiate affordable housing on qualifying rural sites. However government policy prevents the Council seeking affordable housing on sites of less than 5 dwellings and on sites of 6 - 10 dwellings the Council is only able to seek a commuted sum in lieu of provision.</p> <p>For Q4 the Council is projecting a further 10 rural affordable homes will be delivered; we therefore anticipate exceeding the target of 20 at the end of the year.</p>
Ensure 70% homeless enquiries result in preventions.	70%	85% [148 preventions / 174 enquiries]	89% [456 preventions / 511 enquiries]	<p>Total of 148 preventions from 174 enquiries in Q3: Breakdown as follows 16 Housing Options Team (HOT), 94 Development Initiatives Supporting Communities (Disc), 38 Citizens Advice Bureau (CAB).</p>

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
<p>Ensure a total of £326,000 is committed to disabled facilities applications</p> <p><i>During Q1 additional Government funds were allocated through the Better Care Fund providing a total for 2017/18 of £503,505</i></p>	<p>£280,785</p> <p><i>(incr from £326,000 in Q1)</i></p> <p><i>Reduced from £553,505 in Q3 as £272,720 rolled forward to 2018/19.</i></p>	<p>£271,467</p> <p>(97%)</p> <p><i>(£179,869 spent and £91,598 committed)</i></p>	<p>£271,467</p> <p>(97%)</p> <p><i>(£179,869 spent and £91,598 committed)</i></p>	<p>6 adaptations completed in the quarter.</p> <p>The Council grant allocation has been increased to £409,000 for 2017/18.</p> <p>The Supporting People Commissioning Body is due to decommission the current Disabled Facilities Grants (DFG) service on 31st March 2018 and Hambleton needs to put alternative arrangements in place. The forthcoming decommissioning may impact negatively on service delivery in 2017/18.</p> <p>Achieving target spend is also dependent on the capacity of the service provider and the number of applications received.</p> <p>YTD: 23 adaptations completed and 9 committed</p> <p>There are a couple of large adaptations in the pipeline which will probably be approved before the end March. The estimated total cost of these is £190,000.</p> <p>At Q3 a report was submitted to Cabinet to approve the rolling forward of £272,720 into the budget for 2018/19, of which £50,000 is HDCs contribution.</p> <p>Profile - Q1 20% Q2 40% Q3 65% Q4 100%</p>
<p>Process new housing benefit claims within 20 days in line with North Yorkshire authorities</p>	<p>20 days</p>	<p>19.1 days</p>	<p>23.2 days</p>	<p>Whilst the YTD target is below expectations performance has improved with Q3 just sitting inside of the 20 day target.</p> <p>Q1: 116 claims processed taking 3491 days. Average processing time per claim 30.1 days</p> <p>Q2: 117 claims processed taking 2273 days Average processing time per claim 19.4 days.</p> <p>Q3: 87 claims processed taking 1659 days. Average processing time per claim 19.1 days.</p> <p>YTD: 320 claims processed taking 7423 days. Average processing time per claim 23.2 days.</p>

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Process new council tax claims within 20 days in line with North Yorkshire authorities	20 days	18.7 days	27.3 days	<p>Whilst the year to date target is below expectations Quarter 3 has surpassed the 20 day target.</p> <p>Universal Credit decisions by DWP are still impacting on the process as well as the nugatory notifications which cannot be discarded without a review and work will continue to see how implement changes to maintain above average performance.</p> <p>Q1: 360 claims processed taking 11988 days. Average processing time per claim 33.3 days. Q2: 284 claims processed taking 7999 days. Average processing time per claim 28.2 days. Q3: 280 claims processed taking 5236 days. Average processing time per claim 18.7 days.</p> <p>YTD: 924 claims processed taking 25223 days. Average processing time per claim 27.3 days.</p>
Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities	7 days	7.7 days	7.8 days	<p>The actual is just outside the expected target of 7 days. Following the opting in to the Right Benefit initiative the team receive additional monthly files which have been brought up to date at Q3. The additional work is currently being absorbed by the section as the recruitment process was unsuccessful.</p> <p>Q1: 3336 claims processed taking 23819 days. Average processing time per claim 7.1 days. Q2: 2433 claims processed taking 21456 days. Average processing time per claim 8.8 days. Q3: 1917 claims processed taking 14676 days. Average processing time per claim 7.7 days.</p> <p>YTD: 7686 claims processed taking 59951days. Average processing time per claim 7.8 days.</p>

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities	7 days	7 days	7.4 days	<p>The YTD target is below expectations however Q3 has exceeded the target of 7 days.</p> <p>Q1: 3852 claims processed taking 31651 days. Average processing time per claim 8.2 days</p> <p>Q2: 3329 claims processed taking 22948 days. Average processing time per claim 6.9 days.</p> <p>Q3: 2918 claims processed taking 20305 days. Average processing time per claim 7 days.</p> <p>YTD: 10099 claims processed taking 74904 days. Average processing time per claim 7.4 days.</p>

NEW CLAIMS PROCESSING TIMES in days *(recorded in arrears)*

North Yorks Region	2015-16		2016-17		Q1		Q2		Q3		Q4	
	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit
Craven	23.80	24.73	26.26	27.52	18.11	24.72	20.13	17.51	18.87	15.36		
Harrogate	20.25	18.26	19.52	21.35	23.04	20.32	N/A	N/A	26.14	19.59		
HAMBLETON	24.73	20.73	28.43	23.62	33.30	30.09	28.17	19.43	18.70	19.07		
Scarborough	14.56	17.24	16.66	18.27	20.25	22.69	18.06	20.54	14.94	18.00		
Selby	21.21	20.88	21.14	19.32	24.76	25.60	23.01	22.15	20.86	17.18		
Richmondshire	N/A	N/A	22.26	18.32	N/A	N/A	17.97	17.72	/	/		
Ryedale	24.46	19.50	38.11	32.16	37.61	44.30	33.60	20.08	21.08	13.51		

CHANGE IN CIRCUMSTANCES PROCESSING TIMES in days *(recorded in arrears)*

North Yorks Region	2015-16		2016-17		Q1		Q2		Q3		Q4	
	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit
Craven	4.47	4.18	5.61	4.86	4.71	4.41	6.24	7.54	11.34	9.06		
Harrogate	5.86	3.97	6.56	5.18	6.34	6.30	N/A	N/A	6.79	7.19		
HAMBLETON	3.44	3.26	5.45	5.29	8.22	7.29	6.89	6.84	6.96	7.66		
Scarborough	3.78	2.93	4.53	4.39	5.46	5.96	5.99	6.50	5.35	6.07		
Selby	3.85	3.49	4.07	4.23	5.01	5.81	N/A	4.28	4.06	4.74		
Richmondshire	N/A	N/A	4.58	3.33	n/A	N/A	4.33	3.16	/	/		
Ryedale	2.62	3.23	4.84	5.10	11.49	6.74	22.79	12.75	11.01	7.87		

Other activity and items of interest for this Priority during Quarter3		
Customer Services & Communications	Garden waste	<ul style="list-style-type: none"> Considerable support provided in collaboration with IT to support WASS garden waste charging system. Cleansing of Customer Relationship Management (CRM) data and technical support to ensure database records are accurate to enable CRM process to go live 4 December 2017 for collections from April 2018.
	Technical communications	<ul style="list-style-type: none"> The HDC website, microsites and Junction intranet require ongoing content updating and discussions continue with service areas to ensure web and intranet content is accurate. Content editor training was provided to 19 officers during November and December to ensure all service areas have support for Jadu web and intranet system. Refresher content editor training is available to all editors on request. In addition, intensive support has been provided to Northallerton Leisure Centre and Zest, Christmas web information, Hambleton Works and Vibrant Market Towns, plus the social media policy.
	Communications and Graphics	<ul style="list-style-type: none"> Substantial support from Communications and Graphics has been provided to Sports Awards, Market Town Christmas events and markets, garden waste 2018/19 service, Northallerton Leisure Centre rebrand and grand opening. Social media, chargeable works for Richmondshire District Council, Vibrant Market Town investment plan, Syrian refugee information pack, new HDC security system and Christmas press releases have also taken up considerable resources.
Design & Maintenance	Events	<ul style="list-style-type: none"> Support for Christmas lights switch on in market towns.
	Parking	<ul style="list-style-type: none"> Free parking periods during festive period operated.
ICT	Hambleton on Government Secure Email Whitelist	<ul style="list-style-type: none"> Hambleton.gov.uk is now on the government Whitelist, which proves Hambleton have implemented "Guidance on Securing Government Email". We are the only local authority in the Yorkshire and Humber area on the list.
	Planning Portal automation	<ul style="list-style-type: none"> In-house development work completed to automate the process from documents submitted online through planning portal to upload into the corporate document management system.
Legal	Legal	<ul style="list-style-type: none"> Emergency prohibition order served on Stokesley takeaway upheld by Magistrates' Court. The Council was awarded costs.
	Legal	<ul style="list-style-type: none"> Transferred Prison Site to the development company.
	Elections	<ul style="list-style-type: none"> Published Register of Electors by 1st December.
Strategic Housing	Housing	<ul style="list-style-type: none"> 24th November – National Homelessness Advisory Service (NHAS) Homeless Reduction Act training. 12th December – National Practitioners Support Service (NPSS) Homeless Reduction Act training. 13th November – Operation group meeting Syrian Refugees. 12th December - Operation group meeting Syrian refugees.

HAMBLETON DISTRICT COUNCIL

Report to: Scrutiny Committee
15 February 2018

Subject: REVIEW OF RISK MANAGEMENT

All Wards

1.0 PURPOSE AND BACKGROUND:

- 1.1 The Council has a robust risk management process in place which includes a comprehensive risk register. The register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery. At Hambleton District Council, risks on the register are recognised as being either strategic or operational in nature; operational risks are those affecting individual services and tend to involve the day to day running of those services, whilst strategic risks affect the whole Council and are wide reaching, both in terms of timescale and potential impact. Project risks are also recorded on the register and are similarly categorised as either strategic or operational.
- 1.2 All risks are reviewed by the relevant service on a quarterly basis to reflect upon their appropriateness and the adequacy of the mitigating action plan. Strategic risks, project risks and high level operational risks are also reviewed by Management Team and Heads of Service.
- 1.3 To ensure that strategic and project risks are appropriately managed and that suitable actions are undertaken to mitigate the effect of each risk, Scrutiny Committee receive a quarterly report to monitor these. Audit, Governance and Standards Committee also receive reports on strategic and project risks on an ad-hoc basis if significant changes occur.
- 1.4 The annual risk review was undertaken during Q4 and the full register provided to Management Team for review. This is in compliance with the Council's Risk Management Framework and meets the requirements of the Annual Governance Statement.
- 1.5 Annex A summarises Project Strategic Risks and Annex B summaries Strategic Risks at Q3 2017/18. It should be noted that some 68 risks were changed during the Q3 performance review, resulting in a total of 327 active risks currently on the register.
- 1.6 As previously reported, Veritau conducted an audit of the Council's risk management procedure during Q1, concluding that whilst arrangements for managing risk are satisfactory with an acceptable control environment in operation, improvements can be made. These requirements were reiterated by Corporate Peer Challenge team and by Scrutiny Committee at the end of June 2017.
- 1.7 In light of this, during Q2 Management Team agreed proposals for a comprehensive review of the risk management procedure during the coming year, to support the Council's drive towards excellent governance and effective internal controls by strengthening the approach to identification and management of risk.
- 1.8 Work is ongoing to establish a Strategic Risk Management Group to conduct the comprehensive review and to oversee ongoing risk management across the Council. This will ensure resilience to factors which could otherwise prevent the council accomplishing its aims. Progress will be reported in due course.

2.0 RISK MANAGEMENT:

2.1 There are no risks associated with the recommendations of this report.

3.0 RECOMMENDATIONS:

3.1 It is recommended that the Committee review both Annex A which identifies Project Strategic risks and Annex B which identifies strategic risks which affect the Council, together with the actions that are in place to mitigate their potential impact.

LOUISE BRANFORD-WHITE
DIRECTOR OF FINANCE (S151 OFFICER)

Background Papers: Internal Audit Report - Annual Review of the Risk Management Strategy
Department Quarterly Risk Register Review

Contact Author ref: Emma Thornton
Acting Performance & Improvement Officer
Direct Line No: (01609) 767047

ANNEX A

HDC PROJECT STRATEGIC RISKS 2017-18 Q3

Risk ID	Risk Name	Project Risk	Org Level	CP Priority	Risk Category	Status	Likelihood : Impact	Score	Risk Level	Service	Service Director / Responsible Officer	Risk Manager	Action Plan
DRIVING ECONOMIC VITALITY													
North Northallerton DA													
632	North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.	Project	Strat	EV	Economic, Reputational	Active	5x5	25	High	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project
Central Northallerton Redevelopment													
738	The dividends expected from the development are not received	Project	Strat		Financial	Active	3x4	12	High	Corporate	Justin Ives	Louise Branford White	A development company has been set up and has two directors on board.
739	The site is not developed to reflect the aspirations of the Council	Project	Strat		Economic, Reputational	Active	3x4	12	High	Corporate	Justin Ives	Louise Branford White	The development will be monitored and discussed at the Board meetings on a regular basis.
Dalton Bridge													
736	Cost escalation during construction stage of Dalton Bridge development with HDC having to pick up 50% of the escalation above the budget	Project	Strat		Financial	Active	3x4	12	High	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	Review and challenge where appropriate areas of costs escalation outside the budget. Monitor through monthly report from NYCC and bi-monthly progress meetings with NYCC to understand the schemes financial expected out-turn.
Bedale Gateway Car Park													
614	Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.	Project	Strat	EV	Economic, Reputational	Active	3x4	12	High	Design & Maintenance (incl Public Lighting)	Helen Kemp	Clive Thornton	Limited if any impact on economy due to relief road. Work being undertaken to determine possible partners and funding options to deliver car park.
Sowerby Gateway - Junction													
740	Key elements of infrastructure are not delivered	Project	Strat		Economic, Reputational	Active	2x4	8	Med	Planning	Helen Kemp	Mark Harbottle	Ongoing Officer engagement with Developers and other stakeholders in the scheme to ensure any issues are addressed at the earliest opportunity.
Loan to Broadacres													
715	Loan to Broadacres Association fails because the third party no longer requires the loan, or encounters difficulties in their repayments and the income received by the council is reduced	Project	Strat	Corp	Financial	Active	3x1	3	Low	Corporate Finance	Louise Branford-White	Louise Branford-White	Ensure other income generating possibilities are being explored to maintain a balanced budget; monitor the third parties financial position to ensure they are in a secure position for the Council to loan the money; maintain good relations with the third party. Also note that the loan is secured with their housing stock
ENHANCING HEALTH & WELLBEING													
North Northallerton DA													
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended	Project	Strat	HW	Partnership/ Contractual, Customer/Citizen	Active	3x3	9	Med	Leisure & Communities	Paul Staines	Steven Lister	National governing bodies to be consulted with a needs driven community supported proposal. 106 Agreement to be implemented to enable suitable funding
Sowerby Gateway - Village													
703	Sowerby Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended	Project	Strat	HW	Partnership/ Contractual, Customer/Citizen	Active	3x5	15	High	Leisure & Communities	Steve Lister	Lisa Wilson	National governing bodies to be consulted with a needs driven, community supported proposal. 106 Agreement to be implemented to enable suitable funding. Application submitted to European Regional Development Fund
CARING FOR OUR ENVIRONMENT													

ANNEX A

HDC PROJECT STRATEGIC RISKS 2017-18 Q3

Risk ID	Risk Name	Project Risk	Org Level	CP Priority	Risk Category	Status	Likelihood : Impact	Score	Risk Level	Service	Service Director / Responsible Officer	Risk Manager	Action Plan
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No projects currently being undertaken which have a strategic risk

A SPECIAL PLACE TO LIVE

Local Plan

737	The Plan is found to be unsound at the Examination stage	Project	Strat		Customer/Citizen	Active	2x5	10	Med	Planning	Helen Kemp	Sue Walters-Thompson	Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication
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ANNEX B

HDC STRATEGIC RISKS 2017-18 Q3

Risk ID	Risk Name	Org Level	CP Priority	Risk Category	Status	Likelihood : Impact	Score	Risk Level	Service	Service Director / Responsible Officer	Risk Manager	Action Plan
STRATEGIC RISKS												
227	Unable to access HDC services due to ineffective individual business continuity plans leading to loss of service.	Strat	Corp	Partnership/ Contractual, Customer/Citizen, Economic, Environmental, Financial, Health & Safety, Legal, Reputational, Social	Active	4x5	20	High	Corporate	Paul Staines	Paul Staines	Following recent audit and working with Veritau an action plan to refresh the Council's Business Continuity Plan at corporate and service level has been identified. This will include, review and challenge of business continuity plans, including risks and targets; provide training to increase understanding of Business Continuity Plan / Disaster Recover and to clarify responsibilities for Management Team, Heads of Service and Service Managers; produce a schedule for authorising, testing and reviewing Business Continuity Plans and Disaster Recovery. Complete an internal review of services, risks and agree operational importance to inform Business Continuity Plans, updating risk register as appropriate. Review and agree Business Continuity Plan support with NYCC. Timeline for delivery is in development. Responsibility transferred to Leisure & Environment Directorate.
677	Cyber attack facilitated by user error leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services	Strat	Corp	Reputational	Active	5x3	15	High	ICT (inc. Reprographics)	Helen Kemp	Jenny Pan	Compulsary annual Cyber Security training for all users, Cyber Security Incident Management Plan in place, actively monitor and review ICT security policies, participate in WARP (Warning, Advice and Reporting Point) to share knowledge and information with other Councils, arrange ICT staff training to keep up with the latest development
153	Increased direct fitness competition leading to customer migration resulting in less usage/income.	Strat		Customer / Citizen, Financial	Active	2x3	6	Med	Leisure & Communities	Steve Lister	Natalie Curgenven	Improve quality of existing provision, improve gym management & improve quality/quantity of frontline gym fees. HLC gym project almost complete.
153	Economic downturn leads to fewer customers / memberships and therefore reduced income	Strat		Financial	Active	3x4	12	High	Leisure & Communities	Steve Lister	Natalie Curgenven	Improve value and quality of products / services and alternative offerings
416	Significant reductions in government grant leading to the inability to sustain council services at the current level.	Strat	Corp	Financial, Reputational	Active	3x4	12	High	Corporate Finance	Louise Branford-White	Louise Branford-White	An on-going programme of service delivery and saving reviews that ensures best value is being achieved and income is maximised.
423	Health of local housing market leads to reduced ability to deliver affordable housing through planning, resulting in failure to achieve corporate plan target and to address housing need	Strat	SP	Customer / Citizen, Reputational, Social	Active	3x4	12	High	Strategic Housing	Helen Kemp	Sue Walters-Thompson	Affordable housing targets and thresholds are being reviewed as part of work on new Local Plan and with regard to Government view on Starter Homes and viability considerations. RHE focus on delivery via exception sites that are not reliant on market. Work also underway to promote Community Led Housing Schemes.
139	Failure of the Safer Hambleton Local Delivery Group leads to non-compliance with statutory regulations	Strat	L	Legal	Active	2x4	8	Med	Leisure & Communities	Steve Lister	Lisa Wilson	The SHLDP is changing its operating model to Integrated Neighbourhood Management during 2016, this will include a pilot phase from Oct 2016 - Mar 2017, at which point a full review will be undertaken.
383	Failure to review and update emergency plans leads to inadequate response.	Strat	Corp	Customer/Citizen, Environmental, Financial, Reputational	Active	2x4	8	Med	Corporate	Paul Staines	Paul Staines	HDC to maintain review process with NYCC Emergency Team. Responsibility transferred to Leisure & Environment Directorate.
225	Failure to manage Capital Programme leading to inability to deliver Council Services efficiently and effectively	Strat	Corp	Financial, Reputational	Active	2x3	6	Med	Corporate Finance	Louise Branford-White	Saskia Calton	Monthly review and management of Capital Programme

ANNEX B

HDC STRATEGIC RISKS 2017-18 Q3

Risk ID	Risk Name	Org Level	CP Priority	Risk Category	Status	Likelihood : Impact	Score	Risk Level	Service	Service Director / Responsible Officer	Risk Manager	Action Plan
149	An incident resulting in death(s) leads to impact on family/staff & reputational damage resulting in lower usage/income & failure to improve residents health.	Strat		Customer / Citizen, Economic, Environmental, Financial, Health & Safety, Legal, Reputational, Social	Active	1x5	5	Med	Leisure & Communities	Steve Lister	David Ashbridge	Adherence to nationally prescribed safety standards, adherence to site specific safe operating practices, competent staff
226	ICT system(s) failure leads to loss of Council operations & key channels of communication (telephones, email, website, etc.) resulting in inability of the Council to communicate and carry out transactions with Citizens.	Strat	Corp	Reputational	Active	1x5	5	Med	ICT (inc. Reprographics)	Helen Kemp	Jenny Pan	ICT to revise, test and maintain a Disaster Recovery plan according to identified business needs
407	Failure to develop and maintain an effective Business Continuity plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.	Strat	Corp	Customer / Citizen	Active	1x5	5	Med	ICT (inc. Reprographics)	Helen Kemp	Jenny Pan	ICT Disaster Recovery Policy procedure is in place and will work with Business Areas to provide resilience in line with the business needs. Emergency Kit is in place, being reviewed and backed up on regular basis
705	Failure to provide timely legal advice and assistance regarding key strategic projects results in delays to the projects with potential adverse partnership effects and reputational damage.	Strat	Corp	Partnership/ Contractual, Legal, Reputational	Active	2x2	4	Low	Legal Services	Gary Nelson	Laura Venn	Ensure prioritisation of work and working in project deadlines for the key strategic projects to promote the Council's priorities.
709	Failure to set annual Budget to reflect the Financial Strategy and the budgeted Council Tax.	Strat	Corp	Financial	Active	1x3	3	Low	Corporate Finance	Louise Branford-White	Saskia Calton	Complete and challenge the Budget setting process

HAMBLETON DISTRICT COUNCIL

Report To: Scrutiny Committee
15 February 2018

From: Chairman of Scrutiny Committee

Subject: **POLICY REVIEW – ENFORCEMENT POLICY ON FLY-TIPPING – DRAFT FINAL REPORT**

All Wards

1.0 SUMMARY:

- 1.1 The purpose of this report is to consider the draft Final Report prior to submission to Cabinet in April 2018.

2.0 BACKGROUND:

- 2.1 The Committee has previously agreed to undertake this Review and identified information and issues that it would like to consider. The Project Plan for the review is attached as Annex A.

- 2.2 The Terms of Reference of the review are as follows:

To review the Council's enforcement policy on fly-tipping to ascertain whether it is fit for purpose and effective.

- 2.3 A summary of the key points highlighted from the evidence is attached at Annex B to the report along with a full memorandum of evidence at Annex C.

- 2.4 A copy of the draft report to Cabinet is attached at Annex D of the report.

3.0 RECOMMENDATION:

- 3.1 The Committee is asked to consider the draft Final Report prior to submission to Cabinet in April 2018.

COUNCILLOR STEPHEN DICKINS

Background papers: None
Author ref: LAH
Contact: Louise Hancock
Democratic Services Officer
Direct Line No: (01609) 767015

SCRUTINY COMMITTEE**POLICY REVIEW – ENFORCEMENT POLICY FOR FLY-TIPPING****TERMS OF REFERENCE:**

To review the Council's enforcement policy on fly-tipping to ascertain whether it is fit for purpose and effective.

SCOPE

- To review the Council's enforcement policy on fly-tipping.
- To consider whether the enforcement policy on fly-tipping is fit for purpose and effective.
- To explore how successful the Council's enforcement policy is in reducing fly-tipping.

OBJECTIVES

- To investigate whether the Council's enforcement policy on fly-tipping is still fit for purpose.
- To explore whether the policy is effective in reducing fly-tipping within the District.
- To explore whether the policy requires any updating to bring it into line with the Council's priorities.

WITNESSES

- Director of Leisure and Environment
- Waste and Street Scene Manager

<p>DOCUMENTS/EVIDENCE</p> <ul style="list-style-type: none"> • Council's Enforcement Policy for Fly-Tipping • Council Plan 2015-19 • Statistics on Fly-Tipping enforcement (historical and recent) • Benchmarking statistics (if appropriate)
<p>OTHER METHODS/CONSULTATION/RESEARCH</p> <p>Task and Finish Groups.</p>
<p>OFFICER SUPPORT</p> <p>Louise Hancock, Democratic Services Officer Gary Nelson, Director of Law and Governance, Lead Chief Officer</p>
<p>TIMESCALE</p> <p>Commencing October 2017 – Concluding February 2018 (Report to April 2018 Cabinet)</p>

Key Points From Evidence

The following is a summary of the key points highlighted from the evidence received:

- The Committee concluded from the evidence that the current policy for enforcement on fly-tipping was not currently effective and fit for purpose and required updating, although the Committee recognised that this work was currently being undertaken. The Committee requested that the draft policy be submitted to the Committee at the appropriate time for consideration.
- The Committee identified promotion and publicity as an area for potential improvement.
- The Committee suggested that the information contained on the website be reviewed and that an interactive page on the website for reporting incidents could be a useful tool.
- The Committee suggested that more cross-agency working could be of benefit to tackling fly-tipping.

Memorandum of Evidence

The Committee took evidence from Paul Staines, Director of Leisure and Environment and Gary Brown, Waste and Street Scene Manager

Paul provided a report on Fly Tipping enforcement which had been circulated to the Committee prior to the meeting. A copy is attached at Annex C(1) for reference purposes.

The Committee was informed that the District Council's Policy did require updating and it was intended to obtain different policies on enforcement from several authorities so that these could be compared and best practice identified and adopted where appropriate. It would also be necessary to take account of changes to legislation and incorporate these into the policy as appropriate.

A Strategy for England was published in April 2017 which was a new Government Litter Strategy for England to curb littering with proposals for new enforcement, education and community engagement (copies were made available on request).

The York and North Yorkshire Waste Partnership had provided some information on the costs to different Councils. However, it was noted that Councils record information differently. There was a new system 'Waste Data Flow' which was now being used by the Group to record data and hopefully this would help improve the comparison of data.

The Committee was informed that, with regard to officers' work schedules regarding abandoned vehicles, there was an officer from North Yorkshire Police assigned to assist us and we have access to the DVLA to help trace ownership.

The Committee was informed that, since the introduction of charges at the North Yorkshire County Council Household Recycling Centre and the closure of the site for one day a week, there had been an increase in fly-tipping. However, this situation would need to be monitored to ascertain the exact effect of this.

The Committee raised that issue of cross-border fly-tipping and enquired how the Council worked with other authorities, such as Middlesbrough, to address this issue. The Committee was informed that this was a difficult issue to address but that the Council did engage with other authorities.

The Committee wished to know how the Council recovered costs and why there were not more prosecutions as this would serve as a warning to others. The Committee was informed that the Council had to have evidence of fly-tipping and it needed to be secure enough for a conviction. It had to be proven that there was a case for prosecution as the work involved in taking a case to court was significant. However, it was recognised that this could be a good deterrent.

The Committee suggested that more press releases were needed stating the number of prosecutions and costs reclaimed as there was a perception that nothing gets done about this issue.

The Committee wished to identify whether the level of fly-tipping across the District differed between the north and south of the District and was advised that there were differences between the north and the south of the District and the Council did focus on these areas.

The Committee asked why fixed penalty fines were not issued and was advised that there had been new regulations that had come into force during 2017 which enabled the Council to issue fixed penalty notices and this was something that was being investigated.

The Committee asked whether signage helped deter perpetrators and was advised that signage was not in itself an effective deterrent. Perpetrators of fly-tipping would do this irrespective of signage.

The Committee asked how somebody would report an incident of fly-tipping, how did the Council get their information and how did the Council decide to deal with it? Also, was there any way of getting more evidence for court, such as DNA? The Committee was advised that DNA had not been explored but that there was an evidence shed and all the collected rubbish was gone through to try and find evidence of who it belonged to, such as names and addresses. The Council would receive emails and telephone calls about incidences of fly-tipping and then the Waste and Street Scene team would deal with this and ultimately remove the rubbish.

The Committee asked whether, with regard to the Council's collection charges, would there be any merit in having a subsidised collection service rather than somebody using a white van and was advised that all authorities charge for household goods but there were differing costs and differing policies.

The Committee asked whether there would be any merit in introducing spot collections on different days in different areas to collect waste and was advised by Councillor S Watson, Portfolio Holder for Environmental Health, Waste and Recycling that the problems occurred in the back borders and that it was not necessary household waste. The key element was to raise awareness. Keeping gates closed to remove opportunities for fly-tipping. Social media could be beneficial to raise awareness and also as a tool to try and identify perpetrators. Education was necessary so that people were aware that if you paid somebody to take your waste away you were still responsible for it – public awareness had to be raised on this.

The Committee commented that it was not all negative. Enforcement work did happen and there was lots of good work to resource the issue. There was legislation regarding scrap metal dealers that said they had to be licensed, was there less people now doing this had what had been the effect? The Committee was advised that the Council was not aware of any particular problems, this fluctuated with the price of steel.

The Committee reiterated that the cross-border issue was a concern and educating our residents was good but what about other authorities, was there any cross-enforcement set up? Our District may be perceived as an easy target and was there any reasons why they target our borders? The Committee was advised that the Council should be taking to our neighbouring authorities and education needed to be encouraged.

The Committee wished to commend the Waste and Street Scene team as they did 'a fantastic job'. It was recognised that these were difficult circumstances and it was work in progress.

Councillor S Watson mentioned that the perception of the problem in Hambleton was far greater than it actually was. The Council do raise awareness and concentrate on hot spots. The Council has to try and make fly-tipping socially unacceptable like using a mobile phone whilst driving. This would come from education and enforcement. Education applied across the whole of street scene – it was not just fly-tipping.

The Committee acknowledged that when Street Scene were contacted about fly-tipping they dealt with this really quickly and they did a good job. The Committee would like to see more convictions including fines and perhaps look at public space protection orders. Parish Councils had to take ownership too.

The Committee requested that when the updated Policy is available, which would take into consideration new legislation and would be incorporated into the Policy, could Scrutiny being given the opportunity to review the updated Policy.

The Committee took additional evidence from Paul Staines, Director of Leisure and Environment and Gary Brown, Waste and Street Scene Manager

The Committee was advised that in respect of cross-border fly-tipping, specifically with regard to neighbouring authorities, little work had been done, enforcement teams generally performed these duties. However, where evidence was found relating to tipping from addresses in neighbouring authorities this was pursued.

There would be a meeting taking place on 21 March 2018 which North Yorkshire County Council would be leading on and Hambleton District Council would be attending to discuss closer working and campaigns across North Yorkshire.

The Committee was informed that, with regard to prosecutions, prosecutions did take place where it was possible. The Council did recover costs where it could and offenders were also asked to contribute towards the costs which came back to the authority. If it went to court the average fine was £140 which did not come back to the Council, the Council only got £140 of the costs back.

With regard to differences between the North and the South of the District, there were differences. In the North the overflow came from Middlesbrough and Teesside, in the South it came from York.

The Committee was informed that the Policy was currently being updated, which included looking at best practice from other authorities. The authority was looking at enforcement for Environmental Health and Waste and Street Scene being a joint policy, looking at powers and best practice. Identifying staff resources and who could issue fixed penalty notices and enforcement – broaden out to get more resilience and this would be included in the Scheme of Delegation. The Policy would be submitted to Cabinet for consideration however it was envisaged that the draft Policy would be submitted to Scrutiny Committee for their comments in line with this review.

The Committee sought clarification as to who sets the levels of fine and was advised that levels of fines were set by Government and the Ministry of Justice.

The Committee suggested that it may be worth writing to the Local MP.

The Committee also suggested that it was not necessarily about prosecution but more about promotion and about what was being done to tackle the issue. If the authority advertised what had been done, how many prosecutions, etc, and made a public statement. Promotion and publicity was a deterrent. It was acknowledged that this was an area that could be looked at as an area for improvement.

The Committee commented that this issue was evolving and we needed to be aware of this. The Committee did not wish to see the policy reviewed and implemented then legislation change and that there needed to be scope for any changes in legislation to be implemented into the Policy.

The Committee suggested that it would be a useful tool to have an on-line portal whereby somebody could report an incident of fly-tipping by identify locations by dragging and dropping icons. It was also suggested that, as this is a North Yorkshire issue, perhaps the Council could investigate more cross-agency working.

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
17 April 2018

From: Scrutiny Committee

Subject: POLICY REVIEW – ENFORCEMENT POLICY ON FLY-TIPPING – FINAL REPORT

All Wards

1.0 SUMMARY:

1.1 Between July 2017 and February 2018 the Committee undertook a review of the Council's Enforcement Policy on Fly-Tipping. This report sets out the Committee's findings, conclusions and recommendations.

2.0 INTRODUCTION:

2.1 The Enforcement Policy on Fly-Tipping was considered an appropriate topic for review because concern had been raised about whether the Council's current policy was effective. Fly-tipping was an increasing problem nationally and there had been a significant rise in the number of fly-tipping incidents and the quantities of material recovered in York and North Yorkshire in the last 3 years.

2.2 The Committee as a whole undertook the review pursuant to the following terms of reference:

- to review the Council's enforcement policy on fly-tipping;
- to consider whether the enforcement policy on fly-tipping was fit for purpose and effective; and
- to explore how successful the Council's enforcement policy was in reducing fly-tipping.

2.3 In order to determine whether the District Council's plans, policies and practices were effective, the Committee decided to:-

- review the District Council's Enforcement Policy on Fly-Tipping;
- review statistics on incidences of Fly-Tipping; and
- review benchmarking information from other Authorities.

3.0 EVIDENCE

3.1 The following witnesses attended meetings of the Committee to give evidence, namely:

- Paul Staines, Director for Leisure and Environment, Hambleton District Council (HDC); and
- Gary Brown, Waste and Street Scene Manager (HDC).

3.2 The Committee also reviewed the following documents in detail:

- Street Scene Management Enforcement Policy;

- statistics of fly-tipping incidents in Hambleton; and
- a report on levels and volumes of fly-tipping, costs and benchmarking and enforcement action.

4.0 FINDINGS

4.1 Based on the written and oral evidence presented, the Committee's findings were as follows:

- 4.1.1 The Committee acknowledged that the District Council's Policy was currently being updated and it was intended to compare this policy with other similar enforcement policies so that best practice could be identified and adopted where appropriate. It was also necessary to take account of changes to legislation and incorporate these into the policy as appropriate. The draft of the revised Policy was not available at the time this review was undertaken but it was envisaged that this would be submitted to the Committee for consideration in due course.
- 4.1.2 The Committee recognised that collection and enforcement action were carried out in-house by members of the Street Scene Team and that the Council employed one full time Senior Street Scene Officer who had responsibility for investigation, surveillance and enforcement of a range of offences, including fly-tipping.
- 4.1.3 The Committee was advised that enforcement action was difficult and time consuming to carry out and efforts were constantly being made to improve the service both in terms of enforcement and in prevention and improved reporting.

Levels and Volumes of Fly-Tipping

- 4.1.4 The Committee was informed that there had been an increase in the number of fly-tipping incidents in Hambleton from 237 in 2014/15 to 293 in 2016/17. The overwhelming majority had taken place on the highways.
- 4.1.5 Whilst incidents of fly-tipping of household waste had decreased, there had been an increase in the incidents of fly-tipped tyres and construction waste. This showed a direct correlation with the implementation of charging for these materials at the North Yorkshire County Council run Household Waste and Recycling Centres.
- 4.1.6 The Committee recognised that cross-border incidents of fly-tipping were difficult to identify. However, where evidence was found relating to tipping from addresses in neighbouring authorities, this was pursued.

Costs and Benchmarking

- 4.1.7 The Committee was advised that the costs associated with removal and disposal of fly tipped materials had risen significantly over the last three reported years. Costs had risen between 22% and 302% across North Yorkshire authorities.
- 4.1.8 Within Hambleton the cost had risen from £23,028 in 2015/16 to £44,485 in 2016/17. This was a rise of 93% and reflected the tonnage collected from fly-tip sites and not just the number of individual tips. Some significant tips especially of tyres and construction waste require several trips or the use of large vehicles to remove them.
- 4.1.9 There was no reliable data available on fly tipping enforcement in other authorities at the time the review was undertaken.

Enforcement Action

- 4.1.10 The Council was responsible for the investigation and removal of fly-tipping from public land and the investigation of fly-tipping on private land. Prosecution was pursued if it was considered to be in the interest of the Council/members of the public.
- 4.1.11 The deployment of cameras, signage, investigation and case preparation work were undertaken by the Senior Street Scene Officer. Collection of fly-tipping was generally undertaken by Waste and Street Scene staff. There were occasions where appropriately qualified sub-contractors were contracted to undertake the collection and disposal of hazardous waste, such as asbestos, or where it was not possible to collect with staff within Waste and Street Scene. The original cameras used for surveillance were damaged beyond economical repair while deployed in the field. Replacement cameras were purchased in April 2017. They have since been deployed in 7 locations, in total 60 days/nights. Unfortunately, whilst 1 fly tip was detected, no vehicle registration plate was visible.
- 4.1.12 It was estimated that the Senior Street Scene Officer spent approximately 2 days per week directly undertaking fly-tipping investigation and enforcement duties. The Committee reported that incidents of fly-tipping were dealt with very quickly and wished to commend the Waste and Street Scene team for their efforts in tackling this problem.
- 4.1.13 In the last three years there had been no prosecutions for fly-tipping. This was due to insufficient evidence in some cases and in others the offenders had been willing to pay the District Council's costs without the need for prosecution. In 2015/16 five offenders paid a total of £754, in 2016/17 three offenders paid £490 and in 2017/18 (up to October 2017) one offender had paid £200, with a second being summonsed to court.
- 4.1.14 The Council introduced garden waste charging in April 2017 and this had drawn considerable resource away from other service areas. However, now that the system was up and running staff had been able to prioritise other work and since September 2017 there had been increased publicity around fly-tipping, with prominent features on the website, increased signage being deployed around the district, press releases and social media items. It was planned to continue this push and to encourage people to name and shame if they saw a fly-tip they could trace to an individual or business.

Promotion and Publicity

- 4.1.15 The Committee suggested that more should be done to raise public awareness regarding fly-tipping. Informing the public about what steps the authority takes to tackle the issue of fly-tipping could be a good deterrent. Making public statements about prosecutions and incidents of fly-tipping would help highlight this issue and show that this matter is taken seriously and is dealt with accordingly.
- 4.2.16 The Committee also suggested the introduction of a more interactive portal on the website to enable the reporting of incidents. This could also be a useful tool. This could be an alternative to emailing or reporting the incident by telephone and would assist in mapping any hot-spots or increases in levels of fly-tipping.
- 4.2.17 It was acknowledged that the level of information contained on the website could be improved and this was identified as an area for further development.

5.0 CONCLUSIONS:

- 5.1 The Committee concluded from the evidence that the current policy for enforcement on fly-tipping was not currently effective and fit for purpose and required updating, although the Committee recognised that this work was already being undertaken. The Committee requested that the draft policy be submitted to the Committee at the appropriate time for consideration.
- 5.2 The Committee also identified promotion and publicity as an area for potential improvement.
- 5.3 The Committee suggested that the information contained on the website be reviewed and that an interactive page on the website for reporting incidents could be a useful tool.
- 5.4 The Committee suggested that more cross-agency working could be of benefit to tackling fly-tipping.

6.0 RECOMMENDATIONS:

- 6.1 To recommend to Cabinet that:-
 - (1) it be noted that the current Enforcement Policy on Fly-tipping was not currently effective and fit for purpose and required updating, although the Committee recognised that this work was already being undertaken;
 - (2) the draft updated Enforcement Policy be presented to Scrutiny Committee for consideration at the appropriate time;
 - (3) consideration be given to providing more promotion and publicity about fly-tipping and enforcement to raise awareness;
 - (4) information on the Council's website regarding fly-tipping be updated, including exploring the possibility of an interactive portal to report incidents; and
 - (5) consideration be given to more multi-agency working to tackle the issue within North Yorkshire.

COUNCILLOR S P DICKINS
CHAIRMAN

Background Papers: None
Author ref: LAH
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HAMBLETON DISTRICT COUNCIL

Report To: Scrutiny Committee
15 February 2018

From: Chairman of Scrutiny Committee

Subject: **POLICY REVIEW – GRADUATES AND APPRENTICE SCHEMES – DRAFT
FINAL REPORT**

All Wards

1.0 SUMMARY:

- 1.1 The purpose of this report is to consider the draft Final Report prior to submission to Cabinet in April 2018.

2.0 BACKGROUND:

- 2.1 The Committee has previously agreed to undertake this Review and identified information and issues that it would like to consider. The Project Plan for the review is attached as Annex A.

- 2.2 The Terms of Reference of the review are as follows:

To review the work already delivered by the Council and its partners to support the Graduates and Modern Apprentices Schemes in Hambleton.

- 2.3 A summary of the key points highlighted from the evidence is attached at Annex B to the report along with a full memorandum of evidence at Annex C.

- 2.4 A copy of the draft report to Cabinet is attached at Annex D of the report.

3.0 RECOMMENDATION:

- 3.1 The Committee is asked to consider the draft Final Report prior to submission to Cabinet in April 2018.

COUNCILLOR STEPHEN DICKINS

Background papers: None
Author ref: LAH
Contact: Louise Hancock
Democratic Services Officer
Direct Line No: (01609) 767015

SCRUTINY COMMITTEE**POLICY REVIEW – GRADUATES AND MODERN APPRENTICES SCHEMES****TERMS OF REFERENCE:**

To review the work already delivered by the Council and its partners to support the Graduates and Modern Apprentices Schemes in Hambleton.

SCOPE

To review the Graduates and Modern Apprentices Schemes and to evaluate:

- how successful the current schemes are;
- whether the current schemes are fit for purpose;
- whether the current schemes provide good value for money to the Council;
- opportunities for improvement;
- further opportunities for joint working.

OBJECTIVES

To ensure that the Graduates and Modern Apprentices Schemes are effective and fit for purpose; are providing good value for money to the Council and operating effectively, in line with Council priorities; to identify whether there are any areas for improvement and explore if there are any further opportunities for joint working.

WITNESSES

- Helen Kemp, Director of Economy and Planning
- Sam Swinbank or Nicole Patterson, Business and Economy Manager

<p>DOCUMENTS/EVIDENCE</p> <ul style="list-style-type: none"> • Graduate and Apprentice Schemes – policies and associated documents • Council Plan 2015-19 • Testimonials from graduates and apprentices
<p>OTHER METHODS/CONSULTATION/RESEARCH</p> <p>Task and Finish Groups.</p>
<p>OFFICER SUPPORT</p> <p>Louise Hancock, Democratic Services Officer Gary Nelson, Director of Law and Governance</p>
<p>TIMESCALE</p> <p>Commencing September 2017 – Concluding February 2018 (Report to April 2018 Cabinet)</p>

Key Points From Evidence

The following is a summary of the key points highlighted from the evidence received:

- The Committee concluded from the evidence that the Apprentices and Graduates Schemes are working very successfully, that they are fit for purpose and good value for money.
- Analysis on feedback received from the survey illustrated that the process of applying for funding was found to be easy although it was suggested that perhaps an online form could be provided.
- The Committee recognised that the schemes appeared to be oversubscribed and suggested that they would perhaps benefit if more funding could be identified and made available.
- The Committee supported the continuation of these schemes.

Memorandum of Evidence

The Committee took evidence from Helen Kemp, Director of Economy and Planning, Hambleton District Council

Helen outlined the Graduates and Apprentice Schemes and the policies and processes that had to be undertaken by applicants for grants under both schemes. Helen reported that both schemes were currently oversubscribed.

Copies of information leaflets, application forms and feedback forms were circulated to the Committee prior to the meeting and are available as background papers on request.

Apprenticeship Scheme

A briefing note providing an overview of the Apprenticeship Scheme had been circulated prior to the meeting commencing. A copy is attached at Annex C(1).

Graduates Scheme

A briefing note providing an overview of the Graduates Scheme had been circulated prior to the meeting commencing. A copy is attached at Annex C(2).

The Committee took evidence from Nicole Patterson, Business and Economy Manager, Hambleton District Council

Nicole outlined the Graduates and Apprentice Schemes and the policies and processes that had to be undertaken by applicants for grants under both schemes.

Copies of information leaflets, application forms and feedback forms were circulated to the Committee prior to the meeting. Copies are available on request as background information.

Apprenticeship Scheme

The Committee was advised that the scheme was launched in 2013. Many businesses were aware of the existence of the scheme and advertising was undertaken in various avenues such as careers advisors, job centres, local schools, etc. Sometimes enquiries from businesses to the Council led to enquiries regarding the apprenticeship scheme. Press releases on successful cases were also issued.

There was certain criteria that each business had to fulfil. Apprentices had to be local to the District. The scheme was about encouraging businesses to grow. The £2,000 grant supported those small businesses who may have struggled to fund an apprentice themselves. The businesses had to apply for a grant and then, if their application was approved, they would employ a suitable apprentice. Occasionally, very small businesses needed additional support and a Business Engagement Officer would offer them this support, including helping them complete application forms.

Apprentices were advertised through the National Apprentice Service, job adverts, colleges, etc. The District Council checked the criteria of the apprentice to ensure that it matched against the criteria for the scheme and then it was over to the business. They would find their appropriate training provider and advise the District Council of whom that was. There were checks undertaken

with businesses and colleges after 4 weeks and 12 weeks to ascertain whether the apprentice was still there and additional checks at 22 weeks. If the apprentice left between weeks 1 and 12, the District Council would recover £500 of the initial £1,000 instalment and no further monies would be paid. If the employer terminated the apprentice's contract or they left between weeks 13 and 22, the employer refunded the second payment of £1,000.

Evaluation forms were completed at the end of the 12 month period. This helped the District Council ascertain the value of the scheme to the business and apprentice and could potentially highlight areas for improvement.

Graduates Scheme

They were slightly different from the apprentices as they were already trained. Applications did not have to be from small businesses and graduates did not have to reside in Hambleton. The same process applied, certain criteria had to be fulfilled and the decision was made a panel. If approved, the businesses would find their graduate. There were lots of examples of people obtaining permanent employment from them.

The Committee commented that as the grant had been reduced from £5,000 to £4,000 for a graduate but they were only spending an average of £3,500, it appear that the funding was being realigned and enquired as to whether there was any downside to this.

The Committee was advised that there were no issues with the process. Tthe issue for the Council was sometimes funding apprentices and graduates as schools want to push 16 year olds into further education and there could be a shortage of applicants. Sometimes an apprentice could not be found in Hambleton but the District Council could not support anybody from outside the District. Locality could be an issue and other Councils did not have the scheme. Graduates were difficult to find in Hambleton.

The Committee recognised that, within schools, there was a realisation that further education was not for everyone and that hopefully the schools were working with the Council. The Committee was advised that schools work very closely with the District Council but some schools were better than others. The skills agenda was more open and the age criteria was between 16 to 24 so some pupils may become an apprentice after A levels.

The Committee enquired as to the whether there were many small businesses applying for the grants. The Committee was advised that this was the case however larger businesses did apply for grants but that the Council had to ascertain whether they could provide the opportunity for an apprentice themselves without the £2,000 grant.

The Committee wished to know whether the criteria that Apprentices had to live in Hambleton could be changed and was advised that as this was Council Policy, this would be a matter for Council to determine.

The Committee asked whether both schemes were fully subscribed and was advised that the apprentice scheme would be fully subscribed by the end of the financial year and that the graduate scheme had 7 places left. There were occasions when a number of applications had been approved but the business could not find somebody to fill the post which could be for a number of different factors.

The Committee enquired as to whether there was any merit in thinking about weighted applications to help business and the youth across a broader spectrum and was advised that this would require a policy change by Council.

The Committee asked how many apprentices had dropped out and were there any problems getting the funding back and was advised that over the 4 years there had been approximately 10 apprentices. Some had dropped out too late in the process and the Council could not get any funding back and that approximately 3 businesses had some of the funding reclaimed, this were not issues with this. On occasion the Council had found out that somebody had dropped out and when the Council approached the business, they paid back the funding. The repayment process is approached with a fair and considerate approach.

The Committee asked whether there was any further opportunities for joint working and was advised that the Council works very closely with schools, colleges, clubs etc.

The Committee observed that it had been reported that the schemes were oversubscribed and that perhaps, with that success rate, the only thing holding the Council back was budget and was advised that yes budget was a major factor in providing funding for the schemes. The Committee suggested that perhaps a recommendation could possibly be to look at the budget and any potential resources issues. The Committee was advised that any recommendation from the Committee to increase the budget to widen the schemes would be considered appropriately and any resources required to support the enhancement of the schemes would be considered by management as an operational issue within operational budgets

Apprenticeship Scheme

1st August 2017

1.0 PURPOSE OF REPORT:

An overview of the Apprenticeship Scheme for Scrutiny Committee

2.0 BACKGROUND:

2.1 Implementation

The project was initially established as a key activity in the delivery of one of the Council's high level priorities, which is to support local economic growth. There is evidence that getting young people into work, not only makes a huge difference to the lives of those young people, but it is also a positive way of stimulating the local economy.

One of the priorities in the Council Plan is 'Driving Economic Vitality' with a performance indicator of facilitating 25 young people to work in small businesses through apprenticeships.

2.2 The Scheme

The apprentice scheme supports businesses based in Hambleton who recruit an apprentice who resides in Hambleton. The apprentice needs to be aged 16-24 within the guidelines of the current scheme. The scheme was primarily targeted at SME's and in particular those employing less than 10 people but also looked at good opportunities for an apprenticeship in businesses employing less than 100 people. . A £2k grant was given to the business during the term of employment to assist in paying the apprentices wages.

There was also an accompany grant that offered up to £5k to for equipment or associated costs in employing an apprentice. The business had to put in 25% of the costs to match fund the application.

The Council work closely with the local schools, Job Centre Plus and training providers.

2.3 Funding

Breakdown of funding

Year	Fund	Allocated	Actual	Number of Places
2012-2014	One Off fund	£100K	£84,220	5 HDC Places 33 business places
2014/15	One Off fund	£50k	£61,300	25
2015/16	One Off fund	£70k	£70,000	25
2016/17	EDF	£50K	£50,000	25

The Government provides an Age Grant of £1,500 for businesses employing less than 50 employees who employ one new apprentice. A business can only avail of this grant once per year.

Approximately 67% of these apprenticeships have continued past their training with the original business, a small number have gone on to study for another 2 years and some have left to move to a different organisation.

The apprenticeship scheme forms an important part of our business support offer and often leads to us working with a business to support them in other areas. There has been a great deal of positive feedback in relation to this scheme and many success stories for the businesses and the apprentice, including business growth and permanent jobs for the apprentices. Many of the businesses have gone on to employ an additional apprentice and have found planning to employ more staff has improved their wider business plans, promoting business growth, increasing sales and moving to better premises.

We undertake an evaluation of each placement at the end of the 12 month funded period and know the value of the scheme to the business and young person and have a range of case studies which demonstrate the success of the scheme

Initially funded through the One-Off fund the scheme has since been financed, in 2016/17, through the Economic Development Fund. Due to funding other priorities there remains a limited budget for 2017/18 but there is sufficient capacity to continue to fund £50k from the Economic Development Fund in 2017/18.

Business awareness of the scheme is high within the business community and through the training providers. Partnership working with the schools has benefited, with the schools being invited to business events to raise their understanding of business needs.

3.0 THE SCHEME IN OPERATION

3.1 Equipment grant supporting private small businesses

A one off equipment grant was available to businesses from 2012 - 2016. This fund is coming to an end as it was a one off amount and will run out in 17/18.

2016/17	20,670.27
2015/16	19,593.39
2014/15	15,589.83
2013/14	14,190.30

Total 70,043.79

A total of £70,043.79 has been processed against **30** businesses since the scheme opened.

3.2 Current activity

- In 2017-2018, as of August 1st, 16 applications have been approved at panel and 8 of those businesses have apprentices in place. Enquiries remain high for this year's funding

3.3 Achievements

The original benefits to the projects were to include ;

- A real job for an unemployed young person, for the minimum period of the apprenticeship, with an expectation of sustained employment.
- Intensive short training course to prepare candidates for work, so even those who are

unsuccessful in their application have improved employability prospects.

- Improved employability prospects within the Hambleton district for young people.
- Business growth.
- A reduction in the long-term unemployed young people in Hambleton.

The project results demonstrate a high number of the apprentices stay with the employer which is a success for the scheme. HDC tries to encourage businesses to recruit at appropriate times linked to the academic school year, as businesses trying to recruit in January, for example struggle to recruit an apprentice. HDC encourage businesses to take into consideration when school / college leavers receive their results in order to make a decision to apply for an apprenticeship.

Business growth in terms of businesses planning to employ further staff and HDC have received enquiries from businesses who have previously had funding as they wish to recruit an additional apprentice.

The feedback is very positive from the supported businesses. They have all found the grant easy to apply for and have appreciated the additional support from the B&E team whilst applying. The very small businesses probably wouldn't have taken on an apprentice without the financial support.

All businesses have commented on how the confidence of their apprenticeship has increased and how they value the young person's contribution. Some employers underlined the fact that they have enjoyed the coaching and mentoring that it has brought out in them and are keen to replicate this with other young people.

4.0 FUTURE OF THE SCHEME

Apprentices are recognised at the Hambleton District Council Business Awards, with Hollins Stables apprentice winning this year's Apprentice of the Year 2017.

The scheme is over- subscribed and involves administration and quality checks from the Business and Economy team. During busy periods, the resource allocated for administration can be significant however the benefits of keeping people working and living in the district is demonstrated by the results.

4.1 Partnership Working

- HDC work with the schools and have held events at businesses highlighting the benefits of taking on an apprentice. HDC help businesses to send their job descriptions to the schools to highlight opportunities to school leavers and they have engaged further afield, for example with **Middlesbrough College** who have a surplus number of students who are looking for opportunities.
- Continue working with the **Preston Trust** who have expanded their financial support scheme for students within the Stokesley Parish to supporting apprentices with educational needs and costs.
- Promote the offer scheme from **Thirsk Rotary Club** which provides financial support to apprentices for their studies.
- Continue promoting the **Wheels to Work** scheme to help apprentices get to rural businesses.

Graduate Scheme

6th August 2017

1.0 PURPOSE OF REPORT:

An overview of the Graduate Scheme

2.0 BACKGROUND:

The project was initially established as a key activity in the delivery of one of the Council's high level priorities, which is to support local economic growth. There is evidence that getting Graduates into work, not only makes a huge difference to the lives of those young people, but it is also a positive way of stimulating the local economy.

The graduate scheme supports businesses with up to 250 employees based in Hambleton who recruit a Graduate who does not have to reside in Hambleton. The graduate needs to be aged 16-24 within the guidelines of the current scheme.

2.1 PROJECT SCOPE

A £4k grant was given to the business during the term of employment to support the wage subsidy. An offer of a £1k grant to support equipment costs was also offered.

2.2 TARGETS AND OUTPUTS

The target was to support 15 graduates over a two year period with a target of 30 graduates.

2.3 FIGURES

- Total applications for the grant: 39
- Total businesses who progressed to recruitment: 28
- 18 businesses have completed the agreed recruitment period of the agreement (6/12 months)
- 3 graduates left before the end of the agreed period
- 7 graduates are currently within the agreed period and their claims are on going

2.4 OUTCOME

- 18 graduates are still in employment beyond the agreed period which is 100% success rate

2.5 TEESSIDE UNIVERSITY

Hambleton District Council initially worked with Teesside University to co-fund the scheme however due to a lack of funding Teesside University pulled out of this scheme in 2015 and HDC committed to the full costs. The Business and Economy team undertake all the administration and quality checks.

3.0 FINANCES

4.1 Budget was £100,000.

£87349.8 has been processed as businesses are still going through the process and claims are still being processed for the wage subsidy and equipment grant..

Average spend per graduate is £3500

4.0 Achievements

The original benefits to the projects were to include:

- Improved employability prospects within the Hambleton district for young people.
- Business growth.

The project results demonstrate a high number of the graduates stay with the employer which is a success for the scheme.

The feedback is very positive from the supported businesses. They have all found the grant easy to apply for and have appreciated the additional support from the Business and Economy team whilst applying.

4.0 FUTURE OF THE SCHEME

The scheme has recently been evaluated internally with a report due to go to Management Team in August. There are a number of recommendations which we will look to consider alongside any scrutiny recommendations made. Partnership working with Teesside University continues however it continues to be a struggle for businesses to attract graduates due to the rural nature of the district.

Some of the businesses are large employers with a significant wage bill who potentially would have recruited regardless of the grant available (Labman, Analox, Walter Thompson). However other businesses have been able to expand, and take on another graduate as a result of the finance support (WJPS, Joe Cornish).

HAMBLETON DISTRICT COUNCIL

Report To: Cabinet
17 April 2018

From: Scrutiny Committee

Subject: POLICY REVIEW – GRADUATES AND APPRENTICE SCHEMES – FINAL REPORT

All Wards

1.0 SUMMARY:

- 1.1 Between July 2017 and February 2018 the Committee undertook a review of the Council's Graduates and Apprentice Schemes. This report sets out the Committee's findings, conclusions and recommendations.

2.0 INTRODUCTION:

- 2.1 Reviewing the Council's Graduates and Apprentices schemes was considered an appropriate topic for review to ascertain whether the schemes were successful in meeting the Council's priority within the Council Plan for 'Driving Economic Vitality'. One of the key priorities within this theme was to facilitate 25 young people into work in small businesses by April 2018 through apprenticeships and to facilitate 7 graduates into Hambleton businesses by April 2018 through the graduate scheme.

- 2.2 The Committee as a whole undertook the review pursuant to the following terms of reference:

To review the Graduates and Modern Apprentices Schemes and to evaluate:

- how successful the current schemes are;
- whether the current schemes are fit for purpose;
- whether the current schemes provide good value for money to the Council;
- opportunities for improvement; and
- further opportunities for joint working.

- 2.3 In order to determine whether the District Council's plans, policies and practices were effective, the Committee decided to:-

- review the Graduate and Apprentice Schemes – policies and associated documents;
- review testimonials from graduates and apprentices; and
- survey businesses who had used the schemes to obtain feedback on how successful or otherwise their experience had been.

3.0 EVIDENCE

- 3.1 The following witnesses attended meetings of the Committee to give evidence, namely:

- Helen Kemp, Director of Economy and Planning (HDC); and
- Nicole Patterson, Business and Economy Manager (HDC).

3.2 The Committee also reviewed the following documents in detail:

- Graduate and Apprentice schemes;
- application and feedback forms;
- publicity material; and
- survey results.

4.0 FINDINGS

4.1 Based on the written and oral evidence presented, the Committee's findings were as follows:

Apprenticeship Scheme

- 4.1.1 The Committee noted that the project was initially established in 2013 as a key activity in the delivery of one of the Council's high level priorities, namely to support local economic growth, and there was evidence that getting young people into work, not only made a huge difference to the lives of those young people, but it was also a positive way of stimulating the local economy.
- 4.1.2 One of the priorities in the Council Plan is 'Driving Economic Vitality' with a performance indicator of facilitating 25 young people into work in small businesses through apprenticeships. The Council works closely with the local schools, Job Centre Plus and training providers.
- 4.1.3 The Committee was advised that the apprentice scheme supports businesses based in Hambleton who recruit apprentices who reside in Hambleton. The apprentice needs to be aged 16-24 to qualify for the current scheme. The scheme was primarily targeted at small businesses and in particular those employing less than 10 people but also looked at opportunities for an apprenticeship in businesses employing less than 100 people.
- 4.1.4 A £2,000 grant is given to the business during the term of employment to assist in paying the apprentices wages. There was also an accompanying grant that offered up to £5,000 to for equipment or associated costs in employing an apprentice. The business had to put in 25% of the costs to match fund the application.
- 4.1.5 The Government provides an Age Grant of £1,500 for businesses employing less than 50 employees who employ one new apprentice. A business can only access this grant once per year.
- 4.1.6 The Committee was informed that approximately 67% of the apprenticeships have continued past their training with the original business. A small number have gone on to study for another 2 years and some have left to move to a different organisation.
- 4.1.7 The apprenticeship scheme forms an important part of the Council's business support offer and often leads to the Council working with a business to support them in other areas. There has been a great deal of positive feedback in relation to this scheme and many success stories for the businesses and the apprentices, including business growth and permanent jobs for the apprentices. Many of the businesses have gone on to employ an additional apprentice and have found that planning to employ more staff has improved their wider business plans, promoted business growth, increased sales and led to businesses moving to better premises.

Funding

- 4.1.8 Initially the scheme was funded through the One-Off fund. However, from 2016/17 the scheme has been financed through the Economic Development Fund. Due to funding other priorities there remains a limited budget for 2017/18 but there is sufficient capacity to continue to fund £50,000 from the Economic Development Fund in 2017/18.
- 4.1.9 The Committee was advised that apprentices are advertised through the National Apprentice Service, job adverts, colleges, etc. The District Council checks the criteria of the apprentice to ensure they match the criteria for the scheme and then the business employs the apprentice. There are checks undertaken with businesses and colleges after 4 weeks and 12 weeks to ascertain whether the apprentice is still there and additional checks at 22 weeks. If the apprentice leaves between weeks 1 and 12, the District Council will recover £500 of the initial £1,000 instalment and no further monies will be paid. If the employer terminates the apprentice's contract or they leave between weeks 13 and 22, the employer refunds the second payment of £1,000.

Success of the Scheme

- 4.1.10 The Committee recognised that the original benefits of the project included:
- a real job for an unemployed young person, for the minimum period of the apprenticeship, with an expectation of sustained employment;
 - intensive short training course to prepare candidates for work, so even those who are unsuccessful in their application have improved employability prospects;
 - improved employability prospects within the Hambleton district for young people;
 - business growth; and
 - a reduction in the long-term unemployed young people in Hambleton.
- 4.1.11 The Committee noted that the project demonstrated that a high number of apprentices stay with the employer, which is a success for the scheme. Hambleton District Council tries to encourage businesses to recruit at appropriate times, primarily linked to the academic school year. Businesses trying to recruit in January struggle to recruit an apprentice. Therefore the Council encourages businesses to consider when school/college leavers receive their results, thus ensuring businesses seek to recruit apprentices at the appropriate time.
- 4.1.14 The Committee recognised that feedback is very positive from the supported businesses. They have all found the grant process easy to follow and have appreciated the additional support from the Business and Economies team. The scheme has assisted small business, in particular, in recruiting apprentices.
- 4.1.15 Evaluation forms are completed at the end of the 12 month period. This helps the Council ascertain the value of the scheme to the business and apprentices and potentially highlight areas for improvement.

Graduates Scheme

- 4.1.16 The Committee recognised that graduates are slightly different from the apprentices as they are already trained. Applications do not have to be from small businesses and graduates do not have to reside in Hambleton. The same application process applies, certain criteria have to be fulfilled and the decision is made by a panel. If the funding is approved, the businesses then recruit their own graduate. There were lots of examples of people obtaining permanent employment through this scheme.

- 4.1.17 The graduate scheme supports businesses with up to 250 employees based in Hambleton who recruit a Graduate who does not have to reside in Hambleton. The scheme is open to graduates of any UK university who have completed their studies within the last 3 years.
- 4.1.18 The Committee was informed that on the 2 December 2014 Members approved the Hambleton Economic Strategy and Investment Plan 2014 – 2024. One of the key projects highlighted within the Investment Plan was the introduction of a Graduate Programme whose overarching objective was to support 15 graduates (at a cost of £50,000 each year) to find employment with Hambleton businesses.
- 4.1.19 The scheme was launched in January 2015 to run for an initial period of 2 years - 2015/16 and 2016/17, with an allocation of £100,000 from the Economic Development Fund. Initially the Council operated the scheme in conjunction with Teesside University. Following a restructure in 2015 Teesside University was no longer able to continue with the scheme. Hambleton District Council, therefore, took over responsibility for completing pre-checks such as health and safety on site assessments and has managed and administered the scheme from 2015 onwards.
- 4.1.20 The target was to support 15 graduates per annum, which equates to 30 graduates over the two year period.

Funding

- 4.1.21 There is a target within the current Council Plan to support 7 Graduates in 2017/18, the costs associated with delivering this are £28,000. The scheme continues to be funded through the Economic Development Fund.

Success of the Scheme

- 4.1.22 The Committee was provided with the following statistics:
- Total applications for the grant: 39
 - Total businesses who progressed to recruitment: 28
 - 18 businesses had completed the agreed recruitment period of the agreement (6/12 months)
 - 3 graduates left before the end of the agreed period
 - 7 graduates are currently within the agreed period and their claims are on going
- 4.1.23 18 graduates were still in employment beyond the agreed period which was a 100% success rate.

5.0 CONCLUSIONS:

- 5.1 The Committee concluded from the evidence that the Apprentices and Graduates Schemes are working very successfully, that they are fit for purpose and good value for money.
- 5.2 Analysis on feedback received from the survey illustrated that the process of applying for funding was found to be easy, although it was suggested that perhaps an online form could be provided.
- 5.3 The Committee recognised that the schemes appeared to be oversubscribed and suggested that they would perhaps benefit if more funding could be identified and made available.
- 5.4 The Committee supported the continuation of these schemes.

6.0 RECOMMENDATIONS:

6.1 To recommend to Cabinet that:-

- (1) it be noted that the current arrangements for the Apprentice and Graduates Schemes are effective, fit for purpose and good value for money;
- (2) officers investigate the possibility of providing an online application form for the Apprentice and Graduates Schemes;
- (3) consideration be given to identifying whether there is any additional funding available to invest in the schemes in future years; and
- (4) the Committee supports the continuation of the Apprentices and Graduates Schemes.

COUNCILLOR S P DICKINS
CHAIRMAN

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